

ISO 14001: 2015 - TRANSITION REVIEW / AUDIT CHECKLIST**Company:****Certification No:****Date:****Auditor:**

ISO 14001: 2015 Clause	New requirement	Mandatory documentation	Documented Information or requirement	Complies Yes/No
<u>4 Context of the organization</u> <u>4.1 Understanding the organization and its context</u> The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its environmental management system. Those issues include environmental conditions capable of affecting or being affected by the organization.	Yes	Not specified in this clause	Evidence of the consideration of: Environmental conditions Natural resource availability biodiversity, etc., that can either affect the organization's purpose, or be affected by its environmental aspects The external cultural, social, political, legal, regulatory, financial, technological, economic, natural and competitive context, whether international, national, regional or local; The internal characteristics or conditions of the organization, such as its activities, products and services, Strategic direction, culture and capabilities (people, knowledge, processes, systems).	
<u>4.2 Understanding the needs and expectations of interested parties</u> The organization shall determine: The interested parties that are relevant to the environmental management system The relevant needs and expectations (i.e. requirements) of these interested parties; which of these needs and expectations become compliance obligations	Yes	Not specified in this clause	<u>Customers</u> Contract/order requirements <u>Suppliers</u> information <u>Employees,</u> Adequate job information/ environment/equipment/training <u>Regulators</u> Evidence/records of conformity <u>Neighbours/public</u> Consideration of noise/emissions <u>Shareholders</u> Good return on investment	
<u>4.3 Determining the scope of the environmental management system</u> The organization shall determine the boundaries and applicability of the environmental management system to establish its scope.	Yes	Yes	Documented scope to include, activities, products and services that can have significant environmental aspects. Should be made available to interested parties	
<u>4.4 Environmental management system</u> The organization shall consider the knowledge of its context when establishing and maintaining the EMS	Yes	Not specified in this clause	The following processes need to be considered – Design – Procurement – Human resources – Sales etc.	
<u>5 Leadership</u> <u>5.1 Leadership and commitment</u> Top management shall demonstrate leadership and commitment with respect to the environmental	Yes	Not specified in this clause	Top management need to demonstrate their methods and commitment regarding, communication of EMS requirements and their methods for providing resources and support for relevant roles and responsibilities.	

<p>management system. Ensuring that policy and objectives are relevant to the strategic direction and the context of the organization. Ensuring the integration of the environmental management system requirements into the organization's business processes. Directing and supporting persons to contribute to the effectiveness of the environmental management system. Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.</p>				
<p>5.2 – Environmental policy Top management shall establish, implement and maintain an environmental policy Made available to interested parties</p>	Yes	Yes	Policy Statement. (Reference to reviewing objectives has been removed).	
<p>5.3 Organizational roles, responsibilities and authorities Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated. Ensuring that the environmental management system conforms to the requirements of this International Standard and reporting on the performance of the environmental management system, to top management</p>	No	Not specified in this clause	Confirmation of the communication of roles and responsibilities In all but name an Environmental Management Representative is still required	
ISO 14001: 2015 Clause	New requirement	Mandatory documentation	Documented Information or requirement	
<p>6 Planning 6.1 Actions to address risk associated with threats and opportunities 6.1.1 General The organization shall plan and implement a process to meet the requirements in 6.1. When planning for the environmental management system in 6.1 (i.e. 6.1.2 - 6.1.4), the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2.</p>	Yes/No	Yes	<p>The organization shall maintain documented information to the extent necessary to have confidence that the process has been carried out as planned.</p> <ul style="list-style-type: none"> - Consideration of threats to the EMS, - Aspects Register - Legal Register - Objectives programme 	

<p><u>6.1.2 Significant environmental aspects</u> Considering a life cycle perspective Identified abnormal and potential emergency situations The organization shall communicate its significant environmental aspects among the various levels and functions of the organization</p>	Yes	Yes	<p>'Aspects Register'</p> <p>The assessment criteria used, needs to be recorded</p>	
<p><u>6.1.3 Compliance obligations</u> The organization shall: Identify and have access to the compliance obligations related to its environmental aspects; Determine how these compliance obligations apply to the organization. The organization shall maintain documented information of its compliance obligations.</p>	Yes	Yes	<p>'Legal Register'</p> <p>To include how legislation applies to the company</p>	
<p><u>6.1.4 Risk associated with threats and opportunities</u> The organization shall determine the risk associated with threats and opportunities that needs to be addressed to: Give assurance that the environmental management system can achieve its intended outcome(s); Prevent, or reduce, undesired effects, including the potential for external environmental conditions to affect the organization Achieve continual improvement</p>	Yes	Yes	<p>Aspects Register Legal Register Objectives programme</p> <p>The objectives programme may need to contain more evidence of the actions required to address risk to:</p> <ul style="list-style-type: none"> - Aspects - The Business/organisation or EMS - Improvements - Meeting legal requirements 	
<p><u>6.1.5 Planning to take action</u> The organization shall plan: To take actions to address risk associated with threats and opportunities (see 6.1.4), significant environmental aspects (see 6.1.2) and compliance obligations (see 6.1.3); How to: Integrate and implement the actions into its environmental management system processes and evaluate the effectiveness of these actions.</p>	Yes	Not specified in this clause	<p><u>Plan/evaluate</u> Management review analysis – Internal audit reports Objectives Programme –</p> <p><u>Actions</u> Operational control procedures Emergency procedures EMS training/awareness</p>	
<p><u>6.2 Environmental objectives and planning to achieve them</u></p>				

<p>6.2.1 Environmental objectives Considering the risk associated with threats and opportunities. Shall be communicated (The consideration of the views of interested parties has been removed)</p>	Yes	Yes	Possible objectives programme	
<p>6.2.2 Planning actions to achieve environmental objectives How the results will be evaluated, including indicators for monitoring progress toward achievement of measurable environmental objectives (see 9.1.1). The organization shall consider how the actions to achieve environmental objectives can be integrated into the organization's business processes</p>	Yes	Not specified within this clause	Possible Objectives Programme Management review Operational control procedures Methods of working Employee responsibilities and/or involvement/awareness	
<p>ISO 14001: 2015 Clause</p>	<p>New requirement</p>	<p>Mandatory documentation</p>	<p>Documented Information or requirement</p>	
<p>7 Support 7.1 Resources 7.2 Competence The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the environmental management system</p>	No	Yes	Training requirements review General competency records- Auditor training Equipment requirements	
<p>7.3 Awareness Persons doing work under the organization's control shall be aware of: The environmental policy; The significant environmental aspects and related actual or potential impacts associated with their work Their contribution to the effectiveness of the environmental management system, including the benefits of enhanced environmental performance; The implications of not conforming with the environmental management system requirements including compliance obligations</p>	Yes	Not specified in this clause	Communication of - Policy - Aspects/Impacts - Legal requirements - Incidents	
<p>7.4 Communication 7.4.1 General The organization shall plan and implement a process for internal and external communications. What it will communicate?</p>	Yes	Yes	Evidence of communications Internal and External (See next clause requirements)	

When to communicate? With whom to communicate? How to communicate? (Should consider Compliance obligations)				
<p>7.4.2 Internal communication Including changes to the environmental management system, as appropriate Ensure its communication process enables any person doing work under the organization's control to contribute to continual improvement.</p> <p>7.4.3 External communication The organization shall externally communicate information relevant to the environmental management system, as determined by its communication process and as required by its compliance obligations.</p>	Yes	Not specified in these clauses	<p>Could include-</p> <p>Notice-boards Tool box talks News Letters Bulletins Reviews Meetings Complaints Interested parties feedback</p>	
<p>7.5 Documented information 7.5.1 General 7.5.2 Creating and updating When creating and updating documented information the organization shall ensure appropriate: identification and description (e.g. a title, date, author, or reference number); format (e.g. language, software version, graphics) and media (e.g. paper, electronic); review and approval for suitability and adequacy</p>	No	None specified in these clauses	<p>As deemed necessary for the size and complexity of the organisation/activities and the competence of persons</p> <p>Evidence that documentation is identified and controlled.</p>	
<p>7.5.3 Control of documented information Documented information required by the environmental management system and by this International Standard shall be controlled to ensure: it is available and suitable for use, where and when it is needed</p>	No	Not specified in this clause	Evidence that records are adequately stored etc. and documentation/changes are version controlled	
<p>8 Operation 8.1 Operational planning and control The organization shall plan, implement and control the processes needed to meet environmental management system requirements, and to implement the actions determined in 6.1 and 6.2 Consistent with a life cycle perspective</p>	Yes	As required. to ensure that processes have been carried out as planned	<p>Controls can include engineering controls, procedures, documented procedure, etc. They can be implemented following a hierarchy (e.g. elimination, substitution, administrative) and can be used singly or in combination</p> <p>Could also be any monitoring results/data and internal audits</p>	

Requirements are considered in the design process for the development, delivery, use and end-of-life treatment of its products and services				
8.2 Emergency preparedness and response The organization shall establish and implement a procedure specifying how it will respond to potential environmental emergency situations and accident	No	Not specified in this clause	'Procedure' required to be in place and subject to review. Periodic testing to be carried out	
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9 Performance evaluation 9.1 Monitoring, measurement, analysis and evaluation 9.1.1 General 9.1.2 Evaluation of compliance The organization shall determine what needs to be monitored and measured and when to it will monitor and measure	Yes	Yes	Criteria and indicators to be determined for measuring EMS performance Records of all monitoring, measuring and evaluation results, including, management review, compliance and calibration	
9.2 Internal Audit 9.2.1 – 9.2.2 The organization shall conduct internal audits at planned intervals to provide information on the environmental management system	Yes	Yes	Audit programme required, to consider risk associated with threats and opportunities Audits to be recorded	
9.3 Management Review Top management shall review the organization's environmental management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.	Yes	Yes	Reviews to be recorded. Should include the significant environmental aspects and risk associated with threats and opportunities Outputs from the review to include: Any implications for the strategic direction of the organization.	
10 Improvement 10.1 Nonconformity and corrective action When a nonconformity occurs, the organization shall react to the nonconformity	No	Yes	To include: - Immediate action - Root cause - Mitigation - Nature of the nonconformities and any subsequent actions taken - The results of any corrective action.	
10.2 Continual improvement The organization shall continually improve the suitability, adequacy and effectiveness of the environmental management system to enhance environmental performance	New clause but not really any new requirements	Not specified in this clause	General: - Objectives programme - Management Review - Data collection/analysis - Periodic testing/actions - Internal audits - Evaluation of compliance - Incident reporting	