ISO 14001:2015 External Audit Checklist – Environmental Management System (EMS)

Clause No.	Audit Question / Requirement	Objective Evidence to Verify	Compliance (Yes / No / Partial)	Auditor's Observation / NCR Reference
4.1	Has the organization identified internal and external issues relevant to its EMS?	• Context analysis • SWOT or PESTLE • Meeting minutes with top management		
4.2	Are interested parties and their requirements identified and reviewed?	• Stakeholder analysis • Legal register • Communication plans		
4.3	Is the EMS scope clearly defined and documented?	• Scope document • Organizational boundary map • ISO certification scope		
4.4	Is the EMS established, implemented, and maintained in alignment with ISO 14001?	• EMS manual • Process maps • Integration strategy		
5.1	Is top management demonstrating leadership and commitment to the EMS?	• Leadership meeting records • Policy endorsement • Roles communication		
5.2	Is an environmental policy established, communicated, and maintained?	• Policy document • Employee communication records • Website publication		
5.3	Are EMS roles and responsibilities defined, assigned, and communicated?	• Organizational chart • RACI matrix • Responsibility logs		

6.1.1	Are risks and opportunities identified and addressed appropriately?	• Risk register • Action plans • Preventive actions		
6.1.2	Has the organization determined significant environmental aspects and impacts?	• Aspect-impact register • Operational control records • Life cycle considerations		
6.1.3	Are compliance obligations regularly reviewed and updated?	• Legal compliance audits • UAE Federal Law No. 24 of 1999 • Permits and licenses		
6.1.4	Are actions planned to address risks, aspects, and legal obligations?	• Implementation logs • Status reports • EMS review documents		
6.2	Are measurable environmental objectives established and tracked?	• Objective register • KPIs • Progress evaluations		
6.2.2	Are plans in place to achieve objectives, including resources and responsibilities?	• Environmental programs • Resource allocation documents • Milestone trackers		
7.1	Are sufficient resources available to maintain the EMS?	• Budget reports • Equipment logs • Human resource plans		
7.2	Are personnel competent and trained on EMS roles?	• Training matrix • Certifications • Attendance records		
7.3	Is EMS awareness ensured among employees and stakeholders?	• Awareness campaigns • Signage • Staff surveys		
7.4	Is communication managed effectively (internal & external)?	• Communication strategy • Meeting notes • External emails/notices		

7.5	Is documented information properly controlled and updated?	• Document control procedure • EMS records • Version history		
8.1	Are operations controlled to manage significant aspects?	• SOPs • Work instructions • Operational monitoring		
8.2	Is emergency preparedness tested and reviewed?	• Emergency response plan • Drill reports • Training records		
8.3	Are changes managed effectively in EMS planning and operations?	• Change management logs • Communication records • Updated risk registers		
9.1.1	Is environmental performance monitored and measured?	• KPI dashboards • Water/energy usage reports • Emission data		
9.1.2	Are compliance obligations evaluated for fulfillment?	• Legal compliance audit • Non-compliance reports • Corrective actions		
9.2	Are internal audits conducted and actions tracked?	• Internal audit plan • Reports • Follow-up records		
9.3	Is management review conducted and decisions documented?	• Review meeting minutes • Evaluation of EMS performance • Action logs		
10.1	Are opportunities for improvement identified and acted upon?	• Suggestion programs • EMS updates • Process revisions		
10.2	Are nonconformities handled and corrective actions implemented?	• NCR forms • Root cause analysis • Follow-up evidence		

| 10.3 | Is continual improvement demonstrated in EMS effectiveness? | • Year-on-year performance comparison
• Improvement initiatives
• Stakeholder feedback | | |