

The internal audit checklist is just one of the many tools available from the auditor's toolbox. The checklist ensures each audit concisely compares the requirements of ISO 9001:2015, ISO 14001:2015 and OHSAS 18001:2007, and your EHQMS against actual business practice.

EHQMS Audit Checklist

Part 3: Planning

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Internal Audit Checklist

EHQMS Part 3: Planning

Integrated Internal Audit Checklist

Part 3: Planning

Clause No.	Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence Provide reference to documented information to justify the finding	Opportunities for Improvement (OFI) Provide suggestions for process improvement
			Compliant	OFI	Minor N/C	Major N/C		
6.1.1	61	Has your organization established, implemented and maintained the processes needed to meet the requirements for addressing risk and opportunities?						
6.1.1	62	When planning for the EHQMS, has your organization considered the scope of our EHQMS 4.3 and 4.4?						
6.1.1	63	When planning for the EHQMS, has your organization determined the risks and opportunities as they relate to our environmental aspects (See 6.1.2)?						
6.1.1	64	When planning for the EHQMS, has your organization determined the risks and opportunities as they relate to our compliance obligations (See 6.1.)?						
6.1.1	65	Has your organization considered the issues referred to in 4.1 and the requirements referred to in 4.2 and determined the risks and opportunities that need to be addressed to give assurance that the EHQMS can achieve its intended results?						
6.1.1	66	Has your organization considered the issues referred to in 4.1 and the requirements referred to in 4.2 and determined the risks and opportunities that need to be addressed to give assurance that the EHQMS can enhance desirable effects;						

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			Compliant	OFI	Minor N/C	Major N/C		
6.1.1	67	Has your organization considered the issues referred to in 4.1 and the requirements referred to in 4.2 and determined the risks and opportunities that need to be addressed to give assurance that the EHQMS can prevent, or reduce, undesired effects ?						
6.1.1	68	Has your organization considered the issues referred to in 4.1 and the requirements referred to in 4.2 and determined the risks and opportunities that need to be addressed to give assurance that the EHQMS can achieve improvement ?						
6.1.1	69	When considering questions 61 to 68, does the output provide assurance that the EHQMS can achieve its intended outcomes?						
6.1.1	70	When considering questions 61 to 68, does the output prevent or reduce undesired effects, including the potential for external environmental conditions or health and safety hazards that may affect our organization?						
6.1.1	71	When considering questions 61 to 68, does the output help to achieve continual improvement of the EHQMS?						
6.1.1	72	Does the scope of the EHQMS demonstrate how your organization has determined potential emergency situations, including those which might have an environmental impact or which might pose a health and safety risk?						

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6.1.1	73	Has your organization maintained documented information of its risk and opportunities that must be addressed as they relate to quality?						
6.1.1	74	Has your organization maintained documented information of the processes needed in 6.1.1 to 6.1.4, to the extent that they can be carried out as planned?						
6.1.1	75	Does your organization plan the actions to address these risks and opportunities?						
6.1.2	76	Does your organization plan how to integrate and implement actions into its EHQMS processes (see 4.4)?						
6.1.2	77	When planning for the scope of the EHQMS, has your organization determined the environmental aspects of the activities, products and services that it controls and can influence, and their associated environmental impacts when considering the product lifecycle?						
6.1.2	78	When determining applicable environmental aspects, has your organization taken into account potential change, including planned or new developments, and new or modified activities, products and services?						
6.1.2	79	When determining applicable environmental aspects and health and safety hazards, has your organization taken into account potential abnormal conditions and reasonably foreseeable hazards and emergency situations?						

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6.1.2	80	Has your organization determined those aspects and hazards that pose a significant environmental impact or health and safety hazard by using established assessment criteria?						
6.1.2	81	Has your organization communicated those aspects and hazards that pose a significant environmental impacts or health and safety hazards throughout the various levels and functions of our organization?						
6.1.2	82	Does your organization maintain documented information regarding its environmental aspects and associated impacts and health and safety hazards?						
6.1.2	83	Does your organization maintain documented information regarding the criteria used to determine its significant environmental aspects and health and safety hazards?						
6.1.2	84	Does your organization maintain documented information regarding its significant environmental aspects and health and safety hazards?						
6.1.2	85	Are actions taken to address risks and opportunities proportionate to the potential impact on the conformity of products and services?						
6.1.3	86	Has your organization determined, and have access to relevant compliance obligations related to its environmental aspects and health and safety hazards?						

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6.1.3	87	Has your organization determined how these environmental and health and safety compliance obligations apply to your organization?						
6.1.3	88	Does your organization take its compliance obligations into account when establishing, implementing, maintaining and improving its EHQMS?						
6.1.4	89	Does your organization plan to take actions to address its significant environmental aspects and health and safety hazards?						
6.1.4	90	Does your organization plan to take actions to address its compliance obligations?						
6.1.4	91	Does your organization plan to take actions to address its risks and opportunities identified in 6.1.1.						
6.1.4	92	Does your organization plan how to integrate and implement the actions into its EHQMS process (See 6.2, 7, 8 and 9.1) or other processes?						
6.1.4	93	Does your organization plan how to evaluate the effectiveness of these actions (See 9.1)?						
6.2.1	94	Has your organization established objectives at relevant functions, levels and processes needed for the EHQMS?						

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6.2.1	95	Are your organization's quality, environmental and health and safety objectives consistent with the corporate policies (See 5.2)?						
6.2.1	96	Are your organization's quality, environmental and health and safety objectives measurable (SMART), where practicable?						
6.2.1	97	Does your organization monitor its quality, environmental and health and safety objectives (See 9.1)?						
6.2.1	98	Are your organization's quality, environmental and health and safety objectives communicated (See 7.4.1)?						
6.2.1	99	Are your organization's quality, environmental and health and safety objectives reviewed and updated as appropriate?						
6.2.1	100	Are your organization's quality, environmental and health and safety objectives maintained as documented information (See 7.5)?						
6.2.1	101	Are your organization's quality, environmental and health and safety objectives consistent with the corporate policies (See 5.2)?						
6.2.2	102	When planning how to achieve its quality, environmental and health and safety objectives, has your organization determined what will be done?						

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6.2.2	103	When planning how to achieve its quality, environmental and health and safety objectives, has your organization determined what resources will be required?						
6.2.2	104	When planning how to achieve its objectives, does your organization determine what resources will be required?						
6.2.2	105	When planning how to achieve its objectives, does your organization determine who will be responsible?						
6.2.2	106	When planning how to achieve its objectives, does your organization determine when it will be completed?						
6.2.2	107	When planning how to achieve its objectives, does your organization determine how the results will be evaluated, including indicators for monitoring the progress of achievement of objectives?						
6.2.2	108	Has your organization considered how actions to achieve its quality, environmental and health and safety objectives can be integrated into its business processes?						
6.3	109	When your organization determines the need for changes to the EHQMS, are the changes carried out in a planned manner (see 4.4).						

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6.3	110	Does your organization consider the purpose of the changes and their potential consequences?						
6.3	111	Does your organization consider and maintain the integrity of the EHQMS during the change process?						
6.3	112	Does your organization consider the availability of resources during the change process?						
6.3	113	Does your organization consider the allocation or reallocation of responsibilities and authorities during the change process?						