

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 and ISO 14001:2015, and your EQMS against actual business practice.

# EQMS Audit Checklist

Part 3: Planning

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### 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 EQMS, has your organization considered the scope of our EQMS 4.3 and 4.4?						
6.1.1	63	When planning for the EQMS, 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 EQMS, 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 EQMS can <b>achieve its intended results?</b>						
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 EQMS can <b>enhance desirable effects;</b>						

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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	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 EQMS can <b>prevent, or reduce, undesired effects</b> ?						
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 EQMS can <b>achieve improvement</b> ?						
6.1.1	69	When considering questions 61 to 68, does the output provide assurance that the EQMS 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 to affect our organization?						
6.1.1	71	When considering questions 61 to 68, does the output help to achieve continual improvement?						
6.1.1	72	Does the scope of the EQMS demonstrate how your organization has determined potential emergency situations, including those which might have an environmental impact?						

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			Compliant	OFI	Minor N/C	Major N/C		
6.1.1	73	Has your organization maintained documented information of its risk and opportunities that must be addressed?						
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 the actions into its EQMS processes (see 4.4)?						
6.1.2	77	When planning for the scope of the EQMS, 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, has your organization taken into account potential abnormal conditions and reasonably foreseeable emergency situations?						

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6.1.2	80	Has your organization determined those aspects that may/pose a significant environmental impact by using established assessment criteria?						
6.1.2	81	Has your organization communicated those aspects that may/pose a significant environmental impact 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?						
6.1.2	83	Does your organization maintain documented information regarding the criteria used to determine its significant environmental aspects?						
6.1.2	84	Does your organization maintain documented information regarding its significant environmental aspects?						
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?						
6.1.3	87	Has your organization determined how these compliance obligations apply to your organization?						

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			Compliant	OFI	Minor N/C	Major N/C		
6.1.3	88	Does your organization take its compliance obligations into account when establishing, implementing, maintaining and improving its EQMS?						
6.1.4	89	Does your organization plan to take actions to address its significant environmental aspects?						
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 EQMS 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 EQMS?						
6.2.1	95	Are your organization's environmental objectives consistent with the environmental policy (See 5.2)?						
6.2.1	96	Are your organization's environmental objectives measureable, where practicable?						
6.2.1	97	Are your organization's environmental objectives monitored (See 9.1)?						
6.2.1	98	Are your organization's environmental objectives communicated (See 7.4.1)?						

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6.2.1	99	Are your organization's environmental objectives reviewed and updated as appropriate?						
6.2.1	100	Are your organization's environmental objectives maintained as documented information (See 7.5)?						
6.2.1	101	Are your organization's environmental objectives consistent with the environmental policy (See 5.2)?						
6.2.2	102	When planning how to achieve its environmental objectives, has your organization determined what will be done?						
6.2.2	103	When planning how to achieve its environmental 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?						