

ISO 14001:2015 Upgrade Planner and Checklist

Instructions:

1. Highlighted areas are to be completed by the Organization prior to the off-site review, or on-site Gap Analysis or Upgrade Audit, and submitted to the Lead Auditor for review.
2. The **Annex A - ISO 14001: 2015 vs. ISO 14001: 2004 Comparison Table** has been provided at the end of this document for information and reference purposes only.
3. Completion by the Organization should include the final statement of readiness for Upgrade by the Top Management of the Organization.
4. The columns for "Planned Completion Date" and Responsibility" may be used by Organization to develop their plan for upgrading their EMS to the requirements of ISO 14001: 2015.
5. All other areas of the Checklist are required to be completed by the Lead Auditor to confirm the effective implementation of the Organization's ISO 14001: 2015 Environmental Management System.
6. The Lead Auditor shall sign the appropriate sections at the end of the Checklist to indicate: whether the Organization is Ready/Not Ready for Upgrade Audit (Off-site review), **AND** the final approval of the EMS in meeting the requirements of ISO 14001: 2015 (during the on-site Upgrade Audit)
7. This checklist shall be submitted by the Lead Auditor as one of the records of the ISO 14001: 2015 Upgrade for the Organization.

Organization Name:	
Organization Address:	
Number of Personnel:	1st Shift: 2nd Shift: 3rd Shift: Temp./Part-time :
Other locations included in this registration:	
Size of Facility:	
Management Representative:	
Name and Revision Status of EMS documentation:	
Risk Category:	
FRS Number:	
Audit type:	
Off-site Review Date (Desk Audit):	
Audit Dates (on-site):	
Lead Auditor / Audit Team:	
Scope of Registration:	
Environmental Aspects:	
The interval between the client Delta Review and the Upgrade Audit should not exceed 90 days.	

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<u>Question / Requirement</u>	Level of Completion 0=Not Started 10=Complete	Planned Completion Date	Responsibility	Reference Document (Name / Rev. Level) OR Records	<u>Lead Auditor Review Comments</u>
4. CONTEXT OF ORGANIZATION					
Evidence of determination of Understanding the Organization and its CONTEXT (4.1)					
Evidence of determination of INTERESTED PARTIES and their requirements (4.2)					
Evidence of review and verification for SCOPE of environmental management system (4.3)					
Evidence demonstrating environmental management system reflects requirements (4.4)					
5. LEADERSHIP					
Evidence of Leadership and Commitment of TOP MANAGEMENT (5.1)					
Evidence Environmental POLICY has been reviewed and is consistent with intent of ISO14001:2015 (5.2)					
Evidence that organizational ROLES, RESPONSIBILITIES & AUTHORITIES have been appropriately assigned, resourced and communicated. (5.3)					
6. PLANNING					
6.1 ACTIONS TO ADDRESS RISK & OPPORTUNITIES					
Evidence that RISKS AND OPPORTUNITIES related to environmental aspects, compliance obligations and other issues have been identified and addressed. (6.1.1)					
Evidence that ENVIRONMENTAL ASPECTS of organizations activities, products and services that it has control over and it can influence along with environmental impacts have been determined (6.1.2)					
A LIFE CYCLE perspective of the environmental aspects has been considered (6.1.2)					
Established CRITERIA is documented and utilized to determine significant environmental aspects (6.1.2)					

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SIGNIFICANT environmental aspects have been COMMUNICATED among the various levels and functions of the organization (6.1.2)					
Evidence that COMPLIANCE OBLIGATIONS relating to environmental aspects meet requirements of ISO 14001:2015 (6.1.3)					
Evidence that the organizations planning takes into consideration actions to address: significant environmental aspects; compliance obligations; risks and opportunities (6.1.4.a)					
Evidence that the organization's planning process has the EMS integrated and implemented with other business processes (6.1.4.b)					
Evidence that ENVIRONMENTAL OBJECTIVES have been established that are consistent with the environmental policy, are MEASURABLE, MONITORED, COMMUNICATED & UPDATED as appropriate (6.2.1)					
Evidence of planning actions to achieve ENVIRONMENTAL OBJECTIVES, including: WHAT will be done; what RESOURCES will be required; WHO will be responsible; WHEN it will be completed; HOW results will be evaluated, including indicators for monitoring progress (6.2.2)					
Evidence that the organization has INTEGRATED its environmental objective into the organizations business processes. (6.2.2)					
7 SUPPORT					
Evidence that the organization has determined and provided RESOURCES needed for the establishment, implementation, maintenance and continual improvement of EMS (7.1)					
Evidence organization has a process in place to determine necessary COMPETENCE, necessary training and					

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documented information to support competence supporting requirements of ISO 14001:2015. (7.2)					
Documented information supporting AWARENESS of persons working under the organizations control of environmental policy; significant environmental aspects; their contribution toward an effective EMS; understanding the benefits of enhanced environmental performance and implications of not conforming with EMS and fulfilling compliance obligations (7.3)					
Evidence that process for INTERNAL & EXTERNAL COMMUNICATIONS has been established consistent with ISO 14001:2015 (7.4)					
Evidence that DOCUMENTED INFORMATION is consistent with ISO 14001:2015 (7.5)					
8 OPERATION					
Evidence that organization has established processes needed to meet EMS in operating process criteria and control of operating processes (8.1)					
Evidence organization has environmental requirements and impacts associated with established operational control for planned changes and outsources processes considering each life cycle stage of products, services and activities (8.1)					
Controls have been established to ensure Environmental requirements established for design, development processes for products, service, procurement of products and services (8.1. a & b)					
Communicated to external providers and contractors relevant environmental requirements? (8.1.c)					
Considered need to provide information about potential significant environmental impacts associated with transportation, delivery, use, end of life treatment and final disposal of it products and services (8.1.d)					

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Evidence organization has emergency preparedness and response plans in place per ISO 14001:2015, (8.2)					
9 PERFORMANCE EVALUATION					
Evidence that organization is MONITORING, MEASURING, ANALYZING AND EVALUATING environmental performance (9.1)					
Evidence that organization has an effective process for evaluation of compliance obligations fulfillment (9.1.2)					
Internal Audit Results (9.2) (using process-approach) - Full internal Audit to ISO 14001: 2015 -inputs, outputs, performance to targets, process linkages / interactions.					
Internal Audit Corrective Actions (9.2.2 e) completed. (including evidence of closure)					
Records of Management Review (9.3) Completed to ISO 14001: 2015 requirements after completion of the Internal Audit.					
10 IMPROVEMENT					
Evidence of an effective process for taking action to correct nonconformity and the consequences of adverse environmental impacts (10.2)					
Evidence of effective continuous improvement of EMS to enhance environmental performance (10.2)					
Other Organization-specific information about the EMS (as determined by the Client Organization) Note: This section is optional, and may be completed if there are unique aspects of the EMS that the Client deems important in demonstrating compliance to the ISO 14001: 2015 Standard.					

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Approval	Name / Title	Signature	Date
Organization Top Management attests readiness for Upgrade to ISO 14001: 2015			
Lead Auditor Approval of Desk Audit information.			
Lead Auditor Approval of Compliance to ISO 14001: 2015 at On-site Upgrade Audit .			