

ISO 14001:2015 CLIENT TRANSITION CHECKLIST



Instructions for Client: Please complete this checklist prior to your organization's transition audit and forward it to your Client Manager and Lead Assessor. Complete one full internal audit against the requirements of ISO 14001:2015. Please ensure that this completed checklist and internal audit records are available to the assessor at the beginning of your transition audit activity.

If you are not able to complete this document, it is a strong indicator that your organization may not be ready to complete the transition to ISO 14001:2015. In this case please inform the office that you need additional time to prepare for the transition and they will work with you to select a mutually agreeable date to complete the transition.

New Concepts & Themes: Please complete the table below which highlights some of the new concepts/themes set out in ISO 14001:2015. These concepts/themes will bridge multiple processes, clauses and functional areas.



Significant New Requirements

Concept/ Theme	Phase	New Requirement	Clause	Activity	Evidence to Support Conformance
Strategic environmental planning, business process integration and intended outcomes	Plan	Understanding the organization and its context	4.1	Has the organization determined internal and external issues relevant to its purpose; including environmental conditions affected by or capable of affecting the organization?	
	Plan	Understanding the needs and expectations of interested parties	4.2	Has the organization determined which interested parties are relevant to the EMS; including the relevant needs and expectations of these parties it will adopt as compliance obligations?	
	Plan Do Check	Leadership commitment	5.1 5.2 6.1.1 6.1.4 6.2.2 9.3	Is the strategic direction and context of the organization being utilized as an input to the Environmental Policy / Objectives / Addressing Risks and Opportunities/Planning and Management Review processes?	
	Act	Improvement -General; continual improvement	4.1 6.2.1 10.1 10.3	Are actions to achieve environmental objectives and intended outcomes incorporated into business processes, and being updated as necessary in response to changes?	

Significant New Requirements

Concept/Theme	Phase	New Requirement	Clause	Activity	Evidence to Support Conformance
Strategic environmental planning, business process integration and intended outcomes	Plan Do Check	Understanding the organization and its context	6.1.1 6.1.4 9.3 6.1.1 6.1.4 9.3	When establishing the EMS and managing change, have risks to achieving intended outcomes been identified? Has the org planned actions to address its risks and opportunities?	
	Plan Do	Understanding the needs and expectations of interested parties	6.1.1 8.1	Has the organization established necessary controls needed to meet identified EMS requirements (8.1), implemented actions to address risks (6.1.1), while considering the life cycle perspective?	
	Act	Leadership commitment	10.1 10.3	Following analysis and corrective action is there evidence that process risks have been updated?	
Strategic environmental planning, business process integration and intended outcomes	Plan Do	Environmental policy; Aspect determination; Operational planning and control	5.2 6.1.2 8.1	Does the policy include a commitment to the protection of the environment and is it available to interested parties? Is the organization considering a life cycle perspective when determining the aspects and the associated operational controls for its activities, products, and services (including those outsourced), which it can control or influence?	

Significant Clause Changes

Description	2014	2015	Description of Change	Evidence
General Requirements & Scope	4.1	4.3, 4.4	The Scope has been assigned its own clause with specific requirements, including being available to interested parties. The environmental Management system shall consider knowledge gained in 4.1 & 4.2 when being established and maintained.	
Environmental Policy	4.2	5.2	Does the policy support the strategic direction of the organization? Does it commit to the protection of the environment? Is it available to interested parties?	
Legal and other requirements	4.3.2	6.1.3	Gives equal weighting to voluntary and mandatory compliance obligations.	
Objectives, Targets and programs	4.4.3	6.2.2	The organization shall consider how actions to achieve environmental objectives can be integrated into the organizations business processes and consider risks and opportunities.	
Communication	4.4.3	7.4.1, 7.4.2, 7.4.3	Has the organization established a communication process according to the requirements of 7.4?	
Operational Planning and control	4.4.6	8.1	Have controls or influence been applied to outsourced processes as defined within the EMS? A.8.1 defines an outsourced process. Have controls been established which consider each stage of a product or service life cycle? Does the EMS include controls for planned changes & mitigate adverse effects of unintended changes?	
Monitoring, measurement, analysis and evaluation	4.5.1, 4.5.2	9.1	Does retained documentation include evidence of analysis and evaluation of its environmental performance, as applicable?	

Minimum Documentation Requirements

(Documented information is new term and is defined in 3.3.2)

Documentation requirements are defined in Section 7.5

Clause	Statement of Requirement	Evidence
4.3	The Scope shall be maintained as documented information and available to interested parties	
5.2	The environmental Policy shall be maintained as documented information	
6.1.1	The organization shall maintain documented information of its: 1. Risks and opportunities that need to be addressed 2. Processes needed in Section 6 to the extent necessary to have confidence they are carried out as planned	
6.1.2	The organization shall maintain documented information of its: 1. Environmental aspects and associated environmental impacts 2. Criteria used to determine its significant environmental aspects 3. Significant environmental aspects	
6.1.3	The organization shall maintain documented information of its compliance obligations	
6.2.1	The organization shall maintain documented information on the environmental objectives	
7.2	The organization shall retain appropriate documented information as evidence of competence	
7.4.1	The organization shall retain documented information as evidence of its communication as appropriate	
7.5.1	The organization's environmental management system shall include: a. Documented information required by this (14001:2015) international standard b. Documented information determined by the organization as being necessary for the effectiveness of the environmental management system	
8.1	The organization shall maintain documented information to the extent necessary to have confidence that the processes have been carried out as planned.	
8.2	The organization shall maintain documented information to the extent necessary to have confidence that the process(es) is (are) carried out as planned	
9.1.1	The organization shall retain appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results.	
9.1.2	The organization shall retain documented information as evidence of the compliance evaluation result(s)	
9.2.2	The organization shall retain documented information as evidence of the implementation of the audit program and the audit results	
9.3	The organization shall retain documented information as evidence of the results of management reviews	
10.2	The organization shall retain documented information as evidence of: 1. The nature of the non-conformities and any subsequent action taken 2. The results of any corrective action	

*Retain implies a required record



Contact us

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