

ISO 14001:2015(IS) –Transition checklist

General Information		
Company Name	:	
Project No.	:	
Standard	:	ISO 14001:2015(IS)
Review Done By	:	
Review Date	:	

The use of this checklist:

This transition checklist highlights the changes in the standard compared with the 2004-version and is not intended to cover all requirements of the new standard. It is intended to be a support for the auditor during the transition audit and shall also be kept as a formal record from the transition audit as evidence of verification. The checklist is based on the IS version. From the IS version to the published standard only editorial changes will be expected and allowed. Therefore it is allowed to do a transition audit based on IS. This document will be updated for the upcoming publication of the standard. The checklist is mandatory for use for a transition audit. However it is also intended for use as a support for other customer activities like GAP-analysis etc.

The checklist content is based on the documents “IS 14001:2015 and High Level Structure – explanation of changes” and “HLS and ISO 9001/IS) 14001 - Key changes and transition”, both available from the [MSC site](#) of the Service Portal.

Minimum documentation requirements:

As a support for the auditor/user the *Documentation Requirements* document shows the minimum documentation required by the new standard.

Changes			
Clause	Items reviewed	Result OK? (Yes/No)	Document / information reference
4.1 [Understanding of the organization and its context]	<p>Has the organization determined external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its environmental management system?</p> <p>Is information on changes in the context systematically presented in the Management Review?</p> <p>Have the issues been considered as inputs to determine scope and for determination of risks and opportunities?</p> <p><i>Additional guidance notes:</i> <i>Will this be a recurring, repeatable and transparent process?</i> <i>Is the information documented? (Note that documented information is not explicitly required, but may be beneficial to ensure an effective process</i> <i>Issues include environmental conditions capable of affecting or being affected by the organization.</i> <i>Evidence of proper determination could e.g. be in minutes of meetings, strategic analysis, SWOT analysis etc. depending on the complexity of the organization</i></p>	Yes/No	ref.
4.2 [Understanding the needs and expectations of interested parties]	<p>Has the organization determined the following:</p> <ul style="list-style-type: none"> - the interested parties that are relevant to the environmental management system; - the relevant needs and expectations (i.e. requirements) of these interested parties; - which of these needs and expectations become its compliance obligations. <p>Have both internal and external parties been considered?</p>	Yes/No	ref.

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	<p>Is information on changes in the context systematically presented in the Management Review?</p> <p>Have they been considered as inputs for scope definition and for determination of risks and opportunities?</p> <p><i>Additional guidance notes: What is the process and how is the info effectively collected, presented and used within the organization? Will this be a recurring, repeatable and transparent process? Is the information documented? Evidence of proper determination and review may e.g. documented in a table listing various stakeholders and corresponding needs and expectations (requirements). Note that documented information is not explicitly required, but may be beneficial to ensure an effective process.</i></p>		
4.3 [Determining the scope of the environmental management system]	<p>Is the scope documented and available to interested parties? Are all activities, products and services within the scope included (i.e. no exclusions)?</p>	Yes/No	<i>ref.</i>
5.1 [Leadership and commitment]	<p>How does top management demonstrate leadership and commitment with respect to the environmental management system?</p> <p>Do they take an active and leading role and understand their duties in relation to the EMS and are participating in promoting and supporting effective environmental management?</p> <p>Refer list in 5.1 and note especially:</p> <ul style="list-style-type: none"> • Taking accountability of 	Yes/No	<i>ref.</i>

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	<p>the effectiveness of the EMS</p> <ul style="list-style-type: none"> • Connection to strategic direction • Integration of requirements into the organization’s business processes. <p>(Guidance notes: Evidence of leadership can be shown e.g. through verification of:</p> <ul style="list-style-type: none"> • Strategy documents, policies, business plans/objectives, including deployment and progress reporting,(i.e. clear direction) • Involvement in objective setting, performance evaluation and follow-up • Records of meetings, action lists, and various means of repeated communications (e.g. e-mails, meetings with all employees), • Clearly defined and understood responsibilities and authorities • Broad and active involvement from top management in management reviews and other management forums where EMS is on the agenda (inspiring/motivating activities) 		
5.2 [Environmental policy]	<p>Is the environmental policy compatible with strategic direction and the context of the organization? (refer 5.1 b)</p> <p>Does it include (a) commitment(s) to the protection of the environment, including prevention of pollution and other specific commitments relevant to the context of the organization?</p>	Yes/No	<i>ref.</i>
6.1.1 (Actions to address risks and	<p>Has the “high level” risks and opportunities that needs to be addressed been determined and</p>	Yes/No	<i>ref.</i>

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opportunities – General)	<p>documented?</p> <p>Does the process also include focus on opportunities?</p> <p>Is sufficient documentation available to give confidence that the process has been carried out?</p> <p>Are potential emergency situations identified and documented?</p>		
6.1.2 [Environmental aspects]	<p>When identifying the environmental aspects and associated environmental impacts:</p> <ul style="list-style-type: none"> • Does the organization consider a life cycle perspective? Has the organization sufficiently understood this “broader view” perspective and can they show evidence of its application? • Are abnormal conditions and foreseeable emergency situations considered? • Do they also consider “Opportunities”? <p>Is the criteria used to determine its significant aspects documented?</p>	Yes/No	<i>ref.</i>
6.2.1 [Environmental objectives]	<p>Does the organization establish environmental objectives at relevant functions and levels?</p> <p>Do the objectives take into account the organization’s significant environmental aspects, environmental objectives, its compliance obligations and other</p>	Yes/No	<i>ref.</i>

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	<p>risks and opportunities?</p> <p>Are the objectives compatible with the strategic direction and the context of the organization? (refer 5.1 b))</p> <p>Are the environmental objectives (new items <u>underlined</u>):</p> <ul style="list-style-type: none"> a) consistent with the environmental policy b) measurable (if practicable); c) <u>monitored</u>; d) <u>communicated</u>; e) <u>updated as appropriate</u>. <p>Are documentation maintained on the objectives?</p>		
6.2.2 [Planning actions to achieve environmental objectives]	<p>To achieve its environmental objectives, has the organization determined (new items <u>underlined</u>):</p> <ul style="list-style-type: none"> - what will be done; - what resources will be required; - who will be responsible; - when it will be completed; - <u>how the results will be evaluated, including indicators for monitoring progress toward achievement of its measurable environmental objectives</u> (see 9.1.1). <p>Can they demonstrate the whole cycle of objectives setting according to the above?</p>	Yes/No	<i>ref.</i>
7.4.1 [Communication - General]	<p>Has the organization established, implemented process(es) for internal and external communications relevant to the EMS?</p> <p>Are the following determined?</p> <ul style="list-style-type: none"> - what it will communicate; - when to communicate; 	Yes/No	<i>ref.</i>

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	<ul style="list-style-type: none"> - with whom to communicate; - how to communicate. <p>When planning its communications process, does the organization:</p> <ul style="list-style-type: none"> - take into account its compliance obligations; - ensure that environmental information communicated is consistent with information generated within the environmental management system, and is reliable. 		
7.4.2 [Internal communication]	Does the communication process enable employees or externals to contribute to continual improvement?	Yes/No	<i>ref.</i>
7.4.3 [External communication]	Does the organization communicate externally information relevant to EMS, as established by its communication process and as required by its compliance obligations?	Yes/No	<i>ref.</i>
8.1 [Operational planning and control]	<p>Does the organization plan, implement and control the processes needed to meet EMS requirements and to implement the actions determined in 6.1 and 6.2?</p> <p>Does the organization control planned changes and review the consequences of unintended changes, and take action to mitigate any adverse effects, as necessary?</p> <p>Does the organization ensure that outsourced processes are controlled or influenced? How are they controlled?</p> <p>Consistent with a life cycle perspective, the organization shall:</p> <ul style="list-style-type: none"> a) establish controls, as appropriate, to ensure that its environmental 	Yes/No	<i>ref.</i>

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	<p>requirements are addressed in the design and development process for the product or service, considering each stage of the life cycle;</p> <p>b) determine its environmental requirements for the procurement of products and services, as appropriate;</p> <p>c) communicate relevant environmental requirement(s) to external providers, including contractors;</p> <p>d) consider the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services.</p> <p>Is a) – d) above fulfilled?</p> <p>Is relevant documented information maintained to the extent necessary to give confidence that the processes have been carried out as planned?</p>		
8.2 [Emergency preparedness and response]	<p>Does the organization:</p> <ul style="list-style-type: none"> • Have a process for how to prepare and respond to emergency situations? • Plan actions to prevent/mitigate impacts from emergency situations?. • Provide relevant info regarding emergency preparedness and response to relevant interested parties? • Maintain documentation to give confidence that processes are carried out as planned? 	Yes/No	<i>ref.</i>
9.1.1 [General (Monitoring,	<p>Are the following determined?</p> <ul style="list-style-type: none"> - what needs to be monitored and measured 	Yes/No	<i>ref.</i>

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measurement, analysis and evaluation)]	<ul style="list-style-type: none"> - the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results; - the criteria against which the organization will evaluate its environmental performance, and appropriate indicators; - when the monitoring and measuring shall be performed; - when the results from monitoring and measurement shall be analysed and evaluated. <p>Does the organization communicate information relevant to its environmental performance both internally and externally, as determined by its communication process and as required by its compliance obligations.</p> <p>Does the organization evaluate environmental performance and effectiveness of the EMS?</p> <p>Does the organization retain appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results?</p>		
9.3 [Management review]	<p>Is the management review planned and implemented considering the following (new items <u>underlined</u>):</p> <ul style="list-style-type: none"> a) the status of actions from previous management reviews; b) changes in: <ul style="list-style-type: none"> - <u>external and internal issues</u> that are relevant to the environmental management system; - <u>the needs and expectations of interested parties</u>, including compliance obligations; - its significant environmental aspects and risk and opportunities; c) the extent to which objectives have been 	Yes/No	<i>ref.</i>

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	<p>achieved;</p> <p>d) information on the organization's environmental performance, including trends in:</p> <ul style="list-style-type: none"> - nonconformities and corrective actions; - monitoring and measurement results; - fulfilment of its compliance obligations; - audit results; <p>e) <u>adequacy of resources</u></p> <p>f) relevant communication(s) from external interested parties, including complaints;</p> <p>g) opportunities for continual improvement;</p> <p>Does the output include conclusion related to continued suitability, adequacy and effectiveness of EMS?</p>		