

SEPT Evidence Product Checklist
For Standard ISO 14001:2015
Environmental Management Systems - Requirements



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SEPT Product 100

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Change Page History

Date	Change	Reason
12-Mar-2021	First Version	Original checklist for the 2015 version of ISO 14001.

Sample

Evidence Product Checklist for ISO 14001:2015 – Environmental management systems - Requirements with guidance for use Section 1 - Introduction

Sections of the Checklist

This checklist is composed of 9 sections:

- Section 1. Introduction;
- Section 2. Composites of all required and suggested ISO 14001:2015 artifacts;
- Sections 3-8. Individual checklists for each type of artifact (policies, procedures, plans, records, documents, audits and reviews); and
- Section 9. About the author

SEPT Checklist

For 25 + years Software Engineering Process Technology (SEPT) has produced checklists for international standards. They have been produced for Medical Devices, Quality, Security and Software processes. Organizations buy and use these checklists for:

1. Performing a gap analysis-“Standard requirement” versus “what the organization does”;
2. Ensuring that all the artifacts that are cited in the standard are addressed;
3. Providing the traceability by artifact from the standard to a process step;
4. Demonstrating that the organization was following an international standard in case of litigation;
5. Reducing cost by purchasing a checklist instead of developing one internally; and
6. Providing insurance that they have a checklist that is compiled by a company experienced in deciphering international standards and verified by domain experts.

Overview of ISO 14001:2015 - Environmental Management: Requirements- The Standard

ISO 14001:2015 specifies the requirements for an environmental management system that an organization can use to enhance its environmental performance. ISO 14001:2015 is intended for use by an organization seeking to manage its environmental responsibilities in a systematic manner that contributes to the environmental pillar of sustainability. ISO 14001:2015 helps an organization achieve the intended outcomes of its environmental management system, which provide value for the environment, the organization itself and interested parties. Consistent with the organization's

environmental policy, the intended outcomes of an environmental management system include:

- + enhancement of environmental performance;
- + fulfillment of compliance obligations; and
- + achievement of environmental objectives.

ISO 14001:2015 is applicable to any organization, regardless of size, type and nature, and applies to the environmental aspects of its activities, products and services that the organization determines it can either control or influence considering a life cycle perspective. ISO 14001:2015 does not state specific environmental performance criteria.

ISO 14001:2015 can be used in whole or in part to systematically improve environmental management. Claims of conformity to ISO 14001:2015, however, are not acceptable unless all its requirements are incorporated into an organization's environmental management system and fulfilled without exclusion.

The framework introduced in this International Standard can be integrated into a Plan-Do-Check-Act (PDCA) Model, which can help new and existing users to understand the importance of a systems approach.

ISO 14001:2015 Requirements and Changes

1. The Meaning of “Documented Information” in ISO 14001:2015

References to requirements for documents and records that were in the 2008 version of ISO 14001 have been replaced by the term “documented information”, which has to be “maintained” in the case of documents and “retained” in the case of records. The impact of this is that there is a greater focus on documents and records and less emphasis on written procedures.

Where ISO 14001:2015 refers to “information” rather than “documented information” (e.g., in 4.1: “The organization shall monitor and review the information about these external and internal issues”), there is no requirement that this information is to be documented. In such situations, the organization can decide whether it is necessary or appropriate to maintain documented information.

2. Environmental management manual and procedures

There is now **No** requirement for an Environmental Manual – or documented procedures.

If you already have these, they can be retained or dropped (if the perceived value is less than their worth).

In many instances the easiest way to demonstrate your organization meets a requirement is by documents or records.

3. Risk based thinking

In the 2008 version of ISO 9001 and ISO 14001 the terms “corrective and preventive action” were used.

Preventive action is replaced by **Risk based thinking** (assessment) allowing judgement in defining actions that are of benefit to the business. This appears as Risks and Opportunities in various places in the standard. However, “Corrective action” is still needed.

4. Management commitment and review

No Environmental Representative is specifically required now.

ISO 14001:2015 still requires Top management commitment and environmental management to be related to business strategy and conformance to environmental requirements (laws). Management Review has been retained.

Relationship to other key Standards

ISO 14001:2015 is harmonized with ISO 9001:2015 requirements, both incorporating the common requirements of ISO management systems standards.

SEPT Checklist for ISO 14001:2015

Introduction

This is a checklist for standard ISO 1400:2015. The purpose of the checklist is to define clearly all the artifacts (policies, procedures, plans, records, documents, audits or reviews) that the underlying standard calls out. Furthermore, what constitutes physical evidence (Artifacts) to meet the guidance outlined in ISO 14001 is sometimes difficult to identify. To bridge this gap the author and SEPT experts have identified items of physical evidence called out in the standard based on their knowledge of the document and their experience in the standards field. Each item of physical evidence that was identified by these experts is listed in the checklist as an artifact (policies, procedures, plans, records, documents, audits or reviews).

The Author has carefully reviewed the document “ISO Standard 14001:2015 Environmental Management – Requirements” and defined the physical evidence required based upon this classification scheme. SEPT has conducted a second review of the complete list to ensure that the documents’ producers did not leave out a physical piece of evidence that a “reasonable person” would expect to find. It could certainly be argued that if the document did not call it out then it is not required; however, if the standard was used by an organization to improve its process, then it would make sense to recognize missing documents. Therefore, there are documents specified in this checklist that are implied by the standard, though not specifically called out in the standard.

General Principles

This checklist was prepared by analyzing each clause of this document for the key words that signify a:

- Policy
- Procedure
- Plan
- Records
- Document (Including Manuals, Reports, and Specifications)

- Audit
- Review

This checklist specifies evidence that is unique. After reviewing the completed document, the second review was conducted from a common sense “reasonable person” approach. If a document or other piece of evidence appeared to be required, but was not called out in the document, then it is added with an asterisk (*) after its notation in the checklist. The information was transferred into checklist tables, based on the type of product or evidence. Required items are denoted by an underline to aid use of the checklist.

Artifact Titles

Within the checklist the word Organization has been included for the title of many artifacts, where the standard does not specifically state “EMS”. In most organizations, within the title of an artifact the word Organization or EMS would be omitted, but for the most part the artifact would be included in the EMS. SEPT have used wording from ISO 14001 to define the title of an artifact. This has resulted in many long artifact titles. When combining related artifacts into a single artifact, it may be possible to shorten a title. For example, the "EMS Audit Conduct Procedure could be part of "EMS Audit Criteria and Scope Definition Procedure”. A shortened title may be used for this such as “Audit Procedure” in line with the suggestion above.

Artifact Occurrence

If a document is called out more than one time, only the first reference is stipulated. There are occasional situations in which a procedure or document is not necessarily separate and could be contained within another document, depending upon the size and complexity of the project or business requirements.

Artifact Review

There must be an accompanying record of some type when a review has been accomplished. This record would define the findings of the review and any corrective action to be taken. For the sake of brevity this checklist does not call out a separate record for each review. All procedures should be reviewed but the checklist does not call out a review for each procedure, unless the standard calls out the procedure to be reviewed.

Terminology in ISO 14001:2015 and its Interpretation in this Checklist

ISO 14001 word	Interpretation in this Checklist (R = Required, S = Suggested)
Achieve	Procedure as S
Address	Document or Procedure as S
Apply	Plan or Record as S
Assign	Procedure as S
Audit	Audit as R

Communicating	Procedure as a S
Consider	Review as S
Continually Improve/ Improve	Procedure as S
Control	Procedure as S
Demonstrate	Record as R – could also include a Review as S or Procedure as S
Determine	Procedure as S or sometimes a plan as well as S
Ensure	Procedure as S
Establish	Document as S
Evaluate	Review as S
Implement	Procedure as S
Maintain	Document as S
Maintain Documented Information	Document as R
Monitor	Procedure as S
Plan	Plan as R
Policy	Policy as R
Process	Procedure as S
Promoting	Procedure as S
Provide	Procedure as S
Retain	Record as R
Retain Documented Information	Record as R
Review	Review as R
Support(ing)	Procedure as S

Using the SEPT Checklist

When a company is planning to use "ISO 14001:2015 Environmental Management Systems – Requirements" standard, the company should review the evidence checklist. If the company's present process does not address an ISO 14001:2015 standard item, then this question should be asked: Is the evidence item required for the type of business of the company? If in the view of the company the evidence is not required, the rationale should be documented and inserted in the checklist and Environmental manual. This rationale should pass "*the reasonable person rule.*" If the evidence is required, plans should be prepared to address the missing item(s).

There are artifacts specified in this checklist that are implied by the standard, though not specifically called out in the standard, and they are designated by an asterisk (*) throughout this checklist.

The Author has called out these individual items separately to ensure that the organization does not overlook any facet of physical evidence. If the organization does not require a separate document, and an item can be a subset of another document or record, then this fact should be denoted in the detail section of the checklist for that item. This should be done in the form of a statement reflecting that the information for this

document may be found in section XX of Document XYZ. If the organizational requirements do not call for this physical evidence for a particular project, this should also be denoted with a statement reflecting that this physical evidence is not required and why. The reasons for the evidence not being required should be clearly presented in this statement. Further details on this step are provided in the Detail Steps section of the introduction. The size of these documents could vary from paragraphs to volumes.

In total, there are 246 artifacts included in the SEPT ISO 14001 checklist.

Artifact Type	Total
Procedures/ Policies	115
Plans	25
Records	28
Documents	14
Audits	2
Reviews	62
Total	246

Detail Steps

An organization should compare the proposed output of their organization against the checklist. In doing this, they will find one of five conditions that exist for each item listed in the checklist. The following five conditions and the actions required by these conditions are listed in the table below.

Condition	Action Required
1. The title of the documented evidence specified by the checklist (document, plan, etc.) <i>agrees</i> with the title of the evidence being planned by the organization.	Record in checklist that the organization is compliant.
2. The title of the documented evidence specified by the checklist (document, etc.) <i>disagrees</i> with the title of the evidence planned by the organization but the content is the same.	Record in the checklist the evidence title the organization uses and record that the organization is compliant, and the evidence is the same although the title is different.

3. The title of the documented evidence specified by the checklist (document, etc.) is <i>combined</i> with another piece of evidence.	Record in the checklist the title of the evidence (document, etc.) in which this information is contained.
4. The title of the documented evidence specified by the checklist (document, etc.) <i>is not planned</i> by the organization because it is not required.	Record in the checklist that the evidence is not required and the rationale for this decision.
5. The title of the documented evidence called out by the checklist (document, etc.) <i>is not planned</i> by the organization and <i>should be</i> planned by it.	Record in the checklist when this evidence will be planned and reference a plan for accomplishing the task.

Product Support

All reasonable questions concerning this checklist, or its use, will be addressed free of charge for 60 days from time of purchase, up to a maximum of 4 hours consultation time.

Warranties and Liability

Software Engineering Process Technology (SEPT) makes no warranties implied or stated with respect to this checklist, and it is provided on an “*as is*” basis. SEPT will have no liability for any indirect, incidental, special or consequential damages or any loss of revenue or profits arising under, or with respect to the use of this document.

Section 2
ISO 14001:2015 Evidence Products Checklist by Clause

ISO 14001:2015 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4	Context of the organization					
4.1	Understanding the organization and its context	<ul style="list-style-type: none"> • Environmental Issues Affecting the Organization Determination Procedure* • External and Internal Issues Determination Procedure* 				

Sample

Section 2
ISO 14001:2015 Evidence Products Checklist by Clause

ISO 14001:2015 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.2	Understanding the needs and expectations of interested parties	<ul style="list-style-type: none"> • Environmental Management System (EMS) Interested Parties Determination Procedure* • EMS Interested Parties Requirements (Needs and Expectations) Determination Procedure* • EMS Compliance Obligations Requirements Procedure* 				

Section 2
ISO 14001:2015 Evidence Products Checklist by Clause

ISO 14001:2015 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.3	Determining the scope of the Environmental management system	<ul style="list-style-type: none"> • EMS Scope Document Procedure* • Organizational Unit, Functions and Physical Boundaries Determination Procedure* • Organization's Activities, Products and Services Determination Procedure* • Organization's Authorities, Control and Influence Determination Procedure* 			<ul style="list-style-type: none"> • EMS Scope Document* 	<ul style="list-style-type: none"> • EMS Scope Document Review*