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Audit Checklist – Part 1

Section 4.0 Context of the Organization

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		
4.1	1	Has your organization determined external and internal issues relevant to its purpose that could affect its ability to achieve the intended result(s) of its EMS?						
4.1	2	Does your organization monitor and review external and internal environmental conditions which could affect the organization, and which the organization could affect?						
4.2	3	Does the organisation determine the interested parties that are relevant to the EMS?						
4.2	4	Does the organisation determine the requirements of these interested parties that are relevant to the EMS, which may include regulatory requirements, local, regional or global environmental conditions that can affect, or be affected by, your organization?						
4.2	5	Does your organization determine which of those requirements are to be managed as compliance obligations in order to mitigate adverse risk or exploit beneficial opportunities that can be integrated in the operational planning of the EMS?						

Audit Findings Summary

Manually transfer the audit findings from the audit checklist above into the audit findings summary table below. At the end of the audit, you should transfer any **adverse** findings into the EMS Action Tracker to create charts, summary tables and trend data to paste into your audit report.

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
1				
2				
3				

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
4				
5				
6				

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
7				
8				
9				

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
10				
11				
12				

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
13				
14				