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| The ISO 14001 standard has many requirements and they are indicated in the standard by the use of “shall”. This document summarizes those requirements as noted in each section of the standard along with the sections that require documented information. | | | |
| **Clause** | **Element of the Standard** | **“Shall” Statements** | **Required Documented Information** |
| 4.1 | Understanding the context of the organization | 2 | None |
| 4.2 | Understanding the needs and expectations of interested parties | 1 | None |
| 4.3 | Determining the scope of the EMS | 3 | Scope |
| 4.4 | EMS | 2 | None |
| 5.1 | Leadership and Commitment | 1 | None |
| 5.2 | Environmental Policy | 2 | Policy |
| 5.3 | Organizational roles, responsibilities, and authorities | 2 | None |
| 6.1.1 | General | 4 | Risks and opportunities and planning processes |
| 6.1.2 | Environmental aspects | 5 | Aspects/impacts, significance criteria, and significant aspects |
| 6.1.3 | Compliance obligations | 2 | Compliance obligations |
| 6.1.4 | Planning action | 2 | None |
| 6.2.1 | Environmental objectives | 3 | Environmental objectives |
| 6.2.2 | Planning actions to achieve environmental objectives | 2 | None |
| 7.1 | Resources | 1 | None |
| 7.2 | Competence | 2 | **Evidence of Competence** |
| 7.3 | Awareness | 1 | None |
| 7.4.1 | Communication - general | 4 | **Evidence of communication** |
| 7.4.2 | Internal communication | 1 | None |
| 7.4.3 | External communication | 1 | None |
| 7.5.1 | Documented information - general | 1 | None |
| 7.5.2 | Creating and updating | 1 | None |
| 7.5.3 | Control of documented information | 3 | None |
| **Clause** | **Element of the Standard** | **“Shall” Statements** | **Required Documented Information** |
| 8.1 | Operational planning and control | 6 | Processes |
| 8.2 | Emergency preparedness and response | 3 | Processes |
| 9.1.1 | Performance evaluation - general | 8 | **Monitoring, measurement, evaluation and analysis results** |
| 9.1.2 | Evaluation of compliance | 3 | **Evaluation results** |
| 9.2.1 | Internal audit - general | 1 | None |
| 9.2.2 | Internal audit program | 4 | **Program implementation and audit results** |
| 9.3 | Management review | 4 | **Mgt. review and decisions/outcomes** |
| 10.1 | Improvement - general | 1 | None |
| 10.2 | Nonconformity and corrective actions | 3 | **Nonconformances, subsequent corrective actions, and their results** |
| 10.3 | Continual Improvement | 1 | None |
|  | **Total** | 80 | 15 |

**Bold text** indicates a record is required as part of EMS documentation – standard notes documented “…as evidence of…”