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Monogram Program™/ APIQR™

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October 3, 2016

TO: APIQR Registered Organizations
APIQR Applicants

RE: APIQR ISO 9001:2015 and ISO 14001:2015 TRANSITION PROCESS UPDATE NO. 4

As of September 1, 2016, APIQR started auditing to the requirements of ISO 9001:2015. Most of you may have started implementing the requirements of the new standard in preparation for your upcoming audit(s).

To assist your organization with the transition to ISO 9001:2015, API is pleased to provide copies of its audit report form templates for QMS audits (i.e., API Spec Q1/ISO 9001:2015 or API Spec Q2/ISO 9001:2015 audits). APIQR will use these forms to document the results of its audits. Please note that this is only a tool and your organization should not rely exclusively on these forms to determine conformity to the applicable requirements. APIQR cannot guarantee that these templates will ensure conformity to requirements and/or certification to the 2015 standard(s).

Additionally, we would like to reiterate the following guidelines for audits conducted to the 2015 editions of the standards:

1. Findings identified during API audits after September 1, 2016 will be raised as nonconformities.

2. If your organization has not fully implemented the applicable requirements of the 2015 edition(s) of the ISO standard(s), your organization may not be transitioned to the 2015 edition. However, your organization may be able to maintain its ISO 9001:2008 and/or ISO 14001:2004 certificate(s) registration provided your management system still conforms to these standards.

3. As with any audit, your organization will be required to respond to all the findings identified during your ISO 9001:2015 and/or ISO 14001:2015 audit. Your corrective actions will be verified either during the API audit review **or** during the next audit. When API has verified that your corrective actions meet all the applicable requirements, then your organization may be transitioned to the 2015 ISO standard(s) as applicable.

Please contact certification@api.org if you have additional questions or need further information.

Sincerely,

SHARON BOWIE
Manager of Operations, Monogram/APIQR

SB:cg

Audit Report

APIQR is providing a copy of its QMS audit report template to assist your organization in transitioning to ISO 9001:2015. You may use this tool to assist with the implementation of the requirements of both API Spec Q1, 9th edition and ISO 9001:2015. Your organization should not rely exclusively on this template when implementing the applicable requirements. APIQR cannot guarantee that this template will ensure your organization's conformity to the new standard.

Use of API Monogram, APIQR and ANAB Marks

Control of the Application of the API Monogram (API Spec Q1, Annex A.5)				
Requirements:	**Objective Evidence / Comments:**			**Finding #:**
Marking/monogramming procedure addresses all requirements of Annex A.5, including application and removal of the Monogram. Identify evidence of implementation, if applicable.				
API Monogram Marks sampled *(on products, letterhead, business cards or any other medium)*: ***Note:*** *The Monogram and License Number must be used together at all times. They cannot be used on test certificates, certificates of conformity, shipping documents, etc*.		**API Spec:**	**Verify each of the following:**	
				Product conforms to API-spec requirements
				Applied by licensee only
				Includes mark and license number
				Applied to product at licensed facility location

Verify conformance of the following requirements. ***Enter N/A if mark is not used.***	**Verified**	**Finding #:**
APIQR Marks are **only** on correspondence, advertising, and promotional materials that are related to the goods and services referenced in the scope of the Organization's registration.		
The APIQR / ANAB Mark **has not been** used on a product or in such a way as to suggest that APIQR / ANAB have certified or approved any product, process or service of the registered organization.		
The APIQR and ANAB Marks are used **in conjunction with** the organization's name, location and registration certificate numbers.		
The ANAB Mark is used **in conjunction with** the APIQR Mark.		
The APIQR and ANAB Marks **are** reproduced: 1. in black, its original colors or the predominant color of the letterhead or printing, 2. on a clearly contrasting background, and 3. In a size which makes the mark's features clearly distinguishable.		
If applicable - Upon written notification, the organization **immediately ceased and desisted** in the use of the APIQR/ANAB Marks and/or API Monogram: 1) upon suspension or cancellation, or 2) In any manner that is determined misleading by API / APIQR.		
Applicant organization – APIQR, ANAB Marks and/or API Monogram **have not** been identified in promotional materials or other company documentation.		
Additional comments:		

Quality Management System Requirements

API Spec Q1, Section 4 / ISO 9001:2015, Sections 4.1, 4.2, 5.2, 6.2		
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with QMS requirements. Detail any discrepancies / nonconformance identified.		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
QMS Scope:		
Organization has established, documented, implemented and maintained a QMS for **all servicing and products provided for use in the petroleum and natural gas industry.**		
The QMS scope considers all requirements, external and internal issues and requirements of the relevant interested parties.		
Quality Manual		
QM addresses the following requirements: • Scope of the QMS, including exclusions • Sequence and interaction of the processes • Processes that require validation • Reference to documented procedures that control the QMS		
QMS Processes		
Organization has determined: • Process inputs and outputs • Sequence and interaction of the processes • Criteria and methods for effective operation and control of processes (see 4.1.4, Planning)		
Organization and Context (ISO 9001, 4.1)		
Organization has determined: • internal and external issues relevant to purpose, strategic direction and affect QMS results		
Understanding Interested Parties (ISO 9001, 4.2)		
Organization has determined: • interested parties that are relevant to QMS • The requirements of those interested parties that are relevant to the QMS.		
Quality Policy		
Quality Policy - defined, documented and approved as required, communicated and meets all requirements identified in the applicable standard.		
Compatible and supports the organization's strategic vision. Available to relevant interested parties, as appropriate (ISO 9001, 5.2.2)		

Quality Objectives		
• Documented and updated, as appropriate • Approved by Top Management • Established and communicated at relevant functions and levels • Measurable and consistent with the Quality Policy • KPIs identified for use in Data Analysis • Took into account applicable requirements		
• Relevant to products, services, enhancement of customer satisfaction and the strategic vision of the organization (ISO 9001, 6.2.1)		
QMS Planning		
Management has ensured: • criteria and methods needed for the operation and control of the QMS are determined, managed and are effective • planning of the QMS is carried out to meet spec requirements		
Planning to Achieve Quality Objectives (ISO 9001, 6.2.2)		
Organization has considered external/internal issues, requirements of interested parties and identified risk and opportunities have been considered		
Organization has determined the activities, resources, responsibilities, completion dates and timeframes, and evaluation methods for achieving the quality objectives		

Communication Processes

API Spec Q1, Section 4.1.5 / ISO 9001:2015, Section 7.4		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
Internal and External Communications		
Process established for determining requirements for internal and external communications relating to the QMS.		
Internal Effectiveness of the QMS is communicated. Processes ensure that the importance of meeting requirements and analysis of data is communicated at relevant functions.		
External Appropriate communication with external organizations including customers to ensure that requirements are understood. Communication processes meet applicable		

requirements of the standard.		
Customer communication • Information related to products and services • Handling inquiries, contracts/orders and changes • Obtaining customer feedback including complaints • Specific requirements for contingency actions, when relevant.		

Management Responsibility / Leadership

API Spec Q1, Section 4.2, 4.3.1 / ISO 9001:2015, Section 5		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
Resources and Support		
Top management / Organization • Ensures availability of resources essential to the QMS. • Ensures that the required resources, including people, infrastructure and work environment are in place to achieve product / servicing conformity.		
• Ensures integration of the QMS requirements into the business processes • Ensures QMS achieves it intended results • Engages, directs and supports persons to contribute to the effectiveness of the QMS • Supports other management roles to demonstrate their leadership as it applies to areas of responsibility (ISO 9001, Section 5.1.1)		
Responsibility and Authority		
Responsibilities, authorities, and accountabilities are defined, documented, assigned within and communicated throughout the organization.		
Management Representative		
Management Representative has been appointed and maintained by Top Management. Verify the following: • Competence, training & awareness for appointment; • Applicable responsibility and authority granted and includes all requirements.		

Organizational Capability

API Spec Q1, Section 4.3 / ISO 9001:2015, Sections 7.1, 7.2, 7.3		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
Resources		
Organization: • Ensures that the required resources, including people, infrastructure and work environment are in place to achieve product / servicing conformity.		
• Considers capabilities of, and constraints on, existing internal resources (ISO 9001, 7.1.1)		
Personnel Competence		
Organization determines the necessary competence for personnel performing work affecting product quality.		
Training and Awareness		
Verify that the organization: • provides for QMS training and job training; • includes customer-specified and/or customer-provided training; • identifies the frequency and content of training; • ensure personnel are aware of the quality policy • ensure personnel are aware of the relevance and importance of their activities and how they contribute to the achievements of the quality objectives; and • Maintains appropriate records.		
Facility identifies training needs and ensures that personnel receive adequate training to address competency needs.		
Effectiveness of actions are evaluated and maintained (i.e., competence evaluation) to ensure requirements are met.		
Organizational Knowledge (ISO 9001, 7.1.6)		
Verify that the organization: • Determined the knowledge necessary for operation of processes to achieve product /servicing conformity • Knowledge maintained and available • Process in place for evaluating changes in relation to current knowledge and determine actions to obtain/upd1ate necessary knowledge		

Personnel Sampled for Competency, Awareness and Training

Name	Title	Competency Defined / Record Evidenced	Training Recorded	Finding#:

Work Environment		
Organization has determined, provided, and maintained the work environment, including buildings, workspace and utilities; process equipment; supporting services and proper conditions needed to achieve conformity applicable to the manufacture of the product(s).		

Documentation Requirements / Documented Information

API Spec Q1, Section 4.4 / ISO 9001:2015, Section 7.5

Procedures (required by API Spec Q1)

Verify that procedures required by the standard are established, documented, implemented, and maintained for continual suitability. (Please complete the Identification of QMS Procedures table and identify any nonconformities as applicable)

API Spec Q1 Clause	Requirement	Mark with "X" if available	Finding#	API Spec Q1 Clause	Requirement	Mark with "X" if available	Finding#
4.3.2.1	Competency and Training			5.7.4	Product Inspection/Test		
4.4.3	Control of Documents			5.7.5	Customer-supplied Property		
4.4.4	Use of External Documents			5.7.6	Preservation of Product		
4.5	Control of Records			5.7.7	Inspection & Testing		
5.1.1	Review of Requirements			5.7.8	Preventive Maintenance		
5.3	Risk Assessment & Management			5.8	Control of Testing, Measuring, & Monitoring Equipment		
5.4.1	Design & Development			5.9	Product Release		
5.5	Contingency Planning			5.10	Control of Nonconforming Product		
5.6	Purchasing			6.2.1	Customer Satisfaction		
5.6.3	Verification of Purchased Products or Activities			6.2.2	Internal Audit		
5.7.1.1	Control of Production			6.3	Analysis of Data		

5.7.1.2	Control of Servicing			6.4.2	Corrective Action		
5.7.1.5	Validation of Processes for Production and Servicing			6.4.3	Preventive Action		
5.7.3	Identification & Traceability			Annex A	Monogram Marking *(if applicable)*		

Control of Documents		
API Spec Q1, Section 4.4.3 / ISO 9001:2015, Section 7.5		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
Documents required by the QMS are controlled to ensure that relevant versions are used and maintained. Appropriate formats Information is adequately protected.		
External documents are controlled to ensure that relevant versions are used and maintained.		
Obsolete documents are identified / removed to ensure against unintended use.		
Use of External Documents in Product Realization		
External documents are integrated into the product realization process and other processes. Product and other specific requirements are integrated as required.		
For Monogram Licensees/Applicants, ensure that all applicable official API specifications and normative standards are available for personnel to use. API specifications must not be unauthorized reproductions or altered versions.		

Control of Records / Documented Information

API Spec Q1, Section 4.5 / ISO 9001:2015, Section 7.5		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
Procedure implemented, and maintained. Controls include processes and responsibilities for identification, collection, storage, protection, retention, retrieval and disposition.		
Documented information / records retained as evidence of conformity protected from unintended alterations (ISO 9001, 7.5.3.2)		
Records are established and controlled to provide evidence of conformity to requirements and the QMS, including records originating from outsourced activities.		

Records are maintained based on the required retention times as specified in the applicable standard, product spec, and / or the customer / QMS requirements.		

QMS Monitoring, Measurement, Analysis, and Improvement

API Spec Q1, Section 6.1 and 6.4.1 / ISO 9001:2015, Section 9.1.1 and 10.1		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
Monitoring, measurement, analysis, and improvement processes needed to ensure conformity to requirements are planned and implemented. Including what to monitor/measure, when to monitor/measure, when the monitor/measure results shall be evaluated. Determination of applicable monitoring / measuring methods and the extent of their use are included. Documented information retained as evidence of results of QMS performance and effectiveness evaluations.		

Process Evaluation		
API Spec Q1, Section 6.2.3 / ISO 9001:2015, Sections 5.3 and 9.1.1		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
Suitable methods are applied for monitoring/measuring QMS processes. Methods demonstrate the ability of the processes to achieve planned results.		
When planned results are not achieved, correction and corrective actions are taken.		

Customer Satisfaction		
API Spec Q1, Section 9.1.2 / ISO 9001, Section 9.1.2		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
Procedure meets all requirements of the applicable standard and is controlled, implemented, and maintained, and addresses: • frequency of measurement • obtaining customer feedback • KPIs • other info to determine Customer Satisfaction		
Records of the results of customer satisfaction are maintained.		

Analysis of Data

API Spec Q1, Section 6.3 / ISO 9001:2015, Section 9.1.3					
Requirements:	**Objective Evidence / Comments:**				
Analysis includes data generated from monitoring & measurement, internal audits, management reviews, and other relevant sources.					
Data Analysis shall provide information relating to each of the following: *(identify any other evidence of analysis of data, if applicable)*					
Data Types	**Analysis Method**	**Reported**			
		How	**Frequency**	**Objective / KPI**	
Customer Satisfaction					
Product Conformity					
Nonconformities/ product failures after delivery/use					
Process trends and characteristics					
Supplier Performance					
Quality Objectives					
Data is used to evaluate where continual improvement of the effectiveness of the QMS can be made.					
Analysis includes; • If planning has been effectively implemented • The effectiveness of actions to address risks and opportunities (ISO 9001, Section 9.1.3d and e)					

Internal Audits		
API Spec Q1, Section 6.2.2 / ISO 9001:2015, Section 9.2		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
Internal audit - performed within 12 months from the previous internal audit (if applicable). *API interprets "Last Internal Audit" to mean the last complete audit of the ENTIRE QMS, whether performed at one time or over the period of 12 months.* Audit planning takes into account results of previous audits and criticality of the process being audited. Audit criteria, scope, frequency, and methods are identified to ensure that all processes are audited.		

Verify that the internal audit performed: • conforms to planned arrangements including the requirements of the applicable standard / specification; • has been effectively implemented and maintained, including records; • was performed by independent / objective, competent personnel; • include outsourced activities that impact the quality of the product and that are performed at the facility; and • includes all processes required by the MS required to meet the applicable standard / specification		
Nonconformance identified during the internal audit (e.g. response times, responsibilities, reporting, and records) are addressed.		

Management Review

API Spec Q1, Section 6.5 / ISO 9001:2015, Section 9.3		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
Identify date(s) of management reviews within the last 12-month period. (Verify that management reviews are conducted at least every 12 months.)		
Management review has been documented with sufficient evidence to demonstrate conformity with applicable requirements.		
Review Input - Management review includes all inputs required by the applicable standard, including: • Effectiveness and status of actions of previous reviews • Result of audits • Customer Feedback • Results of Risk Assessment / Effectiveness of actions to address risks • Status of CA / PA • Supplier Performance Analysis • Process Performance • Product Conformity • Changes that could affect the MS • Recommendations for Improvement		
• Adequacy of resources • Effectiveness of actions to address opportunities (ISO 9001, 9.3.2d and e)		
Review Output - Management review output includes a summary assessment of the effectiveness of the MS detailing any: • Required changes to the processes • Decisions and actions • Required resources		

• Improvement for products Top Management review and approval of Management Review.		

Improvement – Corrective/Preventive Action

Corrective Action		
API Spec Q1, Section 6.4.2 / ISO 9001, Section 10.2		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
Corrective actions are taken (both internally and within the supply chain) to eliminate the cause of nonconformities. Actions include: • reviewing process nonconformities • determining/implementing corrections • dealing with consequences • evaluating the need for action, through cause identification, analysis and consideration of trends • implementing corrective action to avoid recurrence • identifying timeframe and responsible person(s) • verification of effectiveness • MOC (when applicable)		
Records of activities are maintained and identify activities performed to verify effectiveness of the corrective action taken.		
Organization has updated risks and opportunities determine during planning, if necessary (ISO 9001, 10.2.1e)		

Preventive Action		
API Spec Q1, Section 6.4.3 / ISO 9001, Section 6.1 (see note below) ***NOTE:*** Preventive action is no longer a specific requirement of ISO 9001:2015. Some organization's may use the preventive action process as a tool to address risks and opportunities in accordance with ISO 9001:2015, 6.1		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
Preventive actions are taken (both internally and within the supply chain) to eliminate the cause of potential nonconformities. Actions include: • Identifying opportunities for improvement • identifying potential nonconformities and their cause • evaluating need for action to prevent occurrence • identifying timeframe and responsible person(s) • reviewing effectiveness • MOC (if applicable)		
Records of activities for control of potential process non-conformances are maintained.		

Organization has used preventive action(s) as a tool to address risks and opportunities, if necessary (ISO 9001, 6.1)		

Product Realization

Audit Conditions

1. *The audit must determine the degree to which products are being manufactured under the scope of the applicable API Monogram License(s) and / or Registered QMS.*
2. *Determine the availability of the products for review and audit processes in conjunction with these products.*
3. *It is intended that this be completed prior to the audit as part of the planning process. In cases where pre-audit information is not available this MUST be done during the opening meeting/facility tour.*
4. *Please include as many products as possible that are included as part of the scope of Licensing / Registration.*
5. ***Priority should be established at the start of the audit to verify manufacturing according to the conditions outlined below.***

Category	Category Definition
1	Monogram product currently being manufactured and available for review
2	Monogrammable (product meeting all requirements but not marked) product currently being manufactured and available for review
3	Non-monogrammable product currently being manufactured and available for review
4	Monogram product manufactured since the last API audit but not available for review (**records review**)
5	Monogrammable product manufactured since the last API audit but not available for review (**records review**)
6	Non-monogrammable product manufactured since the last API audit
7	For dual & registration clients – Product currently being manufactured or services currently being provided that fall under the scope of the registered quality management system.

NOTE 1: Please refer to API Spec Q1, Annex A, A.4 regarding the requirement for a Licensee to develop, maintain and operate at all times a QMS conforming to API Spec Q1

NOTE 2: Please identify any products that are being added to the scope of Licensing and / or Registration, including products that are "new" and have been added since the last audit. These products must be considered when sampling objective evidence during the audit.

Complete the table below based on the above classifications:

Category	Product/Service Identification	Specification (as applicable)

Contract Review / Customer Related Processes

API Spec Q1, Section 5.1 / ISO 9001, Section 8.2			
List all Contracts reviewed / sampled *(minimum of 3 – include contract identification, customer name, date of contract and any other pertinent details below)***:** **NOTE:** Sampling must consider range of products with Licensing / QMS scope and sample must be increased based on number of products within scope, volume of work, etc.			**API Spec / Product:**
Determination of Product Requirements	**Detail evidence observed** *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**	**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
	Determination of requirements:		Customer requirements
			Legal / other applicable requirements
			Requirements not stated by customer
			Organizational requirements
		Also verify: Requirements confirmed and records maintained where no requirements are stated/documented by customer	
Review of Product Requirements	Review of requirements:		Reviewed prior to commitment
			Requirements identified and documented
			Capability confirmed
			Records maintained
			Records maintained on any new requirements (ISO 9001, 8.2.3.2b)
Changes to Requirements	Changes to contract requirements:		Documents amended
			Changes communicated
External / Customer			Approval process determined, documented, implemented

Communications			Requirements are fully understood
			Relevant contingencies communicated
			Methods for obtaining / using customer information
Customer Satisfaction			

Planning

API Spec Q1, Section 5.2 / ISO 9001, Sections 6 and 8.1			
Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**		**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
Planning	Planning of product realization:		Consistent with QMS process
			Required resources / work environment
			Product / customer requirements
			Legal / other applicable requirements
			Contingencies based on risk assessment
			Design and development requirements
			Required verification, validation, monitoring, measuring, inspection, test activities
			Product and process acceptance criteria established and implemented
			MOC & Changes carried out in a planned manner
			Records maintained
			Output documented
	Output of product realization planning:		Plans updated as changes occur
			Plans maintained suitably

Risk Assessment & Management

API Spec Q1, Section 5.3 / ISO 9001:2015, Sections 4.4.1, 5.1.2 and 6.1

Requirements:	Objective Evidence / Comments:	Finding #:
A process has been established to identify and control risks associated with: • impact on delivery, including facility/equipment availability, maintenance and supplier performance and material availability/supply; • Quality of product, including delivery of nonconforming product & availability of competent personnel.		
Tools, techniques and their application for risk identification, assessment and mitigation are utilized by the organization.		

Identify process interaction / examples of Risk Assessment & Management implementation and tools / techniques used:	**Check each requirement upon verification** *(explanation must be given for any blank boxes)*:	
		Risks determined
		Actions taken
		Actions integrated into QMS and effectiveness evaluated

Identify process interaction / examples of implementation and tools / techniques used to determine and address opportunities (in addition to risks) (ISO 9001, 4.4.1, 5.1.2 and 6.1):	**Check each requirement upon verification** *(explanation must be given for any blank boxes)*:	
		Opportunities determined
		Actions taken
		Actions integrated into QMS and effectiveness evaluated

Design & Development

API Spec Q1, Section 5.4 / ISO 9001:2015, Section 8.3			
Select all that apply:			
	Performed in-house		Performed at a different location within the same organization
	Outsourced		Excluded; Justification confirmed (per API Advisory 6)

List design packages sampled / verified: *(Select a representative sampling (minimum of three) of the applicable products (per API Specifications or Registration Scope)* • *Any license in "application" status requires verification of all product designs within that specification.* • *Any product additions to existing licenses must have evidence of existing designs.* • *Please incorporate and complete the relevant Product Spec Audit Questions* • *It may not be sufficient for the Licensee/applicant to have only 1 package that covers a product. Separate packages may be required / sampled based on different sizes, pressure ratings, etc.*	**API Product Spec:**

Design Package Requirements ***(Annex A, A.6 – Monogram Only)***	Verify that the licensee / applicant has a design package for each product under the scope of each Monogram License		
Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**		**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
Design & Development Controls – In-house / different location within same organization	Design & Development Planning:		Planning as per 5.4.1
			Design plan updated
			Interfaces determined and controlled
			Effective communication
			Design acceptance criteria
			Organization considered: • Nature, complexity and duration • Need for customer and user involvement • Requirements for subsequent provision of products/services • Customer and relevant interested party expectations on controls (ISO 9001, 8.3.2 a & g-l)
	Design & Development Inputs:		API Spec requirements included (when applicable)
			Inputs per API Spec Q1, 5.4.2
			Potential consequences of failure (ISO 9001, 8.3.3e)
			Records Maintained
			Also verify: - Customer requirements - Results from risk assessments - Requirements from external sources
	Design & Development Outputs:		Output per API Spec Q1, 5.4.3
			Records Maintained
			Also verify: - DAC identified / referenced - Critical products/components identified / referenced - Adequate for subsequent processes and provision of products
	Design & Development Review:		Review per API Spec Q1, 5.4.4

			Suitability, adequacy and effectiveness of the results to meet requirements
			Problems and necessary actions are identified
			Records Maintained
	Design & Development Final Review & Verification:		Verification and Final Review per API Spec Q1, 5.4.5
			Conducted / documented per planned arrangement
			Records Maintained
	Design & Development Validation & Approval:		Validation and Approval per API Spec Q1, 5.4.6
			Records Maintained
	Design & Development Changes:		Changes Managed
			Evaluation of effects on product/constituent parts delivered and actions taken to prevent adverse impacts
			Records Maintained
Design & Development Controls – Outsourced (5.4.1)	Supplier Competency and Control of Outsourced Design:		Personnel Competence
			Records Maintained
		Also verify: - Resources, responsibilities, authorities and their interfaces - Suppliers control, when design activities are outsourced	

Contingency Planning

API Spec Q1, Section 5.5 / ISO 9001:2015, Section 8.2.1e)		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
Contingency planning is based on assessed risks.		
Output of contingency planning is documented and updated as required. Internal and external communication controls in place, including those relevant to the customer.		

Identify process interaction / examples of Contingency Planning implementation:		**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**
		Based on assessed risks
		Output documented / updated as required
		Output communicated
		Records maintained

Purchasing / Externally Provided Products, Processes and Services

API Spec Q1, Section 5.6 / ISO 9001:2015, Section 8.4			
Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed):*		**Check each requirement upon verification** *(explanation must be given for any blank boxes):*	
Purchasing Controls	Control of Purchasing:		Criticality of activities/products determined
			Type and extent of control defined on criticality
			Criteria, scope, frequency and methods of reassessment defined
			List of approved suppliers and scope of approval
			Controls include products/services being provided to customer directly by external provider.

Critical Suppliers – Evaluation and Reevaluation			
Critical Suppliers Sampled:	**Product / Component / Activity Performed:**	**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
			Site specific criteria
			Reevaluation per API Spec Q1, 5.6.1.3
			Records Maintained
		Also verify: Risk assessment associated with product delivery includes supplier performance. Ensure risks are identified and controlled (5.3b).	

Non-Critical Suppliers – Evaluation and Reevaluation			
Non - Critical Suppliers Sampled:	**Product / Component / Activity Performed:**	**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
			Initial and on-going capability assessment per API Spec Q1, 5.6.1.3
			Records Maintained
		Also verify: Risk assessment associated with product delivery includes supplier performance. Ensure risks are identified and controlled (5.3b).	

Outsourced Activities / Externally Provided Processes	
List all outsourced activities and processes (if applicable):	

Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**		**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
Outsourced Activities	Control of outsourced activities:		Records Maintained
			Organization's applicable QMS requirements satisfied
		Also verify: Organization maintains responsibility for product conformance to specified requirements including API Spec	
Purchasing Information	Purchasing Information *(include contracts/POs sampled -minimum of 3* :		
			Acceptance criteria documented
			Requirements for: • Supplier interactions • Control and monitoring of supplier performance (ISO 9001, 8.4.3d & e)
			Records Maintained
		Also verify: Documented requirements per API Spec Q1, 5.6.2(a)(b)(c)(d), where applicable	
Verification of Purchased Product / Activities	Verification of conformance to purchase requirements *(include records reviewed as evidence of conformance)*:		Records Maintained
		Also verify: - Controls for verification at supplier's premises, where applicable	

Production and Servicing Processes

API Spec Q1, Section 5.7.1 / ISO 9001:2015, Section 8.5.1 & 8.5.5
Description of Production / Servicing <u>Capabilities</u> *[What capabilities does the facility have (i.e., what are they capable of manufacturing?)] Reference all monogrammable and non-monogrammable products:*
Description of Production and/or Servicing <u>Processes</u> *(describe what manufacturing/servicing processes <u>actually take place at the facility and interactions</u>):* ***Processes must be described in specific detail to provide information regarding the capabilities of the facility being audited.*** *For example, production processes must be identified clearly as machining, assembly, welding, heat treatment, etc.; testing processes must be identified clearly as hydro-testing, nondestructive examination, etc.*

Audit Report

Production and Servicing Processes reviewed / sampled:						
Process (Area):	Personnel interviewed and position/title:	PO / WO number:	Description of product/ service/part:	Product/service/ part identified?	Inspection status identified?	Process control documents (verify revision):

	Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**	**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
Control of Production	Controls established and implemented for product		Procedure per API Spec Q1, 5.7.1.1
			Design requirements/changes
			Suitable equipment
			Process control documents
			Actions to prevent human error (ISO 9001, 8.5.1g)
		Also verify: - Implementation of Quality Plan, if required - Work instructions, when applicable - Monitoring & measuring activities - Product release activities	
Control of Servicing *(if applicable)*	Controls established and implemented for servicing: (*If Servicing is Excluded – Enter Excluded)*		Procedure per API Spec Q1, 5.7.1.2
			Review of requirements
			Suitable equipment
			Identification/traceability
			Process control documents
		Also verify: - Work instructions, when applicable - Monitoring & measuring activities - Requirements for release of serviced product	
Post-delivery activities (ISO 9001, 8.5.5)	Controls established for any required post-delivery activities:	Considerations: - Statutory / regulatory requirements - Potential undesired consequences - Nature, use and intended lifetime - Customer requirements and feedback	
Process	Documentation of process controls:		Includes requirements for verifying

Control Documents			conformance with quality plans, product specs, customer requirements
			Reference instructions
			Acceptance criteria
		Also verify: Inspection holds and witness points	
Product Realization Capability Documents	Product realization documentation sampled:		Product realization plan(s)
			Records of review/verification, validation, monitoring, measurement, inspection, tests
			Acceptance criteria demonstrating capability
Validation of Processes for Production and Servicing	Validation of processes for production and services *(including outsourced)*:		Demonstrates ability to achieve planned results
			Verification of supplier conformance to standard requirements (5.6.1.6)
			Records maintained

Records reviewed for processes requiring validation *(select all that apply; enter additional records reviewed)***:**

NDE		**Welding**		**Heat Treatment**		**Other:**	
	Personnel Qualification		WPS / PQR		Personnel Qualification		
	Equipment Qualification		WPQ		Procedure/WIs		
	Work Environment		Welder Continuity Log		Furnace Surveys		
	Procedure Qualification		Personnel Qualifications				
			Equipment Qualification				

Product Quality Plan(s) (as applicable)

API Spec Q1, Section 5.7.2 / ISO 9001:2015, Section 8.5.1

Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**		**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
Product Quality Plans *(if required)*	Quality Plans sampled:		Addresses each requirement of API Spec Q1, 5.7.2 (a) through (e)
			Revisions documented/approved
			Communicated

Identification and Traceability

API Spec Q1, Section 5.7.3 / ISO 9001:2015, Section 8.5.2

Detail evidence observed *(including records and documents reviewed, personnel*	**Check each requirement upon verification** *(explanation must be given*

interviewed, and processes observed) **:**		*for any blank boxes)***:**	
Identification/ Traceability	Identification / traceability reviewed / sampled:		Records maintained
		Also verify : - Delivery and post-delivery - Maintenance / replacement of identification / marks	
Product Inspection / Test Status			
API Spec Q1, Section 5.7.4 / ISO 9001:2015, Section 8.5.2			
Product Inspection / Test Status			Records maintained indicating conformity / nonconformity of product
Customer / External Provider Property *(if applicable)*			
API Spec Q1, Section 5.7.5 / ISO 9001:2015, Section 8.5.3			
Customer property	Controls in place for property owned by the customer:		Procedure per API Spec Q1, 5.7.5
			Records maintained
		Also verify: Requirements for reporting to customer	
External provider property (ISO 9001, 8.5.3)	Controls in place for property owned by external providers:		Documented information retained

Preservation of Product			
API Spec Q1, Section 5.7.6 / ISO 9001:2015, Section 8.5.4			
Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**		**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
Preservation of Product			Identification / traceability marks
			Transportation, handling, packaging and protection
			Records maintained
Storage and Assessment			Designated storage area / stock rooms
			Records of assessment maintained

Inspection and Testing	
API Spec Q1, Section 5.7.7 / ISO 9001:2015, Sections 8.5.1a and 8.6	
Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:** • *For Monogram only, ensure that all inspection and testing requirements of the applicable product specification are addressed* • *For Monogram only, please incorporate and complete the relevant Product Spec Audit Questions*	**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**

Inspection and Testing	In-process inspection and testing:		Procedure
			Inspection / testing at planned stages per plan / procedure
			Evidence of conformity with acceptance criteria maintained
	Final inspection and testing:		Procedure
			Final inspection / testing per plan / procedures
			Evidence of conformity to requirements maintained

Preventive Maintenance			
API Spec Q1, Section 5.7.8 / ISO 9001:2015, Section 7.1.3			
Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**		**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
Preventive Maintenance	Preventive maintenance for equipment used in product realization:		Procedure
			Type of equipment, frequency, responsible personnel identified
			Records maintained

Control of Testing, Monitoring and Measuring Equipment

API Spec Q1, Section 5.8 / ISO 9001:2015, Section 7.1.5		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
Organization has determined the testing, monitoring, and measurement requirements and the associated equipment and resources, including people, needed to ensure conformance. Equipment and resources suitable for specific testing, monitoring and measuring activities.		
Controls established and implemented to ensure that equipment is identified, calibrated, maintained, and used in a manner consistent with requirements. Also verify: Control of out-of –tolerance equipment and assessment of previous measurements.		

Equipment observed / sampled *(minimum of 3)***:** *Note: For Monogram only, ensure that all inspection and testing requirements of the applicable product specification are addressed*					**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**
Equipment:	**Description:**	**Cal Date:**	**Due Date:**		Uniquely identified
					Calibration status identified
					Traceable to Nat'l/int'l standard
					Included on registry

					Acceptance criteria defined and appropriate
					Equipment suitable
					Records maintained
					Also verify: - Computer software confirmation - Externally provided equipment

Product Release

API Spec Q1, Section 5.9 / ISO 9001:2015, Section 8.6			
Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**		**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
Product Release			Procedure
			Release upon satisfactory completion of planned arrangements
			Identification of individual releasing product
			Records maintained
		Also verify: - Approval of release by authority/customer when planned arrangements are not met	

Control of Nonconforming Product

API Spec Q1, Section 5.10 / ISO 9001:2015, Section 8.7			
Detail evidence observed *(including records and documents reviewed, personnel interviewed, and processes observed)* **:**		**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
Control of Nonconforming Product			Procedure
			Method of addressing non-conforming product per API Spec Q1, 5.10.2
			Concession approved by relevant authority and/or customer
			Customer notification
			Records maintained
		Also verify: - Proper identification to prevent unintended use - Addressing the nonconformity - Identification, documentation, analysis and actions taken for nonconforming product identified after delivery - Risk assessment includes supplier performance. Ensure risks are identified and controlled	

Management of Change

API Spec Q1, Section 5.11 / ISO 9001:2015, Section 6.3 and 8.5.6		
Requirements:	**Objective Evidence / Comments:**	**Finding #:**
MOC process has been established to ensure that integrity of the MS when changes are planned and implemented. Facility identifies potential risks associated with changes prior to making the change. Changes are approved as required prior to making changes		
Consideration given to purpose, potential consequences, resource requirements, changes in responsibilities and authorities related to the change(s) (ISO 9001, 6.3)		
Describe how the facility ensures that the MOC process is used for changes that may affect the QMS negatively, including changes: • to the organizational structure; • in key or essential personnel; • in critical suppliers; and • to MS processes, including changes resulting from CA / PA		
Describe the organization's process for notification of changes. When is notification required? To who is notification required?		
Top management has assigned specific responsibities and authorities for managing QMS changes (ISO 9001, 5.3 e)		

Identify process interaction / examples of Management of Change implementation:	**Check each requirement upon verification** *(explanation must be given for any blank boxes)***:**	
		Negative affect(s) on QMS identified
		Risks identified prior to change
		Purpose, consequences, resources, responsibilities / authorities considered (ISO 9001, 6.3)
		Approved prior to change
		Notification of change
		Records maintained

APIQR is providing a copy of its EMS audit report template to assist your organization in transitioning to ISO 14001:2015. You may use this tool to assist with the implementation of the requirements of ISO 14001:2015. Your organization should not rely exclusively on this template when implementing the applicable requirements. APIQR cannot guarantee that this template will ensure your organization's conformity to the new standard.

Organizational Context and EMS Scope

ISO 14001:2015, Section 4		
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
4.1 Organizational Context		
Identify the relevant internal/external issues determined by the organization that may affect the implementation of its EMS Identify issues related to environmental conditions		
4.2 Needs and Expectations of Interested Parties		
What are the needs and expectations of the interested parties? Which of these needs and expectations are compliance obligations?		
4.3 EMS Scope		
• Identify the organization's defined EMS scope; i.e., boundaries of the EMS • Identify all activities products and services that fall within the scope of the organization's EMS. • Identify the process the organization has used to determine the EMS scope and identify how and where the scope has been documented. • Where is the scope of the EMS documented? • Is the documented information available to interested parties? How does the organization make this information available?		
4.4 Environmental management system		
• How did the organization consider the knowledge gained from internal/external issues and interested parties considered in establishing the EMS?		

EMS Leadership and Commitment

ISO 14001:2015, Section 5		
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
5.1 General		
Describe the initiatives, activities and processes Top Management has implemented to demonstrate leadership and commitment to the implementation, maintenance, performance and continual improvement of the EMS, including: • Communicating the importance of the EMS • Ensuring the EMS achieves intended outcomes • Ensuring that environmental policy and objectives are established and compatible with the strategic direction • Promoting continual improvement • Ensuring the availability of the required resources • Taking accountability for the effectiveness of the QMS • Ensuring the integration of the EMS into the business processes • Supporting other relevant management roles		
5.2 Environmental Policy		
The environmental policy is the driver for implementing and improving the organization's EMS so that it can maintain and improve its environmental performance. How has Top Management defined the organization's environmental policy and ensured that it: • Is appropriate to the purpose and context of the organization, nature, scale and environmental impacts of its activities, products or services; • Provides a framework for setting EMS objectives; • Includes a commitment to pollution prevention, protection of the environment, fulfilment of compliance obligations, continual improvement and enhancement of performance • Is documented and communicated within the organization; and • Is made available to the interested parties		
Additional comments/objective evidence regarding strengths or weaknesses relating to Leadership and the Environmental Policy:		

EMS Planning

ISO 14001:2015, Section 6		
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
6.1.1 General		
How has the organization determined risk and opportunities relating to environmental aspects, compliance obligations, relevant internal and external issues and the needs and expectations of interested parties? What process has the organization implemented to determine potential emergency situations, including those related to environmental impacts? How and where has the information relating to risk and opportunities been documented? What actions have been taken to address the identified risks and opportunities?		
6.1.2 Environmental Aspects		
How has the organization: • Identified the environmental aspects of its activities, products or services? • Determined which aspects have significant impacts on the environment? • Ensured that the aspects related to these significant impacts are considered in setting the organization's environmental objectives? • Communicated the significant aspects among the appropriate levels and functions • Applied a life cycle perspective to the analysis of its environmental impacts. What are the criteria used by the organization in evaluating the impact of its environmental aspects? How and where has the organization documented the aspect and impact information, and the criteria used to determine significance? Comment on the extent to which the facility has taken in to account changes, new or modified processes/activities, abnormal conditions and foreseeable emergency situations in its analysis of environmental aspects? Comment on the effectiveness of the aspects identification process – Has the facility identified all applicable aspects? Comment on the effectiveness of the facility's process and criteria for identifying the risks associated with the aspects		

and the ability of the facility to identify which aspects are significant. What actions have been taken to address the significant environmental aspects?		
6.1.3 Compliance Obligations (Legal Requirements)		
How has the organization: • Determined its compliance obligations (legal requirements) • Maintained access to compliance obligations • Determined how the compliance obligations apply • Considered the compliance obligations when establishing the EMS To what extent has the organization identified the applicable (local, state, federal) legal requirements? How and where has the organization documented the compliance obligation information? What actions have been implemented to address the organization's compliance obligations?		
6.1.4 Environmental Planning		
Does the organization have a plan of action to address significant aspects, legal requirements and identified risks and opportunities? How does the organization integrate and implement actions to address aspects, legal requirements and risks into its EMS and other business processes? How does the organization evaluate the effectiveness of the actions to address aspects, legal requirements and risks into its EMS and other business processes? What is the evidence that the organization considered its technological options, financial, operational and business environment in its environmental planning?		
Additional comments/objective evidence regarding strengths or weaknesses relating to the identification of and planning relating to risks and opportunities; environmental aspects; and compliance obligations:		

6.2 Environmental Objectives		
Comment on how the organization has established and maintained documented environmental objectives at each relevant function and level within the organization? Describe the organization's planning process to achieve the objectives, including responsibilities, required resources, actions, timeframes and evaluation methods for monitoring progress? When establishing and reviewing its objectives, comment on the degree to which the organization has considered: • Significant environmental aspects; • Compliance obligations; and • Risks and opportunities. What steps are taken to ensure that the objectives are consistent with the environmental policy and measurable? How does the organization monitor, measure, communicate and update the objectives? Does the plan to achieve environmental objectives include all requirements of ISO 14001:2015, Clause 6.2.2? Comment on the extent that the objectives contribute to improving the effectiveness of the EMS and improving environmental performance?		
Additional comments/objective evidence regarding strengths or weaknesses relating to the identification of and planning relating to risks and opportunities; environmental aspects; and compliance obligations:		

EMS Responsibilities, Resources, Competence, Training and Awareness

ISO 14001:2015, Section 5.3, 7.1, 7.2 AND 7.3	
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.	
Requirement:	**Objective Evidence/Comments:**
5.3 Organizational Roles, Responsibilities and Authorities	
Describe how EMS roles, authorities and responsibilities defined, assigned and communicated. How has Top Management assigned responsibility and authority for: • Ensuring that the EMS system requirements are established, implemented and maintained in accordance with ISO 14001 • Reporting on the performance of the EMS to top management for review and as a basis for improvement of the EMS?	
7.1 Resources	
Identify how management has provided resources essential to the implementation, control and continual improvement of the EMS? Comment on the extent to which resources include human resources and specialized skills, technology and financial resources?	
7.2 / 7.3 Competence, Training and Awareness	
How has the organization determined the personnel under their control that can have an effect on EMS performance and compliance obligations? Describe the facility's process for: • Determining necessary EMS competence, • Ensuring that personnel are COMPETENT, and • Taking and evaluating actions to acquire necessary competence Identify how the facility determines training needs for personnel. How does the facility ensure these personnel receive the appropriate training? How has the organization established controls to ensure personnel are aware of: • EMS policy and the importance of conformity to the EMS policy • Significant environmental aspects and related or potential impacts relating to their work • Contributions to EMS effectiveness • Implications of not conforming with EMS requirements and compliance obligations	

Complete the Following Using Personnel Interviewed throughout the Audit (Yes/No Response Acceptable):

Personnel / Role / Position	Competency		Aware of Policy, EMS Impacts / Aspects and Compliance Obligations?	Documented Information Maintained
	Defined?	Achieved?		

Additional comments/objective evidence, strengths or weaknesses relating to the organizations process for establishing/evaluating competence, resources, training and awareness:

EMS Communication

ISO 14001:2015, Section 7.4		
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
7.4.1 General		
Describe the organization's process for establishing internal and external communication requirements, including on what it will communicate, when to communicate, with whom to communicate and how to communicate. To what extent has the organization taken into account its compliance obligations and the consistency and reliability of the EMS information when establishing its communication processes? What process does the organization have in place to respond to relevant EMS communications? How effectively have the internal and external communication processes been implemented? What documented information is maintained of internal and external communications performed by the organization?		
7.4.2 Internal communication		
How does the organization internally communicate information internally communicate information relevant to the environmental management system among the various levels and functions of the organization, including changes to the environmental management system, as appropriate? How does the organization ensure its communication process(es) enable persons doing work under the organization's control to contribute to continual improvement?		
7.4.3 External communication		
What is the evidence that the organization has externally communicated information relevant to the environmental management system, as established by the organization's communication process(es) and as required by its compliance obligations?		
Additional comments/objective evidence regarding strengths or weaknesses relating to the organization's EMS communications:		

Documented Information

ISO 14001:2015, Section 7.5		
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
7.5.1 General / 7.5.2 Creating and Updating / 7.5.3 Control of Documented Information		
Identify the organization's controls over documented information related to the following: • Identification and description • Format • Review and approval • Accessibility and availability for use • Adequately protected • Legibility • Identification of changes and revision status • Updating as needed • Retention and disposition • Control and Identification of obsolete info • Control over documented information of external origin		
Additional comments/objective evidence regarding strengths or weaknesses relating to the organization's controls over documented information:		

Complete the Following Using Documented Information Reviewed throughout the Audit:

Identification	Format	Revision	Controls – Answer Yes/No/NA (Not Applicable)				
			Rev/Approve?	Changes Noted?	Accessible?	Legible?	Obsolete ID?

Operational Planning and Control

ISO 14001:2015, Section 8

In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.

Requirement:	Objective Evidence/Comments:	Finding #:
8.1 Operational Planning and Control		
How has the organization identified those operations, activities and processes that are needed to meet the EMS requirements and to implement actions related to the identified risks and opportunities, environmental aspects, compliance obligations and objectives? How has the organization planned these processes in order to ensure that they are carried out under specified conditions? Describe how the organization establishes and implemented operating criteria for the related activities, operations and processes? How has the organization implemented required controls? What process is in place to plan, manage and control changes to mitigate any adverse effects? How does the organization effectively control outsourced processes, as applicable? How has the organization effectively: • Ensured that environmental requirements are addressed in the design and development of the products/services • Considered each life cycle stage of the product/service • Determined environmental requirements for procurement of products/services • Communicated relevant environmental requirements to external providers, suppliers, contractors, etc. • Considered the need to provide information on potential significant impacts associated with delivery, uses, end-of-life treatment and final disposal of products/services Identify the documented information the organization has maintained.		

Additional comments/objective evidence regarding strengths or weaknesses relating to the organization's processes related to planning and control over operations:

Emergency Preparedness and Response		
ISO 14001:2015, Section 8.2		
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
8.2 Emergency Preparedness and Response		
Describe the organization's process(es) prepare for and respond to potential emergency situations? To what extent has the organization implemented, and maintained the processes needed to prepare for and respond to potential emergencies, including: • Planned actions to prevent or mitigate adverse environmental impacts • Response actions • Prevent or mitigate consequences Are the actions to prevent or mitigate the consequences of emergency situations, appropriate to the magnitude of the emergency and the potential environmental impact? With what frequency does the organization test the emergency response procedures where practicable? How does the organization review and revise processes and planned responses? How does the organization provide the required information and relevant training to interested parties and those persons working under its control? Identify the documented information the organization has established for emergency preparedness and response.		
Additional comments/objective evidence regarding strengths or weaknesses relating to the organization's processes relating to emergency preparedness and response:		

Performance Evaluation

ISO 14001:2015, Section 9		
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
9.1.1 Monitoring, measurement, analysis and evaluation		
Describe the organization's process for monitoring, measuring, evaluating and analysing environmental performance and effectiveness, including: • What needs to be measured • Methods used • Criteria and indicators • Frequency • Analysis and evaluation timeframes How does the organization ensure that monitoring and measuring equipment is calibrated, verified and maintained? Identify applicable equipment and the calibration/verification and maintenance status. How does the organization communicate internally and externally relevant environmental performance information? Identify the documented information that is established as evidence of the results of monitoring, measuring, evaluating and analysing the EMS.		
Additional comments/objective evidence regarding strengths or weaknesses relating to the organization's processes relating to EMS monitoring, measuring, analysis and evaluation.		

Requirement:	**Objective Evidence/Comments:**	**Finding #:**
9.1.2 Compliance evaluation		
Comment on the organization's process for periodically evaluating compliance, including, frequency, actions taken, and knowledge/understanding of compliance status. How does the organization maintain knowledge and		

understanding of its compliance status? Identify the documented information that is established as evidence of the results of compliance evaluation(s).		
Additional comments/objective evidence regarding strengths or weaknesses relating to the organization's processes for evaluating compliance:		

Requirement:	**Objective Evidence/Comments:**	**Finding #:**
9.2 Internal Audit		
To what degree has the organization established and currently maintain (a) program(s) for periodic EMS internal audits to be carried out, in order to determine whether the environmental management system: a) Conforms to planned arrangements for environmental management including the requirements of this International Standard; and: b) Has been effectively implemented and maintained? Comment on the extent to which the facility has used the internal audit as a tool to identify areas of nonconformity and improvement within the EMS.		

Comment on the Effective Implementation of Internal Audits Performed on the EMS based on the following:

Auditor Qualification and Competence:	Methodologies, Criteria and Normative References Used:
Planning (Scope, Frequency, Importance, Results of Previous Audits):	Responsibilities and Resources Allocated:
Actions taken to Address Nonconformances:	Results Reporting and Documented Information:

Additional comments/objective evidence regarding strengths or weaknesses relating to the organization's internal audit process:

Requirement:	Objective Evidence/Comments:	Finding #:
9.3 Management review		
Identify the intervals and date(s) of the management reviews that have occurred within the last 12-month period. How did the organization consider the following: • Status of actions from previous reviews • Changes in the EMS, including internal/external issues, needs and expectations of interested parties, significant impacts and risks and opportunities • Achievement of environmental objectives • Information on performance • Adequacy of resources • Communication from interested parties and customer complaints • Opportunities for continual improvement Identify the output information generated from the management review(s) including actions/decision relating to continual improvement, changes to the EMS and resources, environmental objectives, opportunities to integrate the EMS with other business processes and implications relating to the strategic direction. Has the management review been documented with sufficient evidence/information to demonstrate that conformance to applicable requirements is maintained? If no, note deficiencies. Identify the documented information.		

Additional comments/objective evidence regarding strengths or weaknesses relating to the organization's management review process:

Improvement

ISO 14001:2015, Section 10		
In the space provided below, detail the objective evidence (documentation reviewed, records reviewed and personnel interviewed) to ensure conformance with EMS requirements. Detail any discrepancies / nonconformance identified.		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
10.1 General		
Describe the organization's process for identifying opportunities for improvement. How has the organization utilized the analysis and evaluation processes; management review and internal audits to improve the EMS? What actions have been taken to achieve the intended outcomes of the EMS?		
Requirement:	**Objective Evidence/Comments:**	**Finding #:**
10.2 Nonconformity and Corrective Action		
Corrective actions are taken to eliminate the cause of nonconformities. Actions include: • reviewing process nonconformities • determining/implementing corrections • dealing with consequences, including mitigating adverse environmental impacts • determining if similar nonconformities exist or could potentially occur • evaluating the need for action, through cause identification, analysis and consideration of trends • implementing corrective action to avoid recurrence • identifying timeframe and responsible person(s) • verification of effectiveness • Any necessary changes to the EMS		
Describe the documented information that is maintained as evidence of the nature of the NCs, the actions taken and results of the corrective action process. Identify the documented information and include references in the table below.		

Complete the Following for Nonconformances Raised Internally by the Organization during the Previous 12-Month Period:			
Date:	Nonconformance:	Corrections and Corrective Actions (as appropriate)Taken:	Verified as effective

Additional comments/objective evidence regarding strengths or weaknesses relating to the organization's process for addressing nonconformities and performing corrective action::

Requirement:	Objective Evidence/Comments:	Finding #:
10.3 Continual Improvement		
• Describe how the organization shall continually improve the suitability, adequacy and effectiveness of the environmental management system to enhance environmental performance.		

Verification of Proper Use of APIQR and Accreditation Body Marks

(Not to be completed for applicant organizations)

		Yes	No	N/A
1.	Does organization use the APIQR Registration Mark only on correspondence, advertising, and promotional materials that are related to the goods and services referenced in the scope of the Organization's registration? (PROPER USE)			
2.	Has the APIQR Mark or the ANAB Mark used on a product or in such a way as to suggest that APIQR and/or ANAB have certified or approved any product, process or service of the registered organization? (MISUSE)			
3.	When the APIQR and ANAB Marks are used, are they used in conjunction with the organization's name and location? (PROPER USE)			
4.	If used, has organization used the ANAB Mark in isolation from the APIQR Mark? (MISUSE)			
5.	Has the registered organization immediately, upon written notification, ceased and desisted in the use of the APIQR and ANAB Marks (1) upon suspension or cancellation of their certificate and (2) in any manner, which APIQR interprets as misleading (if applicable)? (PROPER USE)			
6.	Is the APIQR Mark reproduced (1) in black, its original colors or the predominant color of the letterhead or printing, (2) on a clearly contrasting background and (3) in a size which makes the mark's features clearly distinguishable, the length of a side being in no case less than 12mm? (PROPER USE)			
7.	If used, is the ANAB Mark reproduced (1) in black, its original colors, or the predominant color of the letterhead or printing, (2) on a clearly contrasting background and (3) in a size which makes the mark's features clearly distinguishable and without distortion of its dimensions? (PROPER USE)			