**ISO 14001:2015 Gap Analysis**

**Self-Assessment & Implementation Checklist**

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# ISO 14001 Gap Analysis

## 4.0 Context of the Organization

| **Ref** | **Gap Analysis Question** | **Finding** | | **Implementation Plan** (if No) | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Yes** | **No** | ISO Clause | Process Owner | Action Needed | Date Planned | Date Actual |
| 1 | Has your organization determined external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its EMS? E.g. in minutes of meetings, strategic analysis, SWOT/PESTLE analysis etc. |  |  |  |  |  |  |  |
| 2 | Is information on changes in the context systematically presented at the Management Review? |  |  |  |  |  |  |  |
| 3 | Have issues been considered as inputs to determine scope and for determination of risks and opportunities? Issues include environmental conditions capable of affecting or being affected by your organization. |  |  |  |  |  |  |  |
| 4 | Has your organization determined:   1. Interested parties relevant to the EMS; 2. Relevant needs and expectations (i.e. requirements) of these interested parties; 3. Those needs and expectations that become compliance obligations. |  |  |  |  |  |  |  |
| 5 | Have both internal and external parties been considered? |  |  |  |  |  |  |  |
| 6 | Is information on changes in the context systematically presented at the Management Review? |  |  |  |  |  |  |  |
| 7 | Have they been considered as inputs for scope definition and for determination of risks and opportunities? |  |  |  |  |  |  |  |
| 8 | Is the scope of the EMS documented and available to interested parties? |  |  |  |  |  |  |  |
| 9 | Are all activities, products and services within the scope included (i.e. no exclusions)? |  |  |  |  |  |  |  |
| 10 | Does your organization use the knowledge gained from 4.1 and 4.2 to establish and maintain its EMS? |  |  |  |  |  |  |  |

## 5.0 Leadership

| **Ref** | **Gap Analysis Question** | **Finding** | | **Implementation Plan** (if No) | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Yes** | **No** | ISO Clause | Process Owner | Action Needed | Date Planned | Date Actual |
| 11 | How does Top management demonstrate leadership and commitment with respect to the environmental management system? |  |  |  |  |  |  |  |
| 12 | Do they take an active and leading role and understand their duties in relation to the EMS and are participating in promoting and supporting effective environmental management? |  |  |  |  |  |  |  |
| 13 | Is the environmental policy compatible with strategic direction and the context of your organization? |  |  |  |  |  |  |  |
| 14 | Does it include (a) commitment(s) to the protection of the environment, including prevention of pollution and (b) other specific commitments relevant to the context of your organization? |  |  |  |  |  |  |  |
| 15 | Have Top management ensured that all responsibilities and authorities for relevant roles are assigned and communicated within your organization? |  |  |  |  |  |  |  |
| 16 | Have Top management assigned the roles, responsibilities and authorities for ensuring conformance of the EMS? |  |  |  |  |  |  |  |
| 17 | Have Top management assigned the roles, responsibilities and authorities for reporting on the performance of the EMS and its processes? |  |  |  |  |  |  |  |

## 6.0 Planning

| **Ref** | **Gap Analysis Question** | **Finding** | | **Implementation Plan** (if No) | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Yes** | **No** | ISO Clause | Process Owner | Action Needed | Date Planned | Date Actual |
| 18 | Are risks and opportunities that relate to environmental aspects, compliance obligations and other issues identified and addressed? Does the process also include focus on opportunities? |  |  |  |  |  |  |  |
| 19 | Is sufficient documentation available to give confidence that the process has been carried out? Are potential emergency situations identified and documented? |  |  |  |  |  |  |  |
| 20 | Is there evidence that environmental aspects of your organizations activities, products and services that it has control over and which it can influence, along with environmental impacts, been determined? |  |  |  |  |  |  |  |
| 21 | Is the life cycle perspective of the identified environmental aspects been considered? |  |  |  |  |  |  |  |
| 22 | Has your organization established criteria that is documented and utilized to determine significant environmental aspects? |  |  |  |  |  |  |  |
| 23 | Are significant environmental aspects communicated among the various levels and functions of the organization? |  |  |  |  |  |  |  |
| 24 | Does your organization have access to, and determine which compliance obligations that apply to its environmental aspects? |  |  |  |  |  |  |  |
| 25 | Are compliance obligations considered when operating and improving the EMS? |  |  |  |  |  |  |  |
| 26 | Are compliance obligations documented? |  |  |  |  |  |  |  |
| 27 | Does your organization’s planning takes into consideration actions to address: significant environmental aspects; compliance obligations; risks and opportunities? |  |  |  |  |  |  |  |
| 28 | Is there evidence that your organization’s planning process has the EMS integrated and implemented with other business processes? |  |  |  |  |  |  |  |
| 29 | Does your organization evaluate the effectiveness of its planned actions? |  |  |  |  |  |  |  |
| 30 | Has your organization established its environmental objectives that are consistent with the environmental policy, and which are measurable, monitored, communicated and updated as appropriate? |  |  |  |  |  |  |  |
| 31 | Are the objectives compatible with the strategic direction and the context of your organization? |  |  |  |  |  |  |  |
| 32 | Is there evidence of planning actions to achieve environmental objectives, including: what will be done; what resources will be required; who will be responsible; when it will be completed; how results will be evaluated, including indicators for monitoring progress? |  |  |  |  |  |  |  |
| 33 | Is there evidence that your organization has integrated its environmental objectives into its business processes? |  |  |  |  |  |  |  |

## 7.0 Support

| **Ref** | **Gap Analysis Question** | **Finding** | | **Implementation Plan** (if No) | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Yes** | **No** | ISO Clause | Process Owner | Action Needed | Date Planned | Date Actual |
| 34 | Does your organization determine and provide resources needed for the establishment, implementation, maintenance and continual improvement of the EMS? |  |  |  |  |  |  |  |
| 35 | Does your organization operate a process to determine necessary competence, training and documented information to support the EMS? |  |  |  |  |  |  |  |
| 36 | Does documented information support the awareness of persons working under your organization’s control of environmental policy; significant environmental aspects; their contribution toward an effective EMS; understanding the benefits of enhanced environmental performance and implications of not conforming with EMS and fulfilling compliance obligations? |  |  |  |  |  |  |  |
| 37 | Has your organization established and implemented processes for internal and external communications relevant to the EMS? |  |  |  |  |  |  |  |
| 38 | When planning its communications process, does your organization take into account its compliance obligations; ensure that environmental information communicated is consistent with information generated within the EMS and is reliable? |  |  |  |  |  |  |  |
| 39 | Does the communication process enable employees or externals to contribute to continual improvement? |  |  |  |  |  |  |  |
| 40 | Does your organization communicate externally information relevant to EMS, as established by its communication process and as required by its compliance obligations? |  |  |  |  |  |  |  |
| 41 | Does your organization’s EMS include all documented information required by the ISO 14001:2015 standard, and the information determined by the organization itself as necessary for the effectiveness of the EMS? |  |  |  |  |  |  |  |
| 42 | When creating and updating documented information, is it appropriately identified, formatted and described? |  |  |  |  |  |  |  |
| 43 | Is the documented information reviewed and approved for suitability and adequacy? |  |  |  |  |  |  |  |
| 44 | Is the documented information controlled in order to ensure that it is available where needed and that it is suitable for use? |  |  |  |  |  |  |  |
| 45 | Is it adequately protected against improper use, loss of integrity and loss of confidentiality? |  |  |  |  |  |  |  |
| 46 | Does your organization address distribution, access, retrieval and use of documented information? |  |  |  |  |  |  |  |
| 47 | Is there a process for control of changes (version control), storage and preservation (including preservation of legibility), retention and disposition of documented information? |  |  |  |  |  |  |  |

## 8.0 Operation

| **Ref** | **Gap Analysis Question** | **Finding** | | **Implementation Plan** (if No) | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Yes** | **No** | ISO Clause | Process Owner | Action Needed | Date Planned | Date Actual |
| 48 | Does your organization plan, implement and control the processes needed to meet EMS requirements and to implement the actions determined in 6.1 and 6.2? |  |  |  |  |  |  |  |
| 49 | Does your organization control planned changes, and review the consequences of unintended changes, and take action to mitigate any adverse effects, as necessary? |  |  |  |  |  |  |  |
| 50 | Does your organization ensure that outsourced processes are controlled or influenced? |  |  |  |  |  |  |  |
| 51 | Does your organization control processes consistent with achieving a life cycle perspective? |  |  |  |  |  |  |  |
| 52 | Does your organization ensure that documented information is maintained to the extent necessary to give confidence that the processes have been carried out as planned? |  |  |  |  |  |  |  |
| 53 | Does your organization:   1. Have a process for how to prepare and respond to emergency situations? 2. Plan actions to prevent/mitigate impacts from emergency situations? 3. Provide relevant info regarding emergency preparedness and response to relevant interested parties? 4. Maintain documentation to give confidence that processes are carried out as planned? |  |  |  |  |  |  |  |

## 9.0 Performance Evaluation

| **Ref** | **Gap Analysis Question** | **Finding** | | **Implementation Plan** (if No) | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Yes** | **No** | ISO Clause | Process Owner | Action Needed | Date Planned | Date Actual |
| 54 | Does your organization monitor, measure, analyze, evaluate and communicate its environmental performance? |  |  |  |  |  |  |  |
| 55 | Does your organization have an effective process for evaluation of compliance obligations fulfilment? |  |  |  |  |  |  |  |
| 56 | Does your organization retain appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results? |  |  |  |  |  |  |  |
| 57 | Does your organization undertake programmed internal auditing to ensure that the EMS is implemented and maintained, and is compliant with our own requirements and those of ISO 14001:2015? |  |  |  |  |  |  |  |
| 58 | Does your organization retain documented information as evidence of the implementation of the audit programme and the audit results? |  |  |  |  |  |  |  |
| 59 | Does your organization undertake scheduled management reviews to consider the items required by ISO 14001:2015? |  |  |  |  |  |  |  |
| 60 | Does the output include conclusion related to continued suitability, adequacy and effectiveness of EMS? |  |  |  |  |  |  |  |

## 10.0 Improvement

| **Ref** | **Gap Analysis Question** | **Finding** | | **Implementation Plan** (if No) | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Yes** | **No** | ISO Clause | Process Owner | Action Needed | Date Planned | Date Actual |
| 61 | Has your organization identified the improvement opportunities and taken necessary actions that will better enable the organization to achieve the intended outcome of its EMS? |  |  |  |  |  |  |  |
| 62 | Does your organization operative an effective process for taking action to correct non-conformities and the consequences of adverse environmental impacts? |  |  |  |  |  |  |  |
| 63 | Does your organization operate an effective process for continuous improvement of the EMS to enhance environmental performance? |  |  |  |  |  |  |  |
| 64 | Are corrective actions completed with evidence of closure? |  |  |  |  |  |  |  |