

A gap analysis is a tool for seeing how your management system measures up to the requirements ISO 14001:2015. Its purpose is to help your business determine the gaps in respect to these requirements. A gap analysis should be conducted as an initial step in the process of achieving certification.

Gap Analysis Checklist

ISO 14001:2015 Self-assessment

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Gap Analysis Checklist – Part A

Complete the gap analysis checklist below and one full internal audit against the ISO 14001:2015 requirements prior to your organization's certification audit. Please complete the tables below which highlight some of the concepts and themes present in ISO 14001:2015. These concepts will bridge multiple processes, clauses, and functional areas. Ensure that the completed checklist and internal audit records are available prior to commencing formal assessment.

Clause 4 - Context of the Organization

4.1 Understanding the Organization and its Context

Firstly, the organization will need to determine external and internal issues that are relevant to its purpose i.e., what are the relevant issues, both inside and out, that have an impact on or affect its ability to achieve the intended outcome(s) of the EMS. Importantly, issues should include not only environmental conditions that the organization affects but also those that it is affected by.

Ref	Gap Analysis Question	Gap Finding			Action Plan (if OFI or NC)		Notes
		Comply	OFI ^[1]	NC ^[2]	Improvements Needed ^[OFI 1]	Corrective Action Needed ^[NC 2]	Objective Evidence & Comments
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 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.						

Gap Analysis Findings List – Part B

Implementation Plan

Where gaps have been identified these should be included in the findings list. This plan should detail the gaps and the actions to be taken (what, when and by whom) to correct and implement the outstanding EMS components. The plan should define responsibilities of different departments and personnel and set target dates for the completion of tasks. Once approved, the Management Representative should control, review and update the plan as documentation and the implementation process proceeds.

Clause 4 - Context of the Organization

Clause Ref	Description of Gap Identified	Proposed Remedial Action	Action Plan (if OFI or NC)			
			Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	Process Owner	Date Completed

Clause 5 - Leadership

Clause Ref	Description of Gap Identified	Proposed Remedial Action	Action Plan (if OFI or NC)			
			Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	Process Owner	Date Completed