

Gap Analysis Guidance

ISO 14001:2015

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1 Introduction

Building an EMS (Environmental Management System) that meets the requirements of ISO 14001:2015 can be a challenging project. If in doubt about the interpretation of any particular requirements, and your business's current status against it, it is recommended you refer to ISO 14004:2016, the guidance standard.

The gap analysis of your management system will provide a high-level overview of your current system against the requirements of the standard. It is an ideal solution for organizations that need to measure their current state of compliance against the standard and to identify the actions required to address any gaps.

The gap analysis checklist is not intended to be a comprehensive verification of all the ISO 14001:2015 standard requirements, however it will assist you in understanding the effectiveness of your current management system and identify gaps in processes not previously considered.

1.1 Businesses With an Existing EMS

For businesses with an existing EMS, you may decide to keep your current environmental management system and simply amend and adapt it where necessary. Some of you may take this as an opportunity for a complete revamp of the management system. If you have an existing ISO 14001 EMS then you should:

1. Determine your resourcing requirements to include additional training? (e.g., attending a Managing ISO 14001:2015, or an Internal Auditing course?);
2. Undertake a thorough gap analysis of the existing EMS and supporting business processes using our ISO 14001:2015 Gap Analysis Checklist.docx. Consider all questions in sections 4 to 10 and provide references to your system documented information (as appropriate) in the corresponding column;
3. Develop the ISO 14001:2015 Gap Analysis Action Plan.xlsx. This is the output of the gap analysis and should outline the timeline of actions required to close the gaps;
4. Once the EMS has been updated, 'run' the EMS for at least 3 months to embed it into the organization, identify and address nonconformities, and implement any improvement opportunities;
5. Engage with your Certifying body to arrange certification!

The implementation of a formal management system is best handled as a specific project that is led by someone with project management experience. Ideally, they should be a key member of the organization's management team and have sufficient authority and trust of the personnel involved. In the ideal situation this person will also be the Management Representative, but skills in project management are highly beneficial.

1.2 Businesses Without a Management System

For businesses without a formal EMS, conducting a gap analysis is a critical step as it identifies the current status of the existing management system relative to the standard, it provides a foundation for planning the development and implementation of the EMS. If you do not have an EMS then you should:

1. Review the ISO 14001:2015 Standard to understand the key requirements of the 2015 Standards;
2. Determine your resourcing requirements to include additional training? (e.g., attending a Managing ISO 14001:2015, or an Internal Auditing course?);
3. Undertake a thorough gap analysis of the existing EMS and supporting business processes using our ISO 14001:2015 Gap Analysis Checklist.docx. Consider all questions in sections 4 to 10 and provide references to your system documented information (as appropriate) in the corresponding column;
4. Develop the ISO 14001:2015 Gap Analysis Action Plan.xlsx. This is the output of the gap analysis and should outline the timeline of actions required to close the gaps.

Gap Analysis Checklist
ISO 14001:2015 Self-assessment

Insert your Company name or logo here

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?						

Each question in the gap analysis checklist should be assessed by auditor for conformance to the requirements of ISO 14001, along with the auditor's knowledge of your organization's products, services, processes, and facilities; they will be able to make a judgement on conformity, using the criteria set out in the table below:

Finding	Meaning	Description
Comply	Complies with stated requirements	The organization has objective evidence to support the question, and/or
		The organization has a documented procedure or process
OFI	Improvement actions are needed to comply	The organization has objective evidence, but procedure or process needs improvement, and/or
		The organization has objective evidence, but no documented procedure or process, and/or
		The organization has a documented procedure, but is lacking some objective evidence to support the question
NC	Nonconformance	The organization has no objective evidence to support the question, and/or
		The organization is lacking a documented procedure or process, and/or
		The organization is lacking objective evidence to support compliance

1.4.2 Part B - Findings List

Part B comprises the gap analysis findings list which details the gaps and proposed remedial actions that are required to close the identified gaps between ISO 14001 and your current management system. It provides a clear description of the resources, tasks and processes required, and an indicative timing and sequencing of key tasks and responsibilities.

Gap Analysis Checklist
ISO 14001:2015 Self-assessment

Insert your Company name or logo here

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

1.4.3 Part C – Gap Analysis Action Plan

Part C comprises a basic Gantt Chart that illustrates the work to be completed over a period of time in relation to the time planned for the work. It includes two sections, the left-hand side outlines a list of tasks from Part B, while the right side has a timeline with schedule bars that visualize work.

ISO 14001:2015 Gap Analysis Action Plan - Part C												
Instructions:												
1 Review the gap analysis findings												
2 Transfer the identified gaps into single rows below, from Row 14 onwards												
3 Enter start date in Cell N13 - Please note: the date must be a Monday!												
4 Set the 1st planned start date in Cell G14												
5 Set the planned finish date in the adjacent Cell H14												
6 The duration (in days) is shown in Cell I14 and duration bars from Column N onwards are shaded based on the dates entered												
7 Do not enter data in Columns I, K and M, or N onwards (except Cell N14)												
8 Record the estimated % progress of each activity in Column J, this highlights the indicator in Column K												
9 Record the actual date the activity is completed in Column L, days overdue are shown in Column M												
Activity	ISO 14001 Clause Ref.	Description of Gap Identified	Proposed Remedial Action	Responsibilities & Resources	Deliverables & Outputs	Planned Start Date	Planned Finish Date	Duration (Days)	Activity Progress %	Indicator	Actual Date Completed	Days Overdue
1						03-May-23	03-Jul-23	44	100	➔	04-Jul-23	1
2						11-May-23	10-Jul-23	43	75	➔	09-Jul-23	-1
3						17-May-23	17-Jul-23	44	50	➔	20-Jul-23	3
4						23-May-23	24-Jul-23	45	25	➔	17-Jul-23	-7
5						30-May-23	30-Jul-23	44	5	⬇	05-Aug-23	6
6								0		⬇		0
7								0		⬇		0
8								0		⬇		0
9								0		⬇		0
10								0		⬇		0
11								0		⬇		0
12								0		⬇		0
13								0		⬇		0
14								0		⬇		0
15								0		⬇		0
16								0		⬇		0
17								0		⬇		0
18								0		⬇		0

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These results of the gap analysis should be transferred from Part B to the action plan in Part C for implementation. Set a completion date for having each action completed, fill the start and end date in the action plan. Set a date for a meeting or two to assign responsibilities for the findings list.