

# **ISO 14001 Environmental Management System**

## **Gap Analysis Checklist**



**ASCENT CERTIFICATION**

THIS WAY UP



| 4 Context of the organisation                                                                                                                                                                                                                                      | Yes                      | No                       | Notes |
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| Have you determined the internal and external issues that are relevant to its purpose and that affect its ability to achieve the intended outcomes of its environmental management system?                                                                         | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Do you have a way of reviewing and monitoring these on a regular basis?                                                                                                                                                                                            | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Have you determined the interested parties that are relevant to the environmental management system?                                                                                                                                                               | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Have you determined the relevant needs and expectations of interested parties? Have you determined which of these needs and expectations become your organisation's compliance obligations?                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Have you determined the boundaries and applicability of the environmental management system to establish its scope?                                                                                                                                                | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Has the scope of the EMS been determined taking into account the external and internal issues, compliance obligations, organisational units, functions and physical boundaries, products and services and authority and ability to exercise control and influence? | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Is the EMS scope defined and maintained as documented information? Is there provision for the scope to be available to interested parties?                                                                                                                         | <input type="checkbox"/> | <input type="checkbox"/> |       |
| <b>4.4 Environmental management system</b>                                                                                                                                                                                                                         |                          |                          |       |
| Have you established, implemented, and maintained an environmental management system which includes all processes needed along with their interactions? Is your EMS built on the framework of continual improvement?                                               | <input type="checkbox"/> | <input type="checkbox"/> |       |
| <b>5 Leadership</b>                                                                                                                                                                                                                                                |                          |                          |       |
| Has top management taken accountability for the effectiveness of the EMS?                                                                                                                                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |       |



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| Are the environmental policy and objectives established and compatible with the strategic direction and the context of the organisation?                                                            | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the EMS requirements integrated into the organisation's business processes?                                                                                                                     | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Are resources needed for the environmental management system available?                                                                                                                             | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the top management direct and support persons to contribute to the effectiveness of the environmental management system?                                                                       | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the top management promote continual improvement?                                                                                                                                              | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>5.2 Environmental policy</b>                                                                                                                                                                     |                          |                          |  |
| Has the Environment Policy established, implemented, and maintained within the organisation?                                                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Is the environment policy appropriate to the purpose and context of the organisation and provides a framework for setting environmental objectives?                                                 | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the environment policy include a commitment to the protection of the environment, including prevention of pollution and other specific commitment relevant to the context of the organisation? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the environment policy include a commitment to fulfil compliance obligations?                                                                                                                  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the environment policy include a commitment to continual improvement of the EMS to enhance environmental performance?                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Is the environmental policy maintained as documented information, communicated within the organisation and available to interested parties?                                                         | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>5.3 Organisational roles, responsibilities, and authorities</b>                                                                                                                                  |                          |                          |  |
| Has the top management ensured that the responsibilities and authorities for relevant roles                                                                                                         | <input type="checkbox"/> | <input type="checkbox"/> |  |



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| are assigned and communicated within the organisation?                                                                                                                                      |                          |                          |  |
| Has the top management assigned responsibility and authority for ensuring that the environmental management system conforms to the requirements of the international standard?              | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the top management assigned responsibility and authority for reporting on the performance of the environmental management system including environmental performance to top management? | <input type="checkbox"/> | <input type="checkbox"/> |  |

| 6 Planning                                                                                                                                                                                                                                                                                                                                                                                                                  | Yes                      | No                       | Notes |
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| <b>6.1 Address risks and opportunities</b>                                                                                                                                                                                                                                                                                                                                                                                  |                          |                          |       |
| Have the risks and opportunities related to the organisation's environmental aspects, compliance obligations and those things identified in section 4.1 and 4.2 been determined, so that: <ul style="list-style-type: none"><li>• They can have assurance that the EMS can achieve its intended outcomes;</li><li>• Undesired effects can be prevented or reduced</li><li>• Continual improvement can be achieved</li></ul> | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Have the risks and opportunities that need to be addressed been documented?                                                                                                                                                                                                                                                                                                                                                 | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Have the processes needed been documented so there is confidence that they are carried out?                                                                                                                                                                                                                                                                                                                                 | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Are abnormal conditions and foreseeable emergency situations considered when identifying environmental aspects? Do they consider opportunities?                                                                                                                                                                                                                                                                             | <input type="checkbox"/> | <input type="checkbox"/> |       |
| When determining the above environmental aspects, has the organisation taken into account: <ul style="list-style-type: none"><li>• Change, including planned or new developments, and new or modified activities, products, and services;</li><li>• Abnormal conditions and reasonably foreseeable emergency situations?</li></ul>                                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Has the organisation determined those aspects which can have a significant environmental impact                                                                                                                                                                                                                                                                                                                             | <input type="checkbox"/> | <input type="checkbox"/> |       |



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| by using established criteria? Are the criteria used and the aspects deemed to be significant, documented?                                                                                                                                                                                                                       |                          |                          |  |
| Has the organisation communicated its significant environmental aspects among the various functions and levels of the organisation?                                                                                                                                                                                              | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the organisation determined and have access to compliance obligations related to its environmental aspects?                                                                                                                                                                                                                  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the organisation determined how these apply to its activities, products, or services?                                                                                                                                                                                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the organisation taken these compliance obligations into account when establishing implementing, maintaining, and continually improving its EMS?                                                                                                                                                                             | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the organisation maintained documented information of its compliance obligations?                                                                                                                                                                                                                                            | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the organisation planned: <ul style="list-style-type: none"><li>• To take action to address its significant environmental aspects, compliance obligations and risks and opportunities?</li><li>• How to integrate and implement actions into its EMS processes and evaluate the effectiveness of the action taken?</li></ul> | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>6.2 Environmental objectives and planning to achieve them</b>                                                                                                                                                                                                                                                                 |                          |                          |  |
| Are environmental objectives established at relevant functions and levels?                                                                                                                                                                                                                                                       | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Do the objectives take into account the organisation's significant environmental aspects, environmental objectives, its compliance obligations and other risks and opportunities?                                                                                                                                                | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Are the objectives compatible with the strategic direction and the context of the organisation?                                                                                                                                                                                                                                  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Are objectives consistent with the policy, measurable, monitored, communicated, and updated as appropriate?                                                                                                                                                                                                                      | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the organisation maintained documented information on its objectives?                                                                                                                                                                                                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |  |



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| To achieve its environmental objectives, has the organisation determined what will be done, what resources will be required, who will be responsible, when it will be completed and how the results will be evaluated? | <input type="checkbox"/> | <input type="checkbox"/> |  |
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| 7 Support                                                                                                                                                        | Yes                      | No                       | Notes |
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| Has the organisation determined necessary competence of persons doing work under its control?                                                                    | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation ensure that persons are competent on the basis of appropriate education, training, or experience?                                          | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation determine training needs and where applicable, take actions to acquire the necessary competence?                                           | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation retain documented information as evidence of competence?                                                                                   | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Are personnel aware of the environmental policy, the significant environmental aspects and impacts associated with their work?                                   | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Are personnel aware of their contribution to the effectiveness of the environmental management system, including benefits of enhanced environmental performance? | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Are personnel aware of the implications of not conforming to the EMS requirements including not fulfilling the organisation's compliance obligations?            | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Has the organisation established, implemented process(es) for internal and external communications relevant to the EMS?                                          | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the communication process include what to communicate, when to communicate, with whom to communicate and how to communicate?                                | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the communication process takes into account compliance obligations?                                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Has the organisation maintained documented information on its communications?                                                                                    | <input type="checkbox"/> | <input type="checkbox"/> |       |



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| Does the communication process enable employees or externals to contribute to continual improvement?                                                                 | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the organisation communicate externally information relevant to EMS, as established by its communication process and as required by its compliance obligations? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>7.5 Documented information</b>                                                                                                                                    |                          |                          |  |
| Does the organisation have documented information on how documents within the organisation are created, updated, and controlled?                                     | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Are documented information of external origin which is necessary for the planning and operation of the EMS identified and controlled?                                | <input type="checkbox"/> | <input type="checkbox"/> |  |

| 8 Operations                                                                                                                                                    | Yes                      | No                       | Notes |
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| <b>8.1 Operational planning and control</b>                                                                                                                     |                          |                          |       |
| Does the organisation plan, implement and control the processes needed to meet EMS requirements and to implement the actions determined in 6.1 and 6.2?         | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation control planned changes and review the consequences of unintended changes, and take action to mitigate any adverse effects, as necessary? | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation ensure that outsourced processes are controlled or influenced? How are they controlled?                                                   | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Consistent with a life cycle perspective, are controls established to ensure that environment requirements are addressed in the design and development process? | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Consistent with a life cycle perspective, does the organisation determine its environmental requirements for the procurement of products and services?          | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Consistent with a life cycle perspective, does the organisation communicate its relevant                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |       |



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| environmental requirements to external providers, contractors?                                                                                                                                                                                                                         |                          |                          |  |
| Consistent with a life cycle perspective, does the organisation consider the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Is relevant documented information maintained to the extent necessary to give confidence that the processes have been carried out as planned?                                                                                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>8.2 Emergency preparedness and response</b>                                                                                                                                                                                                                                         |                          |                          |  |
| Does the organisation have a process for how to prepare and respond to emergency situations?                                                                                                                                                                                           | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the organisation plan actions to prevent/mitigate impacts from emergency situations and provide relevant information to interested parties?                                                                                                                                       | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the organisation maintain documentation to give confidence that processes are carried out as planned?                                                                                                                                                                             | <input type="checkbox"/> | <input type="checkbox"/> |  |

| 9 Performance evaluation                                                                                                                                                                                        | Yes                      | No                       | Notes |
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| <b>9.1 Monitoring, measurement, analysis, and evaluation</b>                                                                                                                                                    |                          |                          |       |
| Does the organisation monitor, measure, analyse and evaluate its environmental performance?                                                                                                                     | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation determine what needs to be monitored and measured, the methods of monitoring and measurement and the criteria against which the organisation will evaluate its environmental performance? | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation determine when monitoring and measuring shall be performed and when the results shall be analysed and evaluated?                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation ensure that calibrated or verified monitoring and measurement equipment is used and maintained as appropriate?                                                                            | <input type="checkbox"/> | <input type="checkbox"/> |       |



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| Does the organisation retain documented information as evidence of the monitoring, measurement, analysis, and evaluation results?                                                                                                                                                                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the organisation established, implemented, and maintained a process needed to evaluate fulfilment of its compliance obligations?                                                                                                                                                                                                                       | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the organisation retain documented information as evidence of the monitoring, measurement, analysis, and evaluation results?                                                                                                                                                                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>9.2 Internal audit</b>                                                                                                                                                                                                                                                                                                                                  |                          |                          |  |
| Does the organisation conduct internal audits at planned intervals?                                                                                                                                                                                                                                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Has the organisation established, implemented, and maintained an internal audit programme including frequency, methods, and responsibilities, planning requirements and reporting of its internal audits?                                                                                                                                                  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Is the audit criteria defined for each audit?                                                                                                                                                                                                                                                                                                              | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Are auditors selected and audits conducted in a way that impartiality is maintained?                                                                                                                                                                                                                                                                       | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Are results of the audits reported to relevant management?                                                                                                                                                                                                                                                                                                 | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the organisation retain documented information as evidence of the implementation of the audit programme and the audit results?                                                                                                                                                                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>9.3 Management review</b>                                                                                                                                                                                                                                                                                                                               |                          |                          |  |
| Are management reviews held at planned intervals and are results of the review retained as documented information as evidence?                                                                                                                                                                                                                             | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Does the review include the following:<br>a. External and internal issues that are relevant to the organisation's EMS;<br>b. Needs and expectations of interested parties, compliance obligations;<br>c. Significant environmental aspects;<br>d. Risks and opportunities;<br>e. Nonconformities and corrective actions;<br>f. Monitoring and measurement; | <input type="checkbox"/> | <input type="checkbox"/> |  |



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| g. Fulfilment of its compliance obligations;<br>h. Audit results;<br>i. Adequacy of resources;<br>j. Relevant communication from interested parties, including complaints;<br>k. Opportunities for continual improvement;<br>l. Status of actions of previous management review meeting |  |  |  |
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| 10 Improvement                                                                                                                                                              | Yes                      | No                       | Notes |
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| Does the organisation determine opportunities for improvement and implement necessary actions to achieve the intended outcomes of its EMS?                                  | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation take control and correct nonconformities as they occur?                                                                                               | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation determine the causes of nonconformity and implement actions as needed?                                                                                | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation review the effectiveness of corrective actions?                                                                                                       | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation retain documented information as evidence of the nature of nonconformities and any subsequent actions taken and the results of any corrective action? | <input type="checkbox"/> | <input type="checkbox"/> |       |
| Does the organisation continually improve the suitability, adequacy, and effectiveness of the EMS to enhance environmental performance?                                     | <input type="checkbox"/> | <input type="checkbox"/> |       |