

ISO 14001:2004 Environmental Management System - The Gap Analysis Checklist

GUIDELINES FOR USE OF THE GAP ANALYSIS CHECKLIST

This gap analysis checklist is prepared for use in evaluating your Environmental Management System against the requirements of ISO 14001.

Each requirement is expressed as a question that the auditor can use to evaluate your EMS capabilities. Along with the checklist, you will need to have a copy of the ISO 14001:2004 standard so that you can see exactly what the requirements are and can refer to the guidance section in Annex A.

After you have prepared an audit schedule, and assigned responsibility to the auditors for different areas to audit, copy each section of the checklist for the auditors working with that section. As the auditors work through the checklist, they need to take notes on what is in place, and what needs to be developed.

Reference the procedures or other documents that are reviewed and that will provide information for the new EMS. Take notes on the status of the documents, will they need to be revised for the new system, or can they be used as is? Also note where processes are in place, but documentation is needed.

Focus on what is in place, and what needs to be developed. While you do want to know if procedures and processes are being complied with, compliance is not your main focus for this audit.

Remember that the final outcome of this audit should be a list of things that your organization needs to do to comply with ISO 14001:2004.

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4 ENVIRONMENTAL MANAGEMENT SYSTEM

REQUIREMENTS	CURRENTLY IN PLACE (List documents or evidence)	COMPLIANT YES / NO?	IF NO Estimated % complete	ITEMS NEEDED
4.1 General Requirements				
This clause introduces the general requirements for an environmental management system that is intended to result in improved environmental performance. Look to see that your organization has a system with a defined scope for an EMS that can be reviewed and evaluated to identify and implement opportunities for improvements.				
Has the organization established, documented, implemented and maintained an EMS as required by ISO 14001:2004?				
How does the organization determine if the requirements of the standard are fulfilled?				
Is the scope of the EMS defined & documented? -- are all activities, products and services within the scope addressed by the EMS?				
4.2 Environmental Policy				
This clause addresses the requirement for your organization's environmental policy which is the driver for implementing and improving the Environmental Management System.				
Is the organization's environmental policy appropriate to its activities, products, services?				
Does the policy reflect the commitment of top management to: -- prevent pollution and to continually improve? -- comply with legal & other requirements?				
Does the policy provide for a framework to: -- set & review objectives and targets? -- document, implement & maintain the policy? -- communicate the policy to persons working for or on behalf of the organization? -- is available to the public?				

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4.3 Planning				
This clause addresses the planning that your organization needs to undertake with respect to the (3) specific areas for environmental aspects, legal and other requirements and objectives, targets and programs. Look for the planning to relate to your activities, products, and services (within the scope of the EMS) that can be controlled and those that can be influenced.				
4.3.1 Environmental aspects				
Is there a procedure for the organization to: -- identify environmental aspects related to its activities, products and services? -- to determine those aspects that can have a significant impact on the environment?				
Is this information documented and kept up to date?				
Does the organization ensure that significant environmental impacts are taken into account in establishing, implementing and maintaining its EMS?				
How does the organization determine if the requirements of the standard are fulfilled?				
4.3.2 Legal and other requirements				
Is there a procedure for the organization to: -- identify the legal requirements that are associated with its environmental aspects? -- determine how the requirements apply to the environmental aspects?				
Does the organization ensure that the applicable legal and other requirements are taken into account in establishing, implementing and maintaining its EMS?				
4.3.3 Objectives, targets and programs				
Does the organization establish, implement and maintain documented environmental objectives and targets at relevant functions and levels?				