



ISO 14001: 2015 Environmental Gap Analysis

The revised ISO 14001 standard was published on 14TH September 2015.

How to use this document

This document provides an overview of the changes between ISO 14001:2004 and ISO 14001:2015 standard. It has been designed to help you identify the new and revised requirements found in the ISO 14001:2015 standard.

This document is a guide to give you an indication of your readiness for your audit against ISO 14001:2015. It is suggested that you use this document as an indication of how close to compliance you are and to give you confidence when applying for the standard upgrade. Our consultants will have this document as indication of compliance. Please be aware that completion of this document does not guarantee that you will be recommended for certification to ISO 14001:2015. You will also need to obtain a copy of the ISO 14001:2015 standard as the clauses are not covered in their entirety by this document.

Further detailed information and guidance covering new concepts and new and revised requirements within ISO 14001:2015 can be obtained by clicking on the link below:

<http://www.eurova.co.uk>

If you have any questions or concerns regarding the ISO 14001:2015 transition please contact your local Eurova Office:

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4. Context of the organisation

ISO 14001:2015 Clause	ISO 14001:2004 Clause	Guidance	Readiness questions	
4.1 Understanding the organisation and its context	New requirement	<p>You must identify, monitor and review internal and external issues that are relevant to your organisations purpose and that can affect your ability to achieve the intended outcomes of your EMS. Such factors include legal, technological, competitors, economic environment, internal values, culture knowledge and performance. External issues also include environmental conditions, which are defined as “state or characteristic of the environment as determined at a certain point in time”. Examples include: water quality, climate, natural resources availability). An environmental condition can affect or be affected by the organization.</p> <p>Typical evidence could include Swot / Pestle analysis with an environmental focus, strategic business planning documents, climate change adaption plans etc.</p> <p>Auditors will seek evidence that you are regularly reviewing and updating regularly your external and internal issues.</p>	We have undertaken a review to fully determine the external and internal issues that are relevant to our organisations purpose and that can affect our ability to achieve the intended outcomes of our EMS?	<input type="checkbox"/>
			We have a process in place for regularly reviewing our internal and external issues?	<input type="checkbox"/>
4.2 Understanding the needs and expectations of interested parties	New requirement	<p>You must determine:</p> <ul style="list-style-type: none"> • The interested parties that are relevant to your EMS and the needs and expectations of the interested parties and • Which of the identified needs and expectations become your compliance obligations. <p>Interested parties may include customers, shareholders and regulators. This must not be a one off exercise. This information must be monitored and reviewed regularly to maintain currency as relevant interested parties may change over time.</p> <p>Compliance obligations are defined as: ‘legal requirements that an organisation has to comply with and other requirements that an organisation has to or chooses to comply with’.</p> <p>Examples may be mandatory requirements, such as applicable laws and regulations, or voluntary commitments, such as organisational and industry standards, codes of practice and agreements with community groups or non-governmental organisations.</p>	We have determined interested parties, their relevant needs and expectations and which of these, if any, we will adopt as compliance obligations?	<input type="checkbox"/>
			We have a process in place for regularly reviewing the need and expectations of interested parties?	<input type="checkbox"/>



4.3 Determining the scope of the environmental management systems	4.1 General requirements	<p>This clause requires you to determine the boundaries and applicability of the EMS to establish your scope.</p> <p>When determining the scope you must consider the internal and external issues referred to in clause 4.1, the compliance obligations referred to in clause 4.2, your activities, products and services, functions and physical boundaries, activities, products and services and your authority and ability to exercise control and influence.</p>	<p>We have determined the boundaries and applicability of our Environmental Management System to establish the scope?</p>	<input type="checkbox"/>
		<p>The scope must be maintained as documented information and be available to interested parties.</p> <p>You have the freedom to define your own EMS boundaries. You may choose to develop an EMS for the entire organisation or for some specific part of the organisation, if, and only if, the top management of that part has the authority and resource to implement an EMS.</p>	<p>The scope is be maintained as documented information is available to interested parties.</p>	<input type="checkbox"/>
4.4 Environmental management system	4.1 General requirements	<p>This clause requires you to establish, implement, maintain and continually improve an environmental management system, including the processes needed and their interactions, in accordance with the requirements of ISO 14001:2015 in order to achieve the intended outcomes, including enhancing your environmental performance.</p> <p>When establishing and maintaining the environmental management system you must consider the knowledge gained from analysing the external and internal issues (4.1) and the requirements of the interested parties (4.2).</p> <p>It is important to note that although the new standard now requires you to determine the processes that are needed for the EMS and how they interact with each other it is not the intention of ISO 14001:2015 to apply the full process approach that is mandated in ISO 9001:2015.</p>	<p>We have established, implemented, maintained and continually improve an environmental management system, including the processes needed and their interactions, in accordance with the requirements of ISO 14001:2015?</p>	<input type="checkbox"/>

5. Leadership

ISO 14001:2015 Clause	ISO 14001:2004 Clause	Guidance	Readiness questions	
5.1 Leadership and commitment	New requirement	<p>This clause is the most significant and far reaching change within ISO 14001:2015</p> <p>This clause will require top management to demonstrate their leadership and commitment to the environmental management system by taking responsibility for the effective running of the EMS. They must ensure that the environmental policy and objectives are consistent with the overall strategic direction and the context in which your organisation is operating.</p> <p>They must work with employees in order to ensure that the EMS objectives are achieved and must ensure that the EMS policy is communicated, understood and applied across your organisation.</p> <p>Top management must also ensure that the EMS requirements are integral to your business processes and that resources are available for the effective operation of the EMS. They must stress the importance of effective environmental management and of conforming to the requirements of the EMS, must ensure that the EMS is achieving the intended outcomes and must lead people to contribute to the effective operation of the system.</p> <p>Auditors will be seeking evidence of:</p> <ul style="list-style-type: none"> • Clear links between your organisations business plans and environmental objectives. • Top management involvement in the environmental planning and review process • Consideration of environmental issues in the change management process for example when moving into new markets, new product development etc. 	Top management has:	
			taken accountability for the effectiveness of the EMS?	<input type="checkbox"/>
			ensured that the environmental policy and objectives have been established and are compatible with the strategic direction and context of the organisation?	<input type="checkbox"/>
			ensured that the requirements for the EMS have been integrated into the business processes?	<input type="checkbox"/>
			ensured the resources needed for the EMS are available	<input type="checkbox"/>
			communicated the importance of effective environmental management throughout the organisation?	<input type="checkbox"/>
			ensured that the EMS achieves its intended outcomes?	<input type="checkbox"/>
			directed and supported persons to contribute to the effectiveness of the EMS?	<input type="checkbox"/>
			Promoted continual improvement?	<input type="checkbox"/>

5.2 Environmental policy	4.2 Environmental policy	<p>This clause requires top management to establish, implement and maintain an environmental policy that, within the defined scope of its environmental management system:</p> <p>a) is appropriate to the purpose and context of the organisation, including the nature, scale and environmental impacts of your activities, products and services; b) provides a framework for setting environmental objectives; c) includes a commitment to the protection of the environment, including prevention of pollution and other specific commitment(s) relevant to the context of the organisation; d) includes a commitment to fulfil your compliance obligations; e) includes a commitment to continual improvement of the environmental management system to enhance environmental performance.</p> <p>The environmental policy must be maintained as documented information, be communicated within your organisation and be available to interested parties.</p> <p>Auditors will be making sure that top management has established and implemented the environmental policy and that the responsibility has not been passed to the management representative. Auditors will be ensuring that top management can demonstrate that the policy is compatible with the strategic direction and context of the organisation and that it has been communicated and understood, as required by sub-clause 5.1.1b.</p>	Top management has established and implemented an environmental policy?	<input type="checkbox"/>
			The policy is appropriate to the purpose and context of the organisation?	<input type="checkbox"/>
			The policy provides a framework for setting environmental objectives?	<input type="checkbox"/>
			The policy includes a commitment to the protection of the environment including the prevention of pollution and other specific commitments relevant to the context?	<input type="checkbox"/>
			The policy includes a commitment to fulfil our compliance obligations?	<input type="checkbox"/>
			The policy includes a commitment to continual improvement of the EMS to enhance environmental performance?	<input type="checkbox"/>
			The policy is documented, communicated within the organisation and is available to interested parties?	<input type="checkbox"/>
5.3 Organisational roles, responsibilities and authorities	4.4.1 Resources, roles, responsibility and authority	<p>This clause requires top management to ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organisation. Top management shall assign the responsibility and authority for:</p> <p>a) ensuring that the environmental management system conforms to the requirements of ISO 14001:2015 and b) reporting on the performance of the environmental management system, including environmental performance, to top management.</p> <p>Auditors will seek evidence that employees have not only been advised of their EMS responsibilities and authorities, but that they also understand these in the context of what the EMS is trying to achieve.</p>	Top management has assigned and communicated the responsibilities and authorities for the effective operation of the EMS including reporting on the performance of the environmental management system, including environmental performance, to top management?	<input type="checkbox"/>

6. Planning

ISO 14001:2015 Clause	ISO 14001:2004 Clause	Guidance	Readiness questions	
6.1 Actions to address risks and opportunities 6.1.1 General	New requirement	<p>Taking into consideration the internal and external issues (4.1), the requirements of interested parties (4.2) and the scope of your EMS you must determine the risks and opportunities related to your environmental aspects, compliance obligations that need to be addressed in order to provide assurance that the EMS can achieve its intended outcomes, to prevent or reduce undesired effects, and to achieve continual improvement.</p> <p>You must also determine potential emergency situations, including those that can have an environmental impact.</p>	We have a systematic approach / methodology in place that enables us to effectively determine and address risks and opportunities related to our environmental aspects, compliance obligations and other issues / requirements?	<input type="checkbox"/>
		<p>You must maintain documented information of the risks and opportunities that need to be addressed and the processes needed for clause 6.1.1 to 6.1.4, to the extent necessary to have confidence they are carried out as planned.</p>	We have identified the risks and opportunities that need to be addressed to give assurance that the EMS can achieve its intended results, to prevent undesired effects and to achieve continual improvement?	<input type="checkbox"/>
		<p>The risks and opportunities related to the environmental aspects and to the compliance obligations are specifically treated in two sub-clauses (6.1.2 and 6.1.3). But you may also have risks and opportunities related to other issues, such as environmental conditions that can affect or be affected by your organisation or compliance obligations not related to environmental aspects. For example:</p> <ul style="list-style-type: none"> • lack of available resources to maintain an effective EMS • climate change • increased flood risk caused by poor land management 	We maintain documented information of risks and opportunities that need to be addresses and the processes needed to the extent necessary to have confidence that actions are carried out as planned?	<input type="checkbox"/>
		<p>In order to manage these different groups of risks and opportunities you may decide to implement a single methodology to deal with all of them or, alternatively, have one methodology for each of them.</p> <p>Your auditor will seek evidence that you have a systematic approach in place that enables you to effectively identify risks and opportunities and that you are taking a planned approach to addressing threats and opportunities, and that any actions taken have been retained as documented information.</p>	We have determined potential emergency situations, including those that can have an environmental impact?	<input type="checkbox"/>

6.1.2 Environmental aspects	4.3.1 Environmental aspects	<p>The standard requires you to determine the environmental aspects of your activities, products and services that you can control and those that you can influence, and the related environmental impacts, considering a life cycle perspective.</p> <p>When determining environmental aspects, you must take into account:</p> <p>a) change, including planned or new developments, and new or modified activities, products and services; b) abnormal conditions and reasonably foreseeable emergency situations.</p> <p>You must then determine which of these aspects have or can have a significant environmental impact, using established criteria. It is important to note that significant environmental aspects can result in risks and opportunities with associated adverse or beneficial impacts.</p> <p>Finally you must communicate the significant environmental aspects among the various levels and functions of the organisation, as appropriate. You must also maintain documented information of:</p> <ul style="list-style-type: none"> • environmental aspects and associated environmental impacts; • criteria used to determine its significant environmental aspects; • significant environmental aspects. 	<p>We have identified and evaluated environmental aspects and impacts, and identified the risks and opportunities associated with adverse and beneficial impacts?</p>	<input type="checkbox"/>
		<p>Using established criteria we have determined which aspects have or can have a significant environmental impact?</p>	<input type="checkbox"/>	
		<p>We have communicated the significant environmental aspects among the various levels and functions of the organisation?</p>	<input type="checkbox"/>	
		<p>Documented information is available with regards to environmental aspects and associated environmental impacts; criteria used to determine significant environmental aspects and significant environmental aspects</p>	<input type="checkbox"/>	
6.1.3 Compliance obligations	4.3.2 Legal and other requirements	<p>The standard requires you to</p> <p>a) determine and have access to the compliance obligations related to your environmental aspects; b) determine how these compliance obligations apply to the organisation; c) take the compliance obligations into account when establishing, implementing, maintaining and continually improving your environmental management system.</p> <p>You must maintain documented information of your compliance obligations.</p> <p>Note that compliance obligations can result in risks and opportunities.</p>	<p>We have determined and have access to our compliance obligations related to environmental aspects?</p>	<input type="checkbox"/>
		<p>We determined how these compliance obligations apply to the organisation?</p>	<input type="checkbox"/>	
		<p>Documented information is available with regards to our compliance obligations?</p>	<input type="checkbox"/>	



6.1.4 Planning action	New requirement	<p>The standard requires you to plan to take action to address significant environmental aspects, compliance obligations and any other risks and opportunities identified previously.</p>	<p>We have established an action plan to address significant environmental aspects, compliance obligations and risks and opportunities?</p>	<input type="checkbox"/>
		<p>The standard requires a planned approach with respect to these actions, with the actions being integrated into the EMS or other business processes. Subsequently the action must be evaluated to determine whether the action was effective in reducing the threat or realising the opportunity.</p> <p>When planning these actions, you must consider your technological options, financial, operational and business requirements.</p>	<p>The actions have been integrated into the EMS or other business processes?</p>	<input type="checkbox"/>
6.2.1 Environmental objectives	4.3.3 Objectives, targets and programme(s)	<p>The standard requires you to establish environmental objectives at relevant functions and levels, taking into account the significant environmental aspects and associated compliance obligations, and considering risks and opportunities.</p>	<p>We have established environmental objectives at relevant functions and levels, taking into account the significant environmental aspects and associated compliance obligations, and considering risks and opportunities?</p>	<input type="checkbox"/>
		<p>The environmental objectives must be consistent with the environmental policy; measurable (if practicable); monitored; communicated and updated as appropriate.</p> <p>You must maintain documented information on the environmental objectives.</p>	<p>The environmental objectives must be consistent with the environmental policy; measurable (if practicable); monitored; communicated and updated as appropriate?</p>	<input type="checkbox"/>
		<p></p>	<p>Documented information is available on our environmental objectives?</p>	<input type="checkbox"/>

7. Support

ISO 14001:2015 Clause	ISO 14001:2008 Clause	Guidance	Readiness questions	
7.1 Resources	4.4.1 Resources, roles, responsibility and authority	<p>The standard requires you to determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the environmental management system. It is important to note that resources does not just mean people. Not all resources are tangible. Particular care should be taken to identify the different types of resources needed. This could be simply providing equipment for a laboratory or a drainage system, but it could also include the acquisition and maintenance of knowledge essential to keep the EMS moving in the right direction.</p>	We have provided adequate resources for the establishment, implementation, maintenance and continual improvement of the EMS?	<input type="checkbox"/>
7.2 Competence	4.4.2 Competence, training and awareness	<p>The standard requires you to determine the competency requirements for those people performing work under your control that affects your environmental performance and ability to meet compliance obligations.</p> <p>Once these competency requirements have been determined, you must then ensure that those people possess the necessary competencies, either on the basis of their education, training or experience. If people are found not to be competent, you must take action (e.g. remedial training, recruitment or the use of external people) in order to acquire the necessary competence. The actions taken need to be evaluated for effectiveness in raising competence to the required level.</p> <p>You must retain appropriate documented information as evidence of competence.</p> <p>The phrase “People performing work under its control” embraces not only your own personnel, but also contract and agency people, as well as people performing processes and functions that have been outsourced to external providers working either on site or off site.</p>	We have taken the necessary steps to determine the competence of relevant employees and external providers that can affect the EMS performance?	<input type="checkbox"/>
			We have appropriate documented information as evidence of competence?	<input type="checkbox"/>
			We have evaluated the effectiveness of competence improvement measures?	<input type="checkbox"/>
			Measures are in place to review and improve competence to reflect the changes to the EMS resulting from ISO 14001:2015?	<input type="checkbox"/>
7.3 Awareness	4.4.2 Competence, training and awareness	<p>The standard requires you to make those people performing work under the control of your organisation to be aware of your environmental policy, any environmental objectives that are relevant to them, how they are contributing to the effectiveness of the EMS and what the implications are of them not conforming to EMS requirements and not fulfilling your compliance obligations.</p> <p>Although there is no requirement to retain documented information your auditor will seek evidence that you are making people performing work under the control of your organisation aware of your environmental policy etc. as required by clause 7.3.</p>	We have promoted awareness of our environmental policy, objectives and environmental management, so that all those working under the our control are aware of the requirements as they affect them?	<input type="checkbox"/>

<p>7.4 communication 7.4.1 General 7.4.2 Internal communication 7.4.3 External communication</p>	<p>4.4.3 Communication</p>	<p>The standard requires you to establish, implement and maintain the process needed for internal and external communications relevant to the environmental management system, including a) on what you will communicate; b) when you will communicate; c) with whom to communicate and d) how you will communicate.</p>	<p>We have planned, implemented and maintain a communication process, operating internally and externally, taking into account compliance obligations and ensuring consistency with information generated by the EMS?</p>	<input type="checkbox"/>
		<p>When developing this process, you must take into account your compliance obligations and that environmental information communicated is consistent with information generated within the environmental management system, and is reliable. . The process has to ensure that all communications received are responded to.</p>	<p>Our communications process has established what we communicate, when we communicate, whom we communicate and how we communicate</p>	<input type="checkbox"/>
		<p>You must retain documented information as evidence of communications, as appropriate.</p>	<p>Communications are reliable and consistent with information generated by the EMS?</p>	<input type="checkbox"/>
		<p>Internally, the standard requires you to communicate information relevant to the EMS amongst all levels and functions, including information on any change, as appropriate, and have to establish a mechanism to enable all persons performing work under your control to contribute to continual improvement.</p>	<p>Documented information is available as evidence of communications.</p>	<input type="checkbox"/>
<p>7.5 Documented information</p>	<p>4.2 Documentation requirements</p>	<p>This clause requires that your environmental management system includes both documented information identified as required in ISO 14001:2015 and documented information identified by your organisation as necessary for the effective operation of your environmental management system.</p>	<p>We have established the documented information necessary for the effective implementation and operation of the EMS?</p>	<input type="checkbox"/>
		<p>Externally, the standard requires you to communicate information relevant to the environmental management system, as established by your communication process and as required by your compliance obligations.</p>	<p>We have established the documented information required by ISO 14001:2015?</p>	<input type="checkbox"/>
<p>7.5.2 Creating and updating</p>	<p>4.2.3 Control of documents 4.2.4 Control of records</p>	<p>When documented information is created or updated, you must ensure that it is appropriately identified and described (e.g. title, date, author, reference number). It must be in an appropriate format (e.g. language, software version, graphics) and on appropriate media (e.g. paper, electronic).</p>	<p>Our established documented information is appropriately identified and described, in an appropriate format and is available on appropriate media?</p>	<input type="checkbox"/>
		<p>Documented information must be reviewed and approved for suitability and adequacy.</p>	<p>Our established documented information has been reviewed and approved for suitability and adequacy?</p>	<input type="checkbox"/>



7.5.3 Control of documented Information	4.2.3 Control of documents 4.2.4 Control of records	This clause requires you to control documented information in order to ensure that it is available where and when needed and that it is suitable for use. It must also be adequately protected against improper use, loss of integrity and loss of confidentiality. Documented information retained as evidence of conformity must be protected from unintended alterations	Our documented information is available and suitable for use, where and when it is needed?	<input type="checkbox"/>
			Our documented information is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)?	<input type="checkbox"/>
			For the control of documented information, we have addressed activities such as distribution, access, retrieval and use, storage and preservation, including preservation of legibility, c) control of changes (e.g. version control) and retention and disposition of our documented information?	<input type="checkbox"/>
			Documented information of external origin determined to be necessary for the planning and operation of our quality management system is identified as appropriate, and is controlled?	<input type="checkbox"/>
			Documented information retained as evidence of conformity is protected from unintended alterations?	<input type="checkbox"/>

8. Operation

ISO 14001:2015 Clause	ISO 14001:2008 Clause	Guidance	Readiness questions	
8.1 Operational planning and control	4.4.6 Operational control	<p>The standard requires you to establish, implement, control and maintain the process needed to meet your EMS requirements and in order to implement the actions identified in clause 6.1 and 6.2.</p>	We have determined, planned and implemented control of the processes to meet the requirements of the EMS?	<input type="checkbox"/>
		<p>In order to do so, you have to establish operating criteria for those processes and implement control of the processes in accordance with the operating criteria.</p>	We control planned changes?	<input type="checkbox"/>
		<p>You must control planned changes to your EMS and review the consequences of any unintended changes, taking any action to address or mitigate any adverse effects as necessary.</p>	Actions are taken as needed to address the consequences of unplanned changes?	<input type="checkbox"/>
		<p>In relation to outsourced processes, you must ensure that they are controlled or influenced. The type and extent of control or influence to be applied to an outsourced process needs to be defined within the EMS.</p>	Processes are controlled to meet compliance obligations?	<input type="checkbox"/>
		<p>In relation to outsourced processes, you must ensure that they are controlled or influenced. The type and extent of control or influence to be applied to an outsourced process needs to be defined within the EMS.</p>	Outsourced processes are controlled or influenced?	<input type="checkbox"/>
		<p>In relation to a life cycle perspective, the standard requires you to:</p> <ul style="list-style-type: none"> • establish controls, as appropriate, to ensure that you environmental requirement(s) are addressed in the design and development process for the product or service, considering each life cycle stage; • determine your environmental requirement(s) for the procurement of products and services, as appropriate; • communicate the relevant environmental requirement(s) to external providers, including contractors; • 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 your products and services. 	Environmental requirements for the procurement of goods and services are determined as appropriate?	<input type="checkbox"/>
			Controls are established to ensure that environmental requirements are considered in design and development, taking a life-cycle perspective	<input type="checkbox"/>
		<p>Finally you must maintain documented information to the extent necessary to have confidence that the processes have been carried out as planned.</p>	Relevant environmental requirement(s) are communicated to external providers, including contractors?	<input type="checkbox"/>
		<p>Note: The life cycle stages include acquisition of raw materials, design, production, transportation/ delivery, use, end-of-life treatment and final disposal of product/service.</p>	We have considered 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 our products / services?	<input type="checkbox"/>

			Documented information is available to the extent necessary to demonstrate confidence that the processes have been carried out as planned?	<input type="checkbox"/>
8.2 Emergency preparedness and response	4.4.7 Emergency preparedness and response	<p>The standard requires you to establish, implement and maintain processes needed to prepare for and respond to emergency situations. This is one of the few instances where specific processes are mandated. The emergency situations to be covered are those identified in 6.1.1.</p> <p>These may originate within your organisation and have the potential to affect the environment, or may be an environmental condition that has the potential to affect your organisation for example flooding. Emergency preparedness and response processes may include the training of emergency brigades, a list of key personnel and aid organisations including contact details, evacuation routes and assembly points and the possibility of assistance from neighbouring organisations.</p> <p>You have to ensure that the processes are ready to be triggered and that you have the capability to respond effectively to emergency situations to prevent or mitigate adverse environmental impacts from emergency situations.</p> <p>You must periodically test the planned response actions where applicable and periodically review and revise the process(es) and planned response actions, in particular after the occurrence of emergency situations or tests.</p> <p>You must provide relevant information and training related to emergency preparedness and response, as appropriate, to relevant interested parties, including persons working under its control.</p> <p>Finally you must maintain documented information to the extent necessary to have confidence that the process(es) are carried out as planned.</p>	We have established and implemented a procedure specifying how we respond to a potential environmental emergency situations?	<input type="checkbox"/>
			We periodically test the planned response actions where practicable?	<input type="checkbox"/>
			We periodically review and revise the process (es) and planned response actions, after the occurrence of emergency situations or tests?	<input type="checkbox"/>
			We provide relevant information and training related to emergency preparedness and response, as appropriate, to relevant interested parties, including persons working under its control?	<input type="checkbox"/>
			Documented information is available to demonstrate that the process (es) is (are) carried out as planned?	<input type="checkbox"/>

9. Performance evaluation

ISO 14001:2015 Clause	ISO 14001:2008 Clause	Guidance	Readiness questions	
<p>9.1 Monitoring, measurement, analysis and evaluation</p> <p>9.1.1 General</p>	<p>4.5.1 Monitoring and measurement</p>	<p>The standard requires you to monitor, measure, analyse and evaluate your environmental performance.</p> <p>You must determine: a) what needs to be monitored and measured; b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results; c) the criteria against which you will evaluate your environmental performance, and appropriate indicators; d) when the monitoring and measuring shall be performed and e) when the results from monitoring and measurement shall be analysed and evaluated.</p> <p>You must ensure that calibrated or verified monitoring and measurement equipment is used and maintained, as appropriate.</p> <p>You must communicate relevant environmental performance information both internally and externally, as identified in your communication process(es) and as required by your compliance obligations.</p> <p>Finally you must retain appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results.</p>	We have determined what needs to be monitored and measured?	<input type="checkbox"/>
			We have determined the methods, criteria and frequency of monitoring?	<input type="checkbox"/>
			We have determined how and when to review monitoring results?	<input type="checkbox"/>
			We have determined what needs to be monitored	<input type="checkbox"/>
			Calibrated or verified monitoring and measurement equipment is used and maintained, as appropriate?	<input type="checkbox"/>
			Relevant environmental performance information is communicated both internally and externally?	<input type="checkbox"/>
			Documented information is available as evidence of the monitoring, measurement, analysis and evaluation results?	<input type="checkbox"/>
<p>9.1.2 Evaluation of compliance</p>	<p>4.5.2 Evaluation of compliance</p>	<p>The standard requires you to establish, implement and maintain the process(es) needed to evaluate fulfilment of your compliance obligations.</p> <p>You must determine the frequency that compliance will be evaluated; evaluate compliance and take action if needed and maintain knowledge and understanding of its compliance status.</p> <p>Finally you must retain documented information as evidence of the compliance evaluation result(s).</p>	We have establish, implement and maintain the process(es) needed to evaluate fulfilment of our compliance obligations?	<input type="checkbox"/>
			We have determined the frequency that compliance will be evaluated?	<input type="checkbox"/>
			We evaluate compliance and take action if needed and maintain knowledge and understanding of our compliance status?	<input type="checkbox"/>
			Documented information is available as evidence of the compliance evaluation result(s)?	<input type="checkbox"/>



9.2 Internal audit	4.5.5 Internal audit	<p>The standard requires you to continue to conduct internal audits at planned intervals to provide information on whether the environmental management system conforms to your own requirements for its environmental management system, the requirements of ISO 14001:2015.</p> <p>You must establish, implement and maintain an internal audit programme, including the frequency, methods, responsibilities, planning requirements and reporting of internal audits.</p> <p>When establishing the internal audit programme, you must take into consideration the environmental importance of the processes concerned, changes affecting your organisation and the results of previous audits.</p> <p>You are required to:</p> <ul style="list-style-type: none"> a) define the audit criteria and scope for each audit; b) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process; c) ensure that the results of the audits are reported to relevant management. d) retain documented information as evidence of the implementation of the audit programme and the audit results. 	We conduct internal audits at planned intervals to confirm that our EMS conforms to requirements?	<input type="checkbox"/>
			We have established, implemented and maintain an internal audit programme, including the frequency, methods, responsibilities, planning requirements and reporting of its internal audits?	<input type="checkbox"/>
			When establishing the internal audit programme, we take into consideration the environmental importance of the processes concerned, changes affecting our organisation and the results of previous audits?	<input type="checkbox"/>
			We define the audit criteria and scope for each audit?	<input type="checkbox"/>
			We select auditors and conduct audits to ensure objectivity and the impartiality of the audit process?	<input type="checkbox"/>
			We ensure that the results of the audits are reported to relevant management?	<input type="checkbox"/>
			Documented information is available as evidence of the implementation of the audit programme and the audit results?	<input type="checkbox"/>

<p>9.3 Management review</p>	<p>4.6 Management review</p>	<p>The standard requires reviews of the EMS to be undertaken by top management at planned intervals in order to ensure the EMS’s continuing suitability, adequacy and effectiveness. This is essentially unchanged from the existing ISO 14001:2004.</p> <p>The management review shall include consideration of:</p> <p>a) the status of actions from previous management reviews; b) changes in external and internal issues that are relevant to the environmental management system; the needs and expectations of interested parties, including compliance obligations; significant environmental aspects; risks and opportunities; c) the extent to which environmental objectives have been achieved; d) information on the organization’s environmental performance, including trends in nonconformities and corrective actions; monitoring and measurement results; fulfilment of its compliance obligations; audit results; e) adequacy of resources; f) relevant communication(s) from interested parties, including complaints; g) opportunities for continual improvement.</p> <p>The outputs of the management review must include:</p> <ul style="list-style-type: none"> • conclusions on the continuing suitability, adequacy and effectiveness of the environmental management system; • decisions related to continual improvement opportunities; • decisions related to any need for changes to the environmental management system, including resources; • actions, if needed, when environmental objectives have not been achieved; • opportunities to improve integration of the environmental management system with other business processes, if needed; • any implications for the strategic direction of the organization. <p>You must retain documented information as evidence of the results of management reviews.</p>	<p>Top management undertake reviews of the EMS at planned intervals?</p>	<input type="checkbox"/>
		<p>Our management review include consideration of the items listed in clause 4.6?</p>	<input type="checkbox"/>	
		<p>Management review output includes information relevant to the strategic direction of the organisation and for integration of the EMS into business processes?</p>	<input type="checkbox"/>	
		<p>Documented information is available as evidence of the results of management reviews?</p>	<input type="checkbox"/>	

10. Improvement

ISO 14001:2015 Clause	ISO 14001:2008 Clause	Guidance	Readiness questions	
10.1 General	New requirement	<p>Clause 10.1 is a new clause. It requires you to actively seek out and realise improvement opportunities that will better enable your organisation to achieve the intended outcomes of the EMS.</p> <p>Potential sources of improvement opportunities include the results of analysis and evaluation of environmental performance, evaluation of compliance, internal audits and management reviews (i.e. Clause 9).</p> <p>Improvement may not always take place on a continual basis. Sometimes it occurs as a result of corrective action, sometimes through breakthrough/ innovation and sometimes as a result of reorganisation.</p>	<p>Opportunities for improvement have been determined and actions implemented so that the EMS achieves its intended outcomes?</p>	<input type="checkbox"/>
10.2 Nonconformity and corrective action	New requirement	<p>This clause requires you take action when a nonconformity occurs. When nonconformity occurs you must take whatever action is necessary to control and correct the nonconformity, and to deal with any resultant consequences including mitigating adverse environmental impacts.</p> <p>Once this is complete you must then evaluate the need for action to eliminate the cause(s) of the nonconformity in order that it does not recur or occur elsewhere by reviewing and analysing the nonconformity, determining the causes of the nonconformity and determining if similar nonconformities exist, or could potentially occur.</p> <p>You must then implement any action needed, review the effectiveness of any corrective action taken, update risks and opportunities determined during planning, if necessary, make changes to the EMS as necessary.</p>	<p>We have established appropriate processes for managing nonconformities and the related corrective actions?</p>	<input type="checkbox"/>
		<p>Finally you must retain documented information as evidence of the nature of the nonconformities and any subsequent actions taken and the results of any corrective action.</p> <p>Auditors will seek evidence that, where nonconformities have been identified, an investigation has been conducted to determine whether other similar nonconformities actually do or potentially could exist elsewhere. They will also seek evidence that</p>	<p>Where nonconformity has occurred we have reacted to the nonconformity, evaluated the need for action to eliminate the causes(s), implemented any action needed and reviewed the effectiveness of any corrective actions taken?</p>	<input type="checkbox"/>



		<p>where a nonconformity has occurred, that you have considered whether it needs to make changes to the wider system to prevent a reoccurrence and if risk and opportunities during planning need updating.</p> <p>Auditors will no longer expect to find a documented corrective action procedure. However they will seek documentary evidence of the nature of the nonconformities and any subsequent actions taken and the results of any corrective action.</p>	<p>Documented information is available as evidence of the nature of the nonconformities and any subsequent actions taken and the results of any corrective action?</p>	<input type="checkbox"/>
10.3 Continual improvement	4.5.3 Nonconformity, corrective action and preventive action	<p>Clause 10.3 requires you to work to continually to improve your EMS in terms of its suitability, adequacy and effectiveness. Suitability and adequacy are new.</p> <p>As part of continual improvement, you should use the outputs from management review (see clause 9.3.3) to determine areas of underperformance and to identify any opportunities for improvement.</p>	<p>We have decided how we will address the requirement to continually improve the suitability, adequacy, and effectiveness of our EMS?</p>	<input type="checkbox"/>