

ISO 14001:2015 Gap Analysis & Readiness Checklist

Pre-Certification EMS Assessment Tool

Version: 1.0

Year: 2025

Prepared by: _____

Company: _____

1. Instructions for Use

This checklist is designed to assess the level of compliance of an organization's Environmental Management System (EMS) against ISO 14001:2015 prior to certification audit. It should be completed objectively with evidence-based assessment by competent personnel.

2. Scoring Methodology

Compliance is evaluated as Fully Compliant (100%), Partially Compliant (50%), Not Compliant (0%), or Not Applicable. Overall readiness is interpreted as follows: 85–100% Certification Ready, 65–84% Minor Gaps, below 65% Major Gaps.

Clause 4 – Context of the Organization

Audit Question	FC	PC	NC	NA	Evidence / Remarks
Internal & external issues identified	■	■	■	■	
Interested parties determined	■	■	■	■	
EMS scope defined	■	■	■	■	
Environmental conditions considered	■	■	■	■	
EMS established and maintained	■	■	■	■	

Clause 5 – Leadership

Audit Question	FC	PC	NC	NA	Evidence / Remarks
Top management commitment demonstrate	■	■	■	■	
Environmental policy established	■	■	■	■	
Roles and responsibilities defined	■	■	■	■	
EMS integrated into business processes	■	■	■	■	
Continual improvement promoted	■	■	■	■	

Clause 6 – Planning

Audit Question	FC	PC	NC	NA	Evidence / Remarks
Environmental aspects identified	■	■	■	■	
Compliance obligations identified	■	■	■	■	
Risks and opportunities addressed	■	■	■	■	
Environmental objectives set	■	■	■	■	
Plans to achieve objectives defined	■	■	■	■	

Clause 7 – Support

Audit Question	FC	PC	NC	NA	Evidence / Remarks
Resources provided	■	■	■	■	
Competence ensured	■	■	■	■	
Awareness promoted	■	■	■	■	
Communication processes defined	■	■	■	■	

Documented information controlled	■	■	■	■	
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Clause 8 – Operation

Audit Question	FC	PC	NC	NA	Evidence / Remarks
Operational controls implemented	■	■	■	■	
Procedures followed	■	■	■	■	
Contractor controls applied	■	■	■	■	
Emergency preparedness established	■	■	■	■	
Change management implemented	■	■	■	■	

Clause 9 – Performance Evaluation

Audit Question	FC	PC	NC	NA	Evidence / Remarks
Monitoring and measurement conducted	■	■	■	■	
Compliance evaluated	■	■	■	■	
Internal audits conducted	■	■	■	■	
Management review performed	■	■	■	■	
Records maintained	■	■	■	■	

Clause 10 – Improvement

Audit Question	FC	PC	NC	NA	Evidence / Remarks
Nonconformities identified	■	■	■	■	
Corrective actions implemented	■	■	■	■	
Root causes addressed	■	■	■	■	
Continual improvement demonstrated	■	■	■	■	

Summary Gap Analysis

This section summarizes clause-wise compliance, major gaps, and priority levels based on audit findings.

Clause	Compliance %	Major Gaps	Priority
Clause 4			High / Medium / Low
Clause 5			High / Medium / Low
Clause 6			High / Medium / Low
Clause 7			High / Medium / Low
Clause 8			High / Medium / Low
Clause 9			High / Medium / Low
Clause 10			High / Medium / Low

Corrective Action Planning

Corrective actions shall be defined for identified gaps with assigned responsibility and target dates.

Final Readiness Statement & Auditor Sign-off

Based on the gap analysis, the EMS readiness level is determined and recorded by the auditor.