ISO/IEC 14001:2015 Essentials Plus ISO Gap Analysis

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Date Finish:	2nd November 2024

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Purpose of this Report

The report outlines key findings from a gap analysis audit, focusing on critical processes surrounding environmental management across your management system.

A business management system serves as a structured approach employed by organisations to efficiently oversee operations and achieve specific objectives, resembling a well-organised set of processes guiding company operations.

This structured approach ensures seamless collaboration among various parts of the organisation, ensuring collective efforts are directed towards common objectives.

The evidence presented sheds light on how behaviour directly impacts risk, compliance, and business performance. This insight into your business operations empowers initiative-taking and well-informed decision-making, fostering overall business improvement.

The report visually represents the alignment between people's behaviour and your strategic or operational objectives, highlighting areas of emerging or active risk in achieving these objectives. The employed methodology seamlessly integrates traditional auditing methods with behavioural measurements, resulting in a comprehensive understanding of your business operations.

The results are shown against the following compliance requirements and performance indicators:

- ISO/IEC 14001:2015 Policies, documents, and behaviours across management system processes.

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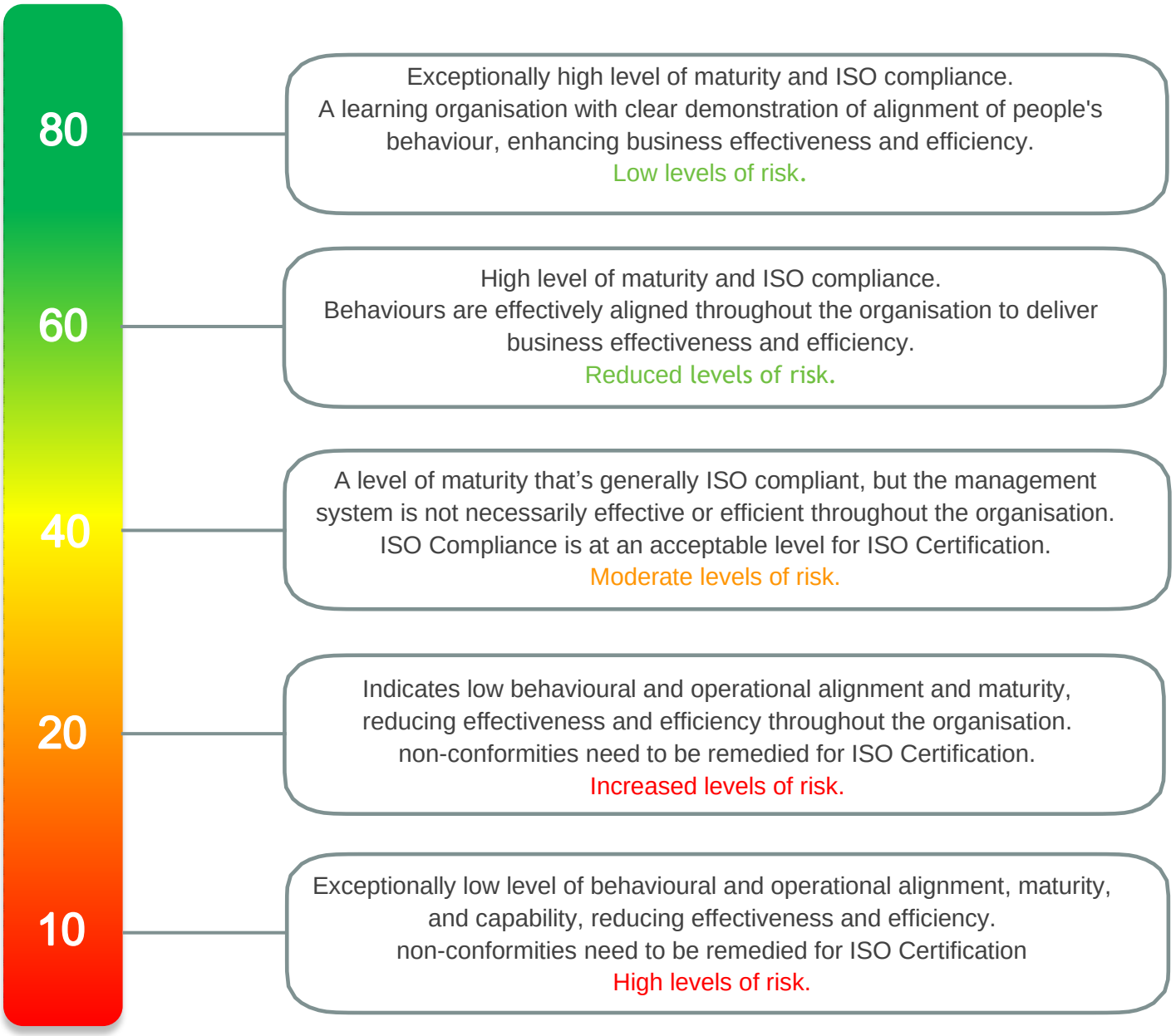
Performance Risk Maturity Model

The objective evidence provided by participants is evaluated and assigned a score from 0 to 100.

The results are measured against drivers of performance or critical success factors by which the performance of a management system, process, or subject is managed.

By using the maturity risk index below, the report identifies specific areas within the organisation that necessitate attention and improvement. It allows for a targeted and strategic approach to enhance overall performance and stakeholder value.



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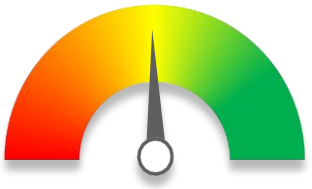
Score Summary

Overall Score



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The objective evidence provided by each participant/stakeholder is evaluated and assigned scores, these scores collectively form the overall maturity score.

Explanation of ISO/IEC 14001:2015 Clauses

ISO 14001 is organized into a series of clauses that outline the requirements for establishing, implementing, maintaining, and continually improving an Environmental Management System (EMS). These clauses are critical for ensuring a structured and effective approach to environmental management. Here's a breakdown of the main clauses, their importance, and the consequences of low scores in audits:

42 **Clause 4. Context of the Organisation**

24 **Clause 5. Leadership**

31 **Clause 6. Planning**

68 **Clause 7. Support**

55 **Clause 8. Operation**

43 **Clause 9. Performance Evaluation**

31 **Clause 10. Improvement**

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Clause 4 Overall Score

ISO/IEC 14001:2015

Context of the organisation

Clause 4 and
Sub-Clause Scores

42

Clause 4: Context of the Organisation

Clause 4 Defines the scope of the EMS based on the organisation's context, including internal and external factors. Central to this clause is the identification of key stakeholders and their expectations for environmental management. Once stakeholder understanding is established the organisation is required to ensure the EMS is aligned with the organisation's objectives.

Poor compliance of Clause 4 and its sub clauses can lead to: ISO certification failure, increased vulnerability to poor environmental management, misaligned EMS and organisation objectives, inefficiency, wasted resources, lack of strategic value, ineffective risk management, regulatory fines i.e. GDPR & HIPAA, gaps in scope, systems, processes, reputation damage, erosion of trust and lost business.

44

4.1 Context of the Organisation: Understanding the organisation and its context

This score indicates this clause exists and is applied in your management system to a level that is generally compliant with ISO requirements.

32

4.2 Context of the Organisation: Understanding the needs and expectations of interested parties

This is an area of non-compliance in an ISO audit.

38

4.3 Context of the Organisation: Determining the scope of the environmental management system

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

49

4.4 Context of the Organisation: Environmental management system and its processes

This score indicates that organisation has established, implemented, maintains and improves its EMS. There is still an opportunity to improve the stakeholder engagement, understanding of their role in the measurement and improvement of EMS across the organisation.

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Leadership
Clause 5 and Sub-Clause Scores

24

Clause 5 of ISO 14001 focuses on the role of leadership in establishing and supporting the Environmental Management System (EMS). This clause ensures that top management demonstrates a commitment to the EMS, integrates it into the organisation's processes, and aligns it with the organisation's strategic direction.

Poor compliance with Clause 5 undermines the EMS by weakening its foundation - leadership support and commitment. This can lead to ineffective implementation, lack of required resources, attention, or prioritisation with resulting in poorly implemented EMS, a weak security culture with heightened risks of poor environmental management, and reputational and financial losses. Ensuring robust leadership involvement is essential for the EMS to function effectively and achieve its objectives.

22

5.1 Leadership: Leadership and commitment

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

26

5.2 Leadership: Environmental Policy

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

23

5.3 Leadership: Organisational roles, responsibilities, and authorities

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

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Planning
Clause 6 and Sub-Clause Scores

Clause 6 Overall Score

Clause 6 of ISO 14001, the Planning section, is critical because it establishes the foundation for the EMS's effectiveness. This clause ensures that risks and opportunities are systematically identified and addressed, and that the EMS objectives align with organisational goals.

This clause focuses on identifying the risk management framework and analysing and treating risks to environmental management whilst aligning EMS with business objectives that are specific, measurable, relevant, and achievable whilst ensuring legal and regulatory compliance.

Planning goes on to support efficient resource allocation, e.g. time, budget, and personnel. By regularly facilitating clear objectives and assessment of achievement a learning culture can be fostered and complimented through internal audits and risk management benchmarks.

Poor planning can result in unmanaged risks, disjointed objectives, regulatory failures and fines, resource inefficiency, audit failures, and missed opportunities.

38

6.1 Planning: Actions to address risks and opportunities

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

23

6.2 Planning: Environmental objectives and planning to achieve them

This is an area of compliance and organisational risk as the environmental objectives and plans to achieve them have not been properly defined, aligned with the business strategy, monitored, or continuously improved.

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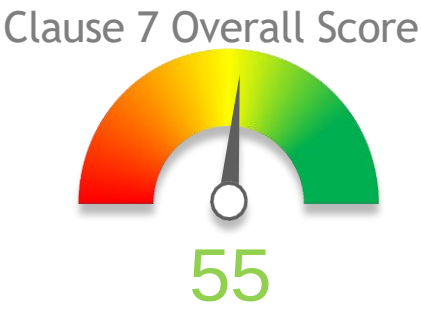
Support

Clause 7 and Sub-Clause Scores



Clause 7 of ISO 14001 focuses on the support aspects of the Environmental Management System (EMS). This clause ensures that the organisation provides the resources, competence, awareness, communication, and control of documented information necessary for the EMS to function effectively.

Effective support ensures adequate resources are available, necessary skills are identified, training and development, effectiveness of training, employees understand the importance of the EMS and the consequence of poor EMS capability and documentation.

Poor compliance can lead to insufficient resources to meet the EMS and organisation objectives, skills gaps, lack of awareness, communication failures, incomplete documentation and ability to adapt and sustain integrity of your EMS.

50

7.1 Support: Resources

This is an area of compliance and lower organisation risk as the scope and associated processes have been properly defined, applied across the business, monitored, and improved.

48

7.2 Support: Competence

This is an area of compliance and medium organisation risk as the scope and associated processes have been properly defined, applied across the business, monitored, and improved.

55

7.3 Support: Awareness

This is an area of compliance and lower organisation risk as the scope and associated processes have been properly defined, applied across the business, monitored, and improved.

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57

7.4 Support: Communication

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

56

7.5 Support: Documented information

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

56

7.5.1 Support: Documented information: General

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

55

7.5.2 Support: Documented information: Creating and updating

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

55

7.5.3 Support: Documented information: Control of documented information

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

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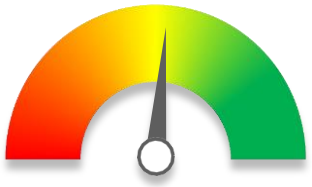
Operation

Clause 8 and Sub-Clause Scores



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Clause 8 of ISO 14001 focuses on Operation, which is where the Environmental Management System (EMS) is implemented and executed in daily activities. It ensures that the plans, risk assessments, and objectives developed in earlier clauses (such as Clauses 4, 5, and 6) are translated into actionable processes. This clause is critical for making the EMS functional and effective in real-world environments.

A key part of Clause 8 is that identified risks are addressed, risk monitoring is enabled and controlled, incident management and ability to respond and recover from incidents are effective, compliance is lived, evidence is provided for certification and regulatory bodies, and confidence is gained across stakeholders.

Poor operational capability can result in unmitigated risks as they remain untreated, exposing the organisation to operational disruptions. Policies aren't properly implemented, regulatory fines and loss of certification. When issues occur, incident response is often inadequate and resources, sales, and reputational damage can occur leading to a loss of trust.

52

8.1 Operation: Operational planning and control

This clause focuses on planning, implementing, and controlling the processes needed to meet performance requirements, including operational controls, design considerations, and procurement of services, products, and equipment.

58

8.2 Operation: Emergency preparedness and response

This clause focuses on defining, reviewing, and communicating the requirements for products and services to ensure they meet customer needs, statutory obligations, and organisational objectives.

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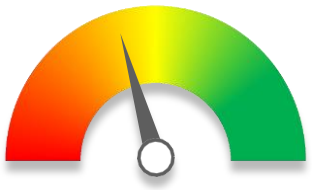
Performance Evaluation

Clause 9 and Sub-Clause Scores

Clause 9 Overall Score



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Clause 9 of ISO 14001 focuses on Performance Evaluation, which involves monitoring, measuring, analysing, and evaluating the effectiveness of the Environmental Management System (EMS).

This clause ensures that the EMS is functioning as intended and identifies areas for improvement. Its importance lies in ensuring that the EMS remains relevant, effective, and aligned with organisational goals over time.

Done effectively performance evaluation promotes continuous improvement, EMS evolves and remains effective, ensures controls are mitigating risks as planned, provides evidence for audits and management reviews, fosters informed decision making and leadership have the necessary insights, promotes accountability, and reduces regulatory fines and builds trust.

Poor performance evaluation wastes resource, stunts an organisation's ability to improve, increases risks of regulatory fines, and security breaches, audit nonconformities, and reputational damage.

44

9.1 Performance Evaluation: Monitoring, measurement, analysis, and evaluation

This is an area of compliance and medium organisation risk as the scope and associated processes have been defined, applied across the business, monitored, and improved.

43

9.1.1 Performance Evaluation: Internal Audit

This is an area of compliance and medium organisation risk as the scope and associated processes have been defined, applied across the business, monitored, and improved.

41

9.2 Performance Evaluation: Management Review

This is an area of compliance and medium organisation risk as the scope and associated processes have been defined, applied across the business, monitored, and improved.

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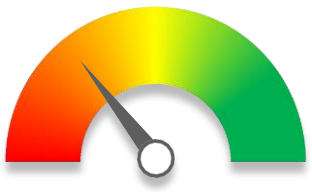
Continuous Improvement

Clause 10 and Sub-Clause Scores

Clause 10 Overall Score



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Clause 10 is essential because it ensures that the EMS is not static but continuously evolves to meet the organisation's needs and the changing threat landscape.

By requiring organisations to address non-conformities and pursue continual improvement, Clause 10 strengthens the EMS, enhances resilience, and builds trust with stakeholders.

Without a focus on improvement, the EMS risks becoming ineffective, outdated, and incapable of protecting the organisation's assets.

34

10.1 Improvement: General

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

28

10.2 Improvement: Nonconformity and corrective action

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

28

10.2 Improvement: Continual improvement

This is an area of non-compliance and organisation risk as the scope and associated processes have not been properly defined, applied across the business, monitored, or continuously improved.

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The Gap analysis revealed the following findings across all elements audited:

Major non-compliance. Not meeting mandatory requirements.	Non-compliance. Not meeting mandatory requirements.	Met mandatory requirements. BUT practices regarded as sub-optimal.	Good practices. Practices are effectively formed and mitigate risk	Mature and strong practices. Learning org. High levels of capability.
12	22	0	0	0

Consequences of Low Scores Across Clauses

Increased Risk of Environmental damage:
Inadequate implementation of the clauses can leave an organisation with poor environmental management.

Loss of Certification:
Persistent low scores in audits can lead to the loss of ISO 14001 certification, impacting reputation and customer trust.

Regulatory Non-Compliance:
Low scores may indicate failure to comply with legal and regulatory requirements, resulting in fines or legal action.

Reputational Damage:
Customers and stakeholders may lose confidence in the organisation's environmental management.

Operational Disruption:
Poor EMS implementation can lead to inefficiencies and decrease in management.

Financial Losses:
Poor management and non-compliance fines can result in significant financial impact.

How to Address Low Scores

Conduct root cause analysis for non-conformities.
Strengthen leadership commitment and allocate necessary resources.
Enhance employee training and awareness programs.
Regularly review and update risk assessments and treatment plans.
Implement a robust internal audit process to identify and correct issues proactively.

By effectively addressing the requirements of each clause, organisations can build a strong EMS, reduce risks, and ensure compliance with ISO 14001.

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ISO/IEC 14001:2015 Controls Review

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Disclaimer

This independent audit was conducted on a sampling basis and, therefore, non-conformities and risks may exist outside the evidenced witnessed, viewed, and analysed during this audit.

The data has been collected from the responses from the Client's participants and is consequently a reflection of the auditee not the opinion DeepFathom Ltd.

The descriptive analytics are for guidance only and internal audit review and does not substitute as an external third-party audit.

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