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Energy Management System – The ISO 50001:2018 – from ISO 50001:2011 Gap Analysis Checklist

This gap analysis checklist is prepared for use in evaluating your Energy Management System (EnMS) against the requirements of ISO 50001:2018 as you transition from ISO 50001:2011 to ISO 50001:2018. Each requirement is expressed as a question that the user (auditor / assessor) can ask to evaluate your energy capabilities. You will need to have copies of the ISO 50001:2018 and the ISO 50001:2011 standards to use along with this checklist so that you can refer to the requirements if necessary.

While the two versions of the standard do not line up when comparing the requirements:

- New requirements and / or new terminology are highlighted **in yellow**.
- The intent of the main clauses of the new standard is shown in **blue font**.
- The right-hand column in **green shade** is intended to provide reference / comparison / similarities to the ISO 50001:2011 requirements, and to identify and locate where in the new clauses, the former requirements are relevant.
- Comments highlighted in **bold red font** indicate removed requirements.

After you have prepared an audit schedule and assigned responsibility to your auditors for different areas or processes to audit, copy each section of the checklist for the auditors working with that section. As you work through the checklist take notes on what is in place, and what needs to be developed. In the space for 'currently in place', list or reference the procedures or other documents, or evidence that you have reviewed and that will provide information for the new EnMS. Take notes on the status of the documents, that is, 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 documented information is in place and 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 company needs to do to comply with ISO 50001:2018.

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ISO 50001:2018 – ENERGY MANAGEMENT SYSTEMS REQUIREMENTS	Currently in Place	Compliant YES / NO?	If NO - % Complete	Items Needed	ISO 50001:2011 Requirements
4 CONTEXT OF THE ORGANIZATION			4 Energy management system requirements		
<p>This first clause introduces two sub-clauses relating to the context of the organization, 1st of all is understanding the organization and its context and 2nd is understanding the needs and expectations of interested parties. Together they require that you determine the issues and requirements that can impact on the planning of the Energy Management System. In addition, the scope of the EnMS, and the processes to improve energy performance along with their applicability and interactions need to be determined.</p>					----
4.1 Understanding the organization and its context			4.1 General requirements		
As an organization, does your company determine external and internal issues that are relevant to your purpose?					4.1 a), c) Establish, document, implement, maintain and continually improve the EnMS in accordance with the ISO 50001:2011 standard and determine how it will fulfil requirements.
Do you consider the relevant issues that affect your ability to achieve the intended outcomes of the Energy Management System (EnMS)?					
4.2 Understanding the needs and expectations of interested parties					----
Has your company determined:					
<ul style="list-style-type: none"> • The interested parties that are relevant to the EnMS and to energy performance? 					

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• The relevant requirements (needs and expectations) of the interested parties?					
• Which of the needs and expectations become applicable legal requirements & other requirements?					
Has your company:					
----	4.4.2 Legal requirements and other requirements				
• Ensured that it has access to the applicable legal requirements and other requirements related to energy efficiency, energy use and energy consumption?					4.4.2 Identify, implement, and have access to the legal requirements and other requirements to which the company subscribes related to its energy use, consumption and efficiency.
• Determine how these requirements apply to energy efficiency, energy use and energy consumption?					4.4.2 The organization shall determine how these requirements apply to its energy use, consumption and efficiency.
• Ensured that the requirements are considered?					4.4.2 Ensure that legal requirements and other requirements are considered in establishing, implementing and maintaining the EnMS.
• Reviewed legal requirements and other requirements at defined intervals?					4.4.2 Legal requirements and other requirements are reviewed at defined intervals.
With reference to the note in 4.2:					
• For additional information on compliance					

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management do you refer to ISO 19600?					
4.3 Determining the scope of the energy management system					----
To establish the scope of the EnMS, does your company determine its boundaries and applicability?					4.1 b) Define and document the scope and boundaries of the EnMS.
When determining the scope of the EnMS, do you consider the:					
<ul style="list-style-type: none"> The external and internal issues per above 4.1? 					
<ul style="list-style-type: none"> The relevant interested parties per above 4.2? 					
Does your company ensure that it has the authority to control its energy efficiency, energy use and energy consumption within the scope and boundaries?					
<ul style="list-style-type: none"> Within the scope and boundaries, are all energy types included? 					
Is the scope of the EnMS maintained as documented information?					
4.4 Energy management system					----
Do you have the latest document for ISO 50001:2018?					4.1 Determine how the requirements of the standard will be met.

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<ul style="list-style-type: none"> As required by the ISO 50001 standard, do you establish, document, implement, maintain, and continually improve the EnMS? 					4.1 Establish, document, implement and maintain an EnMS and continually improve it.
<ul style="list-style-type: none"> Does your company determine the processes needed for the EnMS, their interactions and applications? 					4.1 Establish an EnMS -- and determine how the requirements of the standard will be met.
With reference to the note in 4.4:					
<ul style="list-style-type: none"> Do you recognize that the needed processes can differ from one company to another because of the size of organization, the type of activities, processes, products and services, the complexity of processes and their interactions, and the competence of the personnel? 					
5 Leadership				4.2 Management responsibility	
<p style="color: blue;">This clause requires that your top management demonstrates leadership and commitment with respect to the Energy management system. This section also asks top management to establish, implement and maintain an energy policy that is appropriate to your company and to ensure that the organizational roles, responsibilities, and authorities for relevant roles are assigned, communicated, and understood.</p>					----
5.1 Leadership and commitment				4.2.1 Top management	
Does the top management demonstrate leadership and commitment with respect to the EnMS by:					4.2.1 Top management demonstrates leadership and commitment with respect to the EnMS by: