www.iso-9001-checklist.co.uk

A gap analysis is a tool for seeing how your health and safety management system measures up to the requirements ISO 45001:2018. Its purpose is to help your business determine the gaps in respect to these requirements. A gap analysis should be conducted as an initial step in the process of achieving certification.

Gap Analysis Checklist

ISO 45001:2018 Self-assessment

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Gap Analysis Guidance

About this Gap Analysis Checklist

This gap analysis checklist highlights the requirements contained in ISO 45001:2018 but it is not intended to cover all of the requirements from the standard comprehensively, only an overview of them. The unique knowledge obtained about the status your existing health and safety management system will be a key driver of the subsequent implementation approach. Armed with this knowledge, it allows you to establish accurate budgets, timelines and expectations which are proportional to the state of your current management system when directly compared to the requirements of the standards.

Your organization may already have in place elements of a compliant OH&S management system, or you might be running an uncertified system. If this is the case, you will want to determine how closely your system conforms to the requirements ISO 45001:2018. The results of a gap analysis exercise will help to determine the differences, or gaps, between your existing management system and the new requirements. Not only will this analysis template help you to identify the gaps, it will also allow you to recommend how those gaps should be filled.

What Does a Gap Analysis Achieve?

Using the output of the gap analysis, you can develop a findings list, which can include additional tasks such as selecting and dealing with an accreditation or certification body. Not only will this gap analysis template help you to identify the gaps, it will also allow you to recommend how those gaps should be filled. Armed with this knowledge, it allows you to establish accurate budgets, timelines and expectations which are proportional to the state of your current management system when directly compared to the requirements of the standards.

The gap analysis output, in the form of a findings list provides a valuable baseline for the implementation process as a whole, and for measuring progress. Try to understand each business process in the context of each of the requirements by comparing different activities and processes with what the standard requires. At the end of this activity, you will have a list of activities and processes that comply and ones that do not comply. The latter now becomes the task list and the target of your implementation plan.

Using the Gap Analysis Checklist

This gap analysis checklist is aligned with the requirements of ISO 45001:2018, and it is imperative that gap analysis is undertaken with due reference to the standard. The gap analysis tool is divided into seven sections, which reflect the contents of ISO 45001:2018. The two gap analysis tools, Part A and Part B, listed below provide a structured framework to assess the current status of your OH&S management system in terms of fulfilling the ISO 45001 clauses:

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Part A comprises the gap analysis checklist which is aligned with the clauses of ISO 45001 and provides comments and notes to assist users, while Part B comprises the gap analysis findings list which details the gaps and proposed remedial actions that are required to close the identified gaps between ISO 45001 and your current management system.

Each question in the gap analysis checklist should be assessed by auditor for conformance to the requirements of ISO 45001, along with the auditor's knowledge of your organization's products, services, processes, and facilities; they will be able to make a judgement on conformity, using the criteria set out in the table below:

Finding	Meaning	Description
Comply	Complies with stated requirements	The organization has objective evidence to support the question, and/or
		The organization has a documented procedure or process
OFI	Improvement actions are needed to comply	The organization has objective evidence, but procedure or process needs improvement, and/or
		The organization has objective evidence, but no documented procedure or process, and/or
		The organization has a documented procedure, but is lacking some objective evidence to support the question
NC	Nonconformance	The organization has no objective evidence to support the question, and/or
		The organization is lacking a documented procedure or process, and/or
		The organization is lacking objective evidence to support compliance

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Gap Analysis Checklist – Part A

Complete the gap analysis checklist below and one full internal audit against the ISO 45001:2018 requirements prior to your organization's certification audit. Please complete the tables below which highlight some of the concepts and themes present in ISO 45001:2018. These concepts will bridge multiple processes, clauses, and functional areas. Ensure that the completed checklist and internal audit records are available prior to commencing formal assessment.

Clause 4 - Context of the Organization

4.1 Understanding the Organization and its Context

Firstly, the organization will need to determine external and internal issues that are relevant to its purpose i.e., what are the relevant issues, both inside and out, that have an impact on or affect its ability to achieve the intended outcome(s) of the OH&S management system. Importantly, issues should include not only environmental conditions that the organization affects but also those that it is affected by.

Ref	Gap Analysis Question	Gap Finding			Action Plan (if OFI or NC)		Notes
		Comply	**OFI** [1]	**NC** [2]	Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	Objective Evidence & Comments
1	Has your organization determined external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its OH&S management system? e.g., in minutes of meetings, strategic analysis, SWOT analysis etc.						
2	Is information on changes in the context systematically presented for Management Review?						
3	Have issues been considered as inputs to determine scope and for determination of risks and opportunities? Issues include conditions capable of affecting or being affected by your organization.						

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Gap Analysis Findings List – Part B

Implementation Plan

Where gaps have been identified these should be included in the findings list. This plan should detail the gaps and the actions to be taken (what, when and by whom) to correct and implement the outstanding OH&S management system components. The plan should define responsibilities of different departments and personnel and set target dates for the completion of tasks. Once approved, the Management Representative should control, review and update the plan as documentation and the implementation process proceeds.

Clause 4 - Context

Clause Ref	Description of Gap Identified	Proposed Remedial Action	Action Plan (if OFI or NC)			
			Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	Process Owner	Date Completed

Clause 5 - Leadership

Clause Ref	Description of Gap Identified	Proposed Remedial Action	Action Plan (if OFI or NC)			
			Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	Process Owner	Date Completed

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