



ISO 45001:2018 Occupational Health and Safety Management Systems Gap Analysis

This Gap Analysis toolkit is being provided to help you self evaluate the compliance of your existing Occupational Health and Safety Management Systems to ISO 45001:2018.

Note: This Gap Analysis is not intended to be a comprehensive verification of all the ISO 45001:2018 Standard requirements, however will assist you in understanding the effectiveness of your current OHS management system and identify gaps in processes not previously considered.

Gap Analysis for

Company Name:	
Date:	

Site Location

Address:			
City:		State:	
Country:		Postcode:	

Context of the Organization

4.1 Understanding the organization and its context

Has your organization identified:

- a) Internal issues; and
- b) External issues

That can have an impact on OHS performance

Select the closest indicative state

① ② ③ ④ ⑤

4.2 Understanding the needs and expectations of interested parties

Has your organization identified the relevant needs and expectations of:

- a) Interested parties
- b) Workers
- c) Potential compliance obligations

Select the closest indicative state

① ② ③ ④ ⑤

4.3 Determining the scope of the OHS management system

Has your organization determined the scope of the OHS Management system (i.e. what it covers)?
Consider the following:

- a) Workers
- b) Interested parties
- c) Compliance matters
- d) Type of work
- e) Internal and external issues
- f) Services and products provided

Select the closest indicative state

① ② ③ ④ ⑤

4.4 OHS management system

Does top management demonstrate leadership and commitment?
Consider the following:

- a) The provision of safe and healthy workplaces
- b) OHS policies and objectives
- c) Integrating your OHS requirements with your business processes
- d) Resourcing
- e) Employee communication
- f) Promoting continual improvement

Select the closest indicative state

① ② ③ ④ ⑤

Additional Notes (optional):

Leadership

5.1 Leadership and commitment

Does top management demonstrate leadership and commitment?

Consider the following:

- a) The provision of safe and healthy workplaces
- b) OHS policies and objectives
- c) Integrating your OHS requirements with your business processes
- d) Resourcing
- e) Employee communication
- f) Promoting continual improvement

Select the closest indicative state

① ② ③ ④ ⑤

5.2 OHS policy

Has top management established, implemented and maintained an OHS policy?

Consider the following:

- a) Relevant and appropriate policy to the specific nature of your organization
- b) Communicated within your organization
- c) Meets legal and other requirements
- d) Eliminate and reduce OHS hazards and risks
- e) Continual improvement

Select the closest indicative state

① ② ③ ④ ⑤

5.3 Organizational roles, responsibilities and authorities

Can your top management ensure responsibilities are assigned and communicated?

Consider the following:

- a) Continuous conformance to ISO 45001:2018
- b) Performance of the OHSMS is reported to top management

Select the closest indicative state

① ② ③ ④ ⑤

5.4 Consultation and participation of workers

Your organization has established, implemented and maintains processes for consultation and participation of workers.

Consider the following:

- a) Mechanisms, time, training and resources necessary
- b) Access to information about the OHS management system
- c) Reduced and/or removed barriers to participate

Select the closest indicative state

① ② ③ ④ ⑤

Additional Notes (optional):

Planning

6.1 Actions to address risks and opportunities

<p>Your organization has considered the context you operate under, the requirements of your interested parties and the scope of your organization?</p> <p>Consider the following:</p> <ul style="list-style-type: none">a) Risks and opportunitiesb) Documentation to address risks and realise opportunities	<p>Select the closest indicative state</p> <p>① ② ③ ④ ⑤</p>
<p>Your organization has established, implemented and can maintain processes to identify hazards?</p> <p>Consider the following:</p> <ul style="list-style-type: none">a) Routine and non-routine activitiesb) Past incidents and potential emergency situationsc) Workersd) Changes in knowledge of hazardse) Risks and opportunities	<p>Select the closest indicative state</p> <p>① ② ③ ④ ⑤</p>
<p>Has your organization established, implemented and can maintain processes to determine all legal and other requirements?</p> <p>Consider the following:</p> <ul style="list-style-type: none">a) Access to latest legal and other requirementsb) Application to your organizational context	<p>Select the closest indicative state</p> <p>① ② ③ ④ ⑤</p>
<p>Has your organization planned to:</p> <ul style="list-style-type: none">a) Address risk and opportunitiesb) Address legal and other requirementsc) Prepare for emergency situations	<p>Select the closest indicative state</p> <p>① ② ③ ④ ⑤</p>

Additional Notes (optional):

Support

7.1 Resources

Your organization has determined and provided the appropriate resources necessary to establish, implement, maintain and improve your OHS management system.

Select the closest indicative state

① ② ③ ④ ⑤

7.2 Competence

Has your organization identified and ensured the competence necessary for workers to perform effectively. Consider the following:

- a) Education, training and experience
- b) Maintaining competence
- c) Documentation

Select the closest indicative state

① ② ③ ④ ⑤

7.3 Awareness

Your organization has made it clear at every level of the organization of:

- a) The OHS policies and objectives
- b) Risks of not conforming to the OHS management system requirements
- c) Hazards, incidents and risks relevant to them and how to remove themselves from risk

Select the closest indicative state

① ② ③ ④ ⑤

7.4 Communications

Your organization communicates internally and externally relevant and consistent information. Consider the following:

- a) Legal and other requirements
- b) Various levels and functions within the organization
- c) Continual improvement opportunities

Select the closest indicative state

① ② ③ ④ ⑤

7.5 Documented Information

Does your organization's OHS management system include:

- a) Required documentation to meet compliance requirements
- b) Documentation necessary to maintain effectiveness
- c) Processes to create and update documented information
- d) Adequate control and protection of information to ensure confidentiality and integrity

Select the closest indicative state

① ② ③ ④ ⑤

Additional Notes (optional):

Operation

8.1 Operational planning and control

Does your organization's OHS management system include:

- a) Required documentation to meet compliance requirements
- b) Documentation necessary to maintain effectiveness
- c) Processes to create and update documented information
- d) Adequate control and protection of information to ensure confidentiality and integrity

Select the closest indicative state

① ② ③ ④ ⑤

8.2 Emergency preparedness and response

Has your organization established, implemented and can maintain processes necessary to respond to potential emergency situations?

Consider the following:

- a) Establish an incident plan
- b) Test planned response
- c) Adapt the plan
- d) Communicate to the relevant interested parties

Select the closest indicative state

① ② ③ ④ ⑤

Additional Notes (optional):

Performance Evaluation

9.1 Monitoring, measurement, analysis and performance evaluation

Does your organization effectively monitor, measure, analyse and evaluate performance?

Select the closest indicative state

Consider the following:

- a) Applicable methods that ensure valid responses
- b) Relevant criteria to evaluate OHS performance
- c) Timeframe to analyse and evaluate results
- d) Communicating results
- e) Compliance requirements

① ② ③ ④ ⑤

9.2 Internal Audit

Has your organization established an internal audit programme that measures:

Select the closest indicative state

- a) Conformance to your OHS management system requirements
- b) Requirements of the ISO 45001 Standard

① ② ③ ④ ⑤

9.3 Management Review

Part of your organization's performance evaluation includes your top management review of:

Select the closest indicative state

- a) OHS policy and objectives
- b) OHS performance
- c) Resources
- d) Communication
- e) Risks and opportunities

① ② ③ ④ ⑤

Additional Notes (optional):

Improvement

10.1 General

Your organization proactively identifies opportunities for improvement and takes the relevant actions necessary to realise these benefits

Select the closest indicative state

① ② ③ ④ ⑤

10.2 Incident, nonconformity and corrective action

When an incident or non-conformance occurs, your organization:

- a) Reacts in a timely manner
- b) Evaluate and eliminate the root cause
- c) Review existing process risks
- d) Implement corrective actions as required

Select the closest indicative state

① ② ③ ④ ⑤

10.3 Continual improvement

Your organization has integrated a continual improvement mindset across all aspects of the OHS management system, including:

- a) OHS performance
- b) Developing a continual improvement culture through worker participation
- c) Communicating the benefits of continually improving processes
- d) Providing evidence of continual improvement

Select the closest indicative state

① ② ③ ④ ⑤

Additional Notes (optional):

To find out more information on your certification journey to ISO 45001, visit www.saiglobal.com/iso45001