ISO 45001: 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.

Note: This Gap Analysis is not intended to be a comprehensive verification of all the ISO 45001 Standard requirements, however, will assist you in understanding the effectiveness of your current OH & S 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 Organisation

4.1 Understanding the organisation and its context

Has your organisation identified:

a) Internal issues; and
b) External issues
That can have an impact on OH & S performance

Select the closest indicative state

① ② ③ ④ ⑤

4.2 Understanding the needs and expectations of interested parties

Has your organisation 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 OH & S management system

Has your organisation 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 OH & S 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 OH & S 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) OH & S policies and objectives
c) Integrating your OH & S 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 OH & S policy?
Consider the following:

a) Relevant and appropriate policy to the specific nature of your organization
b) Communicated within your organisation
c) Meets legal and other requirements
d) Eliminate and reduce OH & S 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 OH & S management system
c) Reduced and/or removed barriers to participate

Select the closest indicative state

① ② ③ ④ ⑤

Additional Notes (optional):

6.1 Actions to address risks and opportunities

Your organisation has considered the context you operate under, the requirements of your interested parties and the scope of your organisation? Consider the following: a) Risks and opportunities b) Documentation to address risks and realise opportunities	Select the closest indicative state ① ② ③ ④ ⑤
Your organisation has established, implemented and can maintain processes to identify hazards? Consider the following: a) Routine and non-routine activities b) Past incidents and potential emergency situations c) Workers d) Changes in knowledge of hazards e) Risks and opportunities	Select the closest indicative state ① ② ③ ④ ⑤
Has your organization established, implemented and can maintain processes to determine all legal and other requirements? Consider the following: a) Access to latest legal and other requirements b) Application to your organizational context	Select the closest indicative state ① ② ③ ④ ⑤
Has your organisation planned to: a) Address risk and opportunities b) Address legal and other requirements c) Prepare for emergency situations	Select the closest indicative state ① ② ③ ④ ⑤

Additional Notes (optional):

Support

7.1 Resources

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

Select the closest indicative state

① ② ③ ④ ⑤

7.2 Competence

Has your organisation 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 organisation has made it clear at every level of the organisation of:

a) The OH & S policies and objectives
b) Risks of not conforming to the OH & S 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 organisation communicates internally and externally relevant and consistent information. Consider the following:

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

Select the closest indicative state

① ② ③ ④ ⑤

7.5 Documented Information

Does your organisation's OH & S 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 organisation's OH & S 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 organisation 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

intertek SAI GLOBAL

9.1 Monitoring, measurement, analysis and performance evaluation

Does your organisation effectively monitor, measure, analyse and evaluate performance? Consider the following:

a) Applicable methods that ensure valid responses

b) Relevant criteria to evaluate OH & S performance
c) Timeframe to analyse and evaluate results
d) Communicating results
e) Compliance requirements

Select the closest indicative state

① ② ③ ④ ⑤

9.3 Management Review

Part of your organisation's performance evaluation includes your top management

review of: a) OH & S policy and objectives
b) OH & S performance
c) Resources
d) Communication
e) Risks and opportunities

Select the closest indicative state

① ② ③ ④ ⑤

9.2 Internal Audit

Has your organisation established an internal audit programme that measures:

a) Conformance to your OH & S management system requirements
b) Requirements of the ISO 45001 Standard

Select the closest indicative state

① ② ③ ④ ⑤

Additional Notes (optional):

Improvement

10.1 Incident, nonconformity and corrective action

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

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

10.2 Continual improvement

Your organisation has integrated a continual improvement mindset across all aspects of the OH & S management system, including:

a) OH & S 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

10.3 General

Your organisation 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

Additional Notes (optional):

**To find out more information on your certification journey to ISO 45001, visit
https://saiassurance.com.au/occupational-health-and-safety-management-systems**

intertek SAI GLOBAL