




Gap Analysis



ISO 45001:2018
GAP ANALYSIS CHECKLIST





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 4 CONTEXT OF THE ORGANISATION			 DOCUMENT / INFORMATION REFERENCE
	YES	NO	
4.1 UNDERSTANDING THE ORGANISATION & ITS CONTEXT			
Have you determined external and internal issues that are relevant to your organisation's purpose and that affect its ability to achieve the intended outcomes of its OH&S management system?			
4.2 UNDERSTANDING NEEDS & EXPECTATIONS OF WORKERS & INTERESTED PARTIES			
Have you determined the interested parties, in addition to workers, that are relevant to the OH&S management system?			
Have you determined the relevant needs and expectations of these interested parties?			
Have you determined which of these needs and expectations are or could become your organisation's legal requirements?			
4.3 DETERMINING THE SCOPE OF THE OH&S MANAGEMENT SYSTEM			
Have you determined the boundaries and applicability of the OH&S management system to establish its scope?			

Has the scope of the OH&S management system been determined taking into account the external and internal issues, the requirements of interested parties and planned or performed work related activities.			
Is the OH&S management system scope defined and maintained as documented information?			
4.4 OH&S MANAGEMENT SYSTEM			
Does the OH&S management system include the activities, products and services within the organisation's control or influence that can impact the organisations OH&S performance?			
Have you established, implemented, maintained and continually improved an OH&S management system which includes all processes needed along with their interactions?			
			
5 LEADERSHIP & WORKER PARTICIPATION	YES	NO	DOCUMENT / INFORMATION REFERENCE
5.1 LEADERSHIP & COMMITMENT			
Has top management taken accountability for the prevention of work-related injury and ill health as well as the provision of safe and healthy workplaces/ activities?			
Are the OH&S policy and objectives established and compatible with the strategic direction of the organisation?			
Have the OH&S requirements been integrated into the organisation's business processes?			
Are resources needed to establish, implement, maintain and improve the OH&S management system available?			
Does top management communicate the importance of effective OH&S management and conforming to the management system?			
Do top management ensure that the OH&S management system achieves it's intended outcome?			




Does top management direct and supports persons to contribute to the effectiveness of the OH&S management system?			
Does top management promote continual improvement?			
Does top management support other relevant management roles so that they can demonstrate leadership as it applies to their areas of responsibility?			
Does top management develop, lead and promote a culture in the organisation that supports the intended outcome of the OH&S management system?			
Does top management protect workers from reprisal when reporting incidents, hazards, risks and opportunities?			
Has top management ensured that the organisation establishes and implements a process for consultation and participation of workers?			
Does top management support the establishment and functioning of health and safety committees?			
5.2 OH&S POLICY			
Does the OH&S policy include a commitment to provide safe and healthy working conditions for the prevention of work related injury and ill health?			
Does the OH&S policy provide a framework for setting OH&S objectives?			
Does the OH&S policy include a commitment to fulfil legal and other requirements?			
Does the OH&S policy include a commitment to eliminate hazards and reduce OH&S risks?			
Does the OH&S policy include a commitment to continual improvement of the OH&S management system?			

Does the OH&S policy include a commitment to consultation and participation of workers, and, where they exist, workers representatives?			
Is the OH&S policy maintained as documented information, communicated within the organisation and available to interested parties?			
Is the policy appropriate to the purpose, size and context of the organisation and to the specific nature of its OH&S risks and OH&S opportunities?			
5.3 ORGANISATIONAL ROLES, RESPONSIBILITIES & AUTHORITIES			
Has the top management ensured that the responsibilities and authorities for relevant roles are assigned, documented and communicated within the organisation?			
Has the top management assigned responsibility and authority for ensuring that the OH&S management system conforms to the requirements of the international standard?			
Has the top management assigned responsibility and authority for reporting on the performance of the OH&S management system?			
5.4 CONSULTATION & PARTICIPATION OF WORKERS			
Has the organisation established, implemented and maintained a process for consultation and participation of workers at all levels and functions in the development, planning, implementation, performance evaluation and actions for the improvement of the OH&S management system?			
Has the organisation provided mechanisms, time, training and resources necessary for consultation and participation?			
Has the organisation provided timely access to clear, understandable and relevant information about the OH&S management system?			

<p>Has the organisation determined and removed obstacles or barriers to participation and minimised those that cannot be removed?</p>			
<p>Has the organisation emphasised consultation with non-managerial workers on the following:</p> <ul style="list-style-type: none"> • Determining the needs and expectations of interested parties • Establishing the OH&S Policy • Assigning organisational roles, responsibilities and authorities as applicable • Determining how to fulfil legal requirements and other requirements • Establishing OH&S objectives and planning to achieve them • Determining applicable controls for outsourcing, procurement and contractors • Determining what needs to be monitored, measured and evaluated • Planning, establishing, implementing and maintaining an audit schedule • Ensuring continual improvement 			
<p>Has the organisation emphasised participation with non-managerial workers in the following:</p> <ul style="list-style-type: none"> • Determining the mechanisms for their consultation and participation • Identifying hazards and assessing risks and opportunities • Determining actions to eliminate hazards and reduce OH&S risks • Determining competence requirements, training needs, training and evaluating training • Determining what needs to be communicated and how this will be done • Determining control measures and their effective implementation and use • Investigation incidents and non-conformities and determining corrective action 			
 6 PLANNING	 YES	NO	 DOCUMENT / INFORMATION REFERENCE
6.1 ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES			
<p>Has the organisation considered its external and internal issues and the requirements of its interested parties within the scope and determined the risks and opportunities that need to be addressed?</p>			




<p>When determining risks and opportunities to the OH&S management system, has the organisation taken into account:</p> <ul style="list-style-type: none"> i. Hazards ii. OH&S risks and other risks iii. OH&S opportunities and other opportunities iv. Legal requirements and other requirements 			
<p>Has the organisation maintained documented information on:</p> <ul style="list-style-type: none"> i. Risks and opportunities? ii. The processes and actions needed to determine and address risks and opportunities to the extent necessary to have confidence that they are carried out as planned? 			
<p>Has the organisation established a process for hazard identification?</p>			
<p>Does the process take into account the following:</p> <ul style="list-style-type: none"> i. How work is organised, social factors, leadership and culture ii. Routine and non-routine activities iii. Past relevant incidents, including emergencies iv. Potential emergency situations v. People vi. Other issues vii. Actual or proposed changes in operations, activities and the OH&S management system viii. Changes in knowledge of, and information about hazards 			
<p>Has the organisation established a documented process to assess OH&S risk from the identified hazards, taking into account the effectiveness of existing controls?</p>			
<p>Has the organisation determined and assessed the other risks related to the establishment, implementation, operation and maintenance of the OH&S management system?</p>			
<p>Has the organisation established a process to assess OH&S opportunities to enhance OH&S performance?</p>			
<p>Has the organisation determined and have access to legal and other requirements applicable to its hazards, risks and OH&S management system?</p>			

Has the organisation determined how these legal and other requirements apply to the organisation and what needs to be communicated?			
Has the organisation taken the legal and other requirements into account when establishing, implementing, maintaining and continually improving the OH&S management system?			
Has the organisation maintained documented information on its legal and other requirements and updated as required?			
Has the organisation planned actions to address risks and opportunities, address legal and other requirements and prepare for and respond to emergency situations?			
Has the organisation planned how to integrate the actions into the OH&S management system processes and how to evaluate the effectiveness of these actions?			
Has the organisation taken into consideration the hierarchy of control when planning to take action as well as best practice, technological options, and financial, operational and business requirements?			
6.2 OH&S OBJECTIVES & PLANNING TO ACHIEVE THEM			
Are OH&S objectives established at relevant functions and levels?			
Are the objectives consistent with the policy, measurable, consider applicable requirements including the results of the assessment of risk and opportunities and the results of consultation with workers?			
Are the objectives monitored, communicated and updated as appropriate?			
When planning to achieve OH&S objectives, has the organisation determined what will be done, what resources will be required, who will be responsible, when it will be completed, how the results will be evaluated and how the actions to achieve the objectives will be integrated into the organisation's processes?			

Has the organisation maintained documented information on its objectives and the plans to achieve them?			
 7 SUPPORT			 DOCUMENT / INFORMATION REFERENCE
	YES	NO	
7.1 RESOURCES			
Has the organisation determined and provided the resources necessary for the establishment, implementation, maintenance and continual improvement of the OH&S management system?			
7.2 COMPETENCE			
Has the organisation determined the necessary competence of persons who can affect its OH&S performance?			
Does the organisation ensure that persons are competent (incl. the ability to identify hazards) on the basis of appropriate education, training or experience?			
Does the organisation, where applicable, take actions to acquire and maintain the necessary competence and evaluate the effectiveness of the actions taken?			
Does the organisation retain appropriate documented information as evidence of competence?			
7.3 AWARENESS			
Are workers aware of the OH&S policy and objectives?			
Are workers aware of their contribution to the effectiveness of the OH&S management system, including benefits of enhanced OH&S performance?			
Are workers aware of the implications and potential consequences of not conforming to the OH&S requirements?			
Are workers aware of incidents and the outcomes of investigations that are relevant to them?			




Are workers aware of hazards, OH&S Risks and actions determined that are relevant to them?			
Are workers aware of the ability to remove themselves from situations that present an imminent and serious danger to their life/health, as well as the arrangements for protecting them from the consequence of doing so?			
7.4 COMMUNICATION			
Has the organisation established, implemented process(es) for internal and external communications relevant to the OH&S management system?			
Does the communication process include what to communicate, when to communicate, with whom to communicate and how to communicate taking into consideration diversity aspects?			
Have the views of external interested parties been considered in establishing communication processes?			
Does the communication process take into account legal and other requirements and ensure that the information is communicated in a consistent way?			
Does the organisation respond to relevant communications on its OH&S management system?			
Has the organisation retained documented information as evidence of its communications?			
Does the organisation internally communicate OH&S information, including changes to the system and ensure that it's communication process enable workers to contribute to continual improvement?			
Does the organisation externally communicate information relevant to the OH&S management system and take into account it's legal and other requirements?			

7.5 DOCUMENTED INFORMATION			
Does the organisation have documented information on how documents within the organisation are created, updated and controlled?			
Are documented information of external origin which is necessary for the planning and operation of the OH&S management system identified and controlled?			

 8 OPERATIONS			 DOCUMENT / INFORMATION REFERENCE
	YES	NO	
8.1 OPERATIONAL PLANNING AND CONTROL			
Does the organisation plan, implement and control the processes needed to meet OH&S requirements and to implement the actions determined in clause 6?			
Has this been done by establishing criteria for the processes, implementing control of the processes in accordance with the criteria, maintaining and retaining documentation to give confidence that the processes have been carried out as planned and by adapting work to workers?			
Has the organisation established a process for the elimination of hazards and reduction of risk using the following hierarchy of control: i. Eliminate the hazard ii. Substitute with less hazardous processes, operations, materials or equipment iii. Use engineering controls and reorganisation of work iv. Use administrative controls, including training v. Use adequate personal protective equipment			
Does the organisation control planned changes and review the consequences of unintended changes, and take action to mitigate any adverse effects, as necessary?			
Does the control of planned changes take into consideration: i. new products, services and processes or a change to existing ii. changes to legal and other requirements iii. changes in knowledge or information about hazards and OH&S risks iv. developments in knowledge and technology			
Does the organisation ensure that the procurement of products and services is controlled to ensure conformity to its OH&S management system?			




Does the organisation coordinate its procurement processes with its contractors to identify hazards and to assess and control OH&S risks?			
Does the above take into account the following: i. Contractors activities and operations that impact the organisation ii. Organisation's activities and operations that impact the contractor's workers iii. Contractor's activities and operations that impact other interested parties in the workplace			
Does the organisation ensure that the requirements of its OH&S management system are met by contractors and their workers?			
Does the organisation's procurement process define and apply OH&S criteria for the selection of contractors?			
Does the organisation ensure that outsourced processes are controlled?			
Are outsourced arrangements consistent with legal and other requirements and with achieving the intended outcomes of the OH&S management system?			
8.2 EMERGENCY PREPAREDNESS & RESPONSE			
Does the organisation have a process to prepare and respond to potential emergency situations?			
Has a planned response to emergency situations including the provision of first been established?			
Has training been provided in the planned response including communicating and providing relevant information to all workers on their duties and responsibilities?			
Has the planned response been tested periodically to evaluate its performance and, as necessary, revise the planned response?			
Has relevant information been communicated to contractors, visitors, emergency response services, government authorities and, as appropriate, the local community?			

Has the organisation taken into account the needs and capabilities of all relevant interested parties and ensuring their involvement, as appropriate, in the development of the planned response?			
Does the organisation maintain documentation on the processes and plans for responding to potential emergency situations?			

			 DOCUMENT / INFORMATION REFERENCE
	YES	NO	
9 PERFORMANCE EVALUATION			
9.1 MONITORING, MEASUREMENT, ANALYSIS & EVALUATION			
Does the organisation monitor, measure, analyse and evaluate its safety performance?			
Does the organisation determine what needs to be monitored & measured, the methods of monitoring & measurement and the criteria against which the organisation will evaluate its safety performance?			
Does the organisation determine when monitoring & measuring shall be performed and when the results shall be analysed and evaluated?			
Does the organisation ensure that calibrated or verified monitoring and measurement equipment is used and maintained as appropriate? Is appropriate documented information retained?			
Does the organisation retain documented information as evidence of the monitoring, measurement, analysis and evaluation results?			
Has the organisation established, implemented and maintained a process needed to evaluate the fulfilment of its compliance obligations?			
Has the organisation determined the frequency and method for evaluation of compliance, evaluated compliance and taken action if needed, maintained knowledge and understanding of its compliance status with legal and other requirements?			
Does the organisation retain documented information as evidence of the compliance evaluation result?			

9.2 INTERNAL AUDIT			
Does the organisation maintain documentation on the processes and plans for responding to potential emergency situations?			
Does the audit confirm if the organisation conforms to the requirements of its own OH&S management system and the requirements of ISO45001?			
Does the audit confirm if the OH&S management system is effectively implemented and maintained?			
Has the organisation established, implemented and maintained an internal audit programme including frequency, methods, and responsibilities, planning requirements and reporting of its internal audits?			
Is the scope and audit criteria defined for each audit?			
Are auditors selected and audits conducted in a way that ensures objectivity and impartiality is maintained?			
Are results of the audits reported to relevant managers, workers, workers representatives (if applicable) and other relevant interested parties?			
Does the organisation take action to address nonconformities and continually improve its OH&S performance?			
Does the organisation retain documented information as evidence of the implementation of the audit programme and the audit results?			
9.3 MANAGEMENT REVIEW			
Are management reviews held at planned intervals and are results of the review retained as documented information as evidence?			

<p>Does the review include the following:</p> <ul style="list-style-type: none"> a) The status of actions from previous management reviews; b) Changes in external & internal issues that are relevant to the organisation's OH&S management system including: <ul style="list-style-type: none"> i. The needs and expectations of interested parties ii. Legal and other requirements iii. Risks and opportunities c) The extent to which the policy and objectives have been met; d) Information on OH&S performance including trends in: <ul style="list-style-type: none"> i. Incidents, nonconformities, corrective actions and continual improvement; ii. Monitoring and measurement results; iii. Results of an evaluation of compliance with legal and other requirements; iv. Audit results; v. Consultation and participation of workers vi. Risks and opportunities; e) Adequacy of resources; f) Relevant communication with interested parties; g) Opportunities for continual improvement; 			
<p>Has top management communicated the relevant outputs of management reviews to workers, and, where they exist, workers representatives?</p>			

 10 IMPROVEMENT			 DOCUMENT / INFORMATION REFERENCE
	YES	NO	
10.1 GENERAL			
<p>Does the organisation determine opportunities for improvement and implement necessary actions to achieve the intended outcomes of its OH&S management system?</p>			
10.2 INCIDENT, NON-CONFORMITY & CORRECTIVE ACTION			
<p>Does the organisation take control & correct incidents or nonconformities as they occur including dealing with the consequences?</p>			
<p>Does the organisation evaluate, with the participation of workers, the need for corrective action to eliminate the root cause by:</p> <ul style="list-style-type: none"> i. Investigating the incident or reviewing the nonconformity ii. determining the causes of incidents or nonconformity iii. Determining if similar incidents have occurred, nonconformities exist, or if they could potentially occur; 			

Does the organisation review existing assessments of OH&S risks and other risks, as appropriate?			
Has top management communicated the relevant outputs of management reviews to workers, and, where they exist, workers representatives?			
Does the organisation determine and implement any action needed, including corrective action, in accordance with the hierarchy of controls and the management of change?			
Does the organisation assess OH&S risks that relate to new or changed hazards, prior to taking action?			
Does the organisation review the effectiveness of corrective actions and make changes to the OH&S management system, if necessary?			
Does the organisation retain documented information as evidence of the nature of the incident or nonconformities and any subsequent actions taken and the results of any corrective action, including their effectiveness?			
Does the organisation communicate this documented information to relevant workers and other interested parties?			
10.3 CONTINUAL IMPROVEMENT			
Does the organisation continually improve the suitability, adequacy and effectiveness of the OH&S management system, by: i. Enhancing OH&S performance ii. Promoting a culture that supports an OH&S management system iii. Promoting the participation of workers in implementing actions for continual improvement iv. Communicating the results of continual improvement to workers v. Maintaining documented information as evidence of continual improvement?			

FURTHER INFORMATION

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