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

This gap analysis checklist is prepared for use in evaluating an Occupational Health and Safety Management System (OHSMS) against the requirements of the new international standard ISO 45001:2018. Each requirement is expressed as a question that the user (auditor / assessor) can use to evaluate your OH&S capabilities. You will need to have a copy of the new standard to use along with this checklist so that you can refer to the requirements and the guidance sections of Annex A. The intent of the main clauses of the new standard is shown in blue font.

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 OHSMS. 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 focus for this audit. Remember that the outcome of this audit should be a list of things that your company needs to do to comply with the ISO 45001:2018 standard.

---	OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEMS REQUIREMENTS	Currently in Place	Compliant YES / NO?	If No - % Completed	Items Needed
4	**CONTEXT OF THE ORGANIZATION**				
Intent of clause	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 workers and other interested parties. Together they require that you determine the issues and requirements that can impact on the planning of the OH&S Management System. In addition, the scope of the OH&S and the OH&S processes along with their applicability and interactions need to be determined.				
4.1	**Understanding the organization and its context**				
	As an organization, does your company determine external and internal issues that are relevant to your purpose?				

	Do you consider the relevant issues that affect your ability to achieve the intended outcomes of the OH&S Management System (OHSMS)?				
4.2	**Understanding the needs and expectations of workers and other interested parties**			
	Has your company determined:				
	• The other interested parties that are in addition to your workers, and that are relevant to the OHSMS?				
	• The relevant requirements (needs and expectations) of workers and the other interested parties?				
	• Which of the needs and expectations become applicable legal requirements & other requirements?				
4.3	**Determining the scope of the OH&S management system**				
	To establish the scope of the OHSMS, does your company determine its boundaries and applicability?				
	When determining the scope of the OH&S, do you consider the:				
	• The external and internal issues per above 4.1?				
	• The relevant interested parties per above 4.2?				
	• The work-related activities performed at your company?				

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	Does the OHSMS include activities, products and services that are within your control or your influence and that can impact OH&S performance?				
	Is the scope of the OHSMS available and maintained as documented information?				
4.4	**OH&S management system**				
	Do you have the latest document for ISO 45001:2018?				
	As required by the ISO 45001 standard, do you establish, document, implement, maintain, and continually improve the OHSMS?				
	Does your company determine the processes needed for the OHSMS, their interactions and applications?				
5	**LEADERSHIP AND WORKER PARTICIPATION**				
Intent of clause	This clause requires that your top management demonstrates leadership and commitment with respect to the OH&S management system. This section also asks top management to establish, implement and maintain an OH&S 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. In addition, your company is required to establish, implement and maintain systems for participation by and consultation with both non-managerial and managerial workers in dealing with the OHSMS.				
5.1	**Leadership and commitment**				
	Does the top management demonstrate leadership and commitment with respect to the OHSMS by:				
	• Taking overall responsibility and accountability for the prevention of work-related injury and ill-health				

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	and the provision of safe and healthy workplaces and activities?			
	• Ensuring that the OH&S policy and related OH&S objectives are established and are compatible with the strategic direction of the company?			
	• Ensuring the integration of the OHSMS processes and requirements into the company's business processes?			
	• Ensuring that the resources needed to establish, implement, maintain and improve the OHSMS are available?			
	• Ensuring that a process for consultation and participation of workers is established and implemented?			
	• Communicating the importance of effective OH&S management and of conforming to the OHSMS requirements?			
	• Ensuring that the OHSMS achieves its intended outcome(s)?			
	• Directing and supporting persons to contribute to the effectiveness of the OHSMS?			
	• Ensuring and promoting continual improvement of the OHSMS?			
	• Are improvement initiatives performed by systematically identifying and taking actions to			

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	address nonconformities, opportunities, and work-related hazards and risks, including deficiencies in the system?				
	• Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility?				
	• Developing, leading and promoting a culture in the company that supports the intended outcomes of the OHSMS?				
	• Protecting workers from reprisals when reporting hazards, risks and opportunities?				
	• Supporting the establishment and functioning of health and safety committees?				
	With reference to the note in 5.1.1				
	• In the ISO 45001 standard, do you broadly interpret references to business as meaning those activities that are core to the purposes of your company's existence?				
5.2	**OH&S policy**				
	Has the top management established, implemented and maintained an OH&S policy that:				
	• Includes a commitment to provide safe and healthy working conditions for the prevention of work-related injury and ill health and is appropriate to the purpose, the size and context of the organization				