Gap Analysis Guidance

ISO 14001:2015 & ISO 45001:2018

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1 Introduction

Building a health, safety and environmental management system (HSEMS) that meets the requirements of ISO 14001:2015 and ISO 45001:2018 can be a challenging project.

The gap analysis of your management system will provide a high-level overview of your current system against the requirements of the standard. It is an ideal solution for organizations that need to measure their current state of compliance against the standard and to identify the actions required to address any gaps.

The gap analysis checklist is not intended to be a comprehensive verification of all the ISO 14001 and ISO 45001 standard requirements; however, it will assist you in understanding the effectiveness of your current management system and identify gaps in processes not previously considered.

1.1 Businesses With an Existing Management System

For businesses with an existing health, safety and quality management system, you may decide to keep your current management system and simply amend and adapt it where necessary. Some of you may take this as an opportunity for a complete revamp of the management system. If you have an existing management system, then you should:

1. Determine your resourcing requirements to include additional training. (e.g., attending a Managing ISO 14001 and ISO 45001, or an Internal Auditing course?);
2. Undertake a thorough gap analysis of the existing HSE management system and supporting business processes using the Gap Analysis Checklists. Consider all questions in sections 4 to 10 and provide references to your documented information (as appropriate) in the corresponding column;
3. Develop the Gap Analysis Action Plan. This is the output of the gap analysis and should outline the timeline of actions required to close the gaps;
4. Once the health, safety and quality management system has been updated, 'run' the system for at least 4 months to embed it into the organization, identify and address nonconformities, and implement any improvement opportunities;
5. Engage with your Certifying body to arrange certification!

The implementation of a formal management system is best handled as a specific project that is led by someone with project management experience. Ideally, they should be a key member of the organization's management team and have sufficient authority and trust of the personnel involved. In the ideal situation, this person will also be the Management Representative, but skills in project management are highly beneficial.

1.2 Businesses Without a Management System

For businesses without a formal health, safety and quality management system, conducting a gap analysis is a critical step as it identifies the current status of the existing management system relative to the standard, and it provides a foundation for planning the development and implementation of the HSE management system. If you do not have a management system, then you should:

1. Review the standards to understand the key requirements;
2. Determine your resourcing requirements to include additional training. (e.g., attending a Managing ISO 14001 and ISO 45001, or an Internal Auditing course?);

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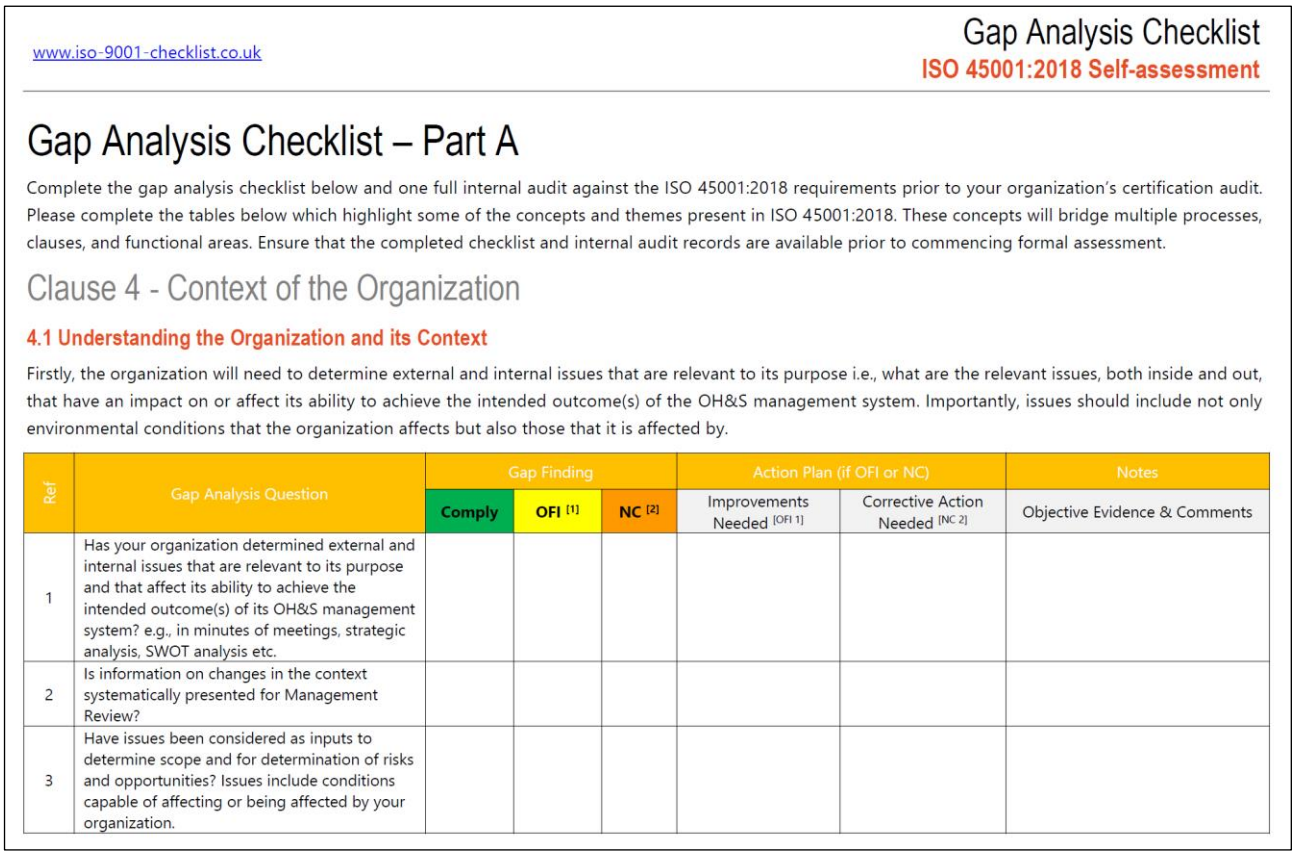
The three gap analysis tools, Part A, Part B, and Part C, listed below provide a structured framework to assess the current status of an HSE management system in terms of fulfilling the clauses:

1.4.1 Part A - Gap Analysis Checklist

Part A comprises the gap analysis checklist which is aligned with the ISO clauses and provides comments and notes to assist users. Use the gap analysis checklist to compare the requirements of the standard against your organization's existing management system. Each question in the checklist refers to a requirement that must be met in order to comply.

The gap analysis checklist is divided into seven sections, which reflect the contents of the standards. The requirements are paraphrased, and the user must take care to review the standard to understand all specific requirements.

The 'Comply' box should be ticked when the objective evidence demonstrates conformity. The 'NC' box should be ticked if the objective evidence demonstrates a nonconformity. An 'Opportunity for Improvement' (OFI) may exist in the same question, but an OFI may not be issued for an issue that does not conform.



www.iso-9001-checklist.co.uk

Gap Analysis Checklist
ISO 45001:2018 Self-assessment

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.						

Each question in the gap analysis checklist should be assessed by the auditor for conformance to the requirements of ISO 14001 and ISO 45001, along with the auditor's knowledge of your organization's products, services, processes, and facilities; they will be able to make a judgment on conformity, using the criteria set out in the table below:

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