Gap Analysis Guidance

ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018

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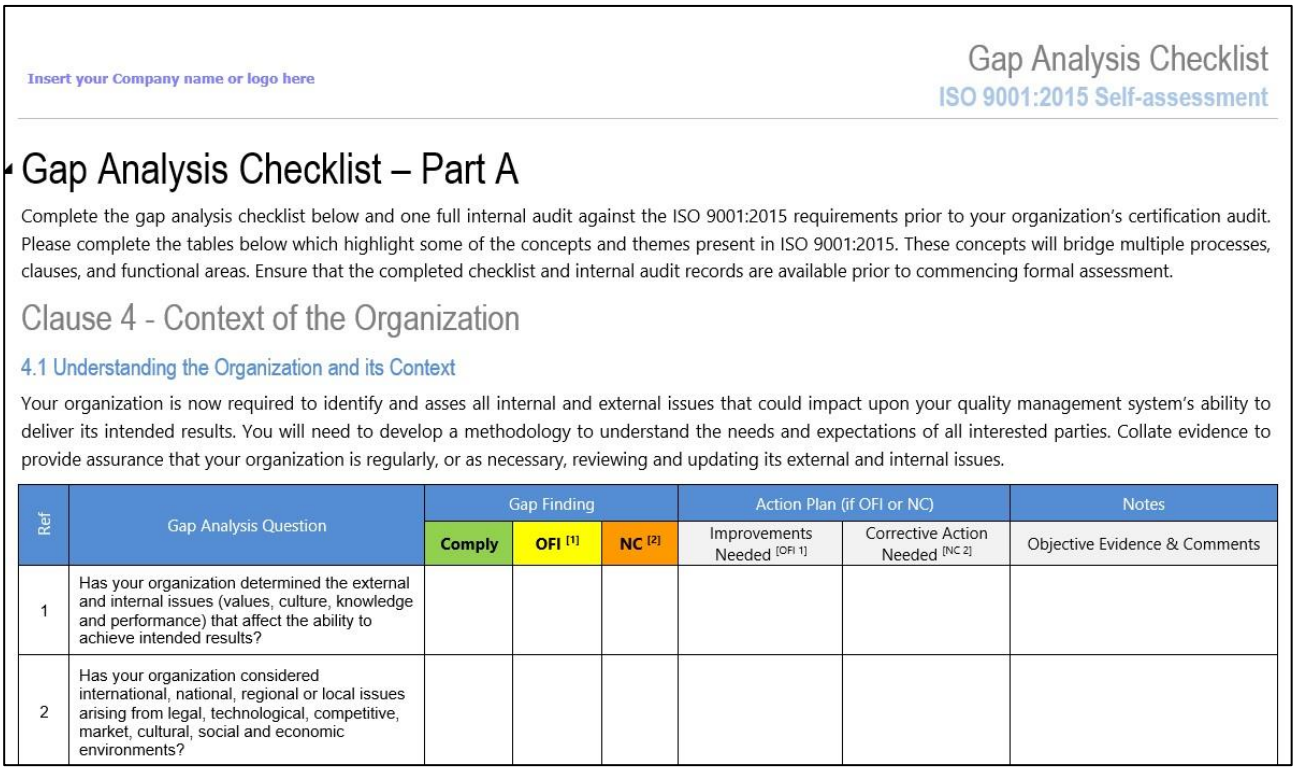
The three gap analysis tools, Part A, Part B, and Part C, listed below provide a structured framework to assess the current status of an HSEQ management system in terms of fulfilling the clauses:

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.



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Gap Analysis Checklist
ISO 9001:2015 Self-assessment

Gap Analysis Checklist – Part A

Complete the gap analysis checklist below and one full internal audit against the ISO 9001:2015 requirements prior to your organization's certification audit. Please complete the tables below which highlight some of the concepts and themes present in ISO 9001:2015. 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

Your organization is now required to identify and asses all internal and external issues that could impact upon your quality management system's ability to deliver its intended results. You will need to develop a methodology to understand the needs and expectations of all interested parties. Collate evidence to provide assurance that your organization is regularly, or as necessary, reviewing and updating its external and internal issues.

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 the external and internal issues (values, culture, knowledge and performance) that affect the ability to achieve intended results?						
2	Has your organization considered international, national, regional or local issues arising from legal, technological, competitive, market, cultural, social and economic environments?						

Each question in the gap analysis checklist should be assessed by the auditor for conformance to the requirements of ISO 9001, 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:

Finding	Meaning	Description
Comply	Complies with stated requirements	The organization has objective evidence to support the question
		The organization has a documented procedure or process

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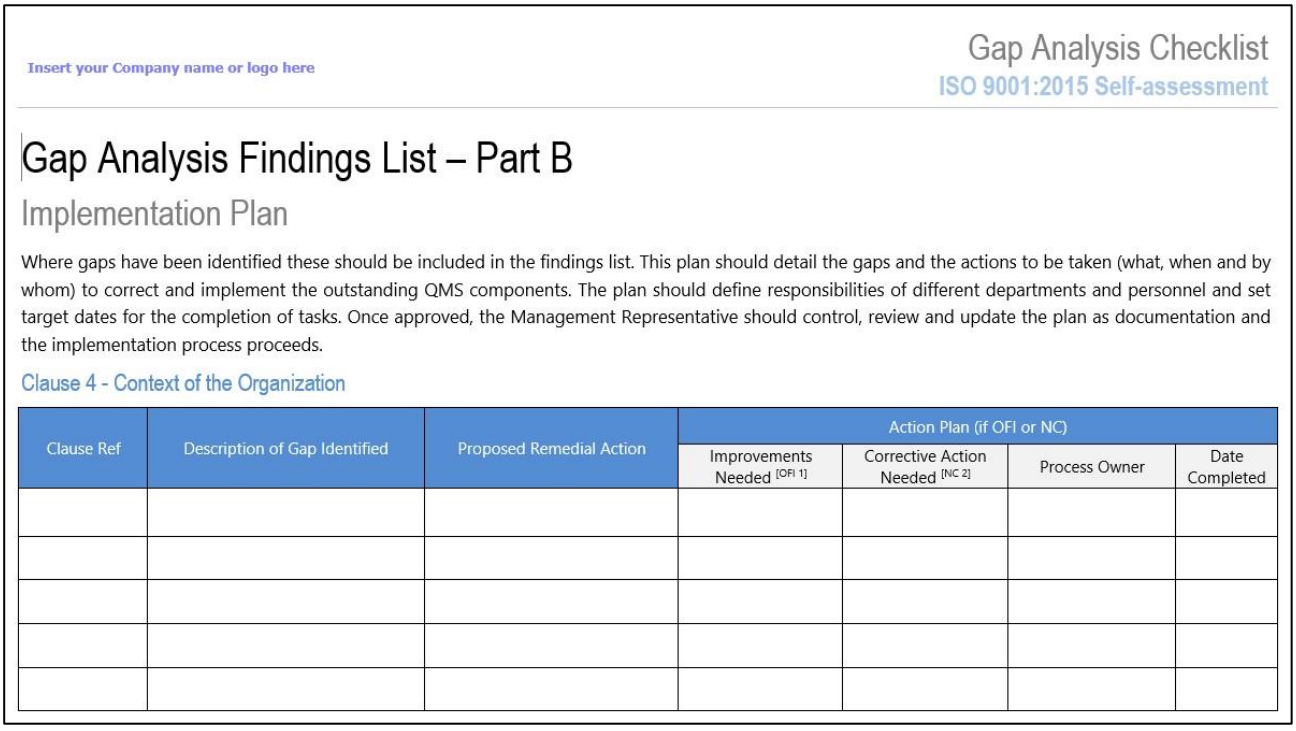
Finding	Meaning	Description
OFI	Improvement actions are needed to comply	The organization has objective evidence, but the procedure or process needs improvement
		The organization has objective evidence but no documented procedure or process,
		The organization has a documented procedure but lacks some objective evidence to support the question
NC	Nonconformance	The organization has no objective evidence to support the question
		The organization lacks a documented procedure or process
		The organization lacks objective evidence to support compliance

1.4.2 Part B - Findings List

Part B comprises the gap analysis findings list, which details the gaps and proposes remedial actions that are required to close the identified gaps between ISO 9001, 14001 and ISO 45001 and your current management system. It provides a clear description of the resources, tasks, and processes required and an indicative timing and sequencing of key tasks and responsibilities.



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Gap Analysis Checklist

ISO 9001:2015 Self-assessment

Gap Analysis Findings List – Part B

Implementation Plan

Where gaps have been identified these should be included in the findings list. This plan should detail the gaps and the actions to be taken (what, when and by whom) to correct and implement the outstanding QMS components. The plan should define responsibilities of different departments and personnel and set target dates for the completion of tasks. Once approved, the Management Representative should control, review and update the plan as documentation and the implementation process proceeds.

Clause 4 - Context of the Organization

Clause Ref	Description of Gap Identified	Proposed Remedial Action	Action Plan (if OFI or NC)			
			Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	Process Owner	Date Completed

1.4.3 Part C - Gap Analysis Action Plan

Part C comprises a basic Gantt Chart that illustrates the work to be completed over a period of time in relation to the time planned for the work. It includes two sections; the left-hand side outlines a list of tasks from Part B, while the right side has a timeline with schedule bars that visualize work.

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