Gap Analysis Checklist

ISO 45001:2018 Self-assessment

Occupational Health and Safety Management System — ISO 45001:2018

A gap analysis is a tool for seeing how your health and safety management system measures up to the requirements ISO 45001:2018. Its purpose is to help your business determine the gaps in respect to these requirements. A gap analysis should be conducted as an initial step in the process of achieving certification.

Gap Analysis Guidance

About this Gap Analysis Checklist

This gap analysis checklist highlights the requirements contained in ISO 45001:2018 but it is not intended to cover all of the requirements from the standard comprehensively, only an overview of them. The unique knowledge obtained about the status your existing health and safety management system will be a key driver of the subsequent implementation approach. Armed with this knowledge, it allows you to establish accurate budgets, timelines and expectations which are proportional to the state of your current management system when directly compared to the requirements of the standards.

Your organization may already have in place elements of a compliant OH&S management system, or you might be running an uncertified system. If this is the case, you will want to determine how closely your system conforms to the requirements ISO 45001:2018. The results of a gap analysis exercise will help to determine the differences, or gaps, between your existing management system and the new requirements. Not only will this analysis template help you to identify the gaps, it will also allow you to recommend how those gaps should be filled.

What Does a Gap Analysis Achieve?

Using the output of the gap analysis, you can develop a findings list, which can include additional tasks such as selecting and dealing with an accreditation or certification body. Not only will this gap analysis template help you to identify the gaps, it will also allow you to recommend how those gaps should be filled. Armed with this knowledge, it allows you to establish accurate budgets, timelines and expectations which are proportional to the state of your current management system when directly compared to the requirements of the standards.

The gap analysis output, in the form of a findings list provides a valuable baseline for the implementation process as a whole, and for measuring progress. Try to understand each business process in the context of each of the requirements by comparing different activities and processes with what the standard requires. At the end of this activity, you will have a list of activities and processes that comply and ones that do not comply. The latter now becomes the task list and the target of your implementation plan.

Using the Gap Analysis Checklist

This gap analysis checklist is aligned with the requirements of ISO 45001:2018, and it is imperative that gap analysis is undertaken with due reference to the standard. The gap analysis tool is divided into seven sections, which reflect the contents of ISO 45001:2018. The two gap analysis tools, Part A and Part B, listed below provide a structured framework to assess the current status of your OH&S management system in terms of meeting the ISO 45001 clauses:

Part A comprises the gap analysis checklist which is aligned with the clauses of ISO 45001 and provides comments and notes to assist users, while Part B comprises the gap analysis findings list which details the gaps and proposed remedial actions that are required to close the identified gaps between ISO 45001 and your current management system.

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

Gap Finding	Meaning	Description
Comply	Complies with stated requirements	The organization has objective evidence to support the question, and/or the organization has a documented procedure or process
OFI	Opportunity for Improvement — improvement actions are needed to comply	The organization has objective evidence, but the procedure or process needs improvement; or the organization has objective evidence but no documented procedure or process; or the

Endeavour Technical Limited © 2026. All rights reserved

Gap Finding	Meaning	Description
		organization has a documented procedure but is lacking some objective evidence to support the question
NC	Nonconformance — action required	The organization has no objective evidence to support the question; or the organization is lacking a documented procedure or process; or the organization is lacking objective evidence to support compliance

SAMPLE

Endeavour Technical Limited © 2026. All rights reserved

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 conditions that the organization affects but also those that it is affected by, such as the working environment, the workforce and changes in legal requirements.

Ref	Gap Analysis Question	Gap Finding			Action Plan (if OFI or NC)		Objective Evidence & Comments
		Comply	OFI [1]	NC [2]	Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	
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.						

4.2 Understanding the Needs and Expectations of Interested Parties

An organization will also need to identify the 'interested parties' relevant to their OH&S management system and their needs. These could include customers, communities, suppliers and non-government organizations and may change over time.

Ref	Gap Analysis Question	Gap Finding			Action Plan (if OFI or NC)		Objective Evidence & Comments
		Comply	OFI [1]	NC [2]	Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	
4	Has your organization determined: 1. Interested parties in addition to workers that are relevant to the OH&S management system; 2. Relevant needs and expectations (i.e., requirements) of these interested parties; 3. Those needs and expectations that become legal or other requirements.						
5	Have both internal and external						

SAMPLE

Endeavour Technical Limited © 2026. All rights reserved

	parties been considered?						
6	Is information on changes in the context systematically presented for Management Review?						

4.3 Determining the Scope of the Management System

Look for confirmation that your organization has determined the boundaries and applicability of the OH&S management system to establish its scope with reference to any external and internal issues referred to in 4.1 and the requirements of relevant interested parties referred to in 4.2.

Ref	Gap Analysis Question	Gap Finding			Action Plan (if OFI or NC)		Objective Evidence & Comments
		Compl y	OFI [1]	NC [2]	Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	
7	Is the scope of the OH&S management system documented and available to interested parties?						
8	Have you determined the boundaries and applicability of the OH&S management system to establish your scope?						
9	When determining the scope of the OH&S management system how did you consider: 1. The external and internal issues referred to in 4.1? 2. The requirements of relevant interested parties referred to in 4.2? c) Take into account the planned or performed work related activities?						

4.4 OH&S Management System

The last requirement of Section 4 is to establish, implement, maintain and continually improve the OH&S management system in accordance with the requirements of the standard. This requires your organization to systematically define and manage processes and their interactions so as to achieve the intended results in accordance with both the policy and strategic direction. The outputs of the activities listed may include process flow maps, interrelationships, authority and responsibilities, performance data, etc.

Ref	Gap Analysis Question	Gap Finding			Action Plan (if OFI or NC)		Objective Evidence & Comments
		Compl y	OFI [1]	NC [2]	Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	
10	Does your organization use the knowledge gained from 4.1 and 4.2 to establish and maintain its OH&S management system?						
11	Have the processes (inputs/outputs and sequences/interactions) required to deliver the intended outcomes been determined?						

Clause 5 — Leadership

5.1 Leadership and Commitment

This clause is all about the role of “top management” which is the person or group of people who directs and controls the organization at the highest level. The purpose is to demonstrate leadership and commitment by integrating OH&S management into business processes.

Endeavour Technical Limited © 2026. All rights reserved

SAMPLE

Ref	Gap Analysis Question	Gap Finding			Action Plan (if OFI or NC)		Objective Evidence & Comments
		Comply	OFI [1]	NC [2]	Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	
12	How does Top management demonstrate leadership and commitment with respect to the OH&S management system?						
13	Do they take an active and leading role and understand their duties in relation to the OH&S management system and are participating in promoting and supporting effective safety management?						

5.2 OH&S Policy

Top management must demonstrate a greater involvement in the management system and need to establish the OH&S policy, which can include commitments specific to an organization's context beyond those directly required, such as the 'provision of safe and healthy working conditions'. Communication is key and top management have a responsibility to ensure the OH&S management system is made available, communicated, maintained and understood by all parties.

Ref	Gap Analysis Question	Gap Finding			Action Plan (if OFI or NC)		Objective Evidence & Comments
		Comply	OFI [1]	NC [2]	Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	
14	Is the OH&S policy compatible with strategic direction and the context of your organization?						
15	Does it include a commitment to provide safe and healthy working conditions for the prevention of work-related injury and ill health, and other specific commitments relevant to the context of your organization?						

5.3 Organizational Roles, Responsibilities and Authorities

Top management need to assign relevant responsibilities and authorities, highlighting two particular roles concerning OH&S management system conformance to ISO 45001 and reporting on safety performance. You should develop and make available to all employees a list of key personnel and their job descriptions, responsibilities, along with an organizational chart of key employees as they relate to the management system.

Ref	Gap Analysis Question	Gap Finding			Action Plan (if OFI or NC)		Objective Evidence & Comments
		Comply	OFI [1]	NC [2]	Improvements Needed [OFI 1]	Corrective Action Needed [NC 2]	
16	Does top management ensure that the responsibilities and authorities for relevant roles within the OH&S management system are assigned, available as documented information, communicated and understood at all levels within the organization?						
17	Do workers assume responsibility for those aspects of the OH&S management system for which they have control?						
18	Has top management assigned the responsibility and authority for:						

Endeavour Technical Limited © 2026. All rights reserved

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 OH&S management system components. The plan should define responsibilities of different departments and personnel and set target dates for the completion of tasks. Once approved, the EHS Manager should control, review and update the plan as documentation and the implementation process proceeds.

Clause 4 — Context

Clause Ref	Description of Gap Identified	Proposed Remedial Action	OFI [1]	NC [2]	Process Owner	Date Completed

Clause 5 — Leadership

Clause Ref	Description of Gap Identified	Proposed Remedial Action	OFI [1]	NC [2]	Process Owner	Date Completed

Clause 6 — Planning

Clause Ref	Description of Gap Identified	Proposed Remedial Action	OFI [1]	NC [2]	Process Owner	Date Completed

Clause 7 — Support

Clause Ref	Description of Gap Identified	Proposed Remedial Action	OFI [1]	NC [2]	Process Owner	Date Completed

SAMPLE

Endeavour Technical Limited © 2026. All rights reserved

Clause Ref	Description of Gap Identified	Proposed Remedial Action	OFI [1]	NC [2]	Process Owner	Date Completed

Clause 8 — Operation

Clause Ref	Description of Gap Identified	Proposed Remedial Action	OFI [1]	NC [2]	Process Owner	Date Completed

Clause 9 — Performance Evaluation

Clause Ref	Description of Gap Identified	Proposed Remedial Action	OFI [1]	NC [2]	Process Owner	Date Completed

Clause 10 — Improvement

Clause Ref	Description of Gap Identified	Proposed Remedial Action	OFI [1]	NC [2]	Process Owner	Date Completed

SAMPLE

Endeavour Technical Limited © 2026. All rights reserved