

The gap analysis checklist is one of the first tools available from the auditor's toolbox. The self-assessment questions will help you to identify gaps between your existing Health & Safety Management System and the requirements of OHSAS 18001:2007.

Gap Analysis Checklist

Table of Contents

GUIDANCE.....	2
ABOUT THIS CHECKLIST	2
SUMMARY OF KEY CHANGES	ERROR! BOOKMARK NOT DEFINED.
Process Approach	Error! Bookmark not defined.
Context of the Organization	Error! Bookmark not defined.
Scope of the Quality Management System	Error! Bookmark not defined.
Leadership	Error! Bookmark not defined.
Risks and Opportunities	Error! Bookmark not defined.
Products and Services	Error! Bookmark not defined.
Control of Externally Provided Products & Services	Error! Bookmark not defined.
Documented Information	Error! Bookmark not defined.
Non-conforming Processes.....	Error! Bookmark not defined.
HOW TO MAKE THE CHANGES	ERROR! BOOKMARK NOT DEFINED.
EXISTING ISO 9001:2008 DOCUMENTATION	ERROR! BOOKMARK NOT DEFINED.
SELF-ASSESSMENT CHECKLIST.....	3
CONTEXT OF THE ORGANISATION	3
LEADERSHIP	5
PLANNING	6
SUPPORT	9
OPERATION	11
PERFORMANCE EVALUATION	14
IMPROVEMENT	15

Guidance

About this Checklist

This gap analysis checklist highlights the requirements contained in OHSAS 18001:2007, and is not intended to cover all of the requirements from OHSAS 18001:2007 comprehensively. The unique knowledge obtained about the status your existing quality 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 an ISO 9001:2008 compliant quality 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 9001:2015. 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.

The gap analysis output 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 list now becomes the target of your implementation plan.

Self-assessment Checklist

General Requirements

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
1	Has the organization established, documented, implemented and maintained and continually improved an H&S management system in accordance with the requirements?							
2	Has the organization determined how it will fulfil these requirements?							
3	Has the organization determined defined and documented the scope of its H&S management system?							
4	Has the organization established an appropriate health and safety policy?							
5	Has the organization identified the health and safety hazards arising from its past, existing or planned activities, products and services, in order to determine the health and safety risks of significance?							
6	Has the organization Identified applicable legal requirements and other requirements to which it subscribes?							
7	Has the organization identified priorities and set appropriate health and safety objectives and targets?							

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Gap Analysis Checklist

OHSAS 18001:2007 Self-assessment

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
8	Has the organization established a structure and program(s) to implement the policy and achieve objectives and meet targets?							
9	Has the organization facilitated planning, control, monitoring preventive and corrective actions, auditing and review activities to ensure both that the policy is complied with and that the H&S management system remains appropriate?							
10	Is the organization capable of adapting to changes in circumstances?							

Health & Safety Policy

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
11	Is the health and safety policy documented and authorized by top management?							
12	Is the policy is appropriate to the nature and the scale of the organization's health and safety risks?							
13	Does the policy include a commitment to continual improvement?							
14	Does the policy include a commitment to comply with applicable legislation and other requirements to which the organization subscribes?							
15	Is the policy implemented?							
16	Is the policy effectively communicated in the organization and employees are aware of their H&S obligations?							
17	Is the policy made available to all interested parties?							
18	Is the policy periodically reviewed for suitability?							

Planning

Planning for Hazard Identification, Risk Assessment and Risk Control

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
19	Is a procedure for the identification of hazards and assessment of risks established and is the methodology defined?							
20	Do risk assessment procedures cover routine-non routine activities; personnel having access to the workplace (visitors, subcontractors)?							
21	Does the methodology provide for the classification of risks and identification of those that are to be eliminated or controlled?							
22	Does the methodology provide input into the determination of the facility requirements, identification of training needs and development of operational controls?							
23	Do risk assessment results demonstrate that all the activities and facilities were covered and risks were evaluated?							
24	Does the process link to operational control procedures?							
25	Are results of hazard identification and risk assessments considered while setting health and safety objectives?							

Gap Analysis Checklist

OHSAS 18001:2007 Self-assessment

Legal and other Requirements

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
26	Is a procedure established for identifying and accessing legal requirements?							
27	Are requirements other than legal requirements identified?							
28	Is the information concerning applicable legislation and other requirements kept up-to-date?							
29	Is relevant information on legal and other requirements is communicated to employees and other interested parties?							

Objectives, Targets and Programme(s)

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
30	Are documented health and safety objectives established for each relevant function?							
31	Are the results of hazard identification and risk assessments are considered while setting health and safety objectives? (see 4.3.1.)							

Gap Analysis Checklist

OHSAS 18001:2007 Self-assessment

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
32	Are H&S objectives established and they consistent with the commitment to continual improvement?							
33	Are programmes for achieving health and safety objectives are established and reviewed at regular and planned intervals?							
34	Are responsibilities, means and timeframe for achieving objectives are documented?							
35	Are health and safety management programmes are amended to address changing circumstances?							

Gap Analysis Checklist

OHSAS 18001:2007 Self-assessment

Support

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
18	Has the organisation determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the QMS (including people, environmental and infrastructure requirements)?							
19	If monitoring or measuring is used for evidence of conformity of products and services to specified requirements, has the organisation determined the resources needed to ensure valid and reliable monitoring and measuring of results?							
20	Has the organisation determined the knowledge necessary for the operation of its processes and achievement of conformity of products and services and implemented a lessons learnt process?							
21	Has the organisation ensured that those persons who can affect the performance of the QMS are competent on the basis of appropriate education, training, or experience or taken action to ensure that those persons can acquire the necessary competence?							

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Gap Analysis Checklist

OHSAS 18001:2007 Self-assessment

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
22	Has the documented information required by the standard and necessary for the effective implementation and operation of the QMS been established?							

Operation

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
23	Is there a defined process for the provision of products and services that meet requirements defined by the customer?							
24	When changes are planned are they carried out in a controlled way and actions taken to mitigate any adverse effects?							
25	Are any outsourced processes managed and controlled?							
26	Is there a defined process for reviewing and communicating with customers in relation to information relating to products and services, enquiries, contracts or order handling?							
27	Is this review conducted prior to the organisation's commitment to supply products and services?							
28	If you design and develop products or services, are these processes established and implemented in line with the requirements of the standard?							

Gap Analysis Checklist

OHSAS 18001:2007 Self-assessment

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
29	Do you ensure that externally provided processes, products, and services conform to specified requirements?							
30	Do you have criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers?							
31	Is the provision of products and services carried out in controlled conditions which include: ☐ the availability of documented information that defines the characteristics of the products and services; ☐ the availability of documented information that defines the activities to be performed and the results to be achieved? ☐ monitoring and measurement activities at appropriate stages to verify that criteria for control of processes and process outputs, and acceptance criteria for products and services, have been met? ☐ the people carrying out the tasks are competent?							

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Gap Analysis Checklist

OHSAS 18001:2007 Self-assessment

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
32	Do you have effective methods of ensuring traceability during the operation process?							
33	Where property belonging to customers or external providers is used in the provision of the product or service, is this controlled effectively?							
34	If there is a requirement for post-delivery activities associated with the products and services such as warranty, maintenance services, recycling or final disposal, are these defined and managed?							
35	Are any nonconforming process outputs managed so as to prevent their unintended use?							

Performance Evaluation

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
36	Has the organisation determined what needs to be monitored and measured and the methods for monitoring, measurement, analysis and evaluation, to ensure valid results?							
37	Has it established when the results from monitoring and measurement shall be analyzed and evaluated?							
38	Have methods of monitoring customer perceptions of the provision of products and services been established?							
39	Has it determined the need or opportunities for improvements within the QMS and how these will be fed into management reviews?							
40	Has the organisation established a process for an internal audit of the QMS?							
41	Has an approach to perform management reviews been established and implemented?							

Improvement

Ref	Gap Analysis Question	Finding		Implementation Plan (if No)				
		Yes	No	ISO Clause	Process Owner	Action Needed	Date Planned	Date Actual
42	Has the organisation determined and selected opportunities for improvement and implemented the necessary actions to meet customer requirements and enhance customer satisfaction?							
43	Does the organisation operate appropriate processes for managing nonconformities and the related corrective actions?							
44	Has the organisation decided on how it will address the requirement to continually improve the suitability, adequacy, and effectiveness of the QMS?							