

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 ISO 45001:2018 Management System and the requirements of ISO 45003:2021

Gap Analysis Psychological & Psychosocial Risks

ISO 45001:2018 & ISO 45003:2021

Introduction

This document provides a matrix that correlates the new requirements of ISO 45003:2021 to ISO 45001:2018. Some additional emphasis to psychosocial risk is given in the clauses already existing in 45001. There are new clauses in ISO 45003 specific to psychosocial risk management. ISO 45003.

ISO 45003 is a guidance standard. It does not include any requirements. It is intended to complement the requirements in ISO 45001 and guide organizations on how to address OH&S issues relating to psychological health within their general OH&S management system.

Gap Analysis Checklist

ISO 45001:2015		ISO 45003:2021 New clauses	Evidence/Action Required		
			Guidance	Action Owner	Due Date
4.1	Understanding the Organisation and its Context	4.1.1 4.1.2 4.1.3	These clauses require an organisation to consider external issues and internal issues that can affect achievement of the intended outcomes of the OHSMS. e.g. context of the workplace, process to manage psychosocial risk, economic conditions, demographics of workers, technological changes, workers' terms and conditions		
4.2	Understanding the Needs and Expectations of Interested Parties	Additional emphasis	Psychosocial risks should be understood, e.g. financial security, personal development, equal opportunity		
4.3	Determining the Scope of the OHSMS	Additional action	Psychosocial risks need to be specifically addressed in the OHSMS		
4.4	OHS Management System	Additional action	OHSMS is appropriate for psychosocial risks		
5.1	Leadership and Commitment	Additional emphasis	Commitment, resources, protection for psychosocial interested parties, communication participation both ways.		
5.2	OHS Policy	5.2.1 5.2.2	Includes an additional action to make all organisational policies relevant to psychosocial risks		

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5.3	Organisational Roles, Responsibilities and Authorities	Additional emphasis	Top management to clarify roles & responsibilities for managing psychosocial risks		
5.4	Consultation & Participation of workers	Additional emphasis	Encourage consultation, participation, feedback, involvement in decision making for planning, implementation, maintenance and continual improvement		
6.1	Actions to Address Risks & Opportunities	6.1.1.1 6.1.1.2 6.1.1.3	Planning for psychosocial risks, return to work strategies, establish objectives, commitment to go beyond legal requirements, the needs and expectations of workers, resources needed and management review		
6.1.2	Hazard identification and assessment of risks & opportunities	6.1.2.1.1 6.1.2.1.2 6.1.2.1.3	Establish, implement & maintain proactive processes to Identify psychosocial hazards including aspects of how the work is organised, social factors at work, work environment, equipment and hazardous tasks (many examples included in tables in the Standard). Thereafter assess these risks and seek opportunities to reduce risks		
6.2	Objectives to address psychosocial risk	Change to clause	Establish measurable psychosocial objectives, plan & implement		
7.1	Resources	Additional emphasis	Provide and maintain relevant resources		
7.2	Competence	7.2.1 7.2.2	Provide competence at all levels, including top management to identify psychosocial hazards & manage risks,		
7.3	Awareness	7.3.1 7.3.2	Workers and other interested parties to be informed of risk factors and how they may be managed, e.g. through top management support, actions that workers can take & change management		
7.4	Communication	7.4	Communicate to workers and interested parties information on the risks to inform of top management commitment, feedback opportunities, changes to work etc		

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7.5.1	Documented Information General	Additional emphasis	Psychosocial risks to be included in processes, roles, assessment, legal requirements		
7.5	Documented Information Confidentiality	7.5.2	Establish a process to ensure confidentiality of personal information & protect against disclosure		
8.1	Operational Planning and Control	8.1.1.1 8.1.1.2 8.1.1.3	Plan processes to effectively manage psychosocial risks and new opportunities; complete assessments of the risk, and use appropriate interventions, either primary, secondary or tertiary		
8.1.2	Eliminating hazards & reducing risks & promoting well-being	8.1.2.1 8.1.2.2 8.1.2.3 8.1.2.4 8.1.2.5	Psychosocial risk control measures related to work organisation, to social factors, to work environment, equipment and hazardous tasks and recognising signs of exposure to psychosocial risk		
8.1.3	Change management	Additional emphasis	Implement & communicate a process for control of change to objectives, organisational, legal and developments in knowledge thereof		
8.1.4	Procurement, contracting & outsourcing	8.1.4	Establish a process to control risks arising from associated hazards		
8.2	Emergency preparedness and Response	Additional emphasis	Take into account the affect of emergencies on workers and that workers themselves can be the source of emergencies		
8.3	Rehabilitation & return to work	8.3	Design & implement rehabilitation & return to work programmes		
9.1.1 9.1.2	Monitoring, measurement, analysis and performance evaluation	Additional emphasis	Establish & implement approaches for measuring & control of psychosocial activities		
9.2	Internal Audit Programme	Additional emphasis	Take into account psychosocial risks		
9.3	Management Review	9.3.1 9.3.2	Inform management of psychosocial risk performance regularly, through e.g. results of audits, participation, investigations & corrective actions		
10.1	General	Additional emphasis	Psychosocial risk to be added to other risk evaluations & reviews		

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10.2	Non-Conformity and Corrective Action	Additional emphasis	Develop specific process to address nonconformities/incidents related to psychosocial risks		
10.3	Continual Improvement	Additional emphasis	Gather information on the opportunities for improvement, prioritising those that have the greatest potential for benefiting workers		