

ISO READINESS CHECKLIST

A practical pre-certification assessment for quality, environmental and occupational health and safety management systems.

Applicable standards

ISO 9001:2015 - ISO 14001:2015 - ISO 45001:2018

Organisation: _____

Assessment date: _____

Management systems designed to work in practice.

How to use this checklist

Use this checklist to assess whether your management system is operating effectively and whether sufficient objective evidence is available for an external certification audit. It is designed for standalone or integrated systems. Complete the common sections first, then the relevant standard-specific supplement.

Status scale

R = Ready: implemented and supported by objective evidence. P = Partially ready: some arrangements exist, but gaps or limited evidence remain. N = Not ready: the requirement has not been effectively addressed. N/A = Not applicable: record a clear justification.

Assessment details

Organisation		Assessment date	
Assessor		Target date	
Sites / locations		Employees	
Certification scope		Existing certification	

Standards in scope

<input type="checkbox"/> ISO 9001 Quality	<input type="checkbox"/> ISO 14001 Environment	<input type="checkbox"/> ISO 45001 OH&S
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Scoring method

Assign 2 points for Ready, 1 point for Partially ready and 0 points for Not ready. Exclude N/A items. Readiness percentage = points achieved ÷ maximum applicable points × 100.

Important

This checklist provides an indicative readiness view only. It does not replace a formal gap assessment, internal audit, legal compliance review or certification decision.

1

Organisation context and system scope

Confirm the system is appropriately designed around the organisation and its operating environment.

Ref.	Readiness check	Status	Evidence / action required
4.1	Relevant internal and external issues have been identified and are reviewed when conditions change.	R P N N/A	
4.1C	The organisation has determined whether climate change is relevant to the management system and its intended outcomes.	R P N N/A	
4.2	Relevant interested parties and their needs, expectations and binding requirements have been identified.	R P N N/A	
4.3	The management system scope clearly defines organisational, functional, physical and service boundaries.	R P N N/A	
4.3A	Any exclusions or non-applicable requirements are justified and do not compromise intended outcomes.	R P N N/A	
4.4	Core processes, their sequence, interactions, inputs, outputs and controls are defined.	R P N N/A	
4.4A	Responsibility for each core process is assigned to an appropriate process owner.	R P N N/A	
4.4B	Externally provided and outsourced processes are identified within the system and controlled.	R P N N/A	

Section score: ____ / ____ Readiness: ____ % Key priority: _____

2

Leadership and governance

Evaluate whether top management actively owns the system rather than delegating compliance to one person.

Ref.	Readiness check	Status	Evidence / action required
5.1	Top management demonstrates accountability for the effectiveness of the management system.	R P N N/A	
5.1A	Management system requirements are integrated into business planning and operational decision-making.	R P N N/A	
5.1B	Leaders promote process-based thinking, risk-based decisions and continual improvement.	R P N N/A	
5.2	An approved policy is appropriate to the organisation, provides direction and includes required commitments.	R P N N/A	
5.2A	The policy is communicated, understood, applied and available to relevant interested parties.	R P N N/A	
5.3	Roles, responsibilities and authorities are clearly assigned and communicated.	R P N N/A	
5.3A	Managers and process owners understand the results, controls and evidence for which they are accountable.	R P N N/A	
5.4	Applicable worker consultation, participation and engagement arrangements are effective.	R P N N/A	

Section score: ____ / ____ Readiness: ____ % Key priority: _____

3

Planning, risks and objectives

Check that strategic and operational risks are converted into controlled actions and measurable outcomes.

Ref.	Readiness check	Status	Evidence / action required
6.1	A consistent method is used to identify and evaluate risks and opportunities.	R P N N/A	
6.1A	Planned actions are proportionate to risk and integrated into relevant business processes.	R P N N/A	
6.1B	Legal, regulatory, contractual and other compliance obligations are identified and kept current.	R P N N/A	
6.1C	Potential unintended consequences and emergency conditions have been considered.	R P N N/A	
6.2	Objectives are consistent with policy commitments and relevant business priorities.	R P N N/A	
6.2A	Objectives are measurable where practicable and include defined indicators or success criteria.	R P N N/A	
6.2B	Each objective has an owner, resources, milestones, due dates and an evaluation method.	R P N N/A	
6.2C	Objective progress is monitored and updated at planned intervals.	R P N N/A	
6.3	Management system changes are planned, controlled and communicated before implementation.	R P N N/A	

Section score: ____ / ____ Readiness: ____ % Key priority: _____

4

Support and documented information

Confirm the organisation has the people, knowledge, infrastructure and controlled information needed to operate.

Ref.	Readiness check	Status	Evidence / action required
7.1	People, infrastructure, technology, work environment and financial resources are adequate.	R P N N/A	
7.1A	Organisational knowledge required for consistent operations is identified, retained and made accessible.	R P N N/A	
7.2	Competence requirements are defined for roles that can affect system performance.	R P N N/A	
7.2A	Training, qualifications, experience and competence evaluation records are available.	R P N N/A	
7.3	People understand the policy, relevant objectives, their contribution and consequences of nonconformance.	R P N N/A	
7.4	Internal and external communication responsibilities, content, timing and methods are defined.	R P N N/A	
7.5	Documents are reviewed, approved, identifiable, current and available where needed.	R P N N/A	
7.5A	Obsolete documents are prevented from unintended use and retained copies are clearly identified.	R P N N/A	
7.5B	Records are protected, retrievable, legible and retained for defined periods.	R P N N/A	
7.5C	External documents, data backups, access permissions and information-security risks are appropriately controlled.	R P N N/A	

Section score: ____ / ____ Readiness: ____ % Key priority: _____

5

Operational control

Assess whether day-to-day activities are consistently performed under defined and effective controls.

Ref.	Readiness check	Status	Evidence / action required
8.1	Operational processes have defined acceptance criteria, responsibilities and required records.	R P N N/A	
8.1A	Procedures, work instructions or other controls are available where their absence could cause inconsistent outcomes.	R P N N/A	
8.1B	Planned operational changes are reviewed and unintended changes are controlled.	R P N N/A	
8.1C	Suppliers, contractors and outsourced providers are selected, evaluated and monitored using risk-based criteria.	R P N N/A	
8.1D	Relevant requirements are communicated before externally provided work or products are accepted.	R P N N/A	
8.1E	Client, statutory, regulatory and contract requirements are reviewed before commitments are made.	R P N N/A	
8.1F	Service delivery or production activities are controlled, verified and supported by appropriate records.	R P N N/A	
8.1G	Identification, traceability, preservation and protection of customer or external-provider property are addressed where relevant.	R P N N/A	
8.1H	Monitoring and measuring equipment is suitable, maintained and calibrated or verified where required.	R P N N/A	
8.1I	Emergency arrangements are established, tested where practicable and updated following exercises or incidents.	R P N N/A	
8.1J	Release, handover or acceptance occurs only after specified criteria are met and authorised.	R P N N/A	

Section score: ____ / ____ Readiness: ____ % Key priority: _____

6

Performance evaluation

Verify that management receives reliable information on compliance, performance and system effectiveness.

Ref.	Readiness check	Status	Evidence / action required
9.1	Relevant process, objective, compliance and operational performance measures are defined.	R P N N/A	
9.1A	Monitoring methods, responsibilities, timing and evaluation criteria are documented or otherwise controlled.	R P N N/A	
9.1B	Results are analysed for trends, recurring issues, emerging risks and improvement opportunities.	R P N N/A	
9.1C	Customer, worker and other relevant stakeholder feedback is collected and evaluated.	R P N N/A	
9.1D	Compliance with applicable legal and other obligations is evaluated at planned intervals.	R P N N/A	
9.2	An internal audit program covers the full scope, all applicable requirements and operational significance.	R P N N/A	
9.2A	Internal auditors are competent and sufficiently independent of the work being audited.	R P N N/A	
9.2B	Audit results are reported to relevant management and corrective actions are tracked.	R P N N/A	
9.3	Management review is completed at planned intervals using all required inputs.	R P N N/A	
9.3A	Management review outputs include decisions on improvement, changes, resources and strategic direction.	R P N N/A	

Section score: ____ / ____ Readiness: ____ % Key priority: _____

7

Nonconformity and improvement

Confirm issues are converted into sustained improvement rather than repeatedly corrected at surface level.

Ref.	Readiness check	Status	Evidence / action required
10.1	Improvement opportunities are identified from data, feedback, audits, incidents and management review.	R P N N/A	
10.2	Nonconformities, complaints and incidents are promptly reported, controlled and corrected.	R P N N/A	
10.2A	The organisation evaluates causes and whether similar issues exist or could occur elsewhere.	R P N N/A	
10.2B	Corrective actions address root causes and are proportionate to the effects or potential effects.	R P N N/A	
10.2C	Corrective action effectiveness is reviewed using objective evidence.	R P N N/A	
10.2D	Risks, opportunities, controls and documented information are updated when necessary.	R P N N/A	
10.3	Continual improvement is demonstrated through measurable system and business outcomes.	R P N N/A	
10.3A	Lessons learned are communicated and embedded across relevant sites, teams and processes.	R P N N/A	

Section score: ____ / ____ Readiness: ____ % Key priority: _____

8

Certification audit readiness

Complete these checks before confirming an external Stage 1 or certification audit.

Ref.	Readiness check	Status	Evidence / action required
C.1	The proposed certification scope, standards, legal entity and included locations are confirmed.	R P N N/A	
C.2	The system has been implemented long enough to demonstrate consistent operation and meaningful records.	R P N N/A	
C.3	A complete internal audit cycle has covered the full system scope and all applicable requirements.	R P N N/A	
C.4	Management review has been completed after sufficient performance data and audit results were available.	R P N N/A	
C.5	Open internal audit findings and significant compliance issues have controlled action plans and owners.	R P N N/A	
C.6	Current objectives, performance results and compliance evaluations are available for review.	R P N N/A	
C.7	Key personnel can explain their responsibilities, controls, risks and relevant evidence.	R P N N/A	
C.8	Required documents and records can be retrieved promptly from each relevant site or function.	R P N N/A	
C.9	Stage 1 information, including scope, processes, locations, headcount and statutory context, is accurate.	R P N N/A	
C.10	Audit logistics, site access, availability of personnel and operational activities have been planned.	R P N N/A	

Section score: ____ / ____ Readiness: ____ % Key priority: _____

A

ISO 9001 quality supplement

Complete this section when quality management certification is included in scope.

Ref.	Readiness check	Status	Evidence / action required
Q1	Customer and applicable statutory or regulatory requirements are determined and reviewed before acceptance.	R P N N/A	
Q2	Customer communication covers enquiries, changes, feedback, complaints and customer property where relevant.	R P N N/A	
Q3	The applicability of design and development is clearly determined and justified.	R P N N/A	
Q4	Where design applies, stages, inputs, controls, outputs and changes are planned and evidenced.	R P N N/A	
Q5	External providers are approved, monitored and re-evaluated based on their ability to meet requirements.	R P N N/A	
Q6	Production and service provision occurs under controlled conditions, including competent people and suitable equipment.	R P N N/A	
Q7	Post-delivery obligations, warranty, maintenance or support requirements are controlled where applicable.	R P N N/A	
Q8	Product or service release is authorised only after planned verification and acceptance activities are complete.	R P N N/A	
Q9	Nonconforming outputs are identified and controlled to prevent unintended use or delivery.	R P N N/A	
Q10	Customer satisfaction and process performance are evaluated using defined and reliable methods.	R P N N/A	

Supplement score: ____ / ____ Readiness: ____ % Key priority: _____

B

ISO 14001:2026 environmental supplement

Complete this section when environmental management certification is included in scope.

Ref.	Readiness check	Status	Evidence / action required
E1	Environmental conditions and relevant strategic issues, including climate, biodiversity and resource pressures, are considered.	R P N N/A	
E2	Environmental aspects and impacts are identified using a consistent lifecycle-informed method.	R P N N/A	
E3	Significant environmental aspects are determined using defined and reproducible criteria.	R P N N/A	
E4	Environmental compliance obligations are current, accessible and translated into operational controls.	R P N N/A	
E5	Environmental objectives focus on measurable performance outcomes, not solely completion of activities.	R P N N/A	
E6	Controls address procurement, design, contractors, outsourced processes and relevant value-chain influences.	R P N N/A	
E7	Resource use, emissions, discharges, waste, pollution prevention and other significant impacts are monitored as relevant.	R P N N/A	
E8	Environmental emergency scenarios are identified and response arrangements are tested where practicable.	R P N N/A	
E9	Environmental performance and compliance are evaluated using reliable data and defined criteria.	R P N N/A	
E10	Management review considers environmental trends, changing conditions, stakeholder expectations and performance results.	R P N N/A	

Supplement score: ____ / ____ Readiness: ____ % Key priority: _____

C

ISO 45001 OH&S supplement

Complete this section when occupational health and safety certification is included in scope.

Ref.	Readiness check	Status	Evidence / action required
S1	Hazards are identified for routine, non-routine, emergency and changing work conditions.	R P N N/A	
S2	Hazard identification considers people, human factors, work organisation, psychosocial risks and past incidents.	R P N N/A	
S3	Workers are consulted and participate in hazard, risk, incident, change and improvement processes.	R P N N/A	
S4	Barriers to worker participation are identified and reduced, including fear of reprisal and practical access barriers.	R P N N/A	
S5	OH&S legal and other requirements are current and translated into site-level and task-level controls.	R P N N/A	
S6	Risk controls follow the hierarchy of controls and prioritise elimination or substitution where feasible.	R P N N/A	
S7	Management of change addresses organisational, process, equipment, legal and workforce changes before implementation.	R P N N/A	
S8	Procurement, contractors and outsourced activities are coordinated and controlled for OH&S risk.	R P N N/A	
S9	Emergency preparedness covers credible scenarios, vulnerable persons, communications and post-event review.	R P N N/A	
S10	Incidents and near misses are investigated with worker participation and corrective actions address systemic causes.	R P N N/A	

Supplement score: ____ / ____ Readiness: ____ % Key priority: _____



Readiness summary and action plan

Consolidate results, identify critical gaps and agree the next implementation priorities.

Scorecard

Ref.	Section	Items	Points	Readiness %
1	Organisation context and system scope	8	___ / ___	___ %
2	Leadership and governance	8	___ / ___	___ %
3	Planning, risks and objectives	9	___ / ___	___ %
4	Support and documented information	10	___ / ___	___ %
5	Operational control	11	___ / ___	___ %
6	Performance evaluation	10	___ / ___	___ %
7	Nonconformity and improvement	8	___ / ___	___ %
8	Certification audit readiness	10	___ / ___	___ %
A	ISO 9001 supplement (if applicable)	10	___ / ___	___ %
B	ISO 14001 supplement (if applicable)	10	___ / ___	___ %
C	ISO 45001 supplement (if applicable)	10	___ / ___	___ %

Indicative readiness bands

85-100%: strong audit readiness, subject to evidence quality and critical-gap review. 70-84%: generally established, with targeted closure required. 50-69%: significant implementation and evidence gaps remain. Below 50%: early-stage system development is recommended before certification scheduling.

Overall score: ___ / ___ **Overall readiness:** ___ %

Critical legal, safety, environmental or customer-risk gaps override the numerical score and should be addressed immediately.



Prioritised implementation plan

Convert readiness findings into accountable, time-bound actions.

#	Action / deliverable	Owner	Due date	Evidence	Status
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

Recommended implementation sequence

1. Close critical legal and operational risks. 2. Finalise scope, process controls and accountable ownership. 3. Operate the system and collect reliable records. 4. Complete internal audit and management review. 5. Close findings and confirm certification audit readiness.

Assessment conclusion

Key strengths

Critical gaps

Recommended next step

Checklist governance

Document title: ConformIQ ISO Readiness Checklist

Version: 1.0 - June 2026

Standards basis: ISO 9001:2015 with Amendment 1:2024; ISO 14001:2026; ISO 45001:2018 with Amendment 1:2024.

Design basis: Common ISO management-system structure, supplemented by standard-specific operational readiness checks.

Revision note

ISO 9001 is under revision, with a new edition expected later in 2026. ISO 45001 is also under revision. Review this checklist when new editions and applicable transition arrangements are published.

Use and limitations

- Use the checklist as a planning and pre-assessment tool, not as a substitute for the relevant standard text.
- Record objective evidence and avoid marking an item Ready solely because a document exists.
- Evaluate implementation across all relevant sites, shifts, functions and outsourced activities.
- Escalate legal, regulatory, worker-safety, environmental and customer-impact gaps regardless of the overall score.
- Certification decisions are made only by an appropriately accredited certification body following its audit process.

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