

ISO 9001, 14001 & 45001 Audit Checklist

A practical checklist to help organisations prepare for ISO 9001, 14001 and 45001 lead auditor assessments and audits.

ISO 9001 (Quality Management), ISO 14001 (Environmental Management) and ISO 45001 (Occupational Health and Safety Management) share a common high-level structure, which means many audit requirements overlap across all three standards. This checklist is organised in two parts: the shared requirements common to all three management systems, followed by the requirements specific to each individual standard.

Use this as a preparation tool ahead of an internal audit, gap assessment, or external certification audit — not as a substitute for the full standard, which should be consulted for complete requirements.

Part 1: Requirements Common to All Three Standards

ISO 9001, 14001 and 45001 all follow the same Annex SL structure, meaning the following elements are assessed under each standard, even though the specific content differs.

CONTEXT OF THE ORGANISATION

✓	Item	Notes
☐	Internal and external issues relevant to the management system have been identified and documented	
☐	The needs and expectations of interested parties (clients, regulators, workers, etc.) have been determined	
☐	The scope of the management system has been defined and documented	

LEADERSHIP

✓	Item	Notes
☐	Top management has demonstrated leadership and commitment to the management system	
☐	A policy has been established, documented and communicated appropriate to the organisation	
☐	Roles, responsibilities and authorities have been assigned and communicated	

PLANNING

✓	Item	Notes
☐	Risks and opportunities relevant to the management system have been identified and addressed	
☐	Objectives for the management system have been established, are measurable, and are being tracked	
☐	Plans to achieve those objectives have been documented	

SUPPORT

✓	Item	Notes
☐	Resources needed for the management system have been determined and provided	
☐	Competence of personnel affecting performance has been determined and evidenced	
☐	Awareness of the policy and relevant objectives has been demonstrated by personnel	
☐	Documented information required by the standard is controlled, current and accessible	

OPERATION

✓	Item	Notes
☐	Operational planning and control processes are documented and being followed	
☐	Processes for managing change are in place and applied when relevant	
☐	Outsourced processes are controlled appropriately	

PERFORMANCE EVALUATION

✓	Item	Notes
☐	Monitoring, measurement, analysis and evaluation of the management system is being conducted	
☐	Internal audits are being conducted at planned intervals, with records retained	
☐	Management review is being conducted at planned intervals, with outcomes documented	

IMPROVEMENT

✓	Item	Notes
☐	Nonconformities are being identified, corrected, and their causes addressed	
☐	Corrective actions are tracked through to close-out with evidence retained	
☐	Continual improvement of the management system is being demonstrated	

Part 2: Standard-Specific Requirements

ISO 9001 — QUALITY MANAGEMENT

✓	Item	Notes
☐	Customer requirements are determined and reviewed prior to committing to supply products or services	
☐	Design and development processes (where applicable) are controlled and documented	
☐	Processes for controlling externally provided products, processes and services are in place	
☐	Production and service provision is carried out under controlled conditions	
☐	Nonconforming outputs are identified and controlled to prevent unintended use or delivery	
☐	Customer satisfaction is monitored and evaluated as part of performance evaluation	

ISO 14001 — ENVIRONMENTAL MANAGEMENT

✓	Item	Notes
☐	Environmental aspects and impacts of activities, products and services have been identified	
☐	Compliance obligations relevant to environmental aspects have been identified and evaluated	
☐	Emergency preparedness and response processes for potential environmental incidents are in place	
☐	Resource use, waste, emissions and discharges are monitored and measured where significant	
☐	Life cycle perspective has been considered in relevant environmental planning	

ISO 45001 — OCCUPATIONAL HEALTH AND SAFETY

✓	Item	Notes
☐	Hazard identification and risk assessment processes are in place and being applied	
☐	Worker consultation and participation in OHS matters is evidenced	
☐	Legal and other OHS requirements have been identified and evaluated for compliance	
☐	Incident investigation processes are in place, with root cause analysis applied	
☐	Emergency preparedness and response arrangements specific to OHS risks are documented and tested	
☐	Contractor and visitor OHS requirements are managed as part of the system	

Where KLB Fits In

HOW WE SUPPORT THIS

KLB Consulting Group provides Exemplar Global Lead Auditor-led support across ISO 9001, 14001 and 45001, running gap assessments and internal audits against each standard, and supporting corrective action through to close-out. Rather than a one-off certification audit, we remain embedded within your business, keeping each management system audit-ready on an ongoing basis.

If you'd like to discuss this with our team, get in touch for a consultation.