

Key Requirements Checklist for Achieving ISO 9001 and ISO 27001 Certification



ISO 9001 and ISO 27001 share many of the same principles, with both focused on building strong management practices, managing risks, and driving continual improvement. ISO 9001 looks at quality across your organisation, while ISO 27001 is more focused on information security but the way you meet their requirements is often very similar. This checklist breaks down the key similarities whilst also highlighting the **differences between the two standards.**

ISO 9001

ISO 27001

| | Complete? | | Complete? |
|---|--------------------------|---|--------------------------|
| 1 Determine the context of the organisation, any relevant interested parties and the risks or opportunities relating to these. | <input type="checkbox"/> | 1 Determine the context of the organisation, any relevant interested parties , what elements of the ISMS will inform those interested parties and the risks or opportunities relating to these. | <input type="checkbox"/> |
| 2 Define the scope of the Quality Management System (QMS) and the certification. | <input type="checkbox"/> | 2 Define the scope of the Information Security Management System (ISMS) and the certification. | <input type="checkbox"/> |
| 3 Create documented processes that describe the organisation's operations, including any inputs, outputs and controls to ensure processes achieve their intended outcomes. | <input type="checkbox"/> | 3 Create documented processes that describe the organisation's operations, including any inputs, outputs and controls to ensure processes achieve their intended outcomes. | <input type="checkbox"/> |
| 4 Ensure senior management demonstrate leadership , provide sufficient resources and assign clear responsibilities across the organisation. | <input type="checkbox"/> | 4 Ensure senior management demonstrate leadership , provide sufficient resources and assign clear responsibilities across the organisation. | <input type="checkbox"/> |
| 5 Establish and communicate a Quality Policy . | <input type="checkbox"/> | 5 Establish and communicate an Information Security Policy . | <input type="checkbox"/> |
| 6 Establish and communicate measurable quality objectives . | <input type="checkbox"/> | 6 Establish and communicate measurable information security objectives . | <input type="checkbox"/> |
| 7 Control any changes to the QMS to ensure they are carefully planned before implementation. | <input type="checkbox"/> | 7 Control any changes to the ISMS to ensure they are carefully planned before implementation. | <input type="checkbox"/> |
| 8 Establish a means of document control to ensure that only correct versions are in use. | <input type="checkbox"/> | 8 Establish a means of document control to ensure that only correct versions are in use. | <input type="checkbox"/> |
| 9 Identify any infrastructure and equipment used and establish a maintenance/calibration programme . | <input type="checkbox"/> | 9 Record what skills and competencies are required for each employee and how those have been obtained. | <input type="checkbox"/> |
| 10 Record what skills, competencies and organisational knowledge are required for each employee and how those have been obtained. | <input type="checkbox"/> | 10 Identify relevant information assets , assess their significance, their impacts on CIA (confidentiality, integrity and availability) and record the assessment on an Asset and Risk Assessment Register . | <input type="checkbox"/> |
| 11 Ensure product/service supply processes enable a consistent product/service to be delivered in accordance with customer requirements . | <input type="checkbox"/> | 11 Review the information security controls in place against the required best practice controls detailed in Annex A. | <input type="checkbox"/> |
| 12 Determine controls on externally provided processes, products and services to enable a consistent product/service to be delivered in accordance with customer requirements. | <input type="checkbox"/> | 12 Establish controls required to manage information security and achieve the information security objectives. | <input type="checkbox"/> |
| 13 Obtain customer feedback . | <input type="checkbox"/> | 13 Develop and implement a comprehensive risk treatment plan that outlines the actions required to address, manage, and mitigate the risks identified during the risk assessment process. | <input type="checkbox"/> |
| 14 Conduct monitoring and measurement to demonstrate the effective operation of processes. | <input type="checkbox"/> | 14 Conduct monitoring and measurement to demonstrate the effective operation of processes. | <input type="checkbox"/> |
| 15 Conduct an internal audit and create an internal audit plan. | <input type="checkbox"/> | 15 Conduct an internal audit and create an internal audit plan. | <input type="checkbox"/> |
| 16 Hold a management review , review key areas of the management system, record decisions, conclusions and actions agreed. | <input type="checkbox"/> | 16 Hold a management review , review key areas of the management system, record decisions, conclusions and actions agreed. | <input type="checkbox"/> |
| 17 Demonstrate how the QMS has been subject to continual improvement . | <input type="checkbox"/> | 17 Demonstrate how the ISMS has been subject to continual improvement . | <input type="checkbox"/> |
| 18 Undergo an external certification assessment by an accredited certification body. | <input type="checkbox"/> | 18 Undergo an external certification assessment by an accredited certification body. | <input type="checkbox"/> |