1. Executive Summary

The Internal Audit Toolkit provides a complete, integrated system for planning, conducting, recording, and reporting internal audits under ISO 9001:2026 Clause 9.2, and for carrying the findings through management review (9.3), corrective action (10.2), and continual improvement (10.1). It replaces ad-hoc spreadsheets, paper checklists, and disconnected reporting with a structured workflow that flows from audit planning through to management review and closure.

The toolkit holds 56 files across 8 folders: four documented procedures, 14 forms, eight Excel workbooks, an interactive HTML dashboard, six PDF user guides, and 19 training decks. All files work offline with no installation, macros, or internet connection required.

1.1 Business Case

- **Audit consistency —** 305 pre-written questions in F0920-05 ensure every ISO 9001:2026 "shall" requirement is assessed using the same criteria by every auditor, and F0920-04 records where the evidence for each clause is held.
- **Reduced preparation time —** Drop-down menus for process names, audit results, root causes, and action plans eliminate free-text variation and accelerate data entry.
- **Instant analysis —** The interactive dashboard generates 17 charts, a conformance heatmap, and a Gantt timeline within seconds of uploading the workbooks. No manual chart building required.
- **Management review readiness —** Every chart can be exported as a PNG and pasted directly into management review presentations. A recommended 7-chart presentation sequence is provided.
- **Corrective action prioritisation —** Pareto analysis and the heatmap identify the vital few root causes and the specific process × clause intersections that need attention. P1020-01 and the F1020-01 tracker then route each finding to the right root cause method and hold it to closure with effectiveness verification.
- **Audit trail —** The complete data chain from checklist entry through to dashboard chart is documented, traceable, and auditable.

1.2 What This Guide Covers

This guide is written for the Quality Manager (or equivalent) who will lead the implementation. It covers the strategic decisions, resource requirements, phased rollout plan, training approach, governance model, and success metrics needed to deploy the toolkit across the organisation. It does not repeat the technical setup steps covered in the Getting Started Guide (folder 01).

2. Prerequisites and Readiness

Distribute the .html dashboard file to any internal stakeholder who needs to review the audit data. Each recipient opens the file in their own browser and uploads the relevant .xlsx workbooks when prompted. The dashboard never modifies the source workbooks; it only reads from them at the point of upload.

2.1 Version Control

- **Programme workbook (F0920-03) —** One master copy maintained by the Quality Manager. Update the Annual Programme sheet as audits are completed. Back up before each annual cycle refresh.
- **Checklist workbook (F0920-05) —** One master copy per audit cycle. If conducting process-specific audits, create copies of the Master Checklist tab for each process (as recommended in the Guidance sheet). Archive the completed workbook at year-end.
- **Dashboard (HTML) —** A single file that does not change between audits. Distribute the same file to all stakeholders. If a new version is released, replace the file and re-upload the workbooks.

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Phase	Objective	Key Activities	Deliverable
Phase 1 Week 1–2	Configure the toolkit	Agree process names, criticality ratings, and RACI assignments. Configure F0920-03 Input Lists, Process Matrix, and 10-Year Programme. Populate F0920-04 Clause-to-Evidence Map.	Completed F0920-03 workbook with 10-year plan and current year schedule, plus a populated F0920-04 clause map.
Phase 2 Week 2–3	Train auditors	Deliver auditor training modules 1–6 and the Excel tool decks to all internal auditors. Walk through the procedures, checklist, and dashboard. Conduct a pilot audit on a low-risk process.	Trained auditor pool. Completed pilot audit in F0920-05.
Phase 3 Week 3–4	Pilot and refine	Upload the pilot audit data to the dashboard. Review charts and tooltips with the audit team. Refine process names, drop-down lists, or checklist questions if needed.	Validated dashboard output. Agreed refinements list.
Phase 4 Week 4–6	Full rollout	Distribute the dashboard HTML file to all stakeholders. Begin conducting audits per the annual programme. Present first results at the next management review.	Active audit programme with dashboard reporting.

4.1 Phase 1 — Configure the Toolkit

This phase requires the Quality Manager and Operations Manager working together. The technical steps are detailed in the Getting Started Guide, Sections 2–7.

Key Decisions in This Phase

1. **Process names:** Update the Input Lists sheet in F0920-03. These names propagate to all other sheets and to the dashboard.
2. **RACI matrix:** Complete the Process Matrix in F0920-03. This is the foundational mapping that connects ISO clauses to your processes.
3. **10-Year Programme:** Set criticality ratings and mark planned audits with "P". Target 10–12 audits per year.
4. **Annual Programme:** Schedule specific dates, teams, methods, and logistics for the current year.
5. **Checklist validation:** Review F0920-05 to ensure process names in the drop-downs match those in F0920-03.

Critical: Ensure process names are identical across both workbooks. The dashboard reads them as text strings — "Manufacturing" and "manufacturing" would be treated as different processes.

4.2 Phase 2 — Train Auditors

Effective training is the single most important factor in implementation success. Auditors who are comfortable with the tools will produce higher-quality data, which in turn produces more meaningful dashboard analysis.

Training Curriculum

Session	Duration	Content
1. Auditing Concepts	1 hour	Deliver T0920-01 Auditor Training Module 1: what auditing is, the four audit types, the six principles of auditing, and audit terminology.

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