G0920-03

Internal Audit Programme

User Guide

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Standard	ISO 9001:2026 — Clause 9.2 Internal audit
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Companion procedure	P0920-01 Internal Audit
Companion forms	F0920-03 Internal Audit Programme | F0920-01 Internal Audit Plan | F0920-05 Internal Audit Checklist

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1. Purpose and Scope

The F0920-03 Internal Audit Programme is an Excel workbook that provides a complete planning, scheduling, and tracking framework for internal audits conducted under ISO 9001:2026 Clause 9.2.

The workbook allows quality managers and audit programme coordinators to:

- Map ISO 9001:2026 clause requirements to organizational processes using a RACI responsibility matrix
- Plan audit coverage over a 10-year horizon with risk-based scheduling
- Schedule individual audits for the current year with full logistical detail
- Track audit progress
- Feed structured data into the companion Internal Audit Dashboard (HTML) for interactive charts and analysis

The workbook is self-contained and runs entirely in Microsoft Excel (2016 or later). No macros, add-ins, or internet connection are required.
• All drop-down menus are powered by Excel's built-in data validation linked to the Input Lists sheet.

2. Workbook Overview

The workbook contains five worksheets, each serving a distinct role in the audit programme lifecycle. They are designed to be used in the order shown below.

Worksheet	Purpose
Guidance	Step-by-step instructions for setting up and using each worksheet. Read this first.
Input Lists	Master lists of process names (grouped by Management, Operational, Support), RACI definitions, and drop-down source values. Edit here to customize the workbook for your organization.
Process Matrix	RACI responsibility matrix mapping ISO 9001:2026 clauses (4.1 through 10.2) against up to 20 organizational processes. Identifies accountability for each requirement.
10-Year Audit Programme	Risk-based long-range plan showing which processes to audit in each year from 2026 to 2035, based on criticality ratings.
Annual Audit Programme	Detailed schedule for the current year's audits, including audit type, method, team assignments, and meeting logistics.

3. Getting Started

3.1 Initial Setup Workflow

Follow these steps to configure the workbook for your organization:

1. Open the Guidance sheet and read the instructions for each worksheet.
2. Go to the Input Lists sheet. Update the process names in column B (rows 11–32) to match your organization's process structure. Process names are grouped into Management, Operational, Support, and Spare categories.
3. Open the Process Matrix sheet. The process names from Input Lists will be referenced in the column headers. Assign RACI codes (R, A, C, I, or –) for each ISO clause × process intersection.

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4. Go to the 10-Year Audit Programme sheet. Set the criticality rating (High, Normal, or Low) for each process, then place a “P” in each year column where an audit is planned.
5. Open the Annual Audit Programme sheet. Copy the processes and criticality ratings from the 10-Year sheet for the current year, then complete the audit scheduling fields (type, method, team, date, logistics).

3.2 Ongoing Use

At the start of each audit cycle (typically annually), update the Annual Audit Programme sheet with the new year’s planned audits. As audits are conducted, update the Audit Progress field (column R) to reflect completion status.

4. Guidance Sheet

The Guidance sheet contains detailed instructions covering three areas:

- **Process Responsibility Matrix —** How to assign RACI codes and the five decision-making rules for RACI assignment
- **10-Year Audit Programme —** How to plan risk-based audit cycles, set criticality ratings, and filter the process list
- **Annual Audit Programme —** How to schedule audits, use the drop-down menus, and set meeting logistics

This sheet is for reference only and does not contain any data entry cells. It should be read before using the other worksheets.

5. Input Lists Sheet

The Input Lists sheet serves as the single source of truth for all configurable values used throughout the workbook. It contains:

5.1 RACI Definitions

Code	Definition
R — Responsible	Executes the activity or task. Multiple R’s are allowed per row.
A — Accountable	The single process owner who is ultimately answerable. Only one A per row.
C — Consulted	Subject matter experts who provide input before decisions are made.
I — Informed	Stakeholders who need to be kept up to date but do not contribute directly.
– — Not Involved	The function has no role in delivering this requirement. Use sparingly.

5.2 Process Names

Process names are entered in column B, starting at row 11. They are grouped into three categories plus spare slots:

Group	Processes
Management (6)	Quality Assurance, Business Planning, Sales & Marketing, Operational Planning, Business Review, Improvement

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Column	Content
A — Process Name	List of all organizational processes (populated from Input Lists)
B — Criticality	Risk-based priority: High, Normal, or Low (selected via drop-down)
C to L — Year columns	Ten-year columns (2026–2035). Place a “P” to mark a planned audit.

7.2 Criticality Ratings

The criticality rating determines audit frequency. The recommended scheduling pattern is:

Criticality	Recommended Frequency	Rationale
High	Every year	Core operational processes with significant quality, safety, or regulatory impact
Normal	Every 2 years	Standard processes with moderate risk; regular oversight sufficient
Low	Every 3 years	Support processes with low direct quality impact; periodic review adequate

7.3 Using the Sheet

1. Set the criticality rating for each process using the drop-down in column B.
2. Place a “P” in each year column where an audit is planned. Aim for 10–12 audits per year.
3. Use the year header drop-down to filter by “P” (unselect “Blanks”) to see only the processes scheduled for a given year.
4. Copy the filtered process names and criticality ratings into the Annual Audit Programme sheet for that year.

8. Annual Audit Programme Sheet

The Annual Audit Programme is the operational scheduling sheet where individual audits are planned in detail. It includes team assignments, meeting logistics, and dates.

8.1 Data Entry Columns

Column	Content
A — Ref.	Audit reference identifier (e.g., IA1, IA2). Entered manually.
B — Process Name	The process being audited. Selected from a drop-down list sourced from the Input Lists sheet.
C — Criticality	High, Normal, or Low. Copied from the 10-Year Programme or selected via drop-down.
D — Type of Audit	Audit type: System Audit, Process Audit, Supplier Audit, Customer Audit, Follow-up Audit, Regulatory Audit, or Supplemental Audit.
E — Audit Method	How the audit will be conducted: Conducting interviews, conducting document reviews, Sampling of outputs, observing work performed, or completing checklists.
F — Lead Auditor	The lead auditor responsible for managing the audit. Selected from a drop-down.
G — Internal Auditor	The auditor assigned to conduct the audit fieldwork. Selected from a drop-down.
H — Auditee	The person or department being audited. Selected from a drop-down.

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Column	Content
I — Audit Date	The scheduled audit date. Enter as a standard Excel date.
J — Duration	Estimated audit duration: ½ hour, 1 hour, 1½ hours, 2 hours, 3 hours, or 6 hours.
K — Opening Time	Start time of the opening meeting. Enter as an Excel time value.
L — Opening Location	Physical location of the opening meeting (e.g., Meeting Room 2).
M — Closing Time	Start time of the closing meeting. Enter as an Excel time value.
N — Closing Location	Physical location of the closing meeting.

8.2 Calculated Columns

Column	Content
O — Notify Auditee By	Calculated automatically: audit date minus 14 calendar days. This is the deadline for sending the audit notification to the auditee.
P — Audit Report Link	Hyperlink field for attaching or linking to the completed audit report.
Q — Complete Report By	Calculated automatically: audit date plus 5 calendar days. This is the deadline for completing and issuing the audit report.
R — Audit Progress	Completion percentage from 0 to 1 (where 1 = 100% complete). This value drives the dashboard's progress indicators.

8.3 Step-by-Step Entry

1. Copy the process names and criticality ratings from the filtered 10-Year Programme into columns B and C, starting at row 9.
2. Starting in column D, use the drop-down menus to select the audit type, method, lead auditor, internal auditor, and auditee.
3. Enter the audit date in column I. The notification date (column O) and report deadline (column Q) will be calculated automatically.
4. Use column J to select the audit duration. Enter the opening and closing meeting times and locations in columns K–N.
5. As audits are completed, update column R with the progress value (0 to 1).

9. Companion Dashboard

The Internal Audit Dashboard (D0920-01_Internal_Audit_Dashboard.html) is a companion file that reads this workbook and presents the audit programme data as interactive charts, a visual Gantt timeline, and conformance analysis.

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 workbook when prompted. The Excel file can be stored wherever suits your organization — a local folder, a shared network drive, or SharePoint. The dashboard never modifies the source workbook; it only reads from it at the point of upload.

Refer to the separate Dashboard User Guide for full instructions on using the interactive dashboard.

10. Tips and Best Practices

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