SAMPLE REPORT: FICTIONAL COMPANY

ISO 9001:2026 transition review

Kestrel Electrical Ltd · Commercial electrical contractor, 22 staff, one site in East Auckland

Site visit 12 November 2026 · Report issued 19 November 2026 · Prepared by Clause Ten

1. Summary

Where you stand: Kestrel Electrical Ltd runs a sound, well-used quality system, and most of the work to reach the 2026 edition is about recording and showing things you already do. Nothing found would stop your certifier recommending the transition, provided the minor nonconformities below are closed before your July 2027 surveillance visit.

Rating	Number	What it means
Major nonconformity	0	A requirement not met in a way that puts the system at risk. None found.
Minor nonconformity	7	A requirement partly met. Needs a fix and evidence it worked.
Improvement opportunity	3	Meets the requirement; worth doing to strengthen the system.

Do these three first

- Set up a separate opportunities register, starting with electric vehicle charging and solar (by 18 December 2026).
- Write a one-page code of conduct with a speak-up route past the leading hand, and present it at a toolbox meeting (by 29 January 2027).
- Book your internal audit against the 2026 edition for early March 2027, so there is time to close findings before July.

Your team's time: about 7 days of internal effort over four months, plus the internal audit days.

2. Scope and method

Scope: a review of your quality management system against the changes in ISO 9001:2026, plus a set sample check of the rest of the system (competence, documents and records, customer requirements, suppliers, doing and releasing the work, nonconforming work, monitoring, internal audit, corrective action and your last certifier findings). It is a sample, not a full audit of every clause.

What we did: a desk review of 13 documents sent ahead of the visit (10 November 2026), then a half-day site visit on 12 November 2026 with five interviews: the Managing Director, the Quality Coordinator, the Contracts Manager, a leading hand and an apprentice (one by notes, at their choice). We traced three job files from quote to certificate of compliance and sampled training, calibration and supplier records.

Ratings: major nonconformity, minor nonconformity, improvement opportunity, or meets the requirement, using the same approach a certification auditor would. People are referred to by role.

3. What changed in ISO 9001:2026

The 2026 edition is a tune-up, not a rebuild: the same ten-clause structure, with more weight on culture, opportunities and change. In plain words:

Area	What's new	What it means in practice
Leadership (5.1)	Leaders must promote a quality culture and ethical behaviour	Auditors ask leaders what they do, not what the policy says
Awareness (7.3)	Staff aware of the quality culture and ethics expected	Brief staff and keep a record

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Area	What's new	What it means in practice
Risks and opportunities (6.1)	Dealt with separately, each acted on and checked	A spare column on the risk register is no longer enough
Planning changes (6.3)	Also tell people, check it worked and review the result	A simple change log covers it
Climate (4.1, 4.2)	Carried over from the 2024 amendment	Nothing new if you handled the amendment
Management review (9.3)	Inputs strengthened; risks and opportunities reported separately	Update the agenda
Terms and annexes	Updated definitions; one annex removed	Update references in your manual

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4. Findings

Ordered by rating. Each finding is labelled "2026 change" or "Also a current gap" (a gap against your current 2015 certificate too).

Minor NC	**Finding 1 · Clause 4.1, 4.2**	2026 change, also a current gap
Requirement	Context and interested parties: decide whether climate change is a relevant issue, and consider interested parties' related needs.	
What we found	Storm delays in 2023 and 2025 and sustainability questions in recent tenders are real issues for the business, but the 2022 context analysis and interested parties table don't mention climate, weather or customers' sustainability requirements.	
Evidence	Context analysis (2022); interviews with the Managing Director and Contracts Manager.	
Action	Update the context and interested parties analysis, decide what climate means for the business, and add any resulting risks to the register. Owner: Managing Director. Effort: Half a day. Due: 29 Jan 2027.	

Minor NC	**Finding 2 · Clause 5.1.1**	2026 change
Requirement	Leadership: top management actively promotes a quality culture and ethical behaviour.	
What we found	Leaders set a strong example (in August the Managing Director refused to sign off a switchboard before testing was complete). But there is no code of conduct, and staff have no way to raise a concern other than through their own leading hand.	
Evidence	Interviews with the Managing Director, a leading hand and an apprentice; no code of conduct on file.	
Action	Write a one-page code of conduct with a speak-up route that goes past the leading hand; Managing Director to present it at a toolbox meeting. Owner: Managing Director. Effort: One day. Due: 29 Jan 2027.	

Minor NC	**Finding 3 · Clause 6.1.2, 6.1.3**	2026 change
Requirement	Risks and opportunities are each identified, acted on and checked.	
What we found	Risks are handled well. Opportunities are a spare column on the risk register with two entries from 2022 and no owners. Electric vehicle charging and solar work are being actively pursued but were never recorded as opportunities.	
Evidence	Risk register version 3; Quality Coordinator interview.	
Action	Set up a separate opportunities register with owners, actions and review dates, starting with electric vehicle charging and solar. Owner: Quality Coordinator. Effort: Half a day. Due: 18 Dec 2026.	

Minor NC	**Finding 4 · Clause 6.3**	2026 change
Requirement	Changes are planned, communicated, monitored and reviewed.	
What we found	The March 2026 job management software change had a vendor go-live plan only. Staff got one toolbox briefing; paper and app were used side by side until June; one test record had to be redone; nobody reviewed whether the change worked.	
Evidence	Vendor go-live plan (March 2026); leading hand and Quality Coordinator interviews.	
Action	Introduce a simple change form (plan, tell, check, review) and review the software change now. Owner: Quality Coordinator. Effort: Half a day. Due: 12 Feb 2027.	

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Minor NC	**Finding 5 · Clause 7.3**	2026 change
Requirement	Staff are aware of the quality culture and the ethical behaviour expected of them.	
What we found	Induction covers safety, the policy and forms only. The newest apprentice wasn't sure how to raise a concern.	
Evidence	Induction checklist version 2; apprentice interview.	
Action	Add the code of conduct and speak-up route to induction, and brief all staff once. Owner: Operations Manager. Effort: Half a day plus one toolbox meeting. Due: 19 Feb 2027.	

Minor NC	**Finding 6 · Clause 9.3.2**	2026 change
Requirement	Management review covers each required input, including risks and opportunities separately.	
What we found	The February 2026 minutes cover most inputs well, but treat risks and opportunities as one line ('no change'), and don't cover changes or climate.	
Evidence	Management review minutes (February 2026), page 2.	
Action	Update the agenda template so each input has its own item; hold the next review before the verification audit. Owner: Managing Director. Effort: Two hours plus the meeting. Due: 26 Feb 2027.	

Minor NC	**Finding 7 · Clause 9.2**	Also a current gap
Requirement	Internal audits are carried out at planned intervals.	
What we found	The June 2026 audit of installation and testing in the audit programme was not done. The last internal audit was in November 2025.	
Evidence	Audit programme 2026; November 2025 audit report.	
Action	Run an internal audit against the 2026 edition before the July 2027 transition audit, covering installation and testing and the changed clauses. Owner: Quality Coordinator. Effort: Three to four days with an auditor. Due: 10 Mar 2027.	

IO	**Finding 8 · Clause 5.2.1**	2026 change
Requirement	Quality policy fits the organisation's context and strategic direction.	
What we found	The 2019 policy is sound, but it doesn't reflect the growth in electric vehicle charging and solar work, or the 2026 edition.	
Evidence	Quality policy (2019).	
Action	Refresh the policy at the next management review. Owner: Managing Director. Effort: Two hours. Due: 26 Feb 2027.	

IO	**Finding 9 · Clause 8.4**	Also a current gap
Requirement	External providers are evaluated before use.	
What we found	The data cabling subcontractor was checked by email in February (registration and insurance) and used on three jobs, but isn't on the approved supplier list, last reviewed in 2023.	
Evidence	Approved supplier list (2023); Contracts Manager's emails; three job files.	
Action	Add the subcontractor to the list and review the list every year. Owner: Contracts Manager. Effort: One hour. Due: 18 Dec 2026.	

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IO	Finding 10 · Clause 3, Annex B	2026 change
Requirement	Documents use current terms and no longer refer to the removed annex.	
What we found	The quality manual refers to the 2015 edition and its annexes throughout.	
Evidence	Quality manual version 6.	
Action	Update the references when the manual is next revised. Owner: Quality Coordinator. Effort: Two hours. Due: 12 Feb 2027.	

5. What is working well

- **Testing and certificates of compliance.** All three job files traced had complete test results and certificates, signed by the right people, before handover.
- **Leadership by example.** The Managing Director's refusal to sign off an untested switchboard in August is known across the team and is a real culture story worth recording.
- **Competence records.** Practising licences, apprentice sign-offs and refresher training were current for every person sampled.
- **Corrective action.** The last two corrective actions had a clear cause, a fix and a check that it worked.

6. Action plan

Dated back from your July 2027 surveillance visit, which your certifier has confirmed in writing will be your transition audit.

#	Action	Clause	Owner	Due
1	Set up a separate opportunities register with owners, actions and review dates, starting with electric vehicle charging and solar.	6.1.2, 6.1.3	Quality Coordinator	18 Dec 2026
2	Add the subcontractor to the list and review the list every year.	8.4	Contracts Manager	18 Dec 2026
3	Update the context and interested parties analysis, decide what climate means for the business, and add any resulting risks to the register.	4.1, 4.2	Managing Director	29 Jan 2027
4	Write a one-page code of conduct with a speak-up route that goes past the leading hand; Managing Director to present it at a toolbox meeting.	5.1.1	Managing Director	29 Jan 2027
5	Introduce a simple change form (plan, tell, check, review) and review the software change now.	6.3	Quality Coordinator	12 Feb 2027
6	Update the references when the manual is next revised.	3, Annex B	Quality Coordinator	12 Feb 2027
7	Add the code of conduct and speak-up route to induction, and brief all staff once.	7.3	Operations Manager	19 Feb 2027
8	Refresh the policy at the next management review.	5.2.1	Managing Director	26 Feb 2027
9	Update the agenda template so each input has its own item; hold the next review before the verification audit.	9.3.2	Managing Director	26 Feb 2027
10	Run an internal audit against the 2026 edition before the July 2027 transition audit, covering installation and testing and the changed clauses.	9.2	Quality Coordinator	10 Mar 2027
11	Hold a management review against the 2026 edition before the verification audit	9.3	Managing Director	26 Feb 2027

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7. Next steps

Your transition audit is at the July 2027 surveillance visit. Before then, close the actions above, hold a management review using the updated agenda, and carry out an internal audit against the 2026 edition 8 to 12 weeks before the visit, leaving time to close any findings. You can do this yourselves, with help keeping the action plan on track, or with an external auditor for the internal audit.

Appendix: documents, records and people

Documents reviewed: quality manual version 6; quality policy (2019); context analysis and interested parties table (2022); risk register version 3; audit programme 2026 and the November 2025 report; management review minutes (February 2026); induction checklist version 2; approved supplier list (2023); vendor go-live plan for the job management software (March 2026); training matrix; calibration register; last certifier report.
Records sampled: three job files from the past 12 months (one from October 2026); five training records including the newest starter; two test instruments with calibration records; the two most recent nonconformances and corrective actions; the data cabling subcontractor's evaluation emails.
People interviewed (by role): Managing Director; Quality Coordinator; Contracts Manager; leading hand; apprentice.

This report is an opinion based on the documents and people seen, and does not guarantee the outcome of any certification audit. It paraphrases ISO 9001 and cites clause numbers only. Prepared for the fictional client named, as a sample of Clause Ten's work.

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