

GOVERNANCE DOCS

ISO 9001:2026

Gap Assessment Report

ISO 9001:2026 Quality Management System

Precision Plastics Moulding (sample)

Design and manufacture of injection-moulded components at the single production site.

ASSESSED	25 September 2026
EDITION	2026 (sixth edition, published 16 September 2026)
IN SCOPE	61 requirements, 61 applicable
PROFILE	Manufacturing and industrial · 10 to 49 people
PREPARED BY	Governance Docs

CONTENTS

- 1 Executive summary
- 2 Readiness by area and where the next points come from
- 3 Remediation plan
- A About this report

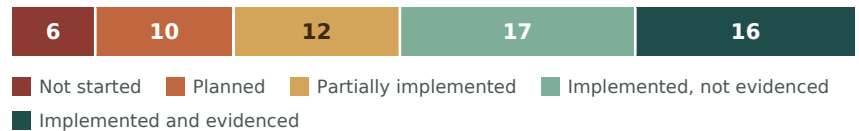
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Where Precision Plastics Moulding (sample) stands against ISO 9001



APPLICABLE	EVIDENCED	OPEN GAPS	HIGH PRIORITY
61	16	45	16

STATUS OF EVERY REQUIREMENT



GAPS WITH AN OWNER	WITH A TARGET DATE	NOT ANSWERED
21 of 45	12 of 45	0

WHAT THIS ASSESSMENT TELLS YOU

- Overall readiness is 61.1% against ISO 9001 across 61 applicable controls. 16 of them are implemented and evidenced.
- Most open gaps: Clause 8 - Operation, with 17 at 40%. Strongest area: Clause 5 - Leadership at 90%.
- 1 management-system clause scores under half: Clause 8 - Operation (40%). Clauses cannot be excluded, and this is a likely major nonconformity at a certification audit.
- 17 controls are operating but not evidenced. Collecting their records alone lifts the score to 68.0% (+6.9 points), the cheapest gain available.
- 16 gaps are high priority (not started or only planned); 10 of them are in Clause 8 - Operation.

DO THESE FIRST

	PRIORITY	ACTION	OWNER	START FROM
1	HIGH	Bring every management-system clause above 50%, starting with 8.2.4 Changes to requirements	Risk Manager	GDL-QMS-OPS-005 Contract and Order Review Record
2	HIGH	Put an owner and date against the 10 high-priority gaps in Clause 8 - Operation	Risk Manager	GDL-QMS-OPS-005 Contract and Order Review Record
3	MEDIUM	Adopt and tailor the GDL-QMS-PLN-001 Risk and Opportunity Management Procedure, which closes 3 open gaps	To assign	GDL-QMS-PLN-001 Risk and Opportunity Management Procedure

Analysis and priorities

IN ONE SENTENCE

Your readiness score is 61.1% at the Developing level, and you must prioritize core operational controls and transition planning immediately.

AI-assisted analysis, generated from the information the organization provided and checked automatically against the scores and findings in this report. It supports planning and is not an audit opinion; see "Basis of this report and limitation of liability".

FOR SENIOR MANAGEMENT AND THE BOARD

Our quality management self-assessment scored 61.1%, placing us at the Developing stage. While foundational work exists, our main exposure lies in manufacturing operations, where 17 gaps exist and key controls lack formal evidence. We also face 16 high priority gaps across transition and operations. To protect customer quality and maintain operational control, leadership must support assigning dedicated owners and resources to complete these operational procedures and collect necessary operational records over the next 90 days.

WHERE YOU STAND

The self-assessment places your readiness at 61.1%, representing level 2 of 4, or Developing. This status indicates the programme is under way, but material gaps remain that an auditor would find. Across 61 applicable requirements, you have 45 open gaps, including 16 high priority gaps. While 16 requirements are implemented and evidenced, 17 are implemented without evidence, 12 are partially implemented, 10 are planned, and 6 are not started. Transition and scope scored lowest at 25%, followed by Clause 8 - Operation at 40.3%.

WHAT IT MEANS FOR THE ORGANIZATION

A significant portion of your day-to-day work lacks recorded proof. With 17 requirements implemented but not evidenced, you operate processes without defensible records. Furthermore, only 21 gaps have an assigned owner and only 12 have target completion dates. The heavy concentration of 17 open gaps in operational controls exposes daily manufacturing workflows to inconsistency, customer disputes, and unmanaged production variations. Without documented controls and explicit accountability across the team, your quality management system remains vulnerable during external reviews.

WHERE TO FOCUS FIRST

Begin by compiling evidence for practices that already function across your teams. Collecting proof for what already runs lifts your score from 61.1% to 68%. Next, concentrate on closing high priority items within Clause 8 - Operation. Establish documented procedures for control of production, control of nonconforming outputs, and customer property. Assigning explicit owners and deadlines to the remaining unassigned gaps ensures operational risks are systematically mitigated before addressing longer term planning goals.

1 · EXECUTIVE SUMMARY

PRIORITIES

	PRIORITY	WHY IT MATTERS	FIRST STEP	START FROM	WITHIN
1	Establish operational controls for production and nonconforming outputs 8.5.1 Control of production and service provision · 8.7 Control of nonconforming outputs	Uncontrolled manufacturing workflows and unrecorded nonconformities increase scrap rates and customer dissatisfaction. Establishing these core operational safeguards ensures consistent product quality and predictable process outputs.	Draft the nonconforming outputs procedure and distribute the defect recording form to floor supervisors.	GDL-QMS-PRD-010 Control of Nonconforming Outputs Procedure ISO 9001 Toolkit – 84 Templates for ISO 9001:2026	30 DAYS
2	Formalize transition planning and standard update management TR.2 Transition planned as a change · TR.3 References re-pointed	Transition and scope currently has the lowest score at 25% with 4 open gaps. Managing the framework transition as a formal change prevents operational oversights and misaligned quality documentation.	Initiate the change management procedure to outline required documentation updates and resource needs.	GDL-QMS-PLN-006 Management of Change Procedure ISO 9001 Toolkit – 84 Templates for ISO 9001:2026	30 DAYS
3	Implement risk and opportunity management processes 6.1.1 Determining risks and opportunities · 6.1.2 Actions to address risks	Clause 6 - Planning stands at 55% because risk evaluation is only partially embedded. Systematic risk management prevents unexpected process failures and aligns planning with business objectives.	Convene a workshop with department heads to populate the risk register using the standard procedure.	GDL-QMS-PLN-001 Risk and Opportunity Management Procedure ISO 9001 Toolkit – 84 Templates for ISO 9001:2026	60 DAYS
4	Standardize customer property handling and product release verification 8.5.3 Property belonging to customers or external providers · 8.6 Release of products and services	Missing formal release criteria and customer property tracking creates liability and delivery issues. Clear inspection records protect client assets and confirm product conformity before shipment.	Inventory all customer-owned tooling and equipment currently stored on site.	GDL-QMS-PRD-004 Customer and External Provider Property Procedure ISO 9001 Toolkit – 84 Templates for ISO 9001:2026	90 DAYS

30 / 60 / 90-DAY ROADMAP**FIRST 30 DAYS**

- Assign named owners and target completion dates to all 45 open gaps across departments.
- Gather and organize existing operational records to provide evidence for 17 implemented requirements.
- Deploy the procedure for control of nonconforming outputs across active production lines.
- Initiate formal transition planning using the management of change procedure.

DAYS 31 TO 60

- Conduct risk identification sessions to populate the risk register across core operations.
- Formalize procedures for customer communication, design controls, and purchasing specifications.
- Complete partially implemented controls within context, support, and quality objectives.

DAYS 61 TO 90

- Implement customer property tracking and product release inspection procedures in production.
- Establish the internal audit programme and finalize the continual improvement process.
- Review evidence across all operational clauses to confirm gap closure progress.

Maturity across the standard

Each bar shows how the requirements in one area break down by status, weakest on the left. The score is the average across applicable requirements; the chips count open gaps by priority.

OTHER REQUIREMENTS	STATUS MIX	SCORE	GAPS H · M · L
Transition and scope	2 1 1	25%	3 0 1
MANAGEMENT SYSTEM CLAUSES	STATUS MIX	SCORE	GAPS H · M · L
Clause 4 - Context	2 2 1	70%	0 2 2
Clause 5 - Leadership	2 3	90%	0 0 2
Clause 6 - Planning	1 3 1	55%	1 3 0
Clause 7 - Support	3 7	79%	1 3 1
Clause 8 - Operation	4 6 2 5	40%	10 2 5
Clause 9 - Performance evaluation	1 5 3	81%	0 1 5
Clause 10 - Improvement	1 1 1	50%	1 1 1

■ Not started
■ Planned
■ Partially implemented
■ Implemented, not evidenced
■ Implemented and evidenced

WHERE THE NEXT POINTS COME FROM

The score after each kind of work, cheapest first. Gold is what that step adds.

Today		61.1%
Evidence what already runs 17 requirements		68.0% +6.9
Finish what is partly in place 12 requirements		77.9% +9.9
Implement what is planned 10 requirements		90.2% +12.3
Start what has not begun 6 requirements		100.0% +9.8

DOCUMENTS THAT CLOSE THE MOST GAPS

Each bar counts the open gaps that name the document as the way to close them.

GDL-QMS-PLN-001 Risk and Opportunity Management Procedure		3
GDL-QMS-TRN-001 ISO 9001 2015 to 2026 Transition Guide		2
GDL-QMS-TRN-005 Documented Information Requirements Matrix		2
GDL-QMS-GOV-004 Context of the Organization Procedure		2
GDL-QMS-GOV-005 Context and Interested Parties Register		2
GDL-QMS-PLN-003 Opportunity Register		2

All of these are in the ISO 9001 Toolkit (84 documents).

Every open gap, grouped by what has to happen next

Work from the top. Requirements not yet started or only planned are the ones a certification auditor reaches first; the last group already operates and needs only its records.

HIGH Not started · 6

Start from a documented baseline: adopt and tailor the document named below, then put it into operation.

Ref	Requirement	Area	Owner · target	Closes it
TR.2	Transition planned as a change	Transition and scope	HR Manager 4 Feb 2027	GDL-QMS-TRN-002 Transition Gap Assessment 2015 to 2026 · GDL-QMS-PLN-006 Management of Change Procedure
TR.4	Sector schemes	Transition and scope	To assign	GDL-QMS-TRN-001 ISO 9001 2015 to 2026 Transition Guide
8.2.4	Changes to requirements	Clause 8	Risk Manager 29 Oct 2026	GDL-QMS-OPS-005 Contract and Order Review Record
8.5.1	Control of production and service provision	Clause 8	HR Manager 10 Dec 2026	GDL-QMS-PRD-001 Control of Production and Service Provision Procedure
8.5.3	Property belonging to customers or external providers	Clause 8	IT Manager 10 Dec 2026	GDL-QMS-PRD-004 Customer and External Provider Property Procedure · GDL-QMS-PRD-005 Customer and External Provider Property Register
8.7	Control of nonconforming outputs	Clause 8	To assign	GDL-QMS-PRD-010 Control of Nonconforming Outputs Procedure · GDL-QMS-PRD-011 Nonconformance Report and Concession Form +1 more

HIGH Planned · 10

Move from plan to implementation. Assign an owner and a date, then put the control into operation.

Ref	Requirement	Area	Owner · target	Closes it
TR.3	References re-pointed	Transition and scope	To assign	GDL-QMS-TRN-005 Documented Information Requirements Matrix · GDL-QMS-TRN-003 ISO 9001 2026 Gap Assessment and Compliance Checklist
6.1.1	Determining risks and opportunities	Clause 6	Operations Manager	GDL-QMS-PLN-001 Risk and Opportunity Management Procedure
7.1.6	Organisational knowledge	Clause 7	To assign	GDL-QMS-SUP-005 Organizational Knowledge Procedure · GDL-QMS-SUP-006 Organizational Knowledge Register

8.2.1	Customer communication	Clause 8	Compliance Lead 4 Feb 2027	GDL-QMS-OPS-003 Customer Communication and Complaints Procedure
8.3	Design and development	Clause 8	Risk Manager	GDL-QMS-OPS-007 Design and Development Procedure · GDL-QMS-OPS-008 Design and Development Plan Template +2 more
8.4.3	Information for external providers	Clause 8	Operations Manager	GDL-QMS-EXT-004 Purchasing Information Checklist
8.5.4	Preservation	Clause 8	HR Manager 4 Feb 2027	GDL-QMS-PRD-006 Preservation Handling and Storage Procedure
8.5.6	Control of changes	Clause 8	Compliance Lead	GDL-QMS-PLN-007 Change Request and Impact Assessment Form · GDL-QMS-PRD-001 Control of Production and Service Provision Procedure
8.6	Release of products and services	Clause 8	To assign	GDL-QMS-PRD-008 Release of Products and Services Procedure · GDL-QMS-PRD-009 Inspection and Release Record
10.1	Continual improvement	Clause 10	IT Manager 21 Jan 2027	GDL-QMS-IMP-001 Continual Improvement Procedure · GDL-QMS-IMP-002 Improvement Register

MEDIUM Partially implemented · 12

Extend the existing approach to the whole scope and apply it consistently, then evidence it.

Ref	Requirement	Area	Owner · target	Closes it
4.2	Interested parties	Clause 4	HR Manager 7 Jan 2027	GDL-QMS-GOV-005 Context and Interested Parties Register · GDL-QMS-GOV-004 Context of the Organization Procedure
4.4	Quality management system and its processes	Clause 4	IT Manager 10 Dec 2026	GDL-QMS-GOV-006 Process Map and Process Interaction Description · GDL-QMS-GOV-007 Process Definition Template
6.1.2	Actions to address risks	Clause 6	Compliance Lead 7 Jan 2027	GDL-QMS-PLN-001 Risk and Opportunity Management Procedure · GDL-QMS-PLN-002 Risk Register
6.1.3	Actions to address opportunities	Clause 6	IT Manager	GDL-QMS-PLN-003 Opportunity Register · GDL-QMS-PLN-001 Risk and Opportunity Management Procedure
6.2	Quality objectives and planning	Clause 6	To assign	GDL-QMS-PLN-004 Quality Objectives and Planning Procedure · GDL-QMS-PLN-005 Quality Objectives Register and Action Plan

7.1.2	People	Clause 7	IT Manager	GDL-QMS-SUP-001 Resource Management Procedure
7.1.4	Environment for the operation of processes	Clause 7	To assign	GDL-QMS-SUP-002 Infrastructure and Work Environment Register · GDL-QMS-GOV-010 Quality Culture and Ethical Behaviour Policy
7.5.1	Documented information - general	Clause 7	Operations Manager	GDL-QMS-SUP-012 Control of Documented Information Procedure · GDL-QMS-TRN-005 Documented Information Requirements Matrix
8.2.2	Determining requirements	Clause 8	Risk Manager 7 Jan 2027	GDL-QMS-OPS-004 Customer Requirements and Contract Review Procedure
8.4.1	Control of external providers	Clause 8	HR Manager	GDL-QMS-EXT-001 Control of External Providers Procedure · GDL-QMS-EXT-002 External Provider Evaluation and Approval Form +1 more
9.2.2	Internal audit programme	Clause 9	Operations Manager	GDL-QMS-PER-007 Internal Audit Programme and Auditor Register · GDL-QMS-PER-008 Internal Audit Checklist ISO 9001 2026
10.2	Nonconformity and corrective action	Clause 10	HR Manager 7 Jan 2027	GDL-QMS-IMP-003 Nonconformity and Corrective Action Procedure · GDL-QMS-IMP-004 Corrective Action Request Form +1 more

LOW Implemented, not evidenced · 17

Collect and file evidence an auditor can sample. The control is operating; what is missing is the record of it.

Ref	Requirement	Area	Owner · target	Closes it
TR.1	Edition you are certified to	Transition and scope	To assign	GDL-QMS-TRN-001 ISO 9001 2015 to 2026 Transition Guide · GDL-QMS-TRN-004 Implementation Project Plan
4.1	Organisation and its context	Clause 4	To assign	GDL-QMS-GOV-004 Context of the Organization Procedure · GDL-QMS-GOV-005 Context and Interested Parties Register

4.3	Scope of the quality management system	Clause 4	To assign	GDL-QMS-GOV-003 QMS Scope Statement · GDL-QMS-GOV-001 Quality Manual
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5.1.2

Customer focus

Clause 5

To assign

GDL-QMS-GOV-009
Leadership

5.2	Quality policy	Clause 5	To assign	GDL-QMS-GOV-002 Quality Policy
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8.1	Operational planning and control	Clause 8	To assign	GDL-QMS-OPS-001 Operational Planning and Control Procedure · GDL-QMS-OPS-002 Quality Plan Template
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8.4.2	Type and extent of control	Clause 8	To assign	GDL-QMS-EXT-005 Outsourced Process Control Agreement Template · GDL-QMS- EXT-001 Control of External Providers Procedure
8.5.1 (validation)	Validation of processes	Clause 8	To assign	GDL-QMS-PRD- 002 Process Validation Procedure

9.1.1	Monitoring, measurement, analysis and evaluation	Clause 9	To assign	GDL-QMS-PER-001 Monitoring Measurement Analysis and Evaluation Procedure · GDL-QMS-PER-002 QMS Performance Indicator Register and Dashboard
9.1.3 (opportunities)	Analysis and evaluation - opportunities	Clause 9	To assign	GDL-QMS-PER-001 Monitoring Measurement Analysis and Evaluation Procedure · GDL-QMS-PLN-003 Opportunity Register
9.2.1	Internal audit	Clause 9	To assign	GDL-QMS-PER-006 Internal Audit Procedure · GDL-QMS-PER-009 Internal Audit Plan and Report Template
9.3.1	Management review	Clause 9	To assign	GDL-QMS-PER-010 Management Review Procedure
9.3.3	Management review results	Clause 9	To assign	GDL-QMS-PER-011 Management Review Agenda and Minutes Template
10.2 (records)	Corrective action records	Clause 10	To assign	GDL-QMS-IMP-005 Corrective Action Register · GDL-QMS-IMP-006 Lessons Learned Record

How it was scored

STATUS WEIGHTS

Status	Weight	Meaning
■ Not started	0.00	No policy, process or activity exists for this requirement.
■ Planned	0.25	Approach agreed and scheduled, but nothing is in place yet.
■ Partially implemented	0.50	In place for part of the scope, or inconsistently applied.
■ Implemented, not evidenced	0.75	Operating as intended, but you could not prove it to an auditor today.
■ Implemented and evidenced	1.00	Operating as intended, with records an auditor can sample.
■ Not applicable	—	A justified exclusion. Removed from the score - record why in your notes.

READINESS LEVELS

1 • Initial (0%+)

Most requirements are not yet in place. Build the foundations before thinking about an audit.

2 • Developing (40%+)

The programme is under way, with material gaps an auditor would find.

3 • Established (65%+)

Most controls operate. Remaining work is closing specific gaps and evidencing what runs.

4 • Audit-ready (85%+)

Controls operate and are evidenced. Ready for an internal audit and a certification body.

A management-system clause scoring under 50% holds the level at Developing, because clauses cannot be excluded from certification scope.

WHAT THIS REPORT IS

BASIS OF THIS REPORT AND LIMITATION OF LIABILITY

This report is the output of a self-assessment. The scores, readiness levels, gaps, analysis and recommendations in this report are derived solely from the information entered by the organization, and have not been independently reviewed, verified, tested or audited by Governance Docs. Governance Docs did not conduct an independent assessment of the organization, its controls or its operations.

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A control that is running but cannot be evidenced scores 0.75, not 1.00. Auditors sample records, not intentions. Closing that distance is usually the fastest route to a higher score.

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YOUR WORKBOOK

The Excel workbook that comes with this report follows the same sections and colours. Dashboard: sections 1 and 2, recalculated live. Assessment: every requirement; change a status and every score, chart and level updates. Remediation Plan: section 3, with owners, dates and progress since this report. How it was scored: this page.

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