

Participant Workbook

Ethics in Quality Management Online Workshop | Rev H | October 7, 2026

Participant Workbook

ISO 9001:2026 Ethics in Quality Management Online Workshop

Name	
Organization	
Role	
Date started	

How to use this workbook

Each module of the workshop points you to a worksheet here. Complete it when the narration asks you to pause.

Work on your own or with your team. Your answers build on each other, and they all come together in your gap analysis and transition plan in Module 7.

The Real-World Ethics Policies exercise (Module 4) and the internal audit checksheet (Module 6) are separate downloads.

Worksheets in this workbook

Module	Worksheet	Used again in
Module 1	Three questions, honest answers	Module 7
Module 2	Requirement status and transition dates (reference)	Module 7
Module 3	Leadership gap review	Module 7
Module 5	Your awareness message	Your team
Module 6	Corrective action drill	Module 7
Module 7	Policy-to-Practice Scorecard, gap analysis and transition plan	Management review
Module 7	Leadership procedure interview plan	Your procedure

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MODULE 1: CONTEXT AND WHY ETHICS NOW

Three Questions, Honest Answers

Answer for a busy month, not a good one. You will use these answers in Module 7.

1. Where does your quality policy mention ethical behavior, if anywhere?

2. When did someone last raise a concern here, and what happened to them next?

3. Which target would tempt someone here to cut a corner?

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MODULE 2: WHAT THE STANDARD SAYS

Requirement Status at a Glance

Know which items are requirements, which are notes, and which are guidance. Confirm wording against your licensed copy of ISO 9001:2026.

Item	Clause	Status
Top management promotes quality culture	5.1.1 i)	Requirement, new in 2026
Top management promotes ethical behavior	5.1.1 i)	Requirement, new in 2026
Top management takes accountability for effectiveness	5.1.1 l)	Requirement
Responsibility and authority assigned for system integrity	5.3 f)	Requirement
People aware of quality culture	7.3 e)	Requirement, new in 2026
People aware of ethical behavior	7.3 e)	Requirement, new in 2026
Culture and ethics can influence the work environment	7.1.4 NOTE	Context only
Quality policy reflects culture and ethical expectations	Annex A.5.2	Informative; recommended by MSI
Customer commitments as ethical commitments	4.3, 5.1.2, 8.2.3	MSI position

Transition dates (Global ACI)

September 16, 2026	ISO 9001:2026 published
March 31, 2027	Accreditation bodies ready to assess to the 2026 edition
March 31, 2028	New certifications issued only to the 2026 edition
September 30, 2029	Transition complete; ISO 9001:2015 certificates end

Confirm your transition audit timing with your certification body.

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MODULE 3: LEADERSHIP'S ROLE

Leadership Gap Review

Complete this with your leadership team if you can. Name actions, not intentions.

A. What our leaders do today that visibly promotes ethical behavior

1	
2	
3	

B. Gaps against the leadership requirements

Clause	Current state	Gap	Evidence an auditor would find today
5.1.1 i) quality culture			
5.1.1 i) ethical behavior			
5.1.1 l) accountability			
5.3 f) responsibility			
5.3 f) authority			

C. Draft two sentences for your quality policy

Name behaviors people can observe. Example: "We lead a quality culture in which every check is completed as written, every record reflects what actually happened, and every concern raised is thanked and acted on."

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MODULE 5: AWARENESS AND COMPETENCE

Your Awareness Message

Write a message of up to 150 words for your own team. Write the way a good supervisor talks.

Draft

Check your message

☐	It uses plain language, with no legal phrasing.
☐	It includes one real, recent example.
☐	It says exactly how to raise a concern.
☐	It answers the reader's question: why does this matter to me?
☐	It makes a promise someone can test, such as being thanked, not questioned.

The new-hire test

Ask someone new, or imagine their first day. What would they understand, and what would confuse them?

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MODULE 6: PREPARING FOR AUDIT

Corrective Action Drill

Pick one item from MSI's 200 Negative Ethics Actions. Walk it through your own corrective action procedure twice: once as if internal audit found it, once as if a newspaper did.

Item chosen (number and text)	
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Step	Found at internal audit	Found in a news story	Where would it stall? Who would hesitate?
Problem statement (facts, not a verdict)			
Containment today			
Corporate risk check: legal, customer and product, certificate and reputation, financial			
Escalated to top management?			
Owner and date			
Cause: pressure, opportunity, story			
Similar problems elsewhere?			
How effectiveness will be verified			

Every hesitation you noted is a gap to close first. Carry it into your gap analysis.

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MODULE 7: GAP ANALYSIS AND TRANSITION PLAN

Policy-to-Practice Scorecard

Score each check 0 for no evidence, 1 for some evidence, and 2 for consistent evidence. Run it again before each management review.

#	Check	0	1	2	Evidence
1	Each member of top management can state the culture and ethics commitment without reading it.				
2	Three randomly chosen employees can explain what the policy means in their own work.				
3	At least one quality objective traces directly to a named behavior in the policy.				
4	Quality concerns raised last quarter were logged, answered and closed.				
5	Every correction to a quality record carries a dated, attributable explanation.				
6	At least one schedule-versus-quality decision was documented in the past year.				
7	Awareness training covers culture and ethics and checks understanding, not just attendance.				
8	The last management review recorded a conclusion on the policy's continuing suitability.				

Today's total		13-16 lived 8-12 partly lived 0-7 posted, not yet practiced
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Gap Analysis

Draw on your answers from Module 1, your leadership gap review from Module 3, your three behaviors from Module 4 and your drill from Module 6.

Area	Current state	Gap	Effort L/M/H	Owner	Target date
5.1.1 i) quality culture					
5.1.1 i) ethical behavior					
5.1.1 l) accountability					
5.2 quality policy wording					
5.3 f) integrity role					
7.3 e) awareness of quality culture					
7.3 e) awareness of ethical behavior					
7.1.4 speaking up					
7.1.2 and 7.2 hiring practices					
5.3 and 7.2 job descriptions match actual duties					
8.4 supplier verification					
10.2 ethics findings in corrective action					
Customer commitments (MSI)					

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Transition Plan

Work backward from the dates you do not control. Give every milestone an owner, a target date and a status. A milestone with no owner is a wish, not a plan.

Milestone	What it means	Owner	Target date	Status
1. Next surveillance audit	Your anchor date. Your registrar sets it. It is not a target.			
2. Recertification audit	The outer limit for your transition audit. Where feasible, transition here to avoid paying for extra audit days.			
3. Planning	Outline the changes needed, clause by clause. Note the effort and who does each change.			
4. Documentation	Reissue your manual, procedures, forms and management review agenda against the 2026 edition.			
5. Registrar audit scheduled	Book it early. Registrar capacity tightens sharply in the final year.			
6. Training	Everyone affected by a changed requirement, not only the quality function.			
7. Implementation	Changed requirements are in actual use and generating records.			
8. Internal audits	Completed against the 2026 edition. Findings closed before the registrar arrives.			
9. Registrar transition audit	Transition audit held and certificate reissued. Must be before September 30, 2029.			

Transition audit

Certification body contacted on	
Planned transition audit date	
Combined with surveillance or recertification?	☐ Surveillance ☐ Recertification ☐ Separate visit

My single most important commitment

I will review progress on	
The person who will ask me about it	

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MODULE 7: WRITE IT INTO YOUR SYSTEM

Leadership Procedure Interview Plan

Step 1 of writing a leadership procedure from a blank page. Record what people actually do, not what they think they should say. Every “we just know” is a missing role, trigger or record.

Questions to ask

1	How are leadership decisions made, and where are they recorded?
2	Where does a concern go, and how fast does someone answer it?
3	Who can stop work or hold product, and do they need permission?
4	What happens when a commitment to a customer changes?
5	When an ethical compromise is found, who makes sure a corrective action is opened?

Interview record

Who (role)	Date and interviewer	What you heard	What the procedure will say
Top management			
Top management			
Process owner			
Management review preparer			
Integrity role (5.3 f)			

Next steps: document, train, implement, audit. Start from MSI's Leadership and Commitment procedure template, and see the QMS Interviews online course for conducting and evidencing the interviews.

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Resources

200 Negative Ethics Actions	msi-international.com/unethical-business-practices
ISO 9001 quality policy guide	msi-international.com/iso-9001-quality-policy
Corrective Action course	Catch. Correct. Continually Improve. Releasing October 14, 2026
Leadership and Commitment Workshop	ISO 9001:2026 edition. Opening October 21, 2026
ISO 9001 ethics requirements 2026	msi-international.com/iso-9001-ethics-requirements-2026
Leadership procedure template	msi-international.com/iso-procedure-templates-and-guides
QMS Interviews online course	member.msi-international.com/courses/qms-interviews
Corrective action procedure template (SOP-008), QuickStart and transition guide	msi-international.com/iso-procedure-templates-and-guides
Questions	(888) 914-9141

Clause references are to ISO 9001:2026, published September 16, 2026; requirements are paraphrased. For training purposes only.