

**JARAMOGI OGINGA ODINGA UNIVERSITY  
OF SCIENCE AND TECHNOLOGY**


**DOCUMENT: PROCEDURE FOR INTERNAL QUALITY AUDIT**

**DOC. NO: JOOUST/OP / 03**

**AUTHORIZED BY: VICE-CHANCELLOR**

**SIGNATURE:** 

**ISSUED BY: QUALITY MANAGEMENT  
REPRESENTATIVE**

**SIGNATURE:** 

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**0.2 DOCUMENT CHANGES**

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**1.0 Purpose**

To ensure effective conduct of Internal Audits for the improvement of QMS

**2.0 Scope**

The procedure covers audit planning, scheduling and preparation, execution, follow-up and reporting on internal audits.

**3.0 References:**

- i. ISO 9001:2015 Standard
- ii. ISO 19011 Guidelines for QMS Audits

**4.0 Abbreviations, Acronyms and Definitions**

- i. Audit: Systematic and independent assessment of quality activities to determine the extent to which they meet requirements and are effective
- ii. CAR: Corrective Action Request.
- iii. FHs: Functional Heads (DVC, Deans, Directors, Registrars, Heads of Sections/Units, Chairpersons of Departments)
- iv. Functions: Operative units within the University such as Divisions, Schools/Departments and Directorates
- v. JOOUST: Jaramogi Oginga Odinga University of Science and Technology
- vi. MRC: Management Review Committee
- vii. QMR: Quality Management Representative
- viii. QMS: Quality Management System
- ix. VC: Vice-Chancellor

**5.0 Responsibility**

The QMR and the QMS Secretariat shall ensure the effective implementation and maintenance of this procedure.

**6.0 Method****6.1 Planning and Execution of Internal Audit**

The QMR and QMS Secretariat shall:

- 6.1.1 Schedule and plan internal audits and ensure that internal audits are conducted as scheduled.

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- 6.1.2 Plan the internal audit programmes which include establishing audit criteria, scope and frequency.
- 6.1.3 Nominate audit team leaders for scheduled audits.
- 6.1.4 Select auditors and audit teams to facilitate objectivity and impartiality by ensuring that auditors do not audit their department.
- 6.1.5 Maintain records of internal audits.
- 6.1.6 Ensure that follow-ups are conducted, including verification of corrective actions taken and reporting on the effectiveness of the corrective action.
- 6.1.7 Ensuring that internal auditors are trained and have the necessary competencies.
- 6.1.8 Maintain records of training for internal auditors and a list of trained internal auditors.
- 6.1.9 Monitor the conduct of internal audits and evaluate internal auditors' competence
- 6.1.10 Prepare and present internal audit reports to MRC.

**6.2 Responsibility of Auditee during QMS Audits**

Auditees shall:

- 6.2.1 Ensure that audits scheduled for their departments are carried out as planned.
- 6.2.2 Sign for identified non conformities recorded on the CAR forms during internal audits.
- 6.2.3 Ensure that CARs raised during internal audits are completed and closed out accordingly.

**6.3 Responsibility of Internal Auditors**

Internal auditors shall:

- 6.3.1 Prepare audit notifications for assigned areas as per audit programme, schedule and scope.
- 6.3.2 Conduct audits in accordance with ISO 9001:2015 Standard.
- 6.3.3 Generate audit records – the audit checklists and CARs and ensure they are completed and signed by the Auditee.
- 6.3.4 Prepare audit findings reports and presenting the same to the Auditee and Copies to the QMR
- 6.3.5 Ensure initial audit follow-ups on dates agreed with the Auditee and filing follow-up review reports in the CARs.

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- 6.3.6 Maintain professionalism and objectivity throughout the audit period.
- 6.3.7 Formally notify the auditee in writing at least five working days in advance. The notification shall include the timetable, audit basis and any special requests to the department i.e. auditor’s guide, special protective clothing, auditors meeting room, etc.

**6.4 Audit Scheduling**

- 6.4.1 The QMR shall develop a schedule of audits based on the identified University processes at the beginning of each year.
- 6.4.2 The QMR shall take into consideration the status and importance of departmental activities when scheduling audits.
- 6.4.3 The audit areas shall be as per the Departments/Units

**6.5 Execution of Audit**

- 6.5.1 The audit team shall hold an opening meeting with the auditee in which the following agenda shall be covered among others:
  - i. Introduction
  - ii. Registration of those present
  - iii. Confirmation of the audit basis/documentation to be used and audit scope
  - iv. Audit purpose
  - v. Confirmation of audit timetable and
  - vi. Statement of confidentiality
- 6.5.2 The auditors shall use a checklist prepared to obtain objective evidence.
- 6.5.3 The audit shall be conducted through interviews, inspection and observation.
- 6.5.4 The auditors shall analyze all the audit evidence and categorize the audit findings in terms of positives, areas of improvement and non-conformities.
- 6.5.5 The auditors shall classify non-conformities into major or minor non conformities.
- 6.5.6 The auditors shall hold a closing meeting which shall have the following agenda among others:
  - i. Introduction and recording of attendance.
  - ii. Mention the principles of sampling followed during the audit
  - iii. Summarize audit findings into positives, areas of improvement and non-conformities

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- iv. Give non-conformities in details
  - v. Reassure confidentiality
  - vi. Open the meeting for discussions
  - vii. Close meeting
- 6.5.7 The Auditors shall prepare audit report and forward the original to QMR and copy to the Auditee upon completion.
- 6.5.8 The report shall include the following:
- i. Audit Notification
  - ii. Opening and Closing Meeting Attendance Register (JOOUST/OP/03/F1)
  - iii. Audit Findings Form (JOOUST/OP/03/F2)
  - iv. Correction Action Request Form (JOOUST/OP/03/F3)
  - v. Audit Summary (JOOUST/OP/03/F4)
- 6.5.9 The auditors shall conduct a follow-up on the implementation of the agreed corrective actions and evaluate their effectiveness

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