



**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:

0.1 DOCUMENT DISTRIBUTION

S. NO	TYPE	OFFICE
i.	Original	QMR
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0.2 DOCUMENT CHANGES

DATE	CHANGES	AUTHORIZED BY
27/4/2011	Interchanged clause 6.5.7 To 6.5.6 and 6.5.6 to 6.5.8, Added 6.5.7 on Audit Report requirements , Deleted appendices	
29/4/2013	Procedure reviewed to reflect change of status from BUC to JOOUST	
30/4/2015	Procedure reviewed for adequacy	

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1.0 Purpose

To ensure effective Internal Quality Audits for continual improvement.

2.0 Scope

The procedure covers audit scheduling, preparation, execution, audit follow-up and reporting

3.0 References:

- i. ISO 9001:2008 QMS requirements
- ii. ISO 19011: 2000 Guidelines for QMS Audits

4.0 Terms and Definitions

- i. BUC: Bondo University College
- ii. QMR: Quality Management Representative
- iii. QMS: Quality Management System
- iv. VC: Vice-Chancellor
- v. DVC,PAF: Deputy Vice-Chancellor, Planning, Administration and Finance
- vi. DVC, AA: Deputy Vice-Chancellor , Academic Affairs
- vii. DVC, RIO: Deputy Vice-Chancellor, Research, Innovation and Outreach
- viii. BUC: Bondo University College
- ix. JOOUST: Jaramogi Oginga Odinga University of Science and Technology
- x. Audit: Systematic and independent assessment of quality activities to determine the extent to which they meet requirements and are effective
- xi. CAR: Corrective Action Request.
- xii. FHs: Functional Heads (DVC,Deans,Directors,Registrars, Heads of Sections/Units, Chairpersons of Departments)
- xiii. Functions: Operative units within the University such as Divisions, Schools/Departments and Directorates

5.0 Responsibility

The QMR 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 be responsible for:

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- 6.1.1 Scheduling and planning of internal audits and ensuring that internal audits are conducted as scheduled
- 6.1.2 Planning the internal audit programmes which include establishing audit criteria, scope and frequency.
- 6.1.3 Nominating audit team leaders for scheduled audits.
- 6.1.4 Selecting auditors to facilitate objectivity and impartiality by ensuring that auditors do not audit their own department.
- 6.1.5 Maintaining records of internal audits
- 6.1.6 Ensuring 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 necessary competencies.
- 6.1.8 Maintaining records of training for internal auditors and list of trained internal auditors.
- 6.1.10 Presenting internal audit reports to MRC.

6.2 Responsibility of Auditee during QMS audits

Auditees shall be responsible for:

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

6.3 Responsibility of Internal Auditors during internal audits

Internal auditors shall be responsible for:

- 6.3.1 Preparing audit notifications for assigned areas as per audit programme, schedule and scope.
- 6.3.2 Conducting audits in accordance with audit principles as per ISO 9001:2008 Standard.
- 6.3.3 Generating audit records – the audit checklists and CARs and ensuring they are completed and signed by the Auditee.

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- 6.3.4 Preparing audit findings reports and presenting the same to the Auditee and Copies to the QMR
- 6.3.5 Ensuring initial audit follow-ups on dates agreed with the Auditee and filing follow-up review reports in the CARs.
- 6.3.6 Maintaining professionalism and objectivity throughout the audit period.
- 6.3.7 Formally notifying the auditee of the audit, 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 corporate 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

6.5.3 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.

6.5.3 The auditors shall classify non-conformities into major or minor non conformities.

6.5.4 The auditors shall hold a closing meeting which shall have the following agenda among others:

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

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