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1. Purpose

This methodological instruction establishes the rules and responsibilities for conducting the internal audit of the quality management system at the University and for analyzing the results identified.

2. Scope

This methodological instruction is mandatory for all structural units of the LEPL "Georgian Technical University" that fall within the scope of the organization's quality management system.

The internal audit is conducted in all structural units falling within the scope of the QMS and covers all QMS processes.

3. Terms and Abbreviations Used

The terms and definitions used in this methodological instruction correspond to the terms and definitions given in the current editions of the ISO 9001 standards.

The following specific abbreviations are used in this methodological instruction:

QMS – Quality management system

QMS/M – Manual

MI – Methodological instruction;

QMS Manager – Management representative in the field of quality management;

Mand. – Mandatory;

Part. – Participant.

4. Responsibilities

Task	QMS Manager	Rector	Auditor	Head of the structural subdivision being audited	QMS Council
Audit planning	Mand.	Mand.			
Preparation of the audit program for one calendar year	Mand.	Mand.			
Approval of the audit program		Mand.			
Informing the structural unit about the audit program	Mand.				
Selection of auditors	Mand.	Mand.			
Appointment of unscheduled audits; determination of the audit scope and of the audit team	Mand.				
Preparation for the audit	Mand.		Mand.		
Conducting the audit			Mand.	Mand.	
Preparation of the audit report			Mand.		
Assignment of corrective and preventive actions				Mand.	
Implementation of corrective and preventive actions	Mand.			Mand.	

Control and analysis of the effectiveness of corrective and preventive actions	Mand.				Mand.
Analysis of internal audit results	Mand.	Part.	Part.		Mand.
Conducting self-inspection	Mand.			Mand.	

The management and employees of the organization are obliged to observe the audit deadlines, provide the auditors with reliable information, and actively participate in the audit process.

Auditors are obliged to:

- have appropriate knowledge in the field of quality management;
- have experience of working in the organization;
- be objective;
- have the following personal qualities:
 - diplomacy;
 - attentiveness;
 - correctness;
 - perceptiveness;
 - decision-making ability.
- improve their qualifications and participate in the necessary training.

5. Implementation of the Internal Audit

5.1. Planning of the internal audit

The QMS internal audit and self-inspection are conducted according to an audit program approved in advance by the Rector of the organization. The audit program is prepared by the quality management leader and includes a list of the processes to be audited, the persons responsible for them, and the timeframes for conducting the audit. The audit program includes control of compliance with the requirements set out in the procedures of the quality management system.

The internal audit and self-inspection program is agreed with the owners of the relevant processes involved in the audit process.

An unscheduled audit may be conducted:

- upon identification of a disputed situation;
- in the case of complaints from a client;
- in the case of significant managerial and organizational changes;
- upon the development of a new service/product.

An unscheduled audit takes priority over a scheduled audit.

5.2. Preparation for the internal audit

For each audit, the lead auditor draws up an audit plan, which includes:

- the purpose of the audit and the audit criteria;
- the list of processes subject to audit and the persons responsible for them;
- the exact date and time of the audit;
- the identity of the internal auditors performing the audit.

When drawing up the audit plan, the requirements of the ISO 9001 standard and of the QMS documentation, and the results of the previous audit, are taken into account. The auditor notifies the

QMS leader and the relevant process owner, or the head of the structural unit, of the date of the internal audit. The audit date may be changed by agreement with all interested parties.

Persons who have undergone the relevant training and hold supporting documents (attestations, certificates) approved in the established manner are selected as auditors by the QMS manager and approved on the basis of the Rector's order. Internal auditors are obliged to act in accordance with the given plan, obtain the information necessary for making the analysis, and draw objective, fact-based conclusions. Employees, for their part, are obliged to provide them with reliable information.

Self-inspection is conducted by means of a checklist drawn up in advance by the QMS leader.

5.3. Conducting the internal audit

The audit is conducted according to the internal audit plan as follows:

- introductory interview;
- interview with the relevant employees of the given structural unit;
- review of the QMS documents related to the processes ongoing in the relevant structural unit;
- selective control of the implementation of the measures established under the QMS;
- discussion of the results / concluding interview.

On the day of the audit, the internal auditor organizes a meeting with the employees of the structural unit to be audited and explains to them the purpose of the audit and the methods of conducting it (questioning, checking documentation, walk-through, analysis of the results of the previous audit, and others).

During the audit, the results of observation are registered independently by each auditor in the checklist, and the head of the structural unit, or the owner of the relevant process, is informed of any nonconformity found.

The checklist for each audit is developed by the lead auditor. It is also possible to ask questions that the checklist does not cover. The auditors record all information that points to a possible nonconformity and on the basis of which improvement measures may be defined.

On the basis of the remarks made in the course of the specific audit, the owner of the audited process, or the head of the structural unit, must carry out a correction, or a corrective or preventive action.

If the audit lasts several days, the head of the audited structural unit, or the owner of the relevant process, is informed of the interim results at the end of each working day.

If the set objective cannot be achieved, the audit is stopped, and the QMS manager convenes the auditors and clarifies the situation.

5.4. Completion of the internal audit and preparation of the report; audit analysis

After the audit is completed, the QMS manager holds a summary meeting with the head of the audited structural unit and the owner of the relevant process to discuss the audit results and the conclusions made. At this meeting, the auditors exchange information and the results are discussed, and the audit report is prepared, indicating the positive aspects, the potential for improving the activity, and the existence of nonconformities and the facts confirming them.

The audit report is prepared in written form by the lead auditor, who is responsible for the accuracy and completeness of the report. Supporting materials, statistical data, records and others may be attached to the report as an annex. The annex is attached to the first copy of the report and is kept by the QMS manager.

The audit results are evaluated using the following terminology:

Deviation:	Must be eliminated within the established time limit.
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	Requires actions to be taken.
Improvement potential:	Represents an opportunity to improve the QMS. Feasibility analysis.
Positive remark:	Identification of the positive aspects of QMS implementation.

The report on the conducted internal audit is submitted to the Rector of the organization, the QMS leader, and the head of the audited structural unit or the owner of the relevant process. Implementation of the correction is controlled by the QMS leader.

If the head of the audited structural unit, or the owner of the relevant process, does not agree with the audit results, the final decision is made by the QMS leader and, where necessary, a repeat audit is carried out.

Based on the results of the conducted audit, the head of the audited structural unit, or the owner of the relevant process, plans measures for implementing corrective and preventive actions in accordance with the procedure "Corrective and Preventive Actions".

The head of the audited structural unit, or the owner of the relevant process, determines the measures for eliminating the cause of the nonconformity, or the nonconformities that were not corrected during the correction.

The deadlines for corrective and preventive actions are set by the head of the audited structural unit or the owner of the relevant process.

After the corrective and preventive actions have been implemented, information is provided to the quality management leader for control.

The results of the conducted internal audit are analyzed at the meeting of the QMS Council.

The originals of the relevant internal audit records are kept by the QMS manager for the period specified in the list of records.

6. Accompanying Documentation

Designation	Title
QMS/M	Manual
ISO 19011	Guidelines for auditing management systems
MI-05	Nonconformity management
MI-04	Correction and corrective actions

7. Approval Sheet

Developed by:	Date	Signature
QMS Leader		
Agreed by:		
Rector		

Annex "A"
F-MI-03A-01

Annual program for conducting QMS internal audits of the LEPL "Georgian Technical University"

----- year

No.	Process	§ of std.	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Resource

Unscheduled audits

No.	Process	Reason	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec

Prepared by:

QMS Manager: _____
Signature
Surname/Name

Date:

Approved by:

Rector: _____
Signature
Surname/Name

Date:

F-MI-03B-01
Annex "B"
(Mandatory)

Internal Audit Plan Form

Client	
Contractor	
Time of work performance	
Scope of work	
Purpose of the audit	
Type of audit	☐ Scheduled ☐ Unscheduled

Date	Time	Audit criterion	Process/subprocess	Evidence of work / document
			I approve: / _____ /	Agreement of the audit work plan

Lead auditor:

Auditor:

Head of the structural unit to be audited:

Name, surname	Signature	Date
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F-MI-03C-01
Annex "C"
(Mandatory)

Report on the Internal Audit

Process / subprocess:	
Structural unit:	Auditors
Date of the audit:	Type of audit: ☐ Scheduled ☐ Unscheduled
Purpose of the audit:	

Audit results:

Deviation / Improvement	Clause of the standard	Nonconformity identified during the audit

Lead auditor: _____ Date ____ ____ 22 y.

Auditor: _____ Date ____ ____ 22 y.