THE STATE STATISTICAL COMMITTEE
OF THE REPUBLIC OF AZERBAIJAN

Handbook for Conducting Quality Management System Internal Audits

Baku - 2023

Approved by order No. 03/07s
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of the Republic of Azerbaijan
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INTRODUCTION

To improve the processes for producing statistical products within the official statistics system, further enhance data quality, and standardize documentation practices in accordance with international standards, the State Statistical Committee of the Republic of Azerbaijan (SSC) has established and implemented a Quality Management System (QMS) in accordance with the requirements of ISO 9001:2015 – *Quality Management Systems — Requirements*.

ISO 9001:2015 is an international standard that specifies the requirements for establishing, implementing, maintaining and continually improving a quality management system. The designation ISO 9001 refers to the standard number, while 2015 indicates the year of its latest revision. ISO 9001:2015 belongs to the ISO 9000 family of quality management standards, which also includes:

- ISO 9000:2015, *Quality Management Systems — Fundamentals and Vocabulary*, which defines the fundamental concepts and terminology used in quality management systems;
- ISO 9004:2018, *Quality Management — Quality of an Organization — Guidance to Achieve Sustained Success*, which provides guidance for improving the efficiency and effectiveness of quality management systems; and
- ISO 19011:2018, *Guidelines for Auditing Management Systems*, which provides guidance on planning, conducting and improving management system audits.

The requirements of ISO 9001:2015 may be summarized as follows:

- Quality Management System – establishing, implementing, maintaining and continually improving the Quality Management System. This includes documenting the QMS processes, quality policy, quality objectives, documented information and other information necessary for the effective operation and continual improvement of the system.
- Leadership – top management shall demonstrate leadership and commitment by establishing the quality policy, ensuring that quality objectives are established, promoting a focus on users, and providing the resources necessary for the effective implementation and continual improvement of the QMS.
- Resource Management – the organization shall determine and provide the resources required for the effective operation of the Quality Management System. Personnel shall be competent on the basis of appropriate education, training, skills and experience.
- Operational Processes – the organization shall plan, implement and control the processes necessary for the production and delivery of statistical products and services. This includes determining user requirements, planning operational activities, managing externally provided processes, ensuring appropriate monitoring and control, and maintaining the necessary documented information.
- Performance Evaluation and Improvement – the organization shall monitor, measure, analyse and evaluate the performance of the Quality Management System and implement continual improvement activities to enhance its effectiveness and ensure conformity of statistical products and services.

One of the fundamental requirements of ISO 9001:2015 is the implementation of internal quality audits. Internal quality audits serve as one of the principal mechanisms for monitoring the effectiveness of the Quality Management System, evaluating the quality of statistical processes and products, assessing process performance, and identifying opportunities for continual improvement. They also provide objective evidence to support management decisions and the ongoing enhancement of organizational performance.

Internal audits at the State Statistical Committee are conducted in accordance with the requirements of ISO 19011:2018 – *Guidelines for Auditing Management Systems*. The purpose of internal audits is to determine whether the Quality Management System conforms to:

- the requirements of ISO 9001:2015;
- the requirements of the SSC Quality Manual;
- the documented procedures and other documented information of the SSC Quality Management System;

- the legislation of the Republic of Azerbaijan and the internal regulatory documents of the State Statistical Committee; and
- the established requirements for maintaining and continually improving the Quality Management System.

This Internal Audit Manual describes the principles, organization and procedures for planning, conducting, reporting and following up internal quality audits. Its primary purpose is to provide a consistent methodology for conducting internal audits and to serve as practical guidance for both experienced auditors and newly appointed internal auditors responsible for auditing the structural units of the State Statistical Committee.

GENERAL PROVISIONS

Terminology and Definitions

Internal quality audit – a systematic, independent and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
Audit object – the statistical surveys, statistical business processes and supporting activities included in the Statistical Work Programme of the State Statistics Committee.
Product – the output of a process or a set of processes.
Audit team – one or more auditors conducting an audit, supported where necessary by technical experts. One member of the audit team is appointed as the Lead Auditor.
Auditor – a person who has the competence and authority to conduct internal quality audits.
Observer – a person who accompanies the audit team but does not perform audit activities.
Technical expert – a person who provides specific knowledge or expertise to the audit team in a particular technical or professional field.
Guide – a person appointed by the audited structural unit to assist the audit team during the audit.
Audit scope – the extent and boundaries of an audit, including the locations, organizational units, activities, processes and the time period covered by the audit.
Audit programme – a set of one or more audits planned for a specific time frame and directed towards a specific purpose.
Audit plan – a description of the activities and arrangements for conducting an audit.
Audit criteria – a set of policies, documented information, procedures or requirements used as a reference against which audit evidence is compared.
Audit evidence – records, statements of fact or other information that are relevant to the audit criteria and are verifiable.
Audit findings – the results of evaluating the collected audit evidence against the audit criteria.
Audit conclusion – the overall outcome of an audit, taking into account the audit objectives and all audit findings.
Nonconformity – the non-fulfilment of a requirement.
Error – a deviation of the reported statistical data from the true value, regardless of whether the deviation is expressed in monetary or physical units.
Corrective action – an action taken to eliminate the cause of a detected nonconformity and to prevent its recurrence.
Risk – the effect of uncertainty on expected results.
Competence – the ability to apply knowledge and skills to achieve intended results.
Follow-up audit – an audit conducted to verify the implementation and effectiveness of corrective actions taken to address nonconformities identified during a previous internal audit.
Management Review – a periodic review conducted by the top management of the State Statistics Committee, at least once a year, to ensure the continuing suitability, adequacy, effectiveness and alignment of the Quality Management System with the strategic direction of the organization.

Normative References

- Law of the Republic of Azerbaijan On Official Statistics;

- Law of the Republic of Azerbaijan On Civil Service;
- Law of the Republic of Azerbaijan On the Rules of Ethical Conduct of Civil Servants;
- Regulations on the State Statistics Committee of the Republic of Azerbaijan;
- Rules of Procedure of the State Statistics Committee of the Republic of Azerbaijan;
- Regulations on the Quality Management and Metadata Department;
- Statistical Work Programme;
- Glossary of Quality Terms;
- Quality Management System documentation of the State Statistics Committee;
- Documented procedures of the Quality Management System (QMS DP-01, QMS DP-02, QMS DP-03, QMS DP-04, QMS DP-05 and QMS DP-06);
- Generic Statistical Business Process Model (GSBPM) – Azerbaijani version.

Objectives of Internal Audits in the State Statistics Committee and Local Statistical Bodies

The purpose of internal quality audits is to determine whether the Quality Management System conforms to the established requirements governing statistical processes and statistical products, to evaluate its effectiveness, identify opportunities for continual improvement, and provide recommendations for enhancing quality management practices within the structural units of the State Statistics Committee and the Local Statistical Bodies (LSBs).
The objectives of internal quality audits include:

- verifying compliance with the legislation of the Republic of Azerbaijan and the internal regulatory documents of the State Statistics Committee;
- evaluating the effectiveness of the management and control of statistical processes;
- supporting the continual improvement of the internal control system;
- providing recommendations for improving statistical processes through the application of new methodologies and best practices;
- monitoring the implementation and maintenance of the Statistical Process Management Standards and Process Maps within the structural units and Local Statistical Bodies; and
- verifying conformity with the requirements of ISO 9001:2015 – Quality Management Systems - Requirements.

Principles of Internal Auditing

To ensure the independence and objectivity of internal auditors' conclusions, as well as to establish the expected professional conduct and approach during audit activities, internal quality audits shall be conducted in accordance with the following principles:

General Principles

The general principles govern the conduct and professional responsibilities of internal auditors throughout the audit process. These principles include:

- ethical conduct;
- impartiality and objectivity;
- professional competence and due professional care;
- independence;
- an evidence-based approach;
- confidentiality and information security;
- personal responsibility for audit findings and conclusions; and
- continual professional development of auditors.

Specific Principles

The specific principles relate to ensuring the completeness, reliability and effectiveness of audit results, taking into account the quality of statistical processes and statistical products. These principles include:

- cooperation with the audited structural unit throughout the audit process;
- verification of documented information and objective evidence;
- assessment of conformity with the established audit criteria;
- promotion of continual improvement; and
- application of the principles of good statistical practice throughout the audit process.

Scope of Internal Quality Audits

The scope of internal quality audits conducted by the State Statistics Committee (SSC) and the Local Statistical Bodies (LSBs) covers the statistical processes (processes, phases and subprocesses) subject to internal audit, statistical products, and the documented information established within the Quality Management System.
The scope of the audit includes, but is not limited to:

- documented procedures of the Quality Management System, including:
    - Control of Documented Information;
    - Control of Nonconformities and Corrective Actions;
    - Management of Risks and Opportunities;
    - Management Review; and
    - Management of User Feedback;
- the Quality Manual;
- the Statistical Process Management Standards and Process Maps prepared for each structural unit and Local Statistical Body; and
- other documented information relevant to the audit objectives and audit criteria.

The specific scope of each internal audit shall be defined in the Audit Plan.

Audit Approach

Internal quality audits of statistical processes and statistical products are conducted using an evidence-based approach. The documented information required for the audit shall be specified in the Audit Plan and made available to the audit team by the audited structural unit or the Local Statistical Body (LSB).
Internal quality audits are performed using a combined (mixed) approach that integrates both traditional auditing techniques and analytical assessment methods.

Traditional Approach

The traditional approach comprises the following stages:

- Audit planning and preparation;
- Conducting internal audits within the State Statistics Committee and the Local Statistical Bodies (LSBs);
- Reporting audit results, including the preparation of nonconformity reports and the audit report; and
- Follow-up activities, including verification of the implementation and effectiveness of corrective actions.

Analytical Approach

The analytical approach includes:

- evaluating the conformity of quality reports and metadata with the recommendations and requirements of relevant international organizations;
- assessing the strengths and weaknesses of statistical processes and statistical products;
- identifying opportunities for continual improvement; and
- analysing the effectiveness of the Quality Management System and its processes.

Internal Quality Audit Process

The internal quality audit process of the State Statistics Committee (SSC) and the Local Statistical Bodies (LSBs) (the flowchart is provided in Appendix 1) consists of the following four stages:

1. Planning and preparation;
2. Conducting the internal audit;
3. Reporting audit results; and
4. Follow-up and verification of corrective actions.

1. ***Planning and Preparation***

The planning and preparation stage is one of the most important phases of the internal quality audit process for both the audit team and the audited structural unit or Local Statistical Body (LSB). Before the audit begins, the audit objectives, scope, schedule and procedures shall be agreed with the management and the Management Representative for the Quality Management System. The managers responsible for the processes or activities to be audited shall be informed in advance. The planning and preparation stage consists of the following activities.

1.1 Selection of Auditors - Internal auditors shall be selected from among the employees of the State Statistics Committee based on their competence, professional qualifications and relevant experience. The selection of auditors shall be approved by the management. The purpose of auditor selection is to establish a competent pool of internal auditors representing different structural units of the Committee. The qualification requirements, experience and personal attributes of auditors are specified in this Manual.

1.2 Formation of the Audit Team and Appointment of the Lead Auditor - Based on a proposal submitted by the Management Representative to the Chairman of the State Statistics Committee, audit teams shall be established. Each audit team shall consist of a Lead Auditor and two or more auditors. The responsibilities and authorities of the Lead Auditor are described in this Manual.

Note: Auditors shall not audit activities or structural units for which they are directly responsible or in which they perform their regular duties in order to maintain independence and impartiality.

1.3 Preparation of the Annual Audit Programme - Each December, the Quality Management and Metadata Department shall prepare the Annual Internal Audit Programme for the following calendar year. The programme shall include:

- audit objectives;
- audited structural units and Local Statistical Bodies;
- planned audit dates;
- the names of the Lead Auditor and audit team members; and
- any subsequent amendments to the audit schedule or audit team composition.

The Annual Audit Programme shall be approved by the Chairman of the State Statistics Committee after consultation with the heads of the relevant structural units. Following approval, the Quality Management and Metadata Department shall distribute the programme to all audited structural units and Local Statistical Bodies. The template of the Annual Audit Programme is provided in Appendix 2.

1.4 Auditor Training - Internal audits shall be conducted only by trained and qualified auditors. Auditors shall receive training on:

- ISO 9001:2015 and ISO 19011 requirements;
- audit principles and techniques;
- interviewing techniques;
- collection and evaluation of audit evidence;
- preparation of audit reports; and
- presentation of audit findings.

An annual training programme for internal auditors shall be organized by the Quality Management and Metadata Department.

1.5 Preparation of the Audit Plan Before each audit, the Quality Management and Metadata Department shall prepare an Audit Plan specifying: audit objectives; audit scope; audit criteria; audit dates; audit team members; timetable; and other relevant arrangements.

The Audit Plan shall be approved at least five working days before the scheduled audit and communicated to the head of the audited structural unit or Local Statistical Body. The Audit Plan template is provided in Appendix 3.

Where necessary, extraordinary (unscheduled) audits may be conducted with the approval of the Chairman of the State Statistics Committee in the following cases:

- significant nonconformities or errors are identified;
- complaints are received from users or other interested parties;
- a justified written request is submitted by an employee of the State Statistics Committee or a Local Statistical Body; or
- verification of corrective actions following previous internal audits is required.

Note: If an audit cannot be conducted on the planned date or with the designated audit team, the reasons shall be documented and submitted to management for approval. Following approval, the Quality Management and Metadata Department shall update the Audit Plan and the Annual Audit Programme accordingly.

1.6 Preliminary Review - During this stage, the audit team shall review the documented information necessary for the audit. The audited structural unit or Local Statistical Body shall prepare and provide all documented information specified in the Audit Plan before the audit begins.

2. <u>Conducting the Internal Audit</u>

Before commencing the audit, the audit team shall review the relevant Internal Audit Questionnaire applicable to the audited structural unit or Local Statistical Body. Prior to the opening meeting, the Lead Auditor shall confirm with the head of the audited structural unit: the audit schedule; the scope of the audit; access to documented information; availability of responsible personnel; and any organizational arrangements necessary for the effective conduct of the audit.

During the audit, the following shall be assessed:

- the implementation and effectiveness of the processes established within the State Statistics Committee or the Local Statistical Bodies (LSBs);
- conformity with the requirements of ISO 9001:2015 and the documented information of the Quality Management System (QMS);
- conformity with QMS DP-01 – Control of Documented Information;
- the activities and responsibilities of the employees of the audited structural unit or Local Statistical Body;
- the management of nonconformities and the implementation of corrective actions;
- the management of risks and opportunities;
- the effectiveness of corrective actions taken to eliminate identified nonconformities and the effectiveness of actions taken to address risks and opportunities;
- the timely execution of tasks and assignments through the Electronic Document Management System (EDMS); and
- any other activities relevant to the audit objectives and scope.

The audit technology includes the following operations:

Opening Meeting. The audit process shall begin with an Opening Meeting conducted by the Lead Auditor. The purpose of the meeting is to establish effective communication between the audit team and the audited structural unit or Local Statistical Body (LSB), confirm the audit arrangements, and ensure a common understanding of the audit process. During the Opening Meeting, the Lead Auditor (and, where applicable, the audit team) shall:

- introduce the members of the audit team to the management and relevant employees of the audited structural unit or Local Statistical Body;

- explain the audit objectives, scope, criteria and planned schedule;
- emphasize the importance of the audit in supporting the effectiveness and continual improvement of the Quality Management System and the quality of statistical products and services;
- describe the audit methods, procedures and evidence-collection techniques to be used during the audit;
- explain the rules governing the audit process, including confidentiality and communication arrangements;
- confirm the appointment of a representative (Quality Coordinator or designated contact person) from the audited structural unit or Local Statistical Body to assist the audit team throughout the audit;
- confirm the schedule for interim meetings (where applicable) and the Closing Meeting;
- clarify any outstanding issues relating to the Audit Plan; and
- inform the management and employees of the audited structural unit or Local Statistical Body that they may ask questions or request clarification regarding any aspect of the audit at any stage of the audit process.

Verification of the Availability of Quality Management System Documentation

Verification of the availability of the Quality Management System (QMS) documented information within the structural units of the State Statistics Committee (SSC) and the Local Statistical Bodies (LSBs) shall include the following:

- verification of the availability of the documented information required for the implementation and maintenance of the Quality Management System;
- verification that the documented information is properly maintained and readily available within the audited structural unit or Local Statistical Body;
- verification that the designated employee (Quality Coordinator) is effectively carrying out the responsibilities assigned for maintaining and controlling the QMS documented information.

Verification of Conformity of the Quality Management System Documentation

Verification of the conformity of the Quality Management System documented information with the established requirements shall include:

- verification that documented information has been prepared correctly;
- verification that documented information has been properly identified and controlled;
- verification that documented information is regularly reviewed and updated;
- verification of conformity with the requirements of ISO 9001:2015; and
- verification that the documented procedures established within the Quality Management System are effectively implemented.

Verification Methods

Verification of conformity with the Quality Management System requirements shall be performed using one or more of the following methods:

- reviewing the activities of the audited structural unit or Local Statistical Body and evaluating their conformity with planned arrangements and documented information;
- interviewing managers, employees and other relevant personnel of the audited structural unit or Local Statistical Body;
- observing work processes, workplaces, equipment and relevant records;
- reviewing documented information and objective evidence;
- verifying records demonstrating employee awareness and training relating to newly introduced or revised QMS documented information; and
- collecting objective evidence to support the audit findings and conclusions.

Remote (Online) Internal Audits

Remote (online) internal audits may be conducted when the activities of the structural units of the State Statistics Committee (SSC) or the Local Statistical Bodies (LSBs) are performed remotely using information and communication technologies, enabling employees to carry out their responsibilities regardless of their physical location. The terms remote audit, online audit, and virtual audit are often used interchangeably. A remote audit is conducted using appropriate information and communication technologies to collect objective evidence, conduct interviews, review documented information, and evaluate conformity when face-to-face audits are impracticable or unnecessary.
Remote audits shall follow the same principles and procedures as on-site audits. The audit team shall ensure that the technical arrangements necessary for conducting the audit are adequate and effective. Before a remote audit is conducted, the following shall be ensured:

- secure remote access to the electronic systems, software applications and documented information required for the audit, in accordance with the organization's information security requirements;
- verification of the functionality of communication platforms, internet connectivity and other technical resources before the audit;
- agreement on contingency arrangements in the event of technical failures (e.g. internet or power outages), including the use of alternative communication methods where necessary; and allocation of additional audit time where justified by technical or operational circumstances.

Internal auditors conducting remote audits shall possess:

- competence in the use of information and communication technologies required for remote auditing; and
- experience in conducting remote meetings, interviews and evidence collection.

Nonconformities (or errors) identified during QMS audits of the State Statistics Committee or Local Statistical Bodies (LSBs) shall be recorded in the *Nonconformity Report* (the *Nonconformity Report* is provided in Annex 4 to this document). Upon completion of the audit, and before the Audit Report is prepared, the Lead Auditor (and, where applicable, the audit team) shall hold a closing meeting with the management of the audited structural unit of the State Statistics Committee or the Local Statistical Body (LSB), together with the employees responsible for the relevant functions. The primary purpose of the closing meeting is to present the audit findings to the management of the audited structural unit or LSB in a manner that ensures a clear understanding of the audit results. The meeting shall be chaired by the Lead Auditor, who shall present the audit conclusions, including:

- identified nonconformities (or errors) and the required corrective actions;
- identified risks and the necessary preventive actions;
- conclusions on the effectiveness of the Quality Management System of the audited structural unit of the State Statistics Committee or the LSB;
- recommendations for improving the activities performed.

Any disagreement between the Lead Auditor (or audit team) and the management of the audited structural unit of the State Statistics Committee or the LSB arising during the closing meeting shall be resolved before the Audit Report is prepared. If this is not possible, all differing opinions expressed during the closing meeting shall be formally documented in the meeting minutes.
The final decision regarding the significance and content of the audit conclusions shall be made by the Lead Auditor.

3. ***<u>Reporting Audit Results</u>***

Within five (5) working days after completion of the audit, the Lead Auditor shall prepare the Audit Report (the template is provided in Appendix 5). Following approval of the Audit Report, the responsible employee of the Quality Management and Metadata Department shall record the completion of the audit in the Annual Internal Audit Programme.

The results of internal audits shall be reviewed and analysed by the Management Representative for the Quality Management System. A summary of the audit results shall be prepared and submitted as an input to the Management Review.
The Audit Report and the Nonconformity Report shall be communicated to the audited structural unit or the Local Statistical Body (LSB) in accordance with the documented procedure QMS SP-01 – Control of Documented Information, including, where applicable, through the Electronic Document Management System (EDMS).
To evaluate the effectiveness of the Annual Internal Audit Programme, assess the achievement of its objectives, and identify opportunities for improvement, the Quality Management and Metadata Department shall review the implementation of the audit programme at least once each year.
The results of this review shall be documented as an input to the Management Review and submitted to the management of the State Statistics Committee for consideration.

4. ***Follow-up and Verification of Corrective Actions***

Following the completion of an internal audit, the audit team shall monitor the implementation of the corrective actions agreed by the audited structural unit or the Local Statistical Body (LSB). The purpose of follow-up activities is to verify that the identified nonconformities have been effectively addressed and that the agreed corrective actions have been implemented within the established timeframe. The implementation of corrective actions shall be monitored on a regular basis to evaluate their effectiveness and to confirm that the identified nonconformities have been eliminated and are not likely to recur.
The management of the audited structural unit or Local Statistical Body shall ensure that all necessary corrections and corrective actions to eliminate identified nonconformities and their causes are implemented without undue delay. The effectiveness of the implemented corrective actions shall be verified by the audit team. Upon completion of the follow-up activities, the Lead Auditor shall prepare a Follow-up Report summarizing the verification results and confirming the status of the corrective actions.

Internal Quality Audit Evaluation

To support the continual improvement of the internal audit process, each audited structural unit or Local Statistical Body (LSB) shall evaluate the quality and effectiveness of the internal audit after its completion. The evaluation is intended to provide feedback on the audit process and to assess the professionalism, competence, objectivity and ethical conduct of the audit team, as well as the overall quality of the audit activities.
For this purpose, the audited structural unit or Local Statistical Body shall complete the Internal Quality Audit Evaluation Questionnaire (the template is provided in Appendix 6). At least once each year, the Management Representative for the Quality Management System shall analyse:

- the evaluation questionnaires completed by the audited structural units and Local Statistical Bodies;
- the quality and consistency of the Audit Reports prepared by the audit teams; and
- the overall performance and competence of the internal auditors.

The results of this analysis shall be documented as an input to the Management Review and submitted to the management of the State Statistics Committee for consideration and continual improvement of the internal audit programme.

Documentation and Archiving

All records relating to internal quality audits conducted within the Quality Management System (QMS) of the State Statistics Committee (SSC**)** and the Local Statistical Bodies (LSBs) shall be maintained and archived by the Quality Management and Metadata Department in accordance with the documented procedure QMS SP-01 – Control of Documented Information**.** Audit records shall be maintained in both paper and electronic formats. Electronic records shall include all relevant

correspondence between the audit team and the audited structural unit or Local Statistical Body, together with all supporting audit documentation. Audit records shall be retained in the audit file entitled:
The audit file shall include, as applicable:

- Annual Internal Audit Programme;
- Audit Plan;
- Internal Audit Questionnaires;
- Nonconformity Reports;
- Audit Reports;
- Follow-up Reports on the verification of corrective actions;
- records of corrective actions implemented by the audited structural unit or Local Statistical Body; and
- the electronic register of nonconformities and the status of corrective actions.

Responsibilities and Authorities of the Lead Auditor

The Lead Auditor shall be responsible for:

- establishing the audit team and coordinating its activities;
- defining the audit objectives, scope and criteria, and communicating them to the audit team and the management of the audited structural unit or Local Statistical Body (LSB);
- conducting the Opening Meeting, introducing the audit team to the management and relevant personnel of the audited organization, and providing information on the audit process;
- directing and supervising the activities of the audit team throughout the audit;
- resolving issues arising during the audit within the limits of their authority and referring unresolved matters to the management of the State Statistics Committee, where necessary;
- preparing the Nonconformity Report and the Audit Report;
- conducting the Closing Meeting and presenting the audit findings, identified nonconformities, required corrective actions and opportunities for improvement to the management of the audited structural unit or Local Statistical Body;
- monitoring the implementation of agreed corrective actions;
- verifying the effectiveness of the corrective actions implemented;
- ensuring the timely communication and distribution of audit documentation to the audited structural unit or Local Statistical Body; and
- ensuring that all audit records are complete and submitted to the Quality Management and Metadata Department for retention and archiving.

The Lead Auditor shall have the authority to:

- obtain all information necessary for conducting the audit;
- make decisions regarding the organization of the audit and the evaluation of its results;
- submit proposals for conducting an additional audit outside the audit programme to verify the effectiveness of the corrective actions implemented to eliminate nonconformities (or errors) identified during the audit.

Requirements for the Qualifications, Experience and Personal Attributes of Auditors

1. Qualification Requirements
Auditors shall:

- possess knowledge of the principal regulatory documents, including ISO 9001:2015 and ISO 19011:2018;
- possess knowledge of the Quality Management System (QMS) documentation of the State Statistics Committee;
- possess knowledge of the principles, methods and organization of QMS audits within the State Statistics Committee;
- possess knowledge of quality management systems.

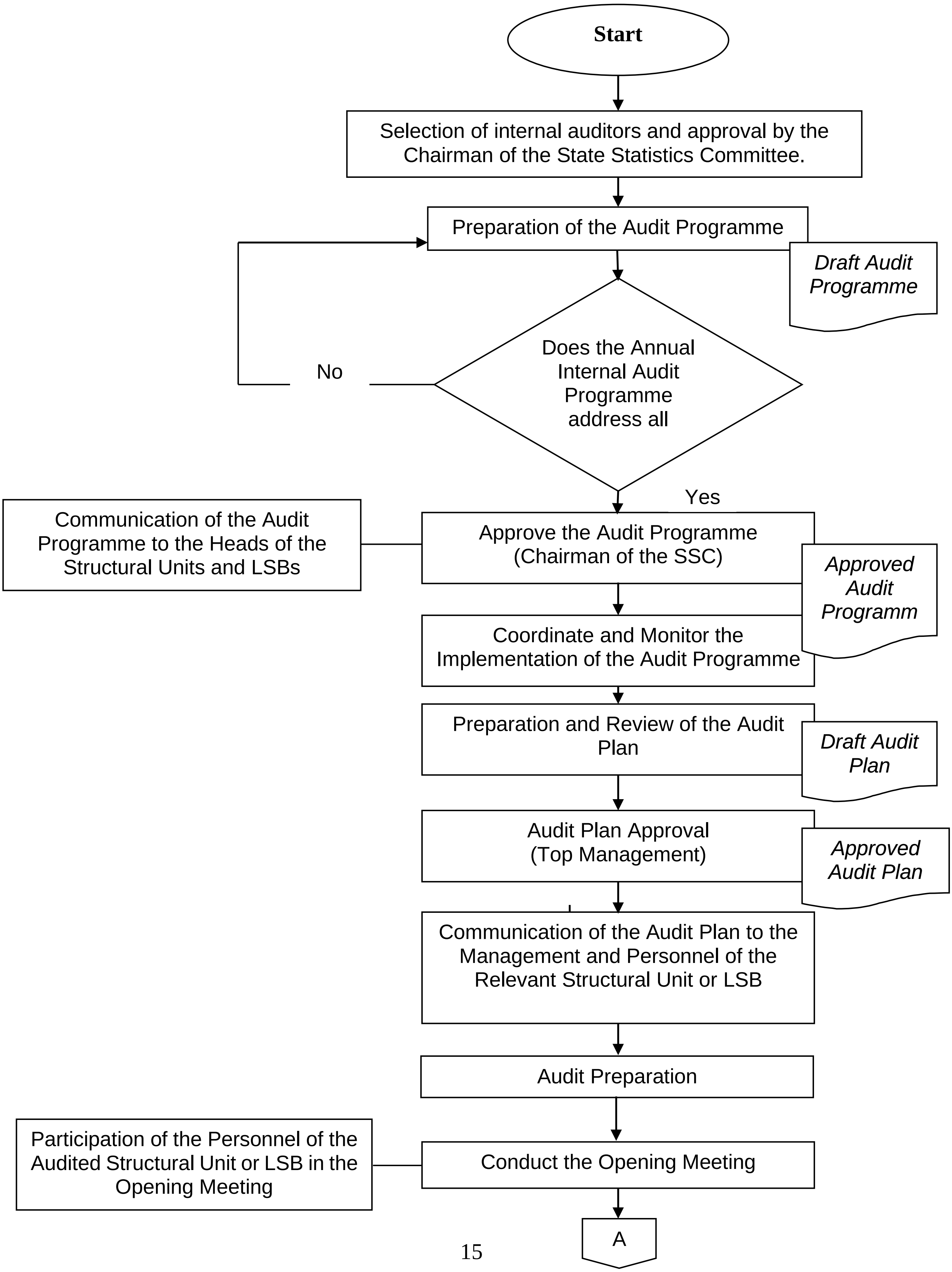
2. Experience Requirements
Auditors shall:
- have at least nine months of work experience at the State Statistics Committee;
- have participated as observers in at least two previous audits before serving as auditors.

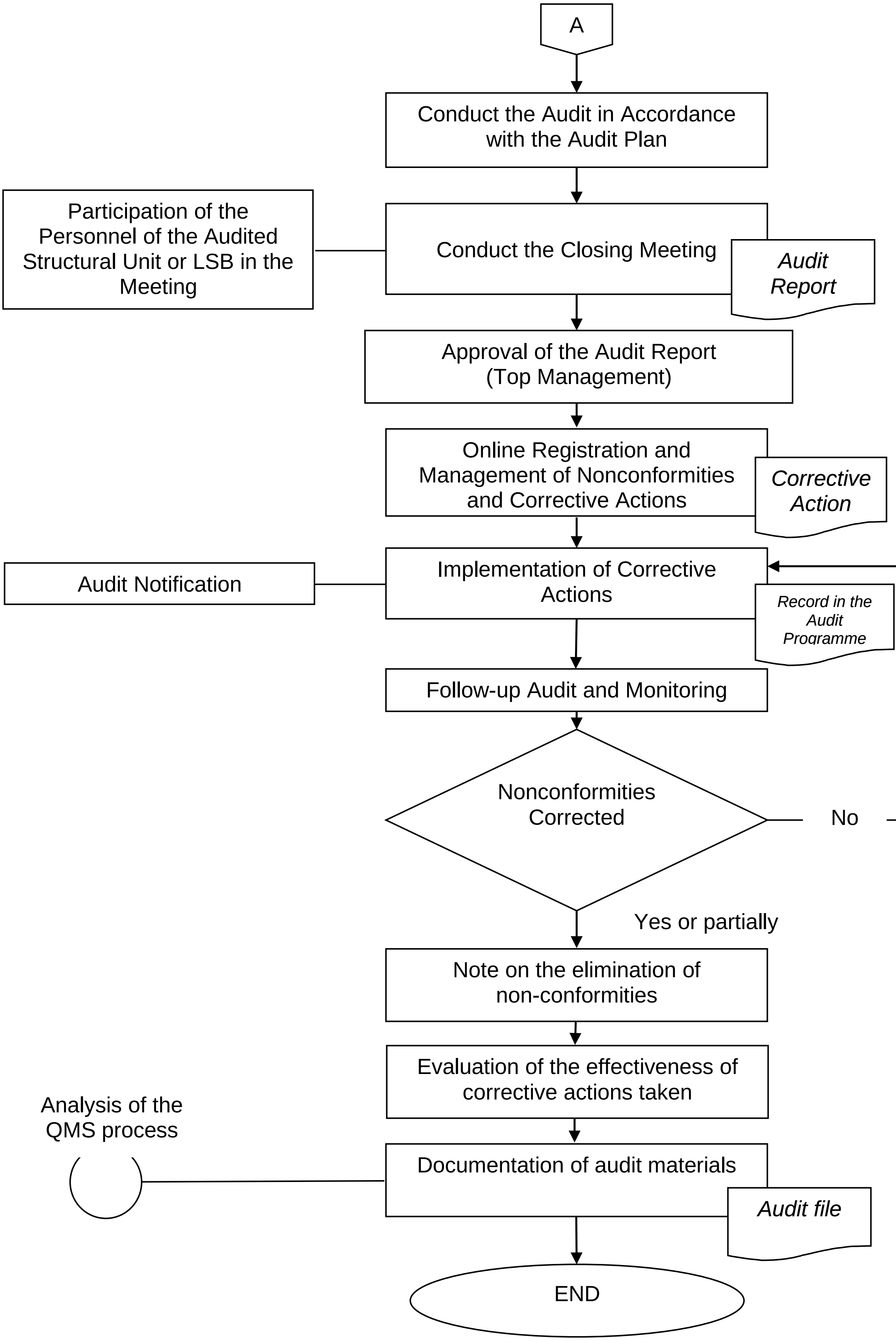
3. Personal Attributes
Auditors shall:
- demonstrate effective listening and communication skills, as well as courtesy and professionalism;
- act objectively, impartially and with discipline;
- demonstrate honesty, fairness and integrity;
- possess analytical thinking and sound judgement, and avoid relying on unverified or inaccurate information;
- strive for the continual improvement of their competence in quality management systems;
- avoid conflicts of interest and refuse any gifts, benefits or other inducements offered by the audited entity;
- maintain the confidentiality of all information obtained during the audit, including after the completion of the audit process.

APPENDICES

Appendix 1

Flowchart of the Internal Quality Audit Process




A
Conduct the Audit in Accordance with the Audit Plan
Participation of the Personnel of the Audited Structural Unit or LSB in the Meeting
Conduct the Closing Meeting
Audit Report
Approval of the Audit Report (Top Management)
Online Registration and Management of Nonconformities and Corrective Actions
Corrective Action
Audit Notification
Implementation of Corrective Actions
Record in the Audit Programme
Follow-up Audit and Monitoring
Nonconformities Corrected
No
Yes or partially
Note on the elimination of non-conformities
Evaluation of the effectiveness of corrective actions taken
Analysis of the QMS process
Documentation of audit materials
Audit file
END

Appendix No. 2

"Approved"

Chairman
State Statistics Committee
of the Republic of Azerbaijan

____
(Name, signature)

Date: ________________

Audit Programme for Structural Units and Local Statistical Bodies Implementing the Quality Management System (QMS)
Audit program for _________ year

Serial No.	**Purpose of the audit**	**Name of the Structural Unit / Local Statistical Body**	**Audit date**	**Names of the Lead Auditor and Auditors**	**Notes on Changes to the Lead Auditor (and Auditors) or Audit Dates**
1	***2***	***3***	***4***	***5***	***6***
Unscheduled Audits					

Head of the Quality Management and Metadata Department

__________________ (signature)   ______________________________ (surname and first name)

Appendix No. 3

"Approved"

Deputy Chairman
State Statistics Committee
of the Republic of Azerbaijan

____
(Name, signature)

Date: _________________

Name of the Structural Unit or Local Statistical Body
____
____
____

Audit plan No. ____

Audit purpose:	
The requirements set out in the following documents constitute the audit criteria	

Lead Auditor	
Auditors (name and surname)	

Time	**Time, clock**		**Scope of the audit**	**Name of the State Statistics Committee Structural Unit or LSB**	**Auditors (name and surname)**
	from	- until			

Note: *The Opening Meeting will be held on ___________ at ___________, and the Closing Meeting will be held on ___________ at ___________.*

Lead auditor (auditor) : _____________ ____________________________ ___________
(signature) (surname, first name) (date)

Appendix No. 4

Nonconformity Report No._____

This Nonconformity Report has been prepared to document the nonconformities identified during Audit No. ____ of the State Statistics Committee's Quality Management System (QMS).

1. The audited structural unit or LSB of the State Statistics Committee _______________
2. Lead Auditor (and auditors): ____
3. Audit date: ____
4. Nonconformities identified during Audit No. ____ of the State Statistics Committee's QMS (brief description and relevant clause of ISO 9001:2015):

____
____
____

Causes of the Identified Nonconformities (brief description for each nonconformity) ____________
____

5. Severity of the Nonconformities: major ☐ minor ☐
6. I acknowledge:

Head of the Audited Structural Unit or
Local Statistical Body signature:____________ date:___________

Lead auditor (auditor) signature:____________ date:___________

7. Corrective actions (brief description):

____
____
____
____

8. Target Implementation Date: ____
9. I acknowledge:

Head of the Audited Structural Unit or
Local Statistical Body signature:____________ date:___________

Lead auditor (auditor) signature:____________ date:___________

10. Note on the Elimination of Nonconformities:
    The nonconformity has been eliminated: YES ☐ / PARTIALLY ☐ / NO ☐
11. Notes:

____
____
____
____

12. Actual Completion date: ____

13. Lead auditor (auditor): _____________ __________________________ _______________
    (signature) (surname, first name) (date)

Appendix No. 5

"Approved"

Deputy Chairman
State Statistics Committee
of the Republic of Azerbaijan
____
(Name, signature)

Date: _________________

Audit results report No. ____

This Report on Audit Results has been prepared based on the findings of QMS Audit No. ____ of the State Statistics Committee.

Section 1.

1. Audited Structural Unit or LSB:
   ____
   ____
   ____

2. Lead Auditor (and auditors):
   ____
   ____

3. Audit period: from _____________________date to _____________________ date

Section 2.

4. Purpose of the audit:
   ____
   ____
   ____

Section 3.

5. List of Documents Reviewed During the Audit:
   ____
   ____
   ____

Section 4.

6. Audit results:
   1) Total Number of Identified Nonconformities ________________________________
   2) List of Nonconformities Identified During the Audit:
   ____
   ____

   3) Recommendations Based on the Audit Findings:
   ____
   ____

Lead auditor (auditor):______________ _______________________ ____________
(signature) (surname, first name) (date)

Appendix No. 6

Name of the State Statistics Committee
Structural Unit or Local Statistical Body

____
____
____

Internal Quality Audit Assessment Questionnaire

Audit scope (product/inspection/process/stage/ substage)

____
____
____

auditors ' professionalism:

1. How do you evaluate the overall performance of the audit team?

   excellent ☐ good ☐ satisfactory ☐

2. How do you assess the auditors' knowledge and competence in conducting the audit professionally and effectively?

   excellent ☐ good ☐ satisfactory ☐

3. How do you assess the auditors' professional conduct??

   ethical ☐ unethical ☐

4. Do you agree with the auditors' recommendations?

   yes ☐ partially ☐ no ☐

5. Comments (please specify):

____
____
____
____
____
____
____
____

Assessment of the quality of audit activities:

1. How do you assess the scope of the audit?

   Very comprehensive ☐ Adequate ☐ Limited ☐

2. How do you evaluate the duration of the audit?

   Too long ☐ Adequate ☐ Too shot ☐

3. How do you evaluate the auditors' recommendations?

   Appropriate ☐ Partially appropriate ☐ Inappropriate ☐

4. Did the auditors use appropriate interview techniques and analytical methods to obtain and analyse the necessary information?

   yes ☐ no ☐

5. Were you informed in advance about the audit?

   yes ☐ no ☐

6. How do you evaluate the audit report?

   excellent ☐ good ☐ Satisfactory ☐

7. Do you believe that the audit will contribute to improving the quality of the statistical process (or survey, product, or service) in the future?

   yes ☐ no ☐

8. Comments (please specify)

____
____
____
____
____
____
____
____
____
____

Head of the State Statistics Committee
Structural Unit or Local Statistical Body _________________ ______________________
(signature) (surname, first name)

CHECKLISTS

Internal Audit Checklist for the Structural Units of the Central Office in Accordance with ISO 9001:2015

Checklist ***(according to the relevant clauses of the international standard ISO 9001:2015)***						**Audit date:**				
						Structural unit:				
Audit purpose :										
Row No.	**Questions**	**Standard relevant clause**	**Implementation status**			**Availability of records**		**Degree of nonconformity**		**Note**
			Yes	**No**	**Partly**	**Available**	**Not available**	**Major**	**Minor**	
1.	*Have the stakeholders and their requirements and expectations been identified?*	*4.2*	☐	☐	☐	☐	☐	☐	☐	
2.	*Has the scope of the quality management system been defined, and have the processes needed for the quality management system and their interactions been determined?*	*4.3 and or 4.4*	☐	☐	☐	☐	☐	☐	☐	
3.	*Has top management demonstrated leadership and commitment to the quality management system and ensured user focus?*	*5.1*	☐	☐	☐	☐	☐	☐	☐	
4.	*Has a Quality Management Policy been established?*	*5.2.1*	☐	☐	☐	☐	☐	☐	☐	This item applies only to the Quality Management and Metadata Department

5.	*Have the employees of the structural unit been made aware of the Quality Management Policy?*	*5.2.2*	☐	☐	☐	☐	☐	☐	☐	
6.	*Have documented responsibilities and authorities for relevant positions been established?*	*5.3*	☐	☐	☐	☐	☐	☐	☐	
7.	*Have risks and opportunities been identified, assessed and addressed?*	*6.1*	☐	☐	☐	☐	☐	☐	☐	
8.	*Have quality objectives been established?*	*6.2.1*	☐	☐	☐	☐	☐	☐	☐	
9.	*Has a plan been established to achieve the quality objectives?*	*6.2.2*	☐	☐	☐	☐	☐	☐	☐	
10.	*Where changes to the Quality Management System affecting the structural unit are required, have they been planned and implemented?*	*6.3*	☐	☐	☐	☐	☐	☐	☐	

11.	*Have the necessary human resources been provided to ensure the effective functioning of the structural units of the State Statistics Committee?*	*7.1.2*	☐	☐	☐	☐	☐	☐	☐	This item applies only to the Human Resources and Legal Department.
12.	*Have the structural units of the State Statistics Committee been provided with the necessary infrastructure and other resources?*	*7.1.3*	☐	☐	☐	☐	☐	☐	☐	This item applies only to the Finance Department.
13.	*Has the necessary environment for achieving conformity of products and services been provided and maintained, and have monitoring and evaluation activities been carried out?*	*7.1.4 and or 7.1.5*	☐	☐	☐	☐	☐	☐	☐	
14.	*Has the organizational knowledge necessary for the operation of the Quality Management System been identified, maintained, and made available?*	*7.1.6*	☐	☐	☐	☐	☐	☐	☐	
15.	*Have training and practical activities been conducted to enhance employees' competence, and has the effectiveness of these activities been*	*7.2*	☐	☐	☐	☐	☐	☐	☐	

	evaluated?									
16.	*Has employee awareness of the relevant documented information been ensured?*	*7.3*	☐	☐	☐	☐	☐	☐	☐	
17.	*Has documented information been created and updated as required?*	*7.5.2*	☐	☐	☐	☐	☐	☐	☐	
18.	*Has documented information been controlled in accordance with the established requirements?*	*7.5.3*	☐	☐	☐	☐	☐	☐	☐	
19.	*Have the processes necessary to achieve conformity of products and services been planned, implemented, and monitored?*	*8.1*	☐	☐	☐	☐	☐	☐	☐	
20.	*Has information about products and services been made available to users?*	*8.2.1*	☐	☐	☐	☐	☐	☐	☐	
21.	*Have the requirements for statistical products and services been identified and reviewed?*	*8.2.2 and or 8.2.3*	☐	☐	☐	☐	☐	☐	☐	
22.	*Have the design and development of statistical products and services been carried out and controlled?*	*8.3*	☐	☐	☐	☐	☐	☐	☐	
23.	*Have externally provided processes, products and*	*8.4*	☐	☐	☐	☐	☐	☐	☐	This item applies only to the Finance

	services supporting statistical production been monitored and controlled?									Department
24.	*Has the production and service provision process been controlled, and have identification, traceability, and confidentiality been ensured, where applicable?*	*8.5.1, 8.5.2 and or 8.5.4*	☐	☐	☐	☐	☐	☐	☐	
25.	*Have post-delivery activities and changes been managed and monitored?*	*8.5.5 and or 8.5.6*	☐	☐	☐	☐	☐	☐	☐	
26.	*Have the delivery of products and services and the maintenance of the required documented information been ensured?*	*8.6*	☐	☐	☐	☐	☐	☐	☐	
27.	*Has the unintended use or delivery of nonconforming outputs been prevented, and have nonconformities been appropriately managed?*	*8.7.1*	☐	☐	☐	☐	☐	☐	☐	
28.	*Has user satisfaction been monitored and evaluated?*	*9.1.2*	☐	☐	☐	☐	☐	☐	☐	This item applies only to the Information and Public Relations Department
29.	*Has the performance and effectiveness of the Quality Management System been analysed*	*9.1.3*	☐	☐	☐	☐	☐	☐	☐	

	and evaluated?									
30.	*Have identified nonconformities and the related corrective actions been documented and implemented?*	*9.2*	☐	☐	☐	☐	☐	☐	☐	This item applies only to the Quality Management and Metadata Department
31.	*Has the information required for the Management Review been collected and analysed?*	*9.3.2 and or 9.3.3*	☐	☐	☐	☐	☐	☐	☐	This item applies only to the Quality Management and Metadata Department
32.	*Have corrective actions been taken to address identified nonconformities, and have risks and opportunities been addressed?*	*10.2*	☐	☐	☐	☐	☐	☐	☐	
33.	*Based on the results of the Management Review, have improvement opportunities been identified and appropriate actions been taken to support continual improvement?*	*10.3*	☐	☐	☐	☐	☐	☐	☐	This item applies only to the Quality Management and Metadata Department

Auditor(s)			**Checked department representative**		
Position	Surname, First Name	Signature	Position	Surname, First Name	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented Records of the Structural Units by ISO 9001:2015 Clauses

No	Process and Subprocess Name	Documented records
1	Identification of Interested Parties and Their Needs and Expectations	Minutes of Meetings with External Users and Official Memoranda
2	Establishment and Development of Processes and Their Interactions through Defining the Scope of the Quality Management System	QMS Documentation (Documented Procedures, Process Maps, Quality Manual, etc.)
3	Demonstration of Leadership and Commitment by the Head of the Structural Unit to the Quality Management System and User-Oriented Policy	Accessibility of Publications, Data and Metadata
4	Development of the Quality Management System Policy	Quality Policy Document
5	Communication of the Quality Management System Policy to the Employees of the Structural Unit	Acknowledgement Form for the Quality Policy Document
6	Development of documents defining the roles, responsibilities and authorities for relevant positions	Employees' job descriptions, roles, responsibilities and other relevant documented information
7	Planning and evaluation of risks and opportunities	"Risk Analysis and Evaluation" document
8	Development of Quality Management System (QMS) documentation	"Quality Objectives" document
9	Preparation of a schedule for the implementation of QMS documentation	Action plan / implementation schedule for achieving quality objectives
10	Planning and implementation of changes within the structural unit in accordance with QMS requirements, where applicable.	Documented evidence of change planning (the department's quarterly work plan, Collegium decisions, relevant management directives)
11	Selection and provision of the necessary human resources to ensure the effective operation of the structural units of the State Statistical Committee	Orders related to employees' appointment and movement within the civil service, employment contracts, and employment records
12	Provision of the structural units of the State Statistical Committee with the required infrastructure and material resources	Handover and acceptance records, purchase and sale contracts related to resources (technical equipment and furniture)
13	Monitoring of process implementation, establishing and maintaining the environment necessary to achieve conformity of products and services, and performing verification and evaluation activities	Quality control checklists and related management reports
14	Identification of organisational knowledge and ensuring its accessibility and availability	Electronic records of organisational knowledge, electronic repositories established to ensure their accessibility, and published samples of relevant materials
15	Provision of training and practical experience to enhance employees' competence, and evaluation of the effectiveness of acquired knowledge and skills	Training programmes, training-related service reports, and competence evaluation records
16	Ensuring employees' awareness of and familiarity with documented information relevant to the Quality	Records confirming employees' awareness and acknowledgement of

	Management System (QMS)	documented information related to official activities (familiarisation sheets and records of acknowledgement based on management instructions)
17	Creation and updating of documented information	Folders and documents established in accordance with the updated document nomenclature, as well as records related to document archiving
18	Control of documented information	Maintained registration records (QMS document registers, incoming and outgoing correspondence registers, etc.) and document distribution records (electronic document management system)
19	Planning, implementation and control of processes necessary for the provision of products and services and ensuring their conformity	Collegium decisions, action plans approved by decisions and orders, quarterly work plans, order requirements, and service reports and statements confirming implementation (electronic document management system)
20	Providing users with information related to products and services	Records of user meetings, correspondence, and responses to user requests (electronic document management system)
21	Determination and review of requirements for products and services	Evidence of compliance with international methodologies and national legislation requirements, as well as minutes of meetings conducted with external users
22	Implementation of activities related to the design and development of products and services, including their review and control	Project documentation, terms of reference, and/or design prototypes
23	Control of externally provided processes, products and services, and communication of relevant requirements to external providers	Correspondence with external providers, received documented information, handover and acceptance records for purchased goods and services, and procurement documentation
24	Control of production and service provision, including identification and protection of outputs (confidentiality)	Analytical reports, press releases, statistical bulletins and publications, and materials published in the media
25	Implementation of activities for controlling post-delivery activities and changes	Results of user surveys and documented evidence of actions taken to eliminate nonconformities identified in published materials

26	Provision of products and services, and retention of documented information as evidence of conformity	Distribution records
27	Prevention of unintended use of nonconforming outputs and management of nonconformities	Records demonstrating the prevention of unintended use of obsolete documents, corrective actions taken for identified nonconformities, and their registration
28	Monitoring, measurement and evaluation of user satisfaction	Results of online user satisfaction surveys regarding the provision of statistical information
29	Review and evaluation of the performance and effectiveness of the Quality Management System (QMS)	Evaluation of effectiveness criteria
30	Planning and conducting internal audits in accordance with the approved “Audit Programme”, and documenting identified nonconformities and/or risks, as well as corrective actions and/or actions to address risks and opportunities	Documented information related to the planning, conducting and completion of internal audits (audit plan, nonconformity reports, audit reports)
31	Collection and analysis of inputs for the “Management Review” and conducting the management review	Final report on the Management Review
32	Implementation of corrective actions and/or actions to address identified nonconformities and risks	Online records of nonconformities and/or risks identified through internal audits and other activities, corrective actions and/or actions taken to address risks and opportunities, as well as quarterly reports submitted to management
33	Development of improvement proposals and implementation of relevant actions to ensure continual improvement based on the results of the “Management Review”	Service reports on the implementation of improvement proposals arising from the Management Review

Internal Audit Checklist for Subject-Matter Departments Based on GSBPM Sub-processes

Checklist *(Management of Statistical Processes Based on the Relevant GSBPM Subprocesses)*						**Audit date:**				
						Structural unit:				
Audit purpose:										
Row No.	**Questions**	**Relevant GSBPM clause**	**Implementation Status**			**Availability of records**		**Degree of nonconformity**		**Note**
			Yes	**No**	**Partly**	**Available**	**Not available**	**Major**	**Minor**	
1. Specify Needs										
Determining Information Needs		***1.1***								
1.	*Have information needs been identified based on the country's national priorities?*	*1.1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Have international methodologies, standards, and best practices been reviewed, and have information needs been identified accordingly?*	*1.1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Has the national legal and regulatory framework been reviewed, and have national requirements been identified?*	*1.1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Have consultations with users been conducted, and have user needs been analysed?*	*1.1.4*	☐	☐	☐	☐	☐	☐	☐	
5.	*Have the identified requirements been documented and prepared for discussion?*	*1.1.5*	☐	☐	☐	☐	☐	☐	☐	
Consultation and Confirmation of Needs		***1.2***								
6.	*Have consultations been held with internal and external stakeholders*	*1.2.1*	☐	☐	☐	☐	☐	☐	☐	

	regarding the identified information needs?									
7.	*Have the identified requirements been reviewed and clarified?*	*1.2.2*	☐	☐	☐	☐	☐	☐	☐	
8.	*Have the identified requirements been discussed and formally approved?*	*1.2.3*	☐	☐	☐	☐	☐	☐	☐	
Defining Statistical Outputs		***1.3***								
9.	*Have the statistical outputs to be produced been defined?*	*1.3.1*	☐	☐	☐	☐	☐	☐	☐	
Identifying Concepts		***1.4***								
10.	*Have the defined concepts been aligned with the national legal framework?*	*1.4.1*	☐	☐	☐	☐	☐	☐	☐	
11.	*Has the consistency of the defined concepts with those used in other statistical domains been assessed?*	*1.4.2*	☐	☐	☐	☐	☐	☐	☐	
12.	*Have the defined concepts been harmonised with relevant international standards?*	*1.4.3*	☐	☐	☐	☐	☐	☐	☐	
13.	*Have the defined concepts been discussed and agreed with users?*	*1.4.4*	☐	☐	☐	☐	☐	☐	☐	
Checking Data Availability		***1.5***								
14.	*Have potential data sources been identified?*	*1.5.1*	☐	☐	☐	☐	☐	☐	☐	
15.	*Have administrative and other relevant data sources been assessed?*	*1.5.2*	☐	☐	☐	☐	☐	☐	☐	
16.	*Has a roadmap been prepared to obtain unavailable or missing data?*	*1.5.3*	☐	☐	☐	☐	☐	☐	☐	
17.	*Where necessary, have proposals been prepared to amend the*	*1.5.4*	☐	☐	☐	☐	☐	☐	☐	

	existing legal or regulatory framework?									
Preparing and Presenting the Business Case		**1.6**								
18.	*Has a business case been prepared?*	*1.6.1*	☐	☐	☐	☐	☐	☐	☐	
19.	*Have project risks been identified and assessed?*	*1.6.2*	☐	☐	☐	☐	☐	☐	☐	
20.	*Has a cost estimate been prepared?*	*1.6.3*	☐	☐	☐	☐	☐	☐	☐	
21.	*Have the project work plan, risk assessment, and cost estimate been completed and approved?*	*1.6.4*	☐	☐	☐	☐	☐	☐	☐	
2. Design										
Designing Statistical Outputs		**2.1**								
22.	*Have the variables, classifications, and related metadata been designed?*	*2.1.1*	☐	☐	☐	☐	☐	☐	☐	
Designing Variables and Classifications		**2.2**								
23.	*Have the variables, classifications, and related metadata been designed?*	*2.2.1*	☐	☐	☐	☐	☐	☐	☐	
Designing Data Collection		**2.3**								
24.	*Have the data collection methods been determined?*	*2.3.1*	☐	☐	☐	☐	☐	☐	☐	
25.	*Have the data collection instruments been designed?*	*2.3.2*	☐	☐	☐	☐	☐	☐	☐	
26.	*Has the legal basis for data collection been established?*	*2.3.3*	☐	☐	☐	☐	☐	☐	☐	
Designing the Sample and Data Collection Frame		**2.4**								

27.	*Has the data collection frame been designed?*	*2.4.1*	☐	☐	☐	☐	☐	☐	☐	
28.	*Has the sampling methodology been developed?*	*2.4.2*	☐	☐	☐	☐	☐	☐	☐	
Designing Data Processing and Analysis		***2.5***								
29.	*Have the data processing methods been defined?*	*2.5.1*	☐	☐	☐	☐	☐	☐	☐	
30.	*Have the data analysis methods been designed?*	*2.5.2*	☐	☐	☐	☐	☐	☐	☐	
31.	*Have the data integration and evaluation methods been designed?*	*2.5.3*	☐	☐	☐	☐	☐	☐	☐	
Designing the Production System and Workflow		***2.6***								
32.	*Has the production system and workflow been designed to meet user requirements?*	*2.6.1*	☐	☐	☐	☐	☐	☐	☐	
33.	*Have the methodological components, production system, and workflow been analysed and validated before implementation?*	*2.6.2*	☐	☐	☐	☐	☐	☐	☐	
3. Build										
Build or Enhance Data Collection Components		***3.1***								
34.	*Have technical specifications been prepared for the development or enhancement of data collection components?*	*3.1.1*	☐	☐	☐	☐	☐	☐	☐	
35.	*Has the software for data collection been developed or updated?*	*3.1.2*	☐	☐	☐			☐	☐	No documented information is required.
36.	*Has the developed or updated data collection software been tested and validated?*	*3.1.3*	☐	☐	☐	☐	☐	☐	☐	

Build or Enhance Data Processing and Analysis Components		***3.2***								
37.	*Have technical specifications been prepared for the development or enhancement of data processing and analysis components?*	*3.2.1*	☐	☐	☐	☐	☐	☐	☐	
38.	*Has the software for data processing and analysis been developed or updated?*	*3.2.2*	☐	☐	☐			☐	☐	No documented information is required.
39.	*Has the developed or updated data processing and analysis software been tested and validated?*	*3.2.3*	☐	☐	☐	☐	☐	☐	☐	
Build or Enhance Dissemination Components		***3.3***								
40.	*Have technical specifications been prepared for the development or enhancement of dissemination components?*	*3.3.1*	☐	☐	☐	☐	☐	☐	☐	
41.	*Has the software for data dissemination been developed or updated?*	*3.3.2*	☐	☐	☐			☐	☐	No documented information is required.
42.	*Has the developed or updated data dissemination software been tested and validated?*	*3.3.3*	☐	☐	☐	☐	☐	☐	☐	
Configure Workflow		***3.4***								
43.	*Have the developed or updated components been integrated with internal information systems and supporting tools?*	*3.4.1*	☐	☐	☐			☐	☐	No documented information is required.
Testing the production system		***3.5***								
44.	*Has the production system been verified?*	*3.5.1*	☐	☐	☐			☐	☐	No documented

										information is required
45.	*Has the production system acceptance test been completed successfully?*	*3.5.2*	☐	☐	☐	☐	☐	☐	☐	
Test the Statistical Business Process		***3.6***								
46.	*Has a test plan for the statistical business process been prepared?*	*3.6.1*	☐	☐	☐	☐	☐	☐	☐	
47.	*Has the statistical business process been tested and evaluated?*	*3.6.2*	☐	☐	☐	☐	☐	☐	☐	
Finalise the Production System		***3.7***								
48.	*Has the production system been documented and formally approved?*	*3.7.1*	☐	☐	☐			☐	☐	No documented information is required
49.	*Have users been trained on the production system, user documentation, and technical procedures?*	*3.7.2*	☐	☐	☐	☐	☐	☐	☐	
4. Data collection										
Create the Sampling Frame and Select Statistical Units		***4.1***								
50.	*Has the sampling frame database been prepared?*	*4.1.1*	☐	☐	☐			☐	☐	No documented information is required
51.	*Has the sample been selected?*	*4.1.2*	☐	☐	☐			☐	☐	No documented information is required
52.	*Has the sample selection process been completed and formally approved?*	*4.1.3*	☐	☐	☐	☐	☐	☐	☐	

Set Up Collection		***4.2***								
53.	*Has a data collection plan been prepared?*	*4.2.1*	☐	☐	☐	☐	☐	☐	☐	
54.	*Have personnel responsible for data collection been selected?*	*4.2.2*	☐	☐	☐	☐	☐	☐	☐	
55.	*Have training materials been prepared, and has the required training been provided?*	*4.2.3*	☐	☐	☐	☐	☐	☐	☐	
56.	*Have the necessary material resources and IT tools been prepared for data collection?*	*4.2.4*	☐	☐	☐	☐	☐	☐	☐	
57.	*Has the required software been installed on the relevant computers or servers?*	*4.2.5*	☐	☐	☐			☐	☐	No documented information is required
58.	*Have the data collection materials been translated, and have interviewers or data collectors been provided with the necessary documentation and guidance?*	*4.2.6*	☐	☐	☐	☐	☐	☐	☐	
Run Collection		***4.3***								
59.	*Have data been collected from statistical units?*	*4.3.1*	☐	☐	☐	☐	☐	☐	☐	
60 .	*Has a preliminary review of the collected data been carried out?*	*4.3.2*	☐	☐	☐	☐	☐	☐	☐	
61.	*Have the collected data been verified?*	*4.3.3*	☐	☐	☐	☐	☐	☐	☐	
62.	*Have the collected data been evaluated for completeness and quality?*	*4.3.4*	☐	☐	☐			☐	☐	No documented information is required
63.	*Has technical and methodological support been provided throughout*	*4.3.5*	☐	☐	☐			☐	☐	No documented

	the data collection process?									information is required
Finalise Collection		***4.4***								
64.	*Have the collected data been uploaded to the appropriate database and prepared for processing?*	*4.4.1*	☐	☐	☐	☐	☐	☐	☐	
65.	*Have the data collection materials and related documentation been archived?*	*4.4.2*	☐	☐	☐	☐	☐	☐	☐	
5. Data processing										
Integrate Data		***5.1***								
66.	*Has data from different sources been integrated?*	*5.1.1*	☐	☐	☐			☐	☐	No documented information is required
Classify and Code		***5.2***								
67.	*Have the input data been classified and coded?*	*5.2.1*	☐	☐	☐			☐	☐	No documented information is required
68.	*Have the statistical units been classified in accordance with the applicable classification standards?*	*5.2.2*	☐	☐	☐			☐	☐	No documented information is required
Review and Validate		***5.3***								
69.	*Have the input data been validated at the initial stage of data processing?*	*5.3.1*	☐	☐	☐			☐	☐	No documented information is required
70.	*Have automated validation and quality control procedures been*	*5.3.2*	☐	☐	☐			☐	☐	No documented

	applied?									information is required
71.	*Have quality control reports been produced, reviewed, and analysed?*	*5.3.3*	☐	☐	☐	☐	☐	☐	☐	
Edit and Impute		***5.4***								
72.	*Have the editing and imputation rules been defined?*	*5.4.1*	☐	☐	☐			☐	☐	No documented information is required
73.	*Has data imputation been carried out where required?*	*5.4.2*	☐	☐	☐	☐	☐	☐	☐	
74.	*Have the imputation results been reviewed, documented, and evaluated?*	*5.4.3*	☐	☐	☐	☐	☐	☐	☐	
Derive New Variables and Statistical Units		***5.5***								
75.	*Have new variables and statistical units been derived where required?*	*5.5.1*	☐	☐	☐			☐	☐	No documented information is required
76.	*Have the derived variables and statistical units been incorporated into the data processing system?*	*5.5.2*	☐	☐	☐			☐	☐	No documented information is required
Calculate Weights		***5.6***								
77.	*Have weighting factors been calculated?*	*5.6.1*	☐	☐	☐			☐	☐	No documented information is required
78.	*Have the calculated weights been incorporated into the data processing system?*	*5.6.2*	☐	☐	☐			☐	☐	No documented information is required

Calculate Aggregates		***5.7***								
79.	*Have the required aggregate indicators been calculated?*	*5.7.1*	☐	☐	☐			☐	☐	No documented information is required
Formation of final data files		***5.8***								
80.	*Have the processed data files been prepared for analysis?*	*5.8.1*	☐	☐	☐			☐	☐	No documented information is required
81.	*Have the processed data files been archived?*	*5.8.2*	☐	☐	☐	☐	☐	☐	☐	
6. Data analysis										
Prepare Draft Outputs		***6.1***								
82.	*Have the preliminary statistical outputs been prepared?*	*6.1.1*	☐	☐	☐	☐	☐	☐	☐	
83.	*Where applicable, have seasonal adjustments been applied to the preliminary statistical outputs?*	*6.1.2*	☐	☐	☐	☐	☐	☐	☐	
Validate Outputs		***6.2***								
84.	*Have inconsistencies, anomalies, or errors in the statistical outputs been identified?*	*6.2.1*	☐	☐	☐	☐	☐	☐	☐	
85.	*Have the preliminary statistical outputs been compared with those of previous reference periods to assess consistency?*	*6.2.2*	☐	☐	☐	☐	☐	☐	☐	
86.	*Have the preliminary statistical outputs been analysed for coherence with related statistical domains?*	*6.2.3*	☐	☐	☐	☐	☐	☐	☐	

87.	*Have the statistical outputs been reviewed and, where necessary, revised?*	*6.2.4*	☐	☐	☐			☐	☐	No documented information is required
Interpret and Explain Outputs		***6.3***								
88.	*Has an evaluation and interpretation of the statistical outputs been carried out?*	*6.3.1*	☐	☐	☐			☐	☐	No documented information is required
8 9.	*Have the statistical outputs been interpreted and explained using appropriate analytical methods and supporting tools?*	*6.3.2*	☐	☐	☐	☐	☐	☐	☐	
Apply Disclosure Control		***6.4***								
90.	*Have the statistical outputs requiring confidentiality protection been identified?*	*6.4.1*	☐	☐	☐			☐	☐	No documented information is required
91.	*Have confidentiality protection measures been applied, and have the statistical outputs been updated accordingly?*	*6.4.2*	☐	☐	☐			☐	☐	No documented information is required
Finalise Outputs		***6.5***								
92.	*Have the analysed statistical outputs been finalised for dissemination?*	*6.5.1*	☐	☐	☐			☐	☐	No documented information is required
93.	*Have the analysed statistical outputs been formally approved for dissemination?*	*6.5.2*	☐	☐	☐	☐	☐	☐	☐	
94.	*Have the final statistical outputs been archived?*	*6.5.3*	☐	☐	☐	☐	☐	☐	☐	

7. Disseminate										
Update Output Systems		***7.1***								
95.	*Have the necessary preparations been completed for uploading the data and metadata to the output information system?*	*7.1.1*	☐	☐	☐			☐	☐	No documented information is required
96.	*Have the data and metadata been uploaded to the output information system?*	*7.1.2*	☐	☐	☐	☐	☐	☐	☐	
97.	*Has the linkage between the data and the corresponding metadata been established?*	*7.1.3*	☐	☐	☐			☐	☐	No documented information is required
Produce Dissemination Products		***7.2***								
98.	*Have the dissemination products been prepared?*	*7.2.1*	☐	☐	☐			☐	☐	No documented information is required
99.	*Have press releases and analytical reports been prepared?*	*7.2.2*	☐	☐	☐	☐	☐	☐	☐	
100.	*Have the dissemination products been edited and translated?*	*7.2.3*	☐	☐	☐	☐	☐	☐	☐	
101.	*Have the produced dissemination products been approved for release?*	*7.2.4*	☐	☐	☐	☐	☐	☐	☐	
102.	*Have statistical publications and other publications been produced?*	*7.2.5*	☐	☐	☐	☐	☐	☐	☐	
Manage Release of Dissemination Products		***7.3***								

103.	*Have the releases of dissemination products been managed?*	*7.3.1*	☐	☐	☐	☐	☐	☐	☐	
104.	*Has the archiving of dissemination products been carried out?*	*7.3.2*	☐	☐	☐	☐	☐	☐	☐	
Promote dissemination products		***7.4***								
105.	*Has the use of the dissemination product been evaluated?*	*7.4.1*	☐	☐	☐	☐	☐	☐	☐	
106.	*Have the dissemination products been promoted through various communication channels?*	*7.4.2*	☐	☐	☐	☐	☐	☐	☐	
Manage User Support		***7.5***								
10 7.	*Have user enquiries been recorded and responded to?*	*7.5.1*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	First name, last name	Signature	Position	First name, last name	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented records on the subprocesses of the Statistical Process Management Standards and Process Maps for the subject-matter departments

No	Process and Subprocess Name	Documented records
	Specify Needs	
Determining Information Needs		
1.	Identification of requirements based on the national priorities of the country	Implementation reports and official memoranda confirming the completion of activities
2.	Review of international methodologies, standards and practices, and identification of requirements	
3.	Review of the legal and regulatory framework and national requirements	
4.	Organisation of consultations with users to identify, examine and analyse their needs	Official memoranda on meetings and meeting minutes
5.	Preparation of the identified requirements for discussion	Final list of user requirements and related official memorandum
Consultation and Confirmation of Needs		
6.	Consultation with internal and external stakeholders on the identified requirements	Official correspondence, meeting memoranda, and minutes of meetings
7.	Refinement of the requirements	Official memorandum and list of identified requirements
8.	Discussion and approval of the identified requirements	Minutes of the Scientific and Methodological Council
Defining Statistical Outputs		
9.	Identification of the output statistical product	Output tables
Identifying Concepts		
10.	Alignment of the identified concepts with the national legislation	List of defined concepts and definitions
11.	Determination of the consistency of the identified concepts with concepts used in other domains	
12.	Ensuring the consistency of the concepts with international standards	
13.	Discussion and refinement of the identified concepts with users	Meeting memoranda and minutes of meetings
Checking Data Availability		
14.	Identification of data sources	Official correspondence, meeting memoranda, and list of data sources
15.	Analysis of administrative and other data sources	Analysis report or official memorandum on the results of the analysis
16.	Preparation of a plan (roadmap) for obtaining missing data	Action plan or roadmap

17.	Submission of proposals for amendments to the existing legal and regulatory framework, where necessary	Economic and legal assessments, and related proposals
Preparing and Presenting the Business Case		
18.	Preparation of the work plan	Draft work plan
19.	Risk analysis	"Risk Analysis and Assessment"
20.	Cost estimation	Approved budget of the Finance and Administrative Department
21.	Assessment of the work plan and risks, and preparation of the cost estimate	
Design		
Designing Statistical Outputs		
22.	Design of output layouts and individual output products	Statistical output table template
Designing Variables and Classifications		
23.	Design of variable descriptions	Explanatory notes on variables
Designing Data Collection		
24.	Identification of data collection methods	Draft methodology and list of data collection instruments
25.	Design of data collection instruments	
26.	Design of the legal framework for data collection	Decision or order
Designing the Sample and Data Collection Frame		
27.	Design of the population	Sampling methodology
28.	Design of the sampling methodology	
Designing Data Processing and Analysis		
29.	Identification of data processing methods	Methodology for data processing and analysis
30.	Design of data analysis methods	
31.	Design of data integration and estimation	
Designing the Production System and Workflow		
32.	Design of the production system and workflow in accordance with user requirements	Work plans and the Statistical Work Programme
33.	Review and approval of all designed methodological components, the production system and the workflow	
Build		
Build or Enhance Data Collection Components		
34.	Preparation of technical specifications for the development or updating of data collection instruments	Technical specifications and terms of reference
35.	Development or updating of software for data collection	No records required
36.	Testing of the developed or updated software for data collection	Handover and acceptance record

Build or Enhance Data Processing and Analysis Components		
37.	Preparation of technical specifications for the development or updating of data processing and analysis components	Technical specifications and terms of reference
38.	Development or updating of software for data processing and analysis	No records required
39.	Testing of the developed or updated software for data processing and analysis	Handover and acceptance record
Build or Enhance Dissemination Components		
40.	Preparation of technical specifications for the development or updating of dissemination components	Technical specifications and terms of reference
41.	Development or updating of software for data dissemination	No records required
42.	Testing of the developed or updated software for data dissemination	Handover and acceptance record
Configure Workflow		
43.	Integration of the developed or updated components with internal information systems and tools	No records required
Testing the production system		
44.	Verification of the production system	No records required
45.	Production system acceptance testing	Handover and acceptance record
Test the Statistical Business Process		
46.	Preparation of the test plan	Action plan
47.	Testing and evaluation	Evaluation report
Finalise the Production System		
48.	Presentation and documentation of the production system	No records required
49.	Introduction to the production system, user briefing and delivery of technical training	Official memorandum on staff briefing
Data collection		
Create the Sampling Frame and Select Statistical Units		
50.	Preparation of the sampling frame database	No records required
51.	Establishment of the sample	
52.	Selection and finalisation of the sample	Sample list
Set Up Collection		
53.	Preparation of the data collection plan	Plan
54.	Selection of personnel	List of personnel
55.	Preparation of training materials and delivery of training	Official memorandum on staff briefing
56.	Preparation of material resources and IT tools for data collection	Distribution register

57.	Installation of software on computers or servers	No records required
58.	Translation of materials and provision of interviewers with the necessary materials	Distribution register
Run Collection		
59.	Receipt of reports from statistical units	Letters and reports in electronic format
60 .	Preparation of the initial dataset	Information repository (Electronic)
61.	Validation of the collected data	
62.	Assessment of the collected data	No records required
63.	Provision of information technology support for data collection	
Finalise Collection		
64.	Preparation of the collected data for loading into the relevant database and for processing	Electronic database
65.	Archiving of materials used in data collection	List of archived documents
Data processing		
Integrate Data		
66.	Integration of data from multiple data sources	No records required
Classify and Code		
67.	Coding of input data	No records required
68.	Classification of statistical units	
Review and Validate		
69.	Initial validation of data	No records required
70.	Execution of automated validation checks	
71.	Generation and analysis of quality control tables	Quality control tables
Edit and Impute		
72.	Identification of elements for imputation	No records required
73.	Performance of imputation	Imputation records
74.	Retrieval, review and evaluation of imputation records	
Derive New Variables and Statistical Units		
75.	Creation of new variables and statistical units	No records required
76.	Integration of new variables and statistical units into the data processing database	
Calculate Weights		
77.	Calculation of weights	No records required
78.	Integration of the calculated weights into the data processing database	
Calculate Aggregates		

79.	Retrieval or calculation of aggregation elements	No records required
Formation of final data files		
80.	Preparation of processed data files for analysis	No records required
81.	Archiving of processed data files	List of archived documents
Data analysis		
Prepare Draft Outputs		
82.	Production of preliminary results	Output tables and time series
83.	Seasonal adjustment of preliminary results	New time series, where applicable
Validate Outputs		
84.	Identification of inconsistencies or errors	Nonconformities and Corrective Actions Report
85.	Validation of the consistency between preliminary output results and the results of previous reference periods	
86.	Analysis of preliminary output results for cross-domain consistency	
87.	Editing of results	No records required
Interpret and Explain Outputs		
88.	Review and evaluation of output data	No records required
89.	Analysis and interpretation of output results using various tools	Tables and charts
Apply Disclosure Control		
90.	Identification of output results requiring confidentiality protection	No records required
91.	Application of confidentiality protection and updating of output results	
Finalise Outputs		
92.	Finalisation of analysed output results for dissemination	No records required
93.	Approval of analysed output results for dissemination	Official memorandum for dissemination
94.	Archiving of analysed output results	List of documents transferred to the archives
Disseminate		
Update Output Systems		
95.	Preparation for loading data and metadata into the output information system	No records required
96.	Loading data and metadata into the output information system	Data and metadata (electronic version)
97.	Linking data with the corresponding metadata	No records required
Produce Dissemination Products		
98.	Preparation of dissemination products	No records required
99.	Preparation of press releases and analytical reports	Press releases and analytical reports
100.	Editing and translation of dissemination products	Translated dissemination

		products
101.	Approval of dissemination products for release	Official memorandum on publication
102.	Production of statistical publications and other publications	Statistical publications and other publications
Manage Release of Dissemination Products		
103.	Management of the release of dissemination products	Publication distribution register
104.	Archiving of dissemination products	List of documents transferred to the archives
Promote dissemination products		
105.	Evaluation of the use of dissemination products	Report on the results of the online survey
106.	Promotion of dissemination products through various channels	Official memoranda, meeting minutes, and brochures
Manage User Support		
107.	Registration and response to user requests	Incoming and outgoing document registers

Internal Audit Checklist for Quality Management System Process Standards and Process Maps

Checklist *(on the standards and process map for the quality management system)*						**Audit date:**				
						Structural unit:				
Audit purpose:										
Row No.	**Questions**	**Relevant Clause of the QMS PM**	**Implementation status**			**Availability of records**		**Degree of nonconformity**		**Note**
			Yes	**No**	**Partly**	**Available**	**Not available**	**major**	**minor**	
Creation, Implementation, Maintenance and Certification of the Quality Management System (QMS) in the Statistical System		***1***								
1.	*Has the Quality Policy and the Quality Objectives been established?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Is a Quality Management System (QMS) Manual available?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Are documented procedures and standards for the QMS available?*	*1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Have process maps and standards for statistical and management activities been established?*	*1.4*	☐	☐	☐	☐	☐	☐	☐	
5.	*Have the sequence and interactions of the processes been*	*1.5*	☐	☐	☐	☐	☐	☐	☐	

	determined?									
6.	*Has the Quality Management System been certified in accordance with an internationally recognized standard?*	*1.6*	☐	☐	☐	☐	☐	☐	☐	
Development of Common Rules and Standards for Improving the Efficiency of Statistical Processes and Management		***2***								
7.	*Have problems, needs and requirements been identified and collected?*	*2.1*	☐	☐	☐	☐	☐	☐	☐	
8.	*Have the areas of activity requiring common rules and standards been identified and analysed?*	*2.2*	☐	☐	☐	☐	☐	☐	☐	
9.	*Has international best practice in the relevant field been reviewed when developing the standards?*	*2.3*	☐	☐	☐	☐	☐	☐	☐	
10.	*Have comments and suggestions on the draft standards been collected and reviewed?*	*2.4*	☐	☐	☐	☐	☐	☐	☐	
11.	*Have the developed rules and standards been submitted to the Quality Coordination Council for review?*	*2.5*	☐	☐	☐	☐	☐	☐	☐	

Development and Improvement of the Statistical Metadata System		***3***								
12.	*Has a concept for the statistical metadata system been developed?*	*3.1*	☐	☐	☐	☐	☐	☐	☐	
13.	*Have standards for metadata relating to statistical questionnaires, surveys and statistical indicators been established?*	*3.2*	☐	☐	☐	☐	☐	☐	☐	
14.	*Has a metadata system been developed for statistical processes, questionnaires, surveys and statistical indicators?*	*3.3*	☐	☐	☐	☐	☐	☐	☐	
15.	*Has metadata been made available to users?*	*3.4*	☐	☐	☐	☐	☐	☐	☐	
16.	*Has the metadata system been monitored and have identified nonconformities been eliminated?*	*3.5*	☐	☐	☐	☐	☐	☐	☐	
Ensuring the Quality of Statistical Data and Identifying Needs for New Information		***4***								
17.	*Is the production of statistical products carried out in accordance with the Quality Policy of the State Statistics*	*4.1*	☐	☐	☐			☐	☐	No written record is required.

	Committee?								
18.	*Are records maintained to demonstrate that statistical processes comply with established standards?*	*4.2*	☐	☐	☐	☐	☐	☐	☐	
19.	*Are statistical processes based on scientifically sound methodologies?*	*4.3*	☐	☐	☐	☐	☐	☐	☐	
20.	*Has the coordination of reporting data and the application of mathematical and logical validation checks been implemented?*	*4.4*	☐	☐	☐	☐	☐	☐	☐	
21.	*Have appropriate measures been taken to identify nonconformities or risks during the collection of primary statistical data and to implement the necessary corrective and preventive actions?*	*4.5*	☐	☐	☐	☐	☐	☐	☐	
22.	*Has the development of new statistical products and the dissemination of final statistical data been carried out?*	*4.6*	☐	☐	☐	☐	☐	☐	☐	
Monitoring and Evaluation of the Effectiveness of the QMS		***5***							

23.	*Have internal QMS audits been conducted?*	*5.1*	☐	☐	☐	☐	☐	☐	☐	
24.	*Has monitoring of software performance and the State Statistics Committee's website been carried out?*	*5.2*	☐	☐	☐	☐	☐	☐	☐	
25.	*Have reports on the implementation of the Quality Objectives been collected in accordance with the implementation schedule?*	*5.3*	☐	☐	☐	☐	☐	☐	☐	
26.	*Has the management of identified nonconformities been ensured?*	*5.4*	☐	☐	☐	☐	☐	☐	☐	
27.	*Have preventive actions been taken to address identified risks?*	*5.5*	☐	☐	☐	☐	☐	☐	☐	
28.	*Have performance indicators been calculated and evaluated?*	*5.6*	☐	☐	☐	☐	☐	☐	☐	
29.	*Has a Management Review been conducted?*	*5.7*	☐	☐	☐	☐	☐	☐	☐	
Internal QMS Audits and Documentation of Audit Results		*6*								

30.	*Have auditors been appointed, internal audits planned, and the relevant information communicated?*	*6.1*	☐	☐	☐	☐	☐	☐	☐	
31.	*Have internal audits been conducted in accordance with the Audit Plan, and have the relevant records been maintained?*	*6.2*	☐	☐	☐	☐	☐	☐	☐	
32.	*Have the audit results been formally documented?*	*6.3*	☐	☐	☐	☐	☐	☐	☐	
33.	*Has the effectiveness of the internal audit process been evaluated?*	*6.4*	☐	☐	☐	☐	☐	☐	☐	
34.	*Has the Audit Report been prepared and approved by the management?*	*6.5*	☐	☐	☐	☐	☐	☐	☐	
35.	*Have reports been prepared for management on the elimination of nonconformities identified during internal audits and on the implementation of audit recommendations?*	*6.6*	☐	☐	☐	☐	☐	☐	☐	
Improving Employees' Knowledge and Competence in Quality Management		***7***								

36.	*Have staff competence and training needs been identified, and have actions been taken to improve employees' knowledge and skills?*	*7.1*	☐	☐	☐	☐	☐	☐	☐	
37.	*Have measures been implemented to ensure that knowledge acquired by employees through seminars, courses and training is shared with other employees?*	*7.2*	☐	☐	☐	☐	☐	☐	☐	
38.	*Are records of education, training, skills and work experience maintained and kept up to date?*	*7.3*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Representative of the Audited Structural Unit**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented records relating to the standards and process maps of the Quality Management System processes

No	Process and Subprocess Name	Documented records
Statistical QMS: Establishment, implementation, maintenance and certification		
1	Establishment of the quality policy and objectives	Quality policy and objectives
2	Preparation of the Quality Management System (QMS) Manual	QMS documentation
3	Preparation of standards for the control of documents, processes and interactions	Documented procedures
4	Preparation of process standards and process maps for statistical and other management activities	Process standards and process maps
5	Review of process sequence and interactions	Management review report
6	Preparation of the Quality Management System for certification and obtaining an international conformity certificate	International conformity certificate, external audit report, relevant service memorandum
Development of general rules and standards to improve the efficiency of statistical processes and management		
7	Collection of issues and trends	Comments and proposals submitted to the department
8	Identification and review of the areas of activity covered by the general rules and standards	Service memorandum on the analysis of submitted proposals
9	Review of international best practices in the relevant field covered by the standard	Proposals submitted to the Management Representative for Quality
10	Collection of comments and proposals on the drafted standards	Comments and proposals from the relevant structural unit
11	Submission of the drafted rules and standards to the Quality Coordination Council for review	Service memorandum and minutes of the Quality Coordination Council
Development and improvement of the metadata system		
12	Preparation of the concept for the statistical metadata system	Concept document
13	Establishment of standards for the metadata system covering statistical questionnaires, surveys and indicators	Service memorandum on the results of the review of international best practices
14	Development of the metadata system for statistical processes, statistical questionnaires, surveys and indicators	Metadata for statistical questionnaires, surveys and indicators
15	Identification of metadata for users	Service memorandum containing proposals submitted to the Management Representative for Quality
16	Organisation of metadata system monitoring and elimination of identified nonconformities	Online register of nonconformities and corrective actions

Improvement of the quality of statistical data and identification of new data requirements		
17	Alignment of statistical production processes with the quality policy of the State Statistical Committee	No records required
18	Maintenance of documented evidence demonstrating the conformity of statistical processes with established standards	Quality reports, DESAP self-assessment questionnaires, internal audit checklists
19	Scientific and methodological substantiation of statistical processes	Service memorandum on the results of the review of methodologies
20	Coordination of reporting data and implementation of mathematical and logical validation	Quality control tables, specifications for statistical questionnaires
21	Application of corrective and preventive procedures to improve data quality during the collection of primary statistical data	Online risk register, online register of nonconformities and corrective actions
22	Production of new statistical products and dissemination of final statistical results	Statistical publications, statistical bulletins, press releases
Measurement and evaluation of the effectiveness of the QMS		
23	Organisation of internal audits of the Quality Management System (QMS)	Documents on the results of internal audits
24	Monitoring of software deficiencies and the State Statistical Committee's website	Service memorandum on the monitoring results
25	Collection of reports on the performance of the Quality Management System (QMS) in accordance with the schedule for achieving the quality objectives	Report on the measures implemented in accordance with the schedule for achieving the quality objectives
26	Management of identified nonconformities	Online register of nonconformities and corrective actions
27	Implementation of preventive actions for identified risks	Online risk register
28	Calculation of performance indicators	Table on the calculation of performance indicators
29	Management review	Management review report
Organisation and documentation of internal QMS audits in the statistical system		
30	Designation of auditors, planning of internal audits and notification of the relevant parties	Service memorandum, "Audit Programme", "Audit Plan" and distribution sheet
31	Conduct of the internal audit in accordance with the Audit Plan and maintenance of relevant records	"Audit Checklist"
32	Documentation of audit results	"Nonconformity Report", Online Register of Nonconformities and Corrective Actions
33	Evaluation of the organisation of the internal audit	Audit evaluation questionnaire

34	Preparation of the final audit report and approval by management	"Audit Report"
35	Preparation of a report for management on the elimination of nonconformities identified during internal audits or the implementation of the recommendations issued	Report on the results of verification and follow-up audits
Enhancement of employees' knowledge and competencies in the field of quality		
36	Determination of staff competence and enhancement of employees' knowledge and skills	Presentations and materials from seminars, courses and training sessions
37	Monitoring the accessibility of knowledge acquired by staff participating in seminars, courses and training sessions to other employees	"Organisational Knowledge" folder
38	Maintenance of records related to education, training, skills and experience	Relevant registers

INTERNAL AUDIT CHECKLIST FOR THE STANDARDS AND PROCESS MAPS OF CLASSIFICATION PROCESSES

Checklist (*on the standards and process maps of classification processes)*	**Audit date:**	
	Structural unit:	
Audit purpose:		

Row No.	Questions	Relevant Clause of the QMS PM	Implementation Status			Availability of records		Degree of nonconformity		Note
			Yes	No	Partly	Available	Not available	major	minor	
Classification processes		***1***								
1.	*Have opportunities for studying and applying international experience and national legislation related to classifications been assessed?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Have the classifications to be developed been identified and their draft versions prepared?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Have comments and suggestions from the structural divisions of the State Statistical Committee regarding the draft classifications been collected?*	*1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Have the classifications been updated taking into account the submitted comments and suggestions?*	*1.4*	☐	☐	☐	☐	☐	☐	☐	

5.	*Have the draft classifications, as well as drafts of newly developed classifications, been discussed at the Scientific and Methodological Council and the Statistical Council?*	*1.5*	☐	☐	☐	☐	☐	☐	☐	
6.	*Have the draft classifications been agreed upon with the relevant state authorities?*	*1.6*	☐	☐	☐	☐	☐	☐	☐	
7.	*Have the classifications been discussed and approved by the Board?*	*1.7*	☐	☐	☐	☐	☐	☐	☐	
8.	*Has the publication, dissemination and promotion of classifications been carried out?*	*1.8*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented records related to the classification process standards and process maps

No	Process and Subprocess Name	Documented records
Classification processes		
1	Assessment of opportunities for studying and applying international experience and national legislation related to classifications	Service memorandum or report
2	Selection of classifications to be developed and preparation of their draft versions	Electronic record
3	Collection of comments and suggestions from the structural divisions of the State Statistical Committee regarding draft classifications through the electronic document management system	Suggestions
4	Consideration of proposals related to classifications and their updating	Classification
5	Submission of draft classifications to the Scientific and Methodological Council and draft versions of newly developed classifications to the Statistical Council for discussion	Service memorandum, minutes of the Council meeting
6	Coordination of draft classifications with relevant state authorities	Outgoing correspondence
7	Discussion and approval of classifications by the Collegium	Collegium decision
8	Publication, dissemination and promotion of classifications	Distribution sheet and dispatch register

INTERNAL AUDIT CHECKLIST FOR THE STANDARDS AND PROCESS MAPS OF STATISTICAL ACTIVITY PLANNING PROCESSES

Checklist *(on the standards and mapping of statistical activity planning processes)*	**Audit date:**	
	Structural unit:	
Purpose of the audit:		

Row No.	Questions	Relevant clause of the QMS PM	Implementation status			Availability of records		Degree of nonconformity		Note
			Yes	No	Partly	Available	Not available	major	minor	
Preparation of the State Programme on the Development of Official Statistics in the Republic of Azerbaijan		***1***								
1.	*Has the draft State Programme been prepared?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Have proposals from the structural divisions of the State Statistical Committee regarding the draft State Programme been collected?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Has the draft State Programme been agreed with the relevant state authorities?*	*1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Has the draft State Programme been submitted for approval?*	*1.4*	☐	☐	☐	☐	☐	☐	☐	
5.	*Has a draft action plan been prepared for the measures envisaged in*	*1.5*	☐	☐	☐	☐	☐	☐	☐	

	the State Programme?									
6.	*Have proposals from the structural divisions of the State Statistical Committee regarding the draft action plan for the implementation of the measures been collected?*	*1.6*	☐	☐	☐	☐	☐	☐	☐	
7.	*Has the action plan for the implementation of the measures been coordinated with the relevant state authorities?*	*1.7*	☐	☐	☐	☐	☐	☐	☐	
8.	*Has the action plan for the implementation of the measures been discussed and approved by the Collegium?*	*1.8*	☐	☐	☐	☐	☐	☐	☐	
9.	*Has the action plan for the implementation of the measures been disseminated?*	*1.9*	☐	☐	☐	☐	☐	☐	☐	
10.	*Has the implementation of the action plan for the measures been reviewed by the Collegium on a semi-annual and annual basis?*	*1.10*	☐	☐	☐	☐	☐	☐	☐	
11.	*Has an annual report on the implementation of the action plan for the measures been submitted to the President and the Prime Minister of the Republic of Azerbaijan?*	*1.11*	☐	☐	☐	☐	☐	☐	☐	
12.	*Has the State Programme been published on the website?*	*1.12*	☐	☐	☐	☐	☐	☐	☐	

Preparation of statistical work program		***2***								
13.	*Has the draft Statistical Work Programme been prepared?*	*2.1*	☐	☐	☐	☐	☐	☐	☐	
14.	*Has the draft Statistical Work Programme been agreed with the structural divisions of the State Statistical Committee?*	*2.2*	☐	☐	☐	☐	☐	☐	☐	
15.	*Has the draft Statistical Work Programme been agreed with the relevant state authorities?*	*2.3*	☐	☐	☐	☐	☐	☐	☐	
16.	*Has the draft Statistical Work Programme been agreed with the Cabinet of Ministers of the Republic of Azerbaijan?*	*2.4*	☐	☐	☐	☐	☐	☐	☐	
17.	*Has the Statistical Work Programme been approved?*	*2.5*	☐	☐	☐	☐	☐	☐	☐	
18.	*Has the Statistical Work Programme been published on the website?*	*2.6*	☐	☐	☐	☐	☐	☐	☐	
19.	*Has a report on the implementation of the Statistical Work Programme been prepared?*	*2.7*	☐	☐	☐	☐	☐	☐	☐	
20.	*Has the Statistical Work Programme been disseminated?*	*2.8*	☐	☐	☐	☐	☐	☐	☐	
Preparation of a work plan with methodological and data users		***3***								

21.	*Preparation of a Work Plan with Methodological and Data Users*	*3.1*	☐	☐	☐	☐	☐	☐	☐	
22.	*Have proposals from the departments been collected?*	*3.2*	☐	☐	☐	☐	☐	☐	☐	
23.	*Has the draft Work Plan been prepared?*	*3.3*	☐	☐	☐	☐	☐	☐	☐	
24.	*Has the Work Plan been discussed and approved by the Collegium?*	*3.4*	☐	☐	☐	☐	☐	☐	☐	
Preparation of a work plan for monitoring the activities of the LSB and providing practical assistance		***4***								
25.	*Has the Work Plan been prepared and approved?*	*4.1*	☐	☐	☐	☐	☐	☐	☐	
26.	*Has the inspection team been established?*	*4.2*	☐	☐	☐	☐	☐	☐	☐	
27.	*Has the inspection been organised and conducted?*	*4.3*	☐	☐	☐	☐	☐	☐	☐	
28.	*Have the inspection results been discussed by the Collegium?*	*4.4*	☐	☐	☐	☐	☐	☐	☐	
29.	*Has the approved document on the inspection results been sent to the LSB?*	*4.5*	☐	☐	☐	☐	☐	☐	☐	
Preparation of an annual report on the results of the activities of the State Statistics Committee		***5***								

30.	*Have proposals from the structural divisions of the State Statistical Committee been collected?*	*5.1*	☐	☐	☐	☐	☐	☐	☐	
31.	*Has the draft report been prepared?*	*5.2*	☐	☐	☐	☐	☐	☐	☐	
32.	*Has the report (brief report) been submitted to the Cabinet of Ministers of the Republic of Azerbaijan?*	*5.3*	☐	☐	☐	☐	☐	☐	☐	
33.	*Has the final report (analysis) been discussed and approved by the Collegium?*	*5.4*	☐	☐	☐	☐	☐	☐	☐	
34.	*Has the report been disseminated?*	*5.5*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented records related to the standards and process maps of statistical activity planning processes

No	Process and Subprocess Name	Documented records
Preparation of the State Programme on the Development of Official Statistics in the Republic of Azerbaijan		
1	Preparation of the draft State Programme	Draft State Programme
2	Collection of proposals from the structural divisions of the State Statistical Committee regarding the draft State Programme	Proposals
3	Coordination of the draft State Programme with relevant state authorities	Letters
4	Submission of the State Programme to the President of the Republic of Azerbaijan for approval	Letter and draft State Programme
5	Preparation of the draft action plan for the measures envisaged under the State Programme	Action plan for the measures
6	Collection of proposals from the structural divisions of the State Statistical Committee regarding the draft action plan for the measures	Proposals
7	Coordination of the action plan for the measures with relevant state authorities	Letters
8	Discussion and approval of the action plan for the measures by the Collegium	Collegium decision
9	Dissemination of the action plan for the measures	Document distribution sheet and dispatch register
10	Discussion of the implementation of the action plan for the measures by the Collegium (semi-annual and annual)	Collegium decision
11	Submission of an annual report on the implementation of the action plan for the measures to the President and the Prime Minister of the Republic of Azerbaijan	Report and table
12	Publication of the State Programme on the website	Electronic version of the action plan for the measures
Preparation of the Statistical Work Programme		
13	Preparation of the draft Programme	Draft Programme
14	Coordination of the draft Programme with the structural divisions of the State Statistical Committee	Proposals
15	Coordination of the draft Programme with relevant state authorities	Letters
16	Coordination of the draft Programme with the Cabinet of Ministers of the Republic of Azerbaijan	
17	Approval of the Programme	Collegium decision
18	Publication of the Programme on the website	Electronic version of the Programme
19	Preparation of a report on the implementation of the Programme	Report
20	Dissemination of the Programme	Document distribution sheet and dispatch register
Preparation of a Work Plan with Methodological and Data Users		

21	Collection of proposals from departments	Proposals
22	Preparation of the draft Work Plan	Draft Work Plan
23	Discussion and approval of the Work Plan by the Collegium	Collegium decision
24	Dissemination of the Work Plan	Document distribution sheet
Preparation of a Work Plan for monitoring the activities of LSBs and providing practical assistance		
25	Preparation of the Work Plan	Work Plan
26	Establishment of the inspection team	Presentation and order
27	Organisation and conduct of the inspection	Inspection report
28	Discussion of inspection results by the Collegium	Collegium decision
29	Sending the approved document on inspection results to the LSB	Document dispatch register
Preparation of an annual report on the results of the activities of the State Statistical Committee		
30	Collection of proposals from the structural divisions of the State Statistical Committee	Proposals
31	Preparation of the draft report	Draft report
32	Submission of the (brief) report to the Cabinet of Ministers of the Republic of Azerbaijan	Report
33	Discussion of the final report (summary note) by the Collegium	Collegium decision
34	Dissemination of the report	Document distribution sheet

Internal Audit Checklist for the Standard and Process Map of Register Management

Checklist *(on the Standards and Process Map for the Register Management Process)*	**Audit date:**	
	Structural unit:	
Audit purpose :		

Row No.	**Questions**	**Relevant clause of the QMS PM**	**Implementation Status**			**Availability of records**		**Degree of nonconformity**		**Note**
			Yes	**No**	**Partly**	**Available**	**Not available**	**major**	**minor**	
Keeping registers		***1***								
1.	*Has the maintenance of registers been ensured?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Is the Register of Legal Entities maintained?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Is the Register of Individual Entrepreneurs maintained?*	*1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Has the registers been updated and a new database established?*	*1.4*	☐	☐	☐			☐	☐	No records required
5.	*Are the registers provided to users?*	*1.5*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented Records for the Standards and Process Map of the Register Management Process

<table>
<tr><th>No</th><th>Process and Subprocess Name</th><th>Documented records</th></tr>
<tr><td colspan="3">Register Management</td></tr>
<tr><td>1</td><td>Register Management</td><td>Electronic Records</td></tr>
<tr><td>2</td><td>Maintenance of the Register of Legal Entities</td><td rowspan="2">Register</td></tr>
<tr><td>3</td><td>Maintenance of the Register of Individual Entrepreneurs</td></tr>
<tr><td>4</td><td>Updating of Registers and Establishment of a New Database</td><td>No records required</td></tr>
<tr><td>5</td><td>Provision of Registers to Users</td><td>Distribution List and Dispatch Register</td></tr>
</table>

Internal Audit Checklist for Information Support and Public Relations Process Standards and Process Maps

Checklist *(on the Standards and Process Map for Information Support and Public Relations Processes)*	**Audit date:**	
	Structural unit:	
Audit purpose:		

Row No.	**Questions**	**Relevant clause of the QMS PM**	**Implementation status**			**Availability of records**		**Degree of nonconformity**		**Note**
			Yes	**No**	**Partly me**	**Available**	**Not available**	**major**	**minor**	
Provision of Official Statistical Information to Users		***1***								
1.	*Have requests for official statistical information been received from users?*	*1.1*	☐	☐	☐			☐	☐	No documented information is required.
2.	*Are users' requests recorded?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Have users' requests been responded to?*	*1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Are users provided with official statistical publications?*	*1.4*	☐	☐	☐	☐	☐	☐	☐	
Preparation of General Statistical Publications		***2***								
5.	*Has a draft publication plan been prepared?*	*2.1*	☐	☐	☐			☐	☐	No documented information is required.
6.	*Has the publication plan been reviewed and approved?*	*2.2*	☐	☐	☐	☐	☐	☐	☐	
7.	*Have statistical review publications been prepared?*	*2.3*	☐	☐	☐	☐	☐	☐	☐	

8.	*Have the general statistical publications been distributed to users?*	*2.4*	☐	☐	☐	☐	☐	☐	☐	
9.	*Have the general statistical publications been published on the website?*	*2.5*	☐	☐	☐	☐	☐	☐	☐	
Cooperation with the media		***3***								
10.	*Has a press release schedule been prepared?*	*3.1*	☐	☐	☐	☐	☐	☐	☐	
11.	*Have meetings with the media been held?*	*3.2*	☐	☐	☐	☐	☐	☐	☐	
12.	*Have media inquiries been responded to?*	*3.3*	☐	☐	☐	☐	☐	☐	☐	
13.	*Are statistical data published on the website?*	*3.4*	☐	☐	☐	☐	☐	☐	☐	
14.	*Is information on events, business trips, public receptions and other activities published on the website?*	*3.5*	☐	☐	☐	☐	☐	☐	☐	
15.	*Have press releases been distributed?*	*3.6*	☐	☐	☐	☐	☐	☐	☐	
Preparation of the Analytical Work Plan		***4***								
16.	*Has a template for the Analytical Work Plan been prepared?*	*4.1*	☐	☐	☐	☐	☐	☐	☐	
17.	*Have proposals for the Analytical Work Plan been received from the structural units?*	*4.2*	☐	☐	☐	☐	☐	☐	☐	

18.	*Has a draft Analytical Work Plan been prepared based on the proposals received?*	*4.3*	☐	☐	☐	☐	☐	☐	☐	
19.	*Has the draft Analytical Work Plan been reviewed and approved by the Board?*	*4.4*	☐	☐	☐	☐	☐	☐	☐	
20.	*Has the Analytical Work Plan been distributed to the relevant structural units?*	*4.5*	☐	☐	☐	☐	☐	☐	☐	
Preparation of the Statistical Publications Catalogue		***5***								
21.	*Has a template for the Statistical Publications Catalogue been prepared?*	*5.1*	☐	☐	☐	☐	☐	☐	☐	
22.	*Has the Statistical Publications Catalogue template been completed by the structural units?*	*5.2*	☐	☐	☐	☐	☐	☐	☐	
23.	*Has the final version of the Statistical Publications Catalogue been prepared?*	*5.3*	☐	☐	☐	☐	☐	☐	☐	
24.	*Is the Statistical Publications Catalogue published on the Committee's website?*	*5.4*	☐	☐	☐	☐	☐	☐	☐	
Organization of an Online Survey on the Provision of Statistical Information to Users		***6***								

25.	*Has an online user survey been conducted?*	*6.1*	☐	☐	☐	☐	☐	☐	☐	
26.	*Has a final report on the results of the online user survey been prepared?*	*6.2*	☐	☐	☐	☐	☐	☐	☐	
27.	*Have the results of the online user survey been published on the Committee's website?*	*6.3*	☐	☐	☐	☐	☐	☐	☐	
Official Website Monitoring and Management		***7***								
28.	*Has website monitoring been conducted?*	*7.1*	☐	☐	☐			☐	☐	No documented information is required.
29.	*Has a report on the identified non-conformities been prepared?*	*7.2*	☐	☐	☐	☐	☐	☐	☐	
30.	*Have the relevant structural units of the State Statistical Committee been instructed to eliminate the identified non-conformities?*	*7.3*	☐	☐	☐	☐	☐	☐	☐	
31.	*Has the information scheduled for publication on the website been reviewed prior to publication?*	*7.4*	☐	☐	☐	☐	☐	☐	☐	
Hotline Services		***8***								
32.	*Have any requests been received from users?*	*8.1*	☐	☐	☐	☐	☐	☐	☐	

33.	*Has the State Statistical Committee provided direct verbal responses to requests within its competence that do not require further investigation?*	*8.2*	☐	☐	☐			☐	☐	No documented information is required.
34.	*Have requests within the competence of the State Statistical Committee that require investigation been referred to the relevant structural units?*	*8.3*	☐	☐	☐			☐	☐	No documented information is required.
35.	*Have users been informed verbally about the progress or outcome of the investigation of their requests?*	*8.4*	☐	☐	☐			☐	☐	No documented information is required.
36.	*Have users been informed verbally when their requests fall outside the competence of the State Statistical Committee?*	*8.5*	☐	☐	☐			☐	☐	No documented information is required.

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented records related to the standards and process maps of information support and public relations processes

No	Process and Subprocess Name	Documented records
Provision of Users with Official Statistical Information		
1	Receipt of requests from users	No records required
2	Registration of requests received from users	Registration log
3	Responding to requests received from users	Copy of the document and registration log
4	Provision of users with official statistical publications	Register of dispatch of statistical publications and other publications
Preparation of General Statistical Publications		
5	Preparation of the draft Publications Plan	No records required
6	Coordination and approval of the Publications Plan	Publications Plan
7	Preparation of general statistical publications	General statistical publications
8	Dissemination of general statistical publications to users	Distribution sheet and register
9	Publication of general statistical publications on the website	Electronic record, website
Cooperation with the media		
10	Preparation of the Press Release Schedule	Electronic record
11	Conducting meetings with the media	Minutes
12	Responding to media enquiries	Registration log
13	Publication of official statistical information on the website	Electronic record
14	Publication of information on events, business visits, official receptions and other activities on the website	
15	Dissemination of press releases	Release calendar and summary on the website
Preparation of the Analysis Work Plan		
16	Preparation of the template for the Analysis Work Plan	Template
17	Collection of proposals from departments for the Analysis Work Plan	Proposals
18	Preparation of the draft Analysis Work Plan based on the proposals	Draft
19	Discussion and approval of the draft Analysis Work Plan by the Collegium	Collegium decision

20	Dissemination of the Analysis Work Plan	Distribution sheet
Preparation of the Catalogue of Statistical Publications		
21	Preparation of the Catalogue template	Template
22	Completion of the Catalogue template by the departments	Catalogue
23	Preparation of the final version of the Catalogue	
24	Publication of the Catalogue on the Committee's website	Website record
Organization of an Online Survey on the Provision of Statistical Information to Users		
25	Organisation of the online survey	Online survey questionnaire on the website
26	Analysis of the online survey results and preparation of the final report	Report
27	Publication of the results on the website	Website
Official Website Monitoring and Management		
28	Monitoring of the website	No records required
29	Preparation of a report on identified nonconformities	Report
30	Issuing instructions to the relevant structural divisions of the State Statistical Committee to eliminate the identified nonconformities	Instruction issued through the Electronic Document Management System
31	Monitoring the publication of information on the website in accordance with the Release Calendar	Website
Hotline Services		
32	Receipt of user enquiries	Registration log
33	Providing an immediate verbal response to enquiries within the competence of the State Statistical Committee that do not require further examination	No records required
34	Examination of enquiries within the competence of the State Statistical Committee in cooperation with the relevant structural divisions of the State Statistical Committee	
35	Providing the user with verbal information on the outcome of the examination	
36	Informing the user verbally when the enquiry does not fall within the competence of the State Statistical Committee	

INTERNAL AUDIT CHECKLIST FOR THE STANDARD AND PROCESS MAP OF ACCOUNTING, FINANCE AND ADMINISTRATIVE OPERATIONS

Checklist (*According to the Standards and Process Map for Accounting, Financial and Administrative Operations)*		**Audit date:**	
		Structural unit:	
Audit purpose:			

Row No.	Questions	Relevant clause of the QMS PM	Implementation status			Availability of records		Degree of nonconformity		Note
			Yes	No	Partly	Available	Not available	major	minor	
Preparation of the Draft Budget		***1***								
1.	*Has an instruction letter (including the relevant annexes) on the preparation of consolidated budget estimates for the following fiscal year and the subsequent three years been received from the Ministry of Finance of the Republic of Azerbaijan?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Has the collection of budget estimates for the following fiscal year and the subsequent three years from the local statistical authorities and subordinate institutions been ensured for the preparation of the draft budget?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Have the funds required*	*1.3*	☐	☐	☐	☐	☐	☐	☐	

	for the implementation of measures arising from the State Programmes been included in the draft budget?								
4.	*Has the draft budget been submitted to the Ministry of Finance of the Republic of Azerbaijan together with the required explanations, supporting documents, calculations and other relevant materials?*	*1.4*	☐	☐	☐	☐	☐	☐	☐	
Preparation of cost estimates		***2***								
5.	*Have the budget appropriations of the State Statistical Committee been communicated by the Ministry of Finance of the Republic of Azerbaijan?*	*2.1*	☐	☐	☐	☐	☐	☐	☐	
6.	*Has the collection of expenditure information from the local statistical authorities and subordinate institutions for the preparation of the cost estimates been ensured?*	*2.2*	☐	☐	☐	☐	☐	☐	☐	
7.	*Has the cost estimate been prepared, approved by the management and*	*2.3*	☐	☐	☐	☐	☐	☐	☐	

	submitted to the State Treasury Agency of the Ministry of Finance of the Republic of Azerbaijan?								
8.	*Has financing been provided in accordance with the approved cost estimate?*	*2.4*	☐	☐	☐			☐	☐	No documented information is required.
9.	*Where changes between expenditure items are required, has the revised cost estimate been prepared and submitted to the Ministry of Finance of the Republic of Azerbaijan for approval?*	*2.5*	☐	☐	☐	☐	☐	☐	☐	
Conducting financing transactions		***3***								
10.	*Have loan opening orders been prepared and approved?*	*3.1*	☐	☐	☐	☐	☐	☐	☐	
11.	*Have the approved loan opening orders been submitted to the State Treasury Agency of the Ministry of Finance of the Republic of Azerbaijan?*	*3.2*	☐	☐	☐	☐	☐	☐	☐	
12.	*Have expenditure schedules been prepared and approved?*	*3.3*	☐	☐	☐	☐	☐	☐	☐	

13.	*Have the approved expenditure schedules been submitted to the State Treasury Agency of the Ministry of Finance of the Republic of Azerbaijan?*	*3.4*	☐	☐	☐	☐	☐	☐	☐	
14.	*Has the transfer of funds to the treasury accounts been ensured?*	*3.5*	☐	☐	☐			☐	☐	No documented information is required.
Cash Flow Accounting		***4***								
15.	*Have cash flow records been maintained for individual expenditure items?*	*4.1*	☐	☐	☐	☐	☐	☐	☐	
16.	*Has the transfer of funds been carried out on the basis of the approved documents?*	*4.2*	☐	☐	☐			☐	☐	No documented information is required.
17.	*Have budget expenditures been recorded?*	*4.3*	☐	☐	☐	☐	☐	☐	☐	
18.	*Have expenditures from extra-budgetary and special funds been recorded?*	*4.4*	☐	☐	☐	☐	☐	☐	☐	
19.	*Has the accuracy of the balances of expenditure items in the current budget accounts been verified?*	*4.5*	☐	☐	☐	☐	☐	☐	☐	
20.	*Has the remaining cash balance been returned to the State Budget at the end of the fiscal year?*	*4.6*	☐	☐	☐			☐	☐	No documented information is required.

Preparation of staffing tables		***5***								
21.	*Have the staffing tables of the State Statistical Committee of the Republic of Azerbaijan and the local statistical authorities been prepared and approved?*	*5.1*	☐	☐	☐	☐	☐	☐	☐	
22.	*Have the staffing tables approved at the beginning of the year been registered with the Ministry of Finance of the Republic of Azerbaijan?*	*5.2*	☐	☐	☐	☐	☐	☐	☐	
23.	*Have the approved staffing tables been distributed to the local statistical authorities?*	*5.3*	☐	☐	☐	☐	☐	☐	☐	
Provision of Economic Materials, Fixed Assets and Other Supplies		***6***								
24.	*Have requests submitted by the departments of the State Statistical Committee of the Republic of Azerbaijan and the local statistical authorities been registered?*	*6.1*	☐	☐	☐	☐	☐	☐	☐	

25.	*Have the needs of the State Statistical Committee of the Republic of Azerbaijan and the local statistical authorities been identified?*	*6.2*	☐	☐	☐	☐	☐	☐	☐	
26.	*Have the required procurements been carried out?*	*6.3*	☐	☐	☐	☐	☐	☐	☐	
Preparation of Financial Statements and Reports		***7***								
27.	*Have quarterly and annual accounting reports on the execution of the budget and extra-budgetary expenditures been prepared?*	*7.1*	☐	☐	☐	☐	☐	☐	☐	
28.	*Are the annual financial statements prepared in accordance with the International Public Sector Accounting Standards (IPSAS)?*	*7.2*	☐	☐	☐	☐	☐	☐	☐	
29.	*Have strict accountability forms been prepared?*	*7.3*	☐	☐	☐	☐	☐	☐	☐	
30.	*Have reports on the allocation and use of funds for projects included in the State Investment Programme been prepared?*	*7.4*	☐	☐	☐	☐	☐	☐	☐	

31.	*Has the declaration on wage and self-employment income been submitted?*	*7.5*	☐	☐	☐	☐	☐	☐	☐	
32.	*Have the reports entitled "Special Report on the Preservation and Use of State Property" and "Registration Sheet of State Immovable Property" been prepared?*	*7.6*	☐	☐	☐	☐	☐	☐	☐	
33.	*Have statistical reports been prepared?*	*7.7*	☐	☐	☐	☐	☐	☐	☐	
Inventory of fixed assets and tangible assets		***8***								
34.	*Have the dates for conducting the inventory been determined?*	*8.1*	☐	☐	☐	☐	☐	☐	☐	
35.	*Has an inventory commission been established?*	*8.2*	☐	☐	☐	☐	☐	☐	☐	
36.	*Has an inventory of all assets recorded on the balance sheet been conducted?*	*8.3*	☐	☐	☐	☐	☐	☐	☐	
Calculation of Depreciation on Fixed Assets		***9***								
Transfer of Fixed Assets Between Balance Sheets		***10***								
37.	*Have the requirements for fixed assets been identified?*	*10.1*	☐	☐	☐	☐	☐	☐	☐	

38.	*Has an application for permission to transfer fixed assets between balance sheets been submitted to and registered with the State Service for Property Issues under the Ministry of Economy of the Republic of Azerbaijan?*	*10.2*	☐	☐	☐	☐	☐	☐	☐	
39.	*Has the transfer of fixed assets between balance sheets been carried out with the approval of the State Service for Property Issues under the Ministry of Economy of the Republic of Azerbaijan?*	*10.3*	☐	☐	☐	☐	☐	☐	☐	
Write-off of Fixed Assets		***11***								
40.	*Have the fixed assets to be written off from the balance sheet been identified?*	*11.1*	☐	☐	☐	☐	☐	☐	☐	
41.	*Has a liquidation commission been established?*	*11.2*	☐	☐	☐	☐	☐	☐	☐	
42.	*Have the reasons for the write-off of the fixed assets been identified?*	*11.3*	☐	☐	☐	☐	☐	☐	☐	

43.	*Have the documents required for the write-off of fixed assets with a value exceeding 5,000 manats been submitted to the State Service for Property Issues under the Ministry of Economy of the Republic of Azerbaijan?*	*11.4*	☐	☐	☐	☐	☐	☐	☐	
44.	*Has the write-off of the fixed assets been carried out with the approval of the State Service for Property Issues under the Ministry of Economy of the Republic of Azerbaijan?*	*11.5*	☐	☐	☐	☐	☐	☐	☐	
Carrying out work related to state-funded investments		***12***								
45.	*Have proposals for planned construction projects and new investment projects been submitted to the Ministry of Economy of the Republic of Azerbaijan for inclusion in the draft State Investment Programme?*	*12.1*	☐	☐	☐	☐	☐	☐	☐	
46.	*Has financing of the approved projects been carried out within the allocated capital investment funds?*	*12.2*	☐	☐	☐			☐	☐	No documented information is required.

47.	*Have quarterly reports on the implementation of the projects been prepared and submitted to the Ministry of Economy of the Republic of Azerbaijan and the Ministry of Finance of the Republic of Azerbaijan?*	*12.3*	☐	☐	☐	☐	☐	☐	☐	
Preparation of Memorial Orders and the General Ledger		***13***								
48.	*Are memorial orders prepared on a monthly basis?*	*13.1*	☐	☐	☐	☐	☐	☐	☐	
49.	*Are memorial orders recorded in the General Ledger?*	*13.2*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented records related to the standards and process maps of accounting and financial management processes

No	Process and Subprocess Name	Documented records
Preparation of the Draft Budget		
1	Receipt of the instruction letter from the Ministry of Finance of the Republic of Azerbaijan on the preparation of the consolidated budget estimates for the following year and the subsequent three years (together with the relevant annexes)	Instruction letter and annexes (forms)
2	Collection of consolidated budget estimates for the following year and the subsequent three years from local offices and subordinate institutions for the preparation of the budget proposal	Relevant table
3	Inclusion of the funds required for the implementation of measures arising from the State Programmes in the budget proposal	Submitted proposals
4	Submission of the budget proposals to the Ministry of Finance of the Republic of Azerbaijan together with the relevant explanatory notes, supporting materials, necessary calculations and supporting documents	Letter and draft budget
Preparation of cost estimates		
5	Receipt of the State Statistical Committee's approved budget estimates from the Ministry of Finance of the Republic of Azerbaijan	Letters
6	Collection of expenditure information from local offices and subordinate institutions for the preparation of the expenditure estimate	Relevant table
7	Preparation of the expenditure estimate and, following its approval by the management, submission of the expenditure estimate to the State Treasury Agency of the Ministry of Finance of the Republic of Azerbaijan	Expenditure estimate
8	Financing based on the approved expenditure estimate	No records required
9	Revision of the expenditure estimate, where necessary due to changes between expenditure items during financing, and submission of the revised expenditure estimate to the Ministry of Finance of the Republic of Azerbaijan for approval	List of amendments and additions to the expenditure estimate
Conducting financing transactions		
10	Preparation and approval of credit opening requests	Requests
11	Submission of the approved credit opening requests to the State Treasury Agency of the Ministry of Finance of the Republic of Azerbaijan	Letter and requests
12	Preparation and approval of expenditure schedules	Expenditure schedules
13	Submission of the approved expenditure schedules to the State Treasury Agency of the Ministry of Finance of the Republic of Azerbaijan	
14	Receipt of funds in the Treasury accounts	Requests

Cash Flow Accounting		
15	Preparation of documents for individual expenditure items	Commitment document, request, payment order
16	Transfer of funds based on the approved documents	No records required
17	Recording of expenditures financed from the state budget	Treasury account book Reconciliation statements
18	Recording of expenditures financed from extra-budgetary and special funds	
19	Verification of the accuracy of balances under expenditure items in the current budget accounts	No records required
20	Return of the year-end cash balance to the state budget revenues	Commitment document, MAS, request, payment order
Preparation of staffing tables		
21	Preparation and approval of the staffing table by the management	Staffing table
22	Registration of the approved staffing table with the Ministry of Finance of the Republic of Azerbaijan	Electronic registration form
23	Distribution of the approved staffing tables to the local statistical offices	Letter and staffing tables
Provision of Economic Materials, Fixed Assets and Other Supplies		
24	Registration of requests related to the needs of the departments of the State Statistical Committee and local statistical offices	Registration book
25	Assessment of the needs of the departments of the State Statistical Committee and local statistical offices	Proposals submitted for the draft budget
26	Procurement of goods, works and services	Contract
Preparation of Financial Statements and Reports		
27	Preparation of quarterly and annual accounting reports on the execution of budgetary and extra-budgetary expenditure estimates	Reports
28	Preparation of annual financial statements in accordance with the International Public Sector Accounting Standards	Reports
29	Preparation of reports on accountable forms	
30	Preparation of reports on funds allocated and utilized under projects included in the State Investment Programme	
31	Preparation of the Unified Declaration on paid and unpaid employment	
32	Preparation of the “Special Report on the Status of Safeguarding and Use of State Property” and the “State Immovable Property Registration Form”	
33	Preparation of statistical reports	
Inventory of fixed assets and tangible assets		
34	Determination of the inventory dates	Order
35	Establishment of the inventory commission for conducting	

	the inventory	
36	Conduct of the inventory of all balance sheet assets	Inventory list and inventory report
Calculation of Depreciation on Fixed Assets		
Transfer of Fixed Assets Between Balance Sheets		
37	Assessment of the need for fixed assets	Letters
38	Submission of an application to, and registration with, the State Service for Property Issues under the Ministry of Economy of the Republic of Azerbaijan for permission to transfer fixed assets from one balance sheet to another	
39	Transfer of fixed assets from one balance sheet to another based on the approval of the State Service for Property Issues under the Ministry of Economy of the Republic of Azerbaijan	Order and delivery note
Write-off of Fixed Assets		
40	Identification of fixed assets to be written off from the organisation's balance sheet	Letters
41	Establishment of a disposal commission	Order
42	Determination of the reasons requiring the write-off of fixed assets	Inventory commission opinion, defect report, etc.
43	Submission of the relevant documents to the State Service for Property Issues under the Ministry of Economy of the Republic of Azerbaijan for the write-off of fixed assets with a value exceeding 5,000 manats	Letter and write-off report
44	Write-off of fixed assets based on the approval of the State Service for Property Issues under the Ministry of Economy of the Republic of Azerbaijan	Write-off report and order
Carrying out work related to state-funded investments		
45	Submission of the list of proposed construction projects and new project proposals to the Ministry of Economy of the Republic of Azerbaijan for the preparation of the draft State Investment Programme	Letter and project proposals
46	Financing of the planned projects within the funds allocated for capital investment	No records required
47	Preparation of progress reports and submission thereof to the Ministry of Economy and the Ministry of Finance of the Republic of Azerbaijan on a quarterly basis	Letter and reports
Preparation of Memorial Orders and the General Ledger		
48	Preparation of monthly memorial orders	Memorial orders
49	Posting of memorial orders to the General Ledger	General Ledger

INTERNAL AUDIT CHECKLIST FOR THE STANDARDS AND PROCESS MAPS OF HUMAN RESOURCE MANAGEMENT

Checklist *(on standards and mapping of human resource management processes)*	**Audit date:**	
	Structural unit:	
Audit purpose:		

Row No.	Questions	Relevant clause of the QMS PM	Implementation status			Availability of records		Degree of nonconformity		Note
			Yes	No	Partly	Available	Not available	major	minor	
Recruitment		***1***								
1.	*Has a list of vacant positions been prepared?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Has the interview committee been established?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Have competitions, open and internal interviews for filling vacant positions been organized and conducted?*	*1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Have all organizational arrangements for announcing the interviews been completed?*	*1.4*	☐	☐	☐	☐	☐	☐	☐	
5.	*Has the recruitment and appointment of personnel been carried out?*	*1.5*	☐	☐	☐	☐	☐	☐	☐	
Ensuring the Rights of Civil Servants Established by Law		***2***								

6.	*Ensuring the Rights of Civil Servants Established by Law*	*2.1*	☐	☐	☐	☐	☐	☐	☐	
7.	*Has the continuity of civil servants' employment in the civil service been ensured?*	*2.2*	☐	☐	☐	☐	☐	☐	☐	
8.	*Has the transition of civil servants to permanent civil service been monitored?*	*2.3*	☐	☐	☐	☐	☐	☐	☐	
9.	*Has the awarding of qualification grades to civil servants been monitored in accordance with the time limits established by legislation?*	*2.4*	☐	☐	☐	☐	☐	☐	☐	
Personnel Records Management		***3***								
10.	*Has the maintenance of personnel files been ensured?*	*3.1*	☐	☐	☐	☐	☐	☐	☐	
11.	*Have the required entries been made in employees' employment record books?*	*3.2*	☐	☐	☐	☐	☐	☐	☐	
12.	*Has employee information been entered into the relevant information systems?*	*3.3*	☐	☐	☐	☐	☐	☐	☐	
13.	*Have personnel orders been prepared and filed?*	*3.4*	☐	☐	☐	☐	☐	☐	☐	
Evaluation of the Performance of Civil Servants		***4***								
14.	*Has an employee*	*4.1*	☐	☐	☐	☐	☐	☐	☐	

	performance evaluation form been prepared?									
15.	*Has the performance evaluation of civil servants been carried out?*	*4.2*	☐	☐	☐	☐	☐	☐	☐	
16.	*Have the results of the performance evaluation been summarized?*	*4.3*	☐	☐	☐	☐	☐	☐	☐	
Staff Training and Development		***5***								
17.	*Have staff training and development needs been identified?*	*5.1*	☐	☐	☐	☐	☐	☐	☐	
18.	*Have training courses and seminars been organized?*	*5.2*	☐	☐	☐	☐	☐	☐	☐	
19.	*Has staff training and professional development been provided?*	*5.3*	☐	☐	☐	☐	☐	☐	☐	
20.	*Has staff training been completed?*	*5.4*	☐	☐	☐	☐	☐	☐	☐	
21.	*Has the effectiveness of training attended by staff been evaluated?*	*5.5*	☐	☐	☐	☐	☐	☐	☐	
Disciplinary Measures and Dismissal		***6***								

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented Records on the Standards and Process Map for Human Resources Management

<table>
<tr><th>No</th><th>Process and Subprocess Name</th><th>Documented records</th></tr>
<tr><td colspan="3">Recruitment</td></tr>
<tr><td>1</td><td>Preparation of the List of Vacant Positions</td><td>List of Vacant Positions</td></tr>
<tr><td>2</td><td>Establishment of the Interview Committee</td><td>Order</td></tr>
<tr><td>3</td><td>Organization and Conduct of Competitions, Open and Internal Interviews for Filling Vacant Positions</td><td>Letter</td></tr>
<tr><td>4</td><td>Organization of Interview Announcements</td><td>State Examination Center Website and the Committee's Website</td></tr>
<tr><td>5</td><td>Recruitment and Appointment of Personnel</td><td>Order and Letter to the State Examination Center</td></tr>
<tr><td colspan="3">Ensuring the Rights of Civil Servants Established by Law</td></tr>
<tr><td>6</td><td>Ensuring the Continuity of Civil Servants' Employment</td><td>Relevant Civil Service Certificate</td></tr>
<tr><td>7</td><td>Monitoring the Internship, Probation and Transition of Civil Servants to Permanent Civil Service</td><td rowspan="2">Order</td></tr>
<tr><td>8</td><td>Monitoring the Awarding of Qualification Grades to Civil Servants in Compliance with the Time Limits Established by Legislation</td></tr>
<tr><td>9</td><td>Implementation of Measures Related to the Rotation of Civil Servants</td><td>Letter</td></tr>
<tr><td colspan="3">Personnel Records Management</td></tr>
<tr><td>10</td><td>Maintenance of Personnel Files</td><td>Personnel Files</td></tr>
<tr><td>11</td><td>Maintaining Records in Employment Record Books</td><td>Employment Record Book</td></tr>
<tr><td>12</td><td>Entering Employee Information into the Relevant Information Systems</td><td>Entries in the Relevant Registers</td></tr>
<tr><td>13</td><td>Preparation and Issuance of Personnel Orders</td><td>Order</td></tr>
<tr><td colspan="3">Evaluation of the Performance of Civil Servants</td></tr>
<tr><td>14</td><td>Preparation of the Performance Evaluation Form</td><td rowspan="2">Form No. 1</td></tr>
<tr><td>15</td><td>Performance Evaluation</td></tr>
<tr><td>16</td><td>Performance Evaluation Results</td><td>Form No. 2</td></tr>
<tr><td colspan="3">Staff Training and Development</td></tr>
<tr><td>17</td><td>Identification of Training and Development Needs</td><td>Training Plan</td></tr>
<tr><td>18</td><td>Organization of Training Courses and Seminars</td><td>Announcement and Memorandum</td></tr>
<tr><td>19</td><td>Training and Professional Development</td><td>Memoranda and Minutes</td></tr>
</table>

20	Staff Training	List of Participants
21	Evaluation of the Effectiveness of Work Performed by Staff Who Have Participated in Seminars, Courses and Training Programmes	Evaluation and Analysis Reports
Disciplinary Measures and Dismissal		

INTERNAL AUDIT CHECKLIST FOR DOCUMENT AND RECORDS MANAGEMENT STANDARDS AND PROCESS MAPS

Checklist (*on the Standards and Process Map for Records Management)*	**Audit date:**	
	Structural unit:	
Audit purpose:		

Row No.	Questions	Relevant clause of the QMS PM	Implementation status			Availability of records		Degree of nonconformity		Note
			Yes	No	Partly	Available	Not available	major	minor	
Document Flow Management		***1***								
1.	*Have incoming and outgoing documents been registered?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Has compliance with the document processing deadlines been monitored?*	*1.2*	☐	☐	☐			☐	☐	No documented information is required
3.	*Have completed documents been requested from the structural units of the central office?*	*1.3*	☐	☐	☐			☐	☐	
4.	*Has the implementation of clerical work in the structural units of the central office and the Local Statistical Bodies (LSBs) been monitored?*	*1.4*	☐	☐	☐			☐	☐	

Registration of citizens' applications		***2***								
5.	*Have citizens' applications been registered?*	*2.1*	☐	☐	☐	☐	☐	☐	☐	
6.	*Have the relevant reports on citizens' proposals, applications and complaints been received from the Center for Scientific Research and Statistical Innovations and the Local Statistical Bodies (LSBs)?*	*2.2*	☐	☐	☐	☐	☐	☐	☐	
7.	*Have citizens been provided with written information on the outcome of the review of their proposals, applications and complaints?*	*2.3*	☐	☐	☐	☐	☐	☐	☐	
8.	*Have final reports on the review of citizens' proposals, applications and complaints been submitted to the Administration of the President of the Republic of Azerbaijan and published on the website of the State Statistics*	*2.4*	☐	☐	☐	☐	☐	☐	☐	

	Committee of the Republic of Azerbaijan?									
Archival Records Management		***3***								
9.	*Has the Consolidated File Nomenclature been prepared?*	*3.1*	☐	☐	☐	☐	☐	☐	☐	
10.	*Have the documents contained in each file been reviewed?*	*3.2*	☐	☐	☐	☐	☐	☐	☐	
11.	*Has compliance with the filing instructions been verified?*	*3.3*	☐	☐	☐	☐	☐	☐	☐	
12.	*Has the correct arrangement of documents within each file been verified?*	*3.4*	☐	☐	☐	☐	☐	☐	☐	
13.	*Has it been verified that the names of the structural units in the section-by-section file nomenclature correspond to the approved organizational documents?*	*3.5*	☐	☐	☐	☐	☐	☐	☐	
14.	*Have the pages of each file been numbered in pencil in the upper right-hand corner?*	*3.6*	☐	☐	☐			☐	☐	No documented information is required
15.	*Has the proper storage and use of archival documents been ensured?*	*3.7*	☐	☐	☐			☐	☐	

16.	*Have the files been compiled and transferred to the Committee's archive?*	*3.8*	☐	☐	☐	☐	☐	☐	☐	
17.	*Have the documents of the State Statistical Committee of the Republic of Azerbaijan been transferred to the National Archives of the Republic of Azerbaijan?*	*3.9*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented Records related to the Standards and Process Maps of Records Management Processes

No	Process and Subprocess Name	Documented records
Document Flow Management		
1	Registration of incoming and outgoing documents	Document Registration Book, Electronic Document Management System
2	Monitoring compliance with document execution deadlines	No documented information is required
3	Requesting completed documents from the structural divisions of the central office	
4	Monitoring records management practices in subordinate organizations	
Registration of citizens' applications		
5	Registration of citizens' appeals	Document Registration Book; “Citizens’ Appeals” subsection of the “Incoming Documents” section in the Electronic Document Management System
6	Collection of reports from the structural divisions, the Centre of Scientific Research and Statistical Innovations (CSRSI), and local statistical offices on citizens' applications, proposals and complaints	Reports
7	Providing citizens with written responses on the outcomes of the consideration of their applications, proposals and complaints	Letter
8	Submission of reports on the outcomes of the consideration of applications, proposals and complaints to the Administration of the President of the Republic of Azerbaijan and publication of the reports on the website of the State Statistical Committee of the Republic of Azerbaijan	Report (table)
Archival Records Management		
9	Preparation of the Records Retention Schedule	Records Retention Schedule
10	Verification of the documents contained in the file	File preparation records
11	Verification that documents have been registered in accordance with the instructions	
12	Verification of the correct arrangement of documents in the file	

13	Verification that the names of the structural divisions in the list of files compiled by division correspond to the filed documents	
14	Numbering of the file pages in the upper right-hand corner using an ordinary pencil	No records required
15	Ensuring the preservation and use of documents	
16	Arrangement of documents into files and transfer to the Committee's archives	Transfer and acceptance report
17	Transfer of documents by the State Statistical Committee of the Republic of Azerbaijan to the National Archives Administration of the Republic of Azerbaijan	

INTERNAL AUDIT CHECKLIST FOR INTERNATIONAL COOPERATION STANDARDS AND PROCESS MAPS

Checklist *(on the Standards and Process Map for International Cooperation)*						**Audit date:**				
						Structural unit:				
Audit purpose:										
Row No.	**Questions**	**Relevant clause of the QMS PM**	**Implementation status**			**Availability of records**		**Degree of nonconformity**		**Note**
			Yes	**No**	**Partly**	**Available**	**Not available**	**major**	**minor**	
Organization of International Relations and Translation Services		***1***								
1.	*Have cooperation agreements (or declarations or memoranda) been signed with international organizations and the statistical authorities of other countries?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Have activities been carried out in accordance with the signed cooperation agreements (or declarations or memoranda)?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Have international events been organized with the participation of international organiza-tions and the statistical authorities of other countries?*	*1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Have meetings been organized between the management of the SSC*	*1.4*	☐	☐	☐	☐	☐	☐	☐	

	and representatives of international organizations, the statistical authorities of other countries, and the diplomatic corps accredited to the Republic of Azerbaijan?									
5.	*Has the participation of employees of the SSC in training courses, seminars and other events organized abroad, including those organized by international organizations, been ensured?*	*1.5*	☐	☐	☐	☐	☐	☐	☐	
6.	*Have the necessary arrangements been made for the official foreign missions of the management and employees of the SSC?*	*1.6*	☐	☐	☐	☐	☐	☐	☐	
7.	*Have visits of foreign delegations invited by the SSC been organized within the Republic of Azerbaijan?*	*1.7*	☐	☐	☐	☐	☐	☐	☐	
8.	*Has the management been informed of the activities carried out under the concluded cooperation agreements (or declarations or memoranda)?*	*1.8*	☐	☐	☐	☐	☐	☐	☐	

9.	*Have documents received from international organizations and the statistical authorities of other countries been translated from English into Azerbaijani?*	*1.9*	☐	☐	☐	☐	☐	☐	☐	
10.	*Have documents sent to international organizations and the statistical authorities of other countries been translated from Azerbaijani into English?*	*1.10*	☐	☐	☐	☐	☐	☐	☐	
11.	*Have the necessary information and materials published on the official website of the SSC been translated from Azerbaijani into English?*	*1.11*	☐	☐	☐	☐	☐	☐	☐	
Cooperation in International Information Exchange		***2***								
12.	*Have requests received from international organizations and the statistical authorities of other countries been monitored?*	*2.1*	☐	☐	☐	☐	☐	☐	☐	
13.	*Have requests received from international organizations and the statistical authorities of other countries been submitted to the General Department for registration in the EDMS?*	*2.2*	☐	☐	☐	☐	☐	☐	☐	

14.	*Have documents received from international organizations and the statistical authorities of other countries been submitted for translation, where necessary?*	*2.3*	☐	☐	☐	☐	☐	☐	☐	
15.	*Have incoming documents been forwarded to the responsible units for action in accordance with the management's instructions?*	*2.4*	☐	☐	☐	☐	☐	☐	☐	
16.	*Have responses to incoming requests been prepared?*	*2.5*	☐	☐	☐	☐	☐	☐	☐	
17.	*Have the prepared responses been sent to the requesting international organizations and the statistical authorities of other countries?*	*2.6*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented Records related to the Standards and Process Maps of International Cooperation Processes

No	Process and Subprocess Name	Documented records
Organization of International Relations and Translation Services		
1	Cooperation with international organizations and the statistical offices of other countries	Agreement or memorandum of understanding
2	Implementation of activities in accordance with concluded agreements or memoranda of understanding	Action plan
3	Organization of international events with the participation of international organizations and the statistical offices of other countries	Agreement or memorandum of understanding, service memorandum
4	Organization of meetings between the management of the State Statistical Committee and representatives of international organizations, the statistical offices of other countries, and the diplomatic corps accredited in the Republic of Azerbaijan	Incoming letters
5	Facilitation of the participation of the Committee's staff in training courses, seminars and workshops organized in other countries, including at the training centres of international organizations	Agreement or memorandum of understanding, service memorandum
6	Carrying out technical arrangements related to official visits of the management and staff of the State Statistical Committee to foreign countries (including the preparation of the necessary documents for obtaining official passports and visa notes, official correspondence, etc.)	Visa or diplomatic note
7	Organization of domestic visits for representatives of foreign countries invited by the State Statistical Committee	Agreement or memorandum of understanding
8	Reporting to the management on activities implemented under concluded agreements or memoranda of understanding	Service memorandum or report
9	Translation of documents received from international organizations and the statistical offices of other countries from English into Azerbaijani	Translated documents
10	Translation of documents sent to international organizations and the statistical offices of other countries from Azerbaijani into English	
11	Translation of selected information and materials published on the official website of the State Statistical Committee from Azerbaijani into English	
Cooperation in International Information Exchange		
12	Receipt of requests from international organizations and the statistical offices of other countries	Registration journal
13	Submission of incoming requests to the General Department for registration in the Electronic Document Management System	Electronic record
14	Submission of incoming documents to the relevant sector for translation, where necessary	Relevant registration journal

15	Forwarding of incoming documents to the responsible staff based on the management's instructions	Copy of the document
16	Preparation of responses to incoming requests	Signed copy of the response
17	Dispatch of responses to incoming requests	Registration journal

INTERNAL AUDIT CHECKLIST FOR SUSTAINABLE DEVELOPMENT STATISTICS STANDARDS AND PROCESS MAPS

Checklist *(on the Standards and Process Map for Sustainable Development Statistics)*	**Audit date:**	
	Structural unit:	
Audit purpose :		

Row No.	Questions	Relevant clause of the QMS PM	Implementation status			Availability of records		Degree of nonconformity		Note
			Yes	No	Partly me	Available	Not available	major	minor	
Conducting Statistical Research		***1***								
1.	*Have the topics characterizing sustainable development been selected?*	*1.1*	☐	☐	☐			☐	☐	No documented information is required
2.	*Has the information on the selected topics been obtained from statistical observations and surveys conducted by the relevant subject-matter departments?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Has the collected data been grouped and summarized for statistical analysis?*	*1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Has the collected data been analyzed?*	*1.4*	☐	☐	☐	☐	☐	☐	☐	
5.	*Has a report on the results of the analysis been prepared and submitted to the management or the Board for consideration?*	*1.5*	☐	☐	☐	☐	☐	☐	☐	

Identification and Analysis of Relevant Sustainable Development Indicators		***2***								
6.	*Have sustainable development indicators applied in international practice been studied and analyzed?*	*2.1*	☐	☐	☐			☐	☐	No documented information is required
7.	*Have the national-level sustainable development indicators been identified in cooperation with the relevant subject-matter departments and obtained from the relevant departments?*	*2.2*	☐	☐	☐	☐	☐	☐	☐	
8.	*Has the draft document containing the identified indicators been compiled and prepared?*	*2.3*	☐	☐	☐	☐	☐	☐	☐	
9.	*Has the draft document been submitted to the Scientific and Methodological Council for consideration?*	*2.4*	☐	☐	☐	☐	☐	☐	☐	
10.	*Has the draft document, following its consideration, been submitted to the relevant state authorities for approval?*	*2.5*	☐	☐	☐	☐	☐	☐	☐	
11.	*Has the agreed draft document been approved?*	*2.6*	☐	☐	☐	☐	☐	☐	☐	
12.	*Has a report on the analysis of the sustainable development indicators and the results obtained been prepared and*	*2.7*	☐	☐	☐	☐	☐	☐	☐	

	submitted to the management or the Board for consideration?									
Conduct of Comprehensive Analyses		***3***								
13.	*Has information on the economic, social, demographic and environmental sectors been collected from the relevant subject-matter departments?*	*3.1*	☐	☐	☐	☐	☐	☐	☐	
14.	*Has the collected information been compiled and grouped by country and region?*	*3.2*	☐	☐	☐	☐	☐	☐	☐	
15.	*Has a comprehensive analysis of the compiled and grouped data been conducted?*	*3.3*	☐	☐	☐	☐	☐	☐	☐	
16.	*Has a report on the results of the comprehensive analyses been prepared and submitted to the management or the Board for consideration?*	*3.4*	☐	☐	☐	☐	☐	☐	☐	
Preparation and Updating of Databases		***4***								
17.	*Has regional data been analyzed for the purpose of developing statistical databases?*	*4.1*	☐	☐	☐	☐	☐	☐	☐	
18.	*Has information on sustainable development and regions been collected from the relevant subject-matter departments?*	*4.2*	☐	☐	☐	☐	☐	☐	☐	

19.	*Have the collected data been compiled and grouped?*	*4.3*	☐	☐	☐	☐	☐	☐	☐	
20.	*Have statistical databases been developed based on the compiled and grouped data?*	*4.4*	☐	☐	☐	☐	☐	☐	☐	
21.	*Has the database on the National Information Portal on the Sustainable Development Goals of the Republic of Azerbaijan been updated?*	*4.5*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented records related to the Standards and Process Maps of Sustainable Development Statistics Processes

No	Process and Subprocess Name	Documented records
Conducting Statistical Research		
1	Selection of topics related to sustainable development	No documented information is required
2	Collection of data from statistical surveys and censuses conducted by the relevant subject-matter departments for the selected topics	Output tables
3	Compilation and aggregation of the collected data for statistical analysis	Summary tables
4	Analysis of the compiled statistical data	Report, analytical note
5	Preparation of a report on the results of the analysis for submission to the management or for discussion by the Board	Service memorandum and report
Identification and Analysis of Relevant Sustainable Development Indicators		
6	Review and analysis of indicators applied in international practice	No documented information is required
7	Identification of indicators that can be implemented at the national level, in cooperation with the relevant subject-matter departments, and collection of those indicators from the respective departments	Relevant statistical materials
8	Systematization of the identified indicators and preparation of the draft document	Draft document
9	Submission of the draft document to the Scientific and Methodological Council for discussion	Service memorandum
10	Submission of the discussed draft document to the relevant state authorities for coordination	Official letters
11	Approval of the coordinated draft document	Committee order or directive
12	Analysis of the systematized indicators and preparation of a report on the results for submission to the management or for discussion by the Board	Service memorandum, report and analytical note
Conduct of Comprehensive Analyses		
13	Collection of data from the relevant subject-matter departments on the economic, social, demographic and environmental situation	Output tables and relevant materials
14	Compilation and classification of the collected data by country and region	Summary tables
15	Conduct of a comprehensive analysis of the compiled and classified data	Report and analytical note
16	Preparation of a report on the results of the comprehensive analysis for submission to the management or for discussion by the Board	Service memorandum, report and analytical note
Preparation and Updating of Databases		

17	Analysis of the feasibility of collecting and processing regional data for the development of statistical databases	Relevant analytical materials
18	Collection of sustainable development and regional data from the relevant subject-matter departments	Relevant statistical data
19	Preparation of compiled and classified results based on the data collected from the subject-matter departments	Summary materials
20	Development of statistical databases based on the compiled and classified results	Statistical database
21	Updating the database of the “National Reporting Platform for the Sustainable Development Goals of the Republic of Azerbaijan”	Portal database

INTERNAL AUDIT CHECKLIST FOR INFORMATION TECHNOLOGY APPLICATION PROCESS STANDARDS AND PROCESS MAPS

Checklist *(on the Standards and Process Maps of Information Technology Implementation Processes)*	**Audit date:**	
	Structural unit:	
Audit purpose:		

Row No.	Questions	Relevant clause of the QMS PM	Implementation status			Availability of records		Degree of nonconformity		Note
			Yes	No	Partly	Available	Not available	major	minor	
Database management and application software		***1***								
1.	*Have the databases been created?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Has a joint project ("Terms of Reference") been prepared with the structural divisions for the development of software?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Has the software been developed based on the project ("Terms of Reference")?*	*1.3*	☐	☐	☐			☐	☐	No documented information is required
4.	*Has a test run of the developed software been conducted?*	*1.4*	☐	☐	☐			☐	☐	No documented information is required
Application of web technologies		***2***								
5.	*Is the relevant software of the State Statistical Committee's website regularly updated?*	*2.1*	☐	☐	☐	☐	☐	☐	☐	

6.	*Are statistical and other information published on the website and regularly updated?*	*2.2*	☐	☐	☐	☐	☐	☐	☐	
7.	*Is the structure of the website regularly improved to facilitate access to information?*	*2.3*	☐	☐	☐			☐	☐	No documented information is required
System support and technical service organization		***3***								
8.	*Are servers and computers properly maintained, and is their operational performance kept at a high level?*	*3.1*	☐	☐	☐			☐	☐	No documented information is required
9.	*Is the maintenance of the State Statistical Committee's computer and office equipment (printers, copiers) and the overall network to ensure their continuous operation provided?*	*3.2*	☐	☐	☐	☐	☐	☐	☐	
10.	*Has the State Statistical Committee established a general telephone network and ensured the provision of relevant services?*	*3.3*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented Records related to the Standards and Process Maps of Information Technology Application Processes

No	Process and Subprocess Name	Documented records
Database management and application software		
1	Creation of databases	Terms of Reference
2	Preparation of a project ("Terms of Reference") for software development	
3	Development of software based on the project ("Terms of Reference")	No documented information is required
4	Organization of test operation of the developed software	No documented information is required
Application of web technologies		
5	Development of a new version of the State Statistical Committee's website	Website
6	Publication of statistical and other information on the website and its continuous updating	Website and electronic notification sent by the relevant structural division
7	Regular improvement of the website structure to facilitate access to information	No documented information is required
System support and technical service organization		
8	Implementation of the relevant system support functions of servers and computers and ensuring their high-level operational performance	No documented information is required
9	Maintaining the State Statistical Committee's computer and office equipment (printers, copiers) and the general network in a continuous operational state	Electronic notification sent by the relevant structural division
10	Organization of the maintenance of the general telephone network and provision of relevant services at the State Statistical Committee	

INTERNAL AUDIT CHECKLIST FOR LEGAL AFFAIRS MANAGEMENT PROCESS STANDARDS AND PROCESS MAPS

Checklist *(on Standards and Process Mapping of Legal Regulation Processes)*	**Audit date:**	
	Structural unit:	
Audit purpose:		

Row No.	Questions	relevant CIS PX clause	Implementation status			Availability of records		Degree of nonconformity		Note
			Yes	No	Partly	Available	Not available	major	minor	
Regulation of Legal Matters		***1***								
1.	*Has the preparation of draft legal acts been ensured?*	*1.1*	☐	☐	☐	☐	☐	☐	☐	
2.	*Has the review and preparation of draft legal acts been carried out?*	*1.2*	☐	☐	☐	☐	☐	☐	☐	
3.	*Are appeals and inquiries from citizens, state bodies, departments, enterprises and organizations regarding legal matters considered in accordance with applicable legislation?*	*1.3*	☐	☐	☐	☐	☐	☐	☐	
4.	*Has legal assistance been provided to the structural units of the Apparatus regarding legislation, and have employees been advised on legal matters?*	*1.4*	☐	☐	☐	☐	☐	☐	☐	
5.	*Has the legal review of*	*1.5*	☐	☐	☐			☐	☐	No documented

	contracts of various purposes and nature prepared in connection with the activities of the State Statistical Committee been carried out?									information is required
6.	*Has the protection of the rights and legitimate interests of the State Statistical Committee in courts, as well as the preparation of procedural documents related to court proceedings, been ensured?*	*1.6*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Checked department representative**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead Auditor			Head of structural unit		
Auditor					
Auditor					

Documented records to the Standards and Process Maps of Legal Affairs Management Processes

No	Process and Subprocess Name	Documented records
Regulation of Legal Matters		
1	Preparation of legal acts	Orders, directives, decisions, etc.
2	Legal review of draft legal acts	Mandatory legal review opinion
3	Review of appeals and inquiries received from citizens, state bodies, departments, enterprises and organizations regarding legal matters in accordance with applicable legislation	Response letters
4	Preparation of legal opinions, reports, references and other materials on legislation for the management; provision of legal assistance to the structural units of the Apparatus; provision of legal advice to employees on legal matters	Opinions and references
5	Legal review of contracts of various purposes and nature prepared in connection with the activities of the State Statistical Committee	No documented information is required
6	Protection of the rights and legitimate interests of the State Statistical Committee in courts and preparation of procedural documents related to court proceedings	Objections and petitions

Checklist for the INTERNAL AUDIT of the local statistical bodies of the State Statistics Committee for compliance with the ISO 9001:2015 international standard

Checklist (per relevant clauses of the ISO 9001:2015 international standard)	**Audit date:**	
	Structural unit:	
Purpose of the audit:		

No.	**Questions**	**Relevant clause of the standard**	**Implementation status**			**Availability of records**		**Degree of nonconformity**		**Note**
			Yes	**No**	**Partly**	**Available**	**Not available**	**Major**	**Minor**	
1	*Have interested parties and their requirements and expectations been identified?*	*4.2*	☐	☐	☐	☐	☐	☐	☐	
2	*Has the scope of the quality management system been determined, and have the processes and their interactions been established and developed accordingly?*	*4.3 or 4.4*	☐	☐	☐	☐	☐	☐	☐	
3	*Has the head of the local statistics body demonstrated leadership and commitment consistent with the quality management system and the customer-focused policy?*	*5.1*	☐	☐	☐	☐	☐	☐	☐	
4	*Have the employees of the local statistics body been informed of the quality management system policy prepared by the Committee?*	*5.2.2*	☐	☐	☐	☐	☐	☐	☐	
5	*Have documents been prepared defining the responsibilities and authorities for the relevant positions?*	*5.3*	☐	☐	☐	☐	☐	☐	☐	

6	*Have the planning and assessment of risks and opportunities been carried out?*	*6.1*	☐	☐	☐	☐	☐	☐	☐	
7	*Have objectives for the quality management system been established?*	*6.2.1*	☐	☐	☐	☐	☐	☐	☐	
8	*Has an implementation schedule for the quality management system objectives been prepared?*	*6.2.2*	☐	☐	☐	☐	☐	☐	☐	
9	*Where changes affecting the requirements of the local statistics body's quality management system occur, have they been planned and implemented?*	*6.3*	☐	☐	☐	☐	☐	☐	☐	
10	*Have the human resources necessary for the effective operation of the local statistics body been selected and provided?*	*7.1.2*	☐	☐	☐	☐	☐	☐	☐	
11	*Has the local statistics body been provided with the necessary material resources?*	*7.1.3*	☐	☐	☐	☐	☐	☐	☐	
12	*Have monitoring of process implementation and the creation of the environment necessary to achieve conformity of products and services, including inspection and evaluation activities, been carried out?*	*7.1.4 or 7.1.5*	☐	☐	☐	☐	☐	☐	☐	
13	*Has organizational knowledge been identified and its accessibility ensured?*	*7.1.6*	☐	☐	☐	☐	☐	☐	☐	
14	*Have training and practice been provided to improve employees' competence, and has the level of the results achieved been evaluated?*	*7.2*	☐	☐	☐	☐	☐	☐	☐	

15	*Has employees' awareness of (familiarity with) documented information been ensured?*	*7.3*	☐	☐	☐	☐	☐	☐	☐	
16	*Has documented information been prepared and updated?*	*7.5.2*	☐	☐	☐	☐	☐	☐	☐	
17	*Has control of documented information been carried out?*	*7.5.3*	☐	☐	☐	☐	☐	☐	☐	
18	*Have the planning, implementation, and control of the processes necessary to achieve conformity of products and services been carried out?*	*8.1*	☐	☐	☐	☐	☐	☐	☐	
19	*Have users been informed regarding products and services?*	*8.2.1*	☐	☐	☐	☐	☐	☐	☐	
20	*Have the processes, products, and services of external suppliers been controlled, and have those suppliers been informed accordingly?*	*8.4*	☐	☐	☐	☐	☐	☐	☐	
21	*Has control over the organization of production and service provision, together with their identification and protection (confidentiality), been ensured?*	*8.5.1, 8.5.2 or 8.5.4*	☐	☐	☐	☐	☐	☐	☐	
22	*Has the release of products and services and the retention of documented information been ensured?*	*8.6*	☐	☐	☐	☐	☐	☐	☐	
23	*Has the use of nonconforming products and materials been prevented, and has the management of nonconformities been carried out?*	*8.7.1*	☐	☐	☐	☐	☐	☐	☐	
24	*Have the performance and effectiveness of the quality management system been analyzed and evaluated?*	*9.1.3*	☐	☐	☐	☐	☐	☐	☐	

25	*Has a report been prepared on the results of eliminating the nonconformities (or risks) identified during internal audits conducted under the approved “Audit Programme”?*	*9.2*	☐	☐	☐	☐	☐	☐	☐	
26	*Has the taking of corrective or preventive actions to eliminate identified nonconformities or risks been ensured?*	*10.2*	☐	☐	☐	☐	☐	☐	☐	
27	*Based on the conclusions of the “Management Review” document, has appropriate action been taken on the improvement proposals to ensure continual improvement?*	*10.3*	☐	☐	☐	☐	☐	☐	☐	

Auditor(s)			**Representative of the audited local statistics body**		
Position	Name, surname	Signature	Position	Name, surname	Signature
Lead auditor			Head of local statistics body		
Auditor					
Auditor					

Documented records of the local statistical bodies of the State Statistics Committee under the clauses of the ISO 9001:2015 international standard

No	Process and Subprocess Name	Documented records
1	Identification of interested parties and their requirements and expectations	Minutes of meetings with external users and respondents, and service reports/memos
2	Determining the scope of the quality management system and establishing and developing the processes and their interactions	QMS documents (documented procedures, process map, quality manual, etc.)
3	Demonstration of leadership and commitment by the head of the local statistics body consistent with the quality management system and the customer-focused policy	Availability of publications; statistical data compiled for the “Compendium of District Indicators” on the main socio-economic indicators of the district (city)
4	Informing the employees of the local statistics body of the quality management system policy prepared by the Committee	Acknowledgement sheet for familiarization with the “Quality Policy” document
5	Preparation of documents defining the responsibilities and authorities for the relevant positions	Employees' job instructions, duty functions, division of work
6	Planning and assessment of risks and opportunities	“Risk Analysis and Assessment” document
7	Establishment of objectives for the quality management system	“Quality Objectives” document
8	Preparation of the implementation schedule for the quality management system objectives	Implementation schedule of the quality objectives
9	Planning and implementation of changes to the quality management system requirements of the local statistics body, where such changes occur	Documents evidencing the planning of changes (the body's monthly or quarterly work plans)
10	Selection and provision of the human resources necessary for the effective operation of the local statistics body	Orders relating to employees' admission to and movement within the civil service, employment contracts, employment record books
11	Provision of the local statistics body with the necessary material resources	Handover/acceptance acts for resources (technical equipment and furniture), purchase and sale contracts
12	Monitoring of process implementation, creation of the environment necessary to achieve conformity of products and services, and inspection and evaluation activities	Quality control schedules and the related data submitted to the Committee

13	Identification of organizational knowledge and ensuring its accessibility	Electronic versions of organizational knowledge and the electronic folders in which they are stored to ensure accessibility; sample published materials
14	Provision of training and practice to improve employees' competence, and evaluation of the level of the results achieved	Training programme, materials prepared by employees for the training, and the evaluation log
15	Ensuring employees' awareness of (familiarity with) documented information	Acknowledgement sheets for employees' familiarization with documents (relating to official duties), and acknowledgements via marginal notes
16	Preparation and updating of documented information	Relevant folders and documents prepared in accordance with the updated nomenclature list; documents relating to archiving
17	Ensuring control of documented information	Completed registration logs (QMS registration logs, incoming and outgoing document registers, etc.), document distribution sheet (electronic records management system)
18	Planning, implementation, and control of the processes necessary to achieve conformity of products and services	Board decisions, action plans approved by decisions and orders, quarterly or monthly work plans, order requirements (electronic records management system)
19	Informing users about products and services, and execution of assignments issued by the Committee	Meetings with users, correspondence, and responses to their inquiries and to assignments issued by the Committee (electronic records management system)
20	Control of external suppliers' processes, products and services, and informing them	Correspondence with external suppliers, incoming documents, handover/acceptance acts for goods and services
21	Control over the organization of production and service provision, and their identification and protection (confidentiality)	Analytical reports, statistical bulletins and compendiums, materials disseminated in the mass media
22	Release of products and services and retention of documented information	Distribution registers
23	Prevention of the use of nonconforming products and materials, and management of nonconformities	Records relating to the prevention of the use of obsolete/superseded documents; corrective actions taken for other identified nonconformities and their registration
24	Analysis and evaluation of the performance and effectiveness of the quality management system	Evaluation of effectiveness criteria
25	Preparation of a report on the results of eliminating the nonconformities (or risks)	Report on the actions taken regarding the results of the internal audit

	identified during internal audits conducted under the approved “Audit Programme”	
26	Taking of corrective or preventive actions to eliminate identified nonconformities or risks	Online registration of nonconformities or risks identified through internal audits, etc., and of the corrective or preventive actions taken to eliminate them
27	Implementation of appropriate actions on the improvement proposals made based on the conclusions of the “Management Review” document, to ensure continual improvement	Service reports/memos on the implementation of proposals made under the “Management Review” document

Contents