

## **American Institute of Constructors**

### **Constructor Certification Commission Document No. 55**

#### **Internal Audit Guidelines and Template**

The purpose of this Guide is to provide information to the members of the Commission's Internal Audit Taskforce needed to prepare for, conduct and finalize the audit of Commission processes to verify they continue to comply with all ANAB 17024 section 4 – 10 standards in accordance with Commission Policy No. 5.11 and to identify and recommend any needed improvements.

#### **Internal Audit Preparation**

After the Internal Audit Taskforce is organized, a meeting will be held to introduce the taskforce members, orient them to their responsibilities, and answer any questions.

Following the orientation meeting, the members of the Internal Audit Taskforce should review Commission Policy 5.11, the last ANAB Application for Accreditation, the most recent ANAB Annual Surveillance Application, the last Commission Internal Audit Report, and the Policies and Documents listed on the Constructor Certification Internal Audit Template contained in this document. For any questions about any of the documents or information contained therein, contact the Commission Certification Manager.

Once any questions are answered, the Taskforce members will develop their plan on how to conduct the audit which will include the assignment of responsibilities for performing any interviews, making site visits (when applicable), reviewing documentation needed to substantiate the continuing adherence to the ANAB standards, completion of the Constructor Certification Commission Template and developing a final Internal Audit Report. The plan should also include a schedule to complete all activities.

#### **Conducting and Documenting the Results of the Internal Audit**

The main purpose of the Internal Audit is to verify through interviews, observations, and documentation review that the Constructor Certification Commission continues to meet all ANAB certification standards contained in Sections 4 – 10 in ANAB 17024 and to identify and recommend any needed improvements.

Using the above-mentioned template, the members of the Internal Audit Taskforce assigned to verify continuing compliance to one or more of the listed standards should carry out their responsibilities as follows:

1. Review the policies and associated documents related to each assigned standard as noted in the above-mentioned template.

2. Ascertain through interviews, observations and/or review of documents, including formal complaints and appeals, whether the respective ANAB standard is being complied with or not wholly or partially. For some standards, the review of the noted policies and/or documents is sufficient to determine compliance. For other standards, additional information will be needed to be obtained through such means as interviews and/or the review of documents in the CCC files. Finally, for some standards the auditors will find the review of the most recent ANAB Accreditation Application and Annual Surveillance Application helpful in determining compliance. Refer to the examples below. For some standards, the internal audit taskforce will be referred to the website to determine if the designated standards are being complied with. When encountering N/A in the template, no action is needed.
3. For each ANAB standard note the findings and recommendations on the above-mentioned template. For some standards, all that is needed to note is that CCC continues to comply with them and there are no recommended improvements. For other standards, while it may be determined that CCC is generally in compliance with them, some recommended improvements might be noted. Finally, for the remaining standards, noncompliance may be noted and recommendations made for improvement.
4. Within two weeks of completing and documenting the results of the internal audit, the completed above mentioned template along with any additional information is to be forwarded as per the procedures described in Policy 5.11.

## **Examples**

1. Verifying through observation the existence of required documentation.

Standard 4.1 – The certification body shall be a legal entity, or a defined part of a legal entity.

Relevant CCC Policies & Documents – AIC Bylaws and Articles of Incorporation

To substantiate compliance with this standard, the internal audit task force needs to ensure these documents exist and that the certification body does in fact comply with this standard.

2. Verifying through review of documents on file that the certification body is adhering to the performance of the activity or activities noted in the standard.

Standard 4.3.1 - The certification body operates in an impartial manner through its structure, policies and procedures in carrying out its and certification activities.

To substantiate compliance with this standard, the internal audit task force needs to review any formal documentation (i.e. complaints, etc.) that may exist indicating otherwise. If there is no documentation then compliance has been achieved.

3. Verifying through interviews that the certification body is adhering to the standard

The certification body shall have the financial resources necessary for operation of a certification process and have adequate arrangements to cover associated liabilities.

To substantiate compliance with this standard, the internal audit task force needs to interview the appropriate individuals in leadership positions.

4. Verifying the existence of required documents/records.

The certification body shall require its personnel to sign a document by which they commit themselves to comply with the rules defined by the certification body, including those relating to confidentiality, impartiality and conflict of interests.

To substantiate compliance with this standard, the internal audit task force needs to review a sample of the required signed documents.

**Revision History:**

Last Revision: May 11, 2021