

## American Institute of Constructors

### Constructor Certification Commission Policy and Procedures No. 5.11

#### Internal Audits

Policy – The Constructor Certification Commission will conduct an internal audit annually to ensure continuing compliance with ANAB 17024 – Sections 4 – 10.

Responsibility – Constructor Certification Commission

Reference Commission Documents – Commission Document No. 55 Internal Audit Guidelines

Procedures – The following procedures will be followed in conducting the Commission’s internal audits:

1. In January of each year, the Commission Chair will appoint an Internal Audit Taskforce of four trained individuals who are knowledgeable of all of the Commission’s processes and hold a current CPC qualification. No members of the Commission can serve as Taskforce members. The Commission Secretary and Certification Manager will serve on the Taskforce as ex-officio members. Additional individuals can serve on the Task Force as approved by the Commission.
2. The Internal Audit Taskforce will participate in an orientation session to be instructed in how to conduct the internal audit and have any questions answered. This meeting should take place no later than February 15.
3. Following the orientation, the Taskforce will develop a plan to conduct the internal audit including assigning responsibilities and deadlines for the completion of the various audit activities. The plan should be completed by March 1.
4. Once the plan has been developed and approved by the Taskforce, the internal audit should proceed in accordance with it following the guidelines in Document No. 55.
5. Unless substantial changes, as determined by the Board of Governors, have been made to Commission Policies, Documents and/or personnel, site visits will only be made every other year. When a site visit is not made, the Taskforce may require additional information from the respective site.
6. Based on the information gathered from the interviews, site visits and review of documents; the Internal Audit Taskforce will complete the Internal Audit Template being part of Document No. 55 in accordance with the guidelines in said document.
7. Once the template is complete and approved by the Taskforce, it will develop an Internal Audit Report for the Commission. The report is due to the Commission by May 1. The report will include the following headings:
  - a. Introduction – purpose of report, beginning and ending date of internal audit, and names and affiliations of Internal Audit Taskforce members.
  - b. Overview of Internal Audit Process – a summary of the activities performed including any sites visits made and interviews conducted and with whom,
  - c. Findings – include in the completion of the Internal Audit Template.
  - d. Recommendations – include in the completion of the Internal Audit Template.

8. At its June monthly meeting, the Commission will consider the recommendations in the annual Internal Audit Report with the objective of improving Commission certification processes. At the same meeting, if any identified improvements cannot be made, a plan for each remaining improvement will be developed including responsible parties and deadlines. Furthermore, progress in making the improvements will appear on subsequent meeting agendas until completed.
9. For those improvements that cannot be immediately implemented following the June meeting, they will be placed on future meeting agendas so as to help insure their implementation in accordance to the respective plans.

### **Revisions History**

Last Revision: 05/11/2021