

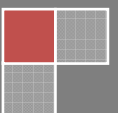
2017

AFRAC INTERNAL AUDIT PROCEDURE

AFRICAN ACCREDITATION COOPERATION

This document describes the procedures that AFRAC will follow to perform its Internal Audits.

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1. PURPOSE

- 1.1 This procedure describes the process that the African Accreditation Cooperation (AFRAC) shall follow in executing internal audits of its Management System, which also includes the Mutual Recognition Arrangement (MRA) management process.

2. REFERENCES

- 2.1 The AFRAC Quality Manual, and any other associated MRA Policy and Procedures documents.
- 2.2 IAF/ILAC A1: IAF/ILAC Multilateral Mutual Recognition Arrangements: Requirements for Evaluation of a Regional Group.
- 2.3 IAF/ILAC A2: IAF/ILAC Multilateral Mutual Recognition Arrangements: Requirements for Evaluation of a Single Accreditation Body.

3. SCOPE OF THE INTERNAL AUDIT

- 3.1 The internal audit shall cover activities of the AFRAC MRA Committee and MRA Council, the Secretariat and the AFRAC Management System.
- 3.2 The scope will be determined by the Executive Committee (EXCO) Chair in consultation with the EXCO.

4. INTERNAL AUDIT TEAMS

The Internal Audit shall be conducted by a team leader, and if necessary, team members selected on the basis of competence, independence and objectivity taking into account the functions/areas to be audited.

4.1. Qualifications of Internal Audit Team Leaders and Members

- 4.1.1 An internal audit team leader and any team member(s) shall be individuals with:
- knowledge of the requirements of ISO/IEC 17011;
 - knowledge of the requirements of the IAF/ILAC A series documents; and
 - experience in accreditation.
- 4.1.2 An internal audit team leader or team member should preferably be a qualified peer evaluator that has participated in a peer evaluation of an accreditation body.

4.2. Selection of Internal Audit Teams

- 4.2.1. The Team Leader of each internal audit shall be selected by the EXCO Chair in consultation with the EXCO.
- 4.2.2. The internal audit team members (if necessary) shall be selected by the EXCO Chair in collaboration with the team leader.

- 4.2.3. The team leader and team member(s) shall not evaluate the activities for which he/she is responsible for implementing in AFRAC.

5. IMPLEMENTATION OF THE INTERNAL AUDIT

5.1. Frequency of Internal Audits

- 5.1.1. The internal audit shall be conducted at appropriate intervals determined upon review of the latest audit results by the AFRAC Chair in consultation with the EXCO. As a minimum AFRAC shall conduct an Internal Audit at least once every two years.

5.2. Preparation of Internal Audits

- 5.2.1. The team leader shall determine the dates of the internal audit in consultation with the team member(s) where applicable, and with the agreement of those being audited.
- 5.2.2. The team leader shall ensure that copies of the current AFRAC documentation and other related documentation are available to the team member(s), if any, at least one month before the commencement of the audit.
- 5.2.3. The team leader shall prepare a detailed internal audit plan in consultation with the EXCO Chair and audit team members, if any.
- 5.2.4. The team leader shall send the audit plan to the AFRAC Secretariat at least two weeks before the internal audit.
- 5.2.5. The internal audit plan shall contain the following as minimum requirements:
- 5.2.5.1. The objectives of the audit;
 - 5.2.5.2. The scope of the audit;
 - 5.2.5.3. The date(s) of the audit ;
 - 5.2.5.4. Whether the audit will be conducted at the AFRAC offices, or by electronic means;
 - 5.2.5.5. The names of the team leader and team member(s) (where applicable);
 - 5.2.5.6. The requirements and documents to be considered; and
 - 5.2.5.7. Where applicable, identification of AFRAC personnel that will be required for particular audit activities.

5.3. Execution of Internal Audits

- 5.3.1. The team leader shall verify effective implementation of AFRAC MRA Policies, Procedures and related standards/requirements, by auditing relevant records, reports, documentation, meeting resolutions, and/or minutes, and by interviewing the secretariat and any other AFRAC personnel, as needed.
- 5.3.2. The audit shall be conducted during a meeting with the AFRAC Secretariat or by electronic means.
- 5.3.3. If an electronic audit is conducted, the team leader may consult by email or telephone, as appropriate.

- 5.3.4. AFRAC may reimburse the employer of the team leader and each team member (if any) for the travel and incidental expenses incurred in executing the internal audit, as agreed in advance.

5.4. Internal Audit Reports

- 5.4.1. The team leader shall prepare a written draft summary report on its findings and observations.
- 5.4.2. Findings of the audit shall be classified as either a:
- Non-conformity: Where AFRAC does not meet a requirement of an applicable standard(s), its own management system or any AFRAC or applicable ILAC/IAF requirement ;
 - Concern: Where AFRAC's practice may develop into a non-conformity;
 - Comment: Where AFRAC's documents or practices have a potential for improvement, but still fulfilling the requirements.
- 5.4.3. Observations and findings shall be stated with reference to a specific clause of the relevant document/standard.
- 5.4.4. A verbal report or a copy of the draft summary (where an electronic audit was conducted) shall be given to the AFRAC Secretariat at the closing meeting at the end of the internal audit.
- 5.4.5. The team leader shall give the AFRAC Secretariat an opportunity to comment on and discuss the findings and clear up any misunderstandings.
- 5.4.6. The draft summary report shall be signed by the team leader, team member(s) (if any) and the AFRAC Secretariat.
- 5.4.7. After the audit, the team leader shall complete the internal audit report and forward it to the AFRAC Chair and AFRAC Secretariat within 30 days.
- 5.4.8. The AFRAC Secretariat, in consultation with the AFRAC Chair, EXCO and other Committees (as appropriate) shall review the report and prepare a proposed corrective action plan and time-schedule for implementation for all non-conformities and concerns.
- 5.4.9. The secretariat shall provide a response to each finding identified as a comment.
- 5.4.10. The AFRAC Secretariat shall submit the report and the proposed corrective action plan to the EXCO Members for their review and the internal audit team leader within 30 days.
- 5.4.11. The team leader, in consultation with the team member(s), if any, shall provide a response as to the acceptability of the proposed corrective action plan within 30 days.
- 5.4.12. The EXCO shall review the team leader's response to the proposed corrective action plan and approve the proposed corrective action plan electronically, or at its next scheduled meeting.
- 5.4.13. The AFRAC Secretariat, in consultation with the AFRAC Chair, EXCO or other Committees (as appropriate), shall for each finding identified as a non-conformity: take appropriate corrective action and provide the team leader with evidence of effective implementation within the timelines as proposed.

Note: Where timelines cannot be met, the Secretariat shall provide the AFRAC Chair, EXCO and team leader with justification, and a revised time-schedule for implementation of any specific corrective action.

5.5. Internal Audit Reviews and Follow Up Activities

- 5.5.1. The AFRAC Chair in consultation with the EXCO shall ensure the effective implementation of the corrective actions.
- 5.5.2. The AFRAC Chair shall report the results of implementation to the EXCO Members during its next scheduled meeting.
- 5.5.3. Any nonconformities and concerns raised shall be followed-up for verification of effective implementation of corrective actions, at the next scheduled internal audit.

APPENDIX A: INTERNAL AUDIT REPORT TEMPLATE

INTERNAL AUDIT REPORT

Audit identification:

Activities audited:

Summary of findings:

Other comments:

Signature: _____

Name: _____

Date: _____

APPENDIX B: AFRAC FINDINGS, RESPONSES AND ACTIONS TEMPLATE

NON-CONFORMITIES

Number	Requirements and description of the non-conformity (NC)
NC #	Requirements:
	Description of the non-conformity:
Date	First response from AFRAC
20xx/xx/xx	
Date	Reaction from the Internal Audit Team
20xx/xx/xx	
Date	Second response from AFRAC
20xx/xx/xx	
Date	Reaction from the Internal Audit Team
20xx/xx/xx	

If additional responses are required, more lines should be added to the table.

CONCERNS

Number	Requirements and Description of the Concern (CN)
CN #	Requirements:
	Description of the concern:
Date	First response from AFRAC
20xx/xx/xx	
Date	Reaction from the Internal Audit Team
20xx/xx/xx	
Date	Second response from AFRAC
20xx/xx/xx	
Date	Reaction from the Internal Audit Team
20xx/xx/xx	

If additional responses are required, more lines may be added to the table.

COMMENTS

Number	Description of the Comment (CM)
CM #	Description of the Comment:
Date	Response from AFRAC
20xx/xx/xx	
Date	Reaction from the Internal Audit Team
20xx/xx/xx	

If additional responses are required, more lines may be added to the table.

APPENDIX C: AMENDMENT RECORD

Section	Change
4	"an audit" replaced by " a team leader, and if necessary" Added "members"
4.1.1	Added "and any team member(s)"...."individuals with:" Bullet points added
4.1.2	Added "team leader or" Deleted "an individual who has been" Added "that has participated in a peer evaluation of an accreditation body."
5.2.2	Added "if any;"
5.2.3	Added "if any;"
5.2.5.1	Added " of the audit;
5.2.5.2	Added "of the audit;
5.2.5.3	Added "of the audit;" Deleted "and place"
5.2.5.4	Clause added
5.2.5.7	"involved with" replaced by "required for"
5.3.1	"check the relevant records against the" replaced by "verify effective implementation of" Added "standards/requirements, by auditing relevant records,...documentation" Deleted "including peer evaluation" Added "and by interviewing the secretariat and any other AFRAC personnel, as needed."
5.4.1	Added "report" Deleted "main"
5.4.2	Added bullet points on types of findings
5.4.3	"non-conformities" replaced by "findings" Added "/standard."
5.4.4	Deleted " in cases"
5.4.5	Deleted "team's" Deleted "that may have come up."
5.4.6	Added "draft:" Added "report"
5.4.7	"audit" replaced "visit"
5.4.8	"secretariat," replaced "chair" Added "AFRAC chair" "and time-schedule for implementation for all non-conformities and concerns." Replaced "to improve the operation of the AFRAC management System from which includes the MRA Management System."
5.4	Clauses 5.4.9, 5.4.11; 5.4.12 and 5.4.13 added Added "Note"
5.4.10	Clause replaced "The AFRAC Chair shall submit the report and the proposed corrective action plan with his/ her comments to the EXCO Members and to the internal audit team in a maximum period of 60 days to ensure that the plan will resolve all non-conformities raised."
5.5.1	Deleted "the EXCO shall review the internal audit team's response to corrective action plan and approve the corrective action plan at its next scheduled meeting."
5.5.3	Clause added