

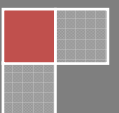
**2013**

# **SADCA INTERNAL AUDIT PROCEDURE**

**SOUTHERN AFRICAN DEVELOPMENT  
COMMUNITY COOPERATION IN  
ACCREDITATION**

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

**Publication reference: P007-01**





### ***Authorship***

This document has been prepared by the SADCA Secretariat.

### ***Classification***

This document is classified as an SADCA Procedural Document.

### ***Authorisation***

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### ***Official language***

The text may be translated into other languages as required. The English language version remains the definitive version.

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### ***Further information***

For further information about this publication, contact the SADCA Secretariat at:

SADCA Secretariat  
Private Bag X23  
Sunnyside  
Pretoria  
0132  
South Africa  
Tel: +27 12 394 3788  
Fax: +27 12 394 4788  
Email: [nonhlanhlah@sanas.co.za](mailto:nonhlanhlah@sanas.co.za)



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## **1. PURPOSE**

- 1.1 The purpose of this document is to describe the procedures that the Southern African Development Community Cooperation in Accreditation (SADCA) shall follow in order to perform an internal audit of the SADCA Management System, which also includes the Mutual Recognition Arrangement (MRA) management process.

## **2. REFERENCES**

- 2.1 The SADCA 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 SADCA MRA Committee and MRA Council, the Secretariat regarding the MRA Management processes and the SADCA 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.

### **4.1. QUALIFICATIONS OF INTERNAL AUDIT TEAM LEADERS AND MEMBERS**

- 4.1.1 An internal audit team leader shall be an individual who has undergone and completed the theoretical peer evaluator training based on the requirements of ISO/IEC 17011 and the relevant ILAC and IAF documents.
- 4.1.2 An internal audit team member (if any) shall be a qualified peer evaluation team member.

### **4.2. DESIGNATION OF INTERNAL AUDIT TEAMS**

- 4.1.3 The team leader of each internal audit shall be designated by the EXCO Chair.
- 4.1.4 One or more team members (determined if necessary) of each internal audit shall be designated by SADCA Secretariat in consultation with the team leader.
- 4.1.5 The team leader and team member(s) shall not evaluate the activities for which he/she is responsible for implementing in SADCA.



## **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 SADCA Chair in consultation with the EXCO.

### **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 the auditee.

5.2.2 The team leader shall ensure that copies of the current SADCA documentation and other related documentation are available to the team member(s) at least one month before the commencement of the audit.

5.2.3 The team leader shall prepare a detailed internal audit plan approved by the SADCA Chair, in consultation with those involved in the audit process.

5.2.4 The team leader shall send the audit plan to the SADCA 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 objective;

5.2.5.2 The scope;

5.2.5.3 The date and place;

5.2.5.4 The names of the team leader and team member(s) (where applicable);

5.2.5.5 The requirements and documents to be considered;

5.2.5.6 Where applicable, identification of SADCA personnel that will be involved with particular audit activities.

### **5.3 EXECUTION OF INTERNAL AUDITS**

5.3.1 The team leader shall check the relevant records against the SADCA MRA Policies and Procedures and other related documents, including peer evaluation reports, relevant meeting resolutions, and/or minutes.

5.3.2 The audit shall be conducted during a meeting with the SADCA 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 SADCA 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 on its main findings and observations.

5.4.2 Findings of the audit shall be classified as either:

- 5.4.2.1 Non-conformity;
- 5.4.2.2 Concern;
- 5.4.2.3 Comment.

**NOTE:** *Definitions of these terms can be found in ILAC/IAF A1 Annex 5, Section C.*

- 5.4.3 Concerns, non-conformities and observations shall be stated with reference to the specific clauses of the relevant documents.
- 5.4.4 A verbal report or a copy of the draft summary (in cases where an electronic audit was conducted) shall be given to the SADCA Secretariat at the closing meeting at the end of the internal audit.
- 5.4.5 The team leader shall give the SADCA Secretariat an opportunity to comment on and discuss the team's findings and clear up any misunderstandings that may have come up.
- 5.4.6 The summary shall be signed by the team leader and team member(s) (if any) and the SADCA Secretariat.
- 5.4.7 After the audit, the team leader shall complete the internal audit report and forward it to the SADCA Chair and to the SADCA Secretariat within 30 days.
- 5.4.8 The SADCA Chair in consultation with the EXCO and other Committees (where appropriate) shall review the report and prepare a proposed corrective action plan to improve the operation of the SADCA Management System which includes the MRA Management System.
- 5.4.9 The SADCA 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 INTERNAL AUDIT REVIEWS AND FOLLOW UP ACTIVITIES**

- 5.5.1 The EXCO shall review the internal audit report and the internal audit team's response to the corrective action plan and approve the corrective action plan at its next scheduled meeting.
- 5.5.2 The SADCA Chair in consultation with the EXCO shall ensure the effective implementation of any corrective action, in consultation with the internal audit team leader's findings on implementation.
- 5.5.3 The SADCA Chair shall report the results of implementation to the EXCO Members during its next scheduled meeting.



## APPENDIX A: INTERNAL AUDIT REPORT TEMPLATE

### INTERNAL AUDIT REPORT

**Audit identification:**

**Activities audited:**

**Summary of findings:**

**Other comments:**

**Signature:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Date:** \_\_\_\_\_



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**APPENDIX B: SADCA FINDINGS, RESPONSES AND ACTIONS TEMPLATE**

**NON-CONFORMITIES**

<b>Number</b>	<b>Requirements and description of the non-conformity (NC)</b>
<b>NC #</b>	<b>Requirements:</b>
	<b>Description of the non-conformity:</b>

<b>Date</b>	<b>First response from SADCA</b>
20xx/xx/xx	
<b>Date</b>	<b>Reaction from the Internal Audit Team</b>
20xx/xx/xx	

<b>Date</b>	<b>Second response from SADCA</b>
20xx/xx/xx	
<b>Date</b>	<b>Reaction from the Internal Audit Team</b>





<b>20xx/xx/xx</b>	
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*If additional responses are required, more lines should be added to the table.*

**CONCERNS**

<b>Number</b>	<b>Requirements and Description of the Concern (CN)</b>
<b>CN #</b>	<b>Requirements:</b>
	<b>Description of the concern:</b>

<b>Date</b>	<b>First response from SADCA</b>
<b>20xx/xx/xx</b>	
<b>Date</b>	<b>Reaction from the Internal Audit Team</b>
<b>20xx/xx/xx</b>	

<b>Date</b>	<b>Second response from SADCA</b>



<b>20xx/xx/xx</b>	
<b>Date</b>	<b>Reaction from the Internal Audit Team</b>
<b>20xx/xx/xx</b>	

*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	First response from SADCA
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.*



P007-01 Mar 2013

### ANNEX A: Document Amendment Record

Proposer	Section	Change	Approval date
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