PROCEDURE FOR MANAGEMENT REVIEW AND INTERNAL AUDITS
PURPOSE

This document sets out the procedure to be followed for conduct of management reviews and periodic internal audits of APLAC’s activities.

AUTHORSHIP

This publication was written by the APLAC Board of Management.

OFFICIAL LANGUAGE

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

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1. MANAGEMENT REVIEW

1.1 The APLAC Board of Management shall undertake a review of APLAC’s system, and consider opportunities for improvement of that system at each of its mid-year meetings. The agenda for the meeting shall include an agenda item, Management Review.

NOTE: Reviews may also be undertaken, as necessary, at the Board meeting associated with the APLAC General Assembly.

1.2 Matters to be considered as part of the management review shall include, but not be restricted to, the following:

- APLAC’s continued adherence to the objectives of the APLAC MOU
- results of internal audits and associated corrective actions
- outcome of ILAC evaluation of APLAC (when applicable)
- complaints
- reports from the Chairs of the APLAC Committees
- report from the Chair of the MRA Council, including feedback on evaluator performance
- progress on implementing the “actions’ and “resolutions” from the last APLAC General Assembly
- APLAC’s response to meeting the objectives of the ILAC strategic and business plan
- the need to revise APLAC SEC documents, including the Memorandum of Understanding and Rules of Procedure

1.3 The outcome of the management review, including actions arising, shall be recorded as part of the Minutes of the Board meeting.

1.4 Each APLAC Committee and the APLAC MRA Council shall, at each of its meetings, undertake a review of its activities and consider the need to revise any APLAC documents for which it is responsible. The outcome of these reviews, including actions rising, shall be recorded as part of the Minutes of the Committee or MRA Council meetings.

2. INTERNAL AUDITS

2.1 An internal audit shall be scheduled by the APLAC Board of Management every 18-24 months unless there is an identified need to do an earlier audit. At each of its meetings associated with an APLAC General Assembly, the APLAC Board of Management shall consider the need to draw up an audit schedule for the following year and appoint an auditor for the audit of the APLAC Secretariat ...

NOTE: The APLAC Secretariat includes the management of the APLAC MRA Council activities.

2.2 The auditor appointed shall normally be an APLAC evaluator who has participated in an APLAC (or other) evaluator training course.

2.3 The audit shall check compliance with the relevant clauses of the following documents:
2.4 The auditor may draw up checklists to assist with the conduct of the audit.

2.5 Findings of the audit shall be classified as either:
- non-conformity
- concern
- comment

**NOTE:** Definitions of these terms can be found in section 0 of APLAC MR 001.

2.6 The findings of the audit shall be reported to the APLAC Board of Management in the format given in appendix 1. The audit identification shall be by year and month, e.g. 2003/06.

2.7 For each non-conformity or concern raised a corrective action request (CAR) (see appendix 2) shall be raised. Each CAR shall be identified by the audit number plus a sequential number, e.g. 2003/06/01.

2.8 The APLAC Board of Management shall review the audit report and CARs raised and assign the CARs to the appropriate person for resolution.

2.9 The implementation of the corrective action shall be reviewed by the APLAC Board of Management at its next meeting.

**NOTE:** The CAR form may also be used to raise corrective action requests arising from complaints or other matters.
## INTERNAL AUDIT REPORT

**Audit Identification:**

**Activities audited:**

**Summary of findings:**

**Other comments:**

**Identification of CARs raised:**

- ................................................................. .................................................................
- ................................................................. .................................................................
- ................................................................. .................................................................
- ................................................................. .................................................................

**Signature:**  

**Name:** ..................................................  **Date**  ............................................
## Appendix 2

### Corrective Action Request No:

<table>
<thead>
<tr>
<th>Audit</th>
<th>Complaint</th>
<th>Other</th>
</tr>
</thead>
</table>

1. Description of non-conformance

Reported by:  
Date:  

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**Send to APLAC Board of Management when completed to this point**

2 a) Investigation and correction of non-conformity

Assigned (by APLAC BoM) to:  
For completion by:  

2 b) Verification

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3 a) Corrective action on underlying issue

Assigned (by APLAC BoM) to:  
For completion by:  

3 b) Verification

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APLAC Chair  
Date CAR closed:  

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