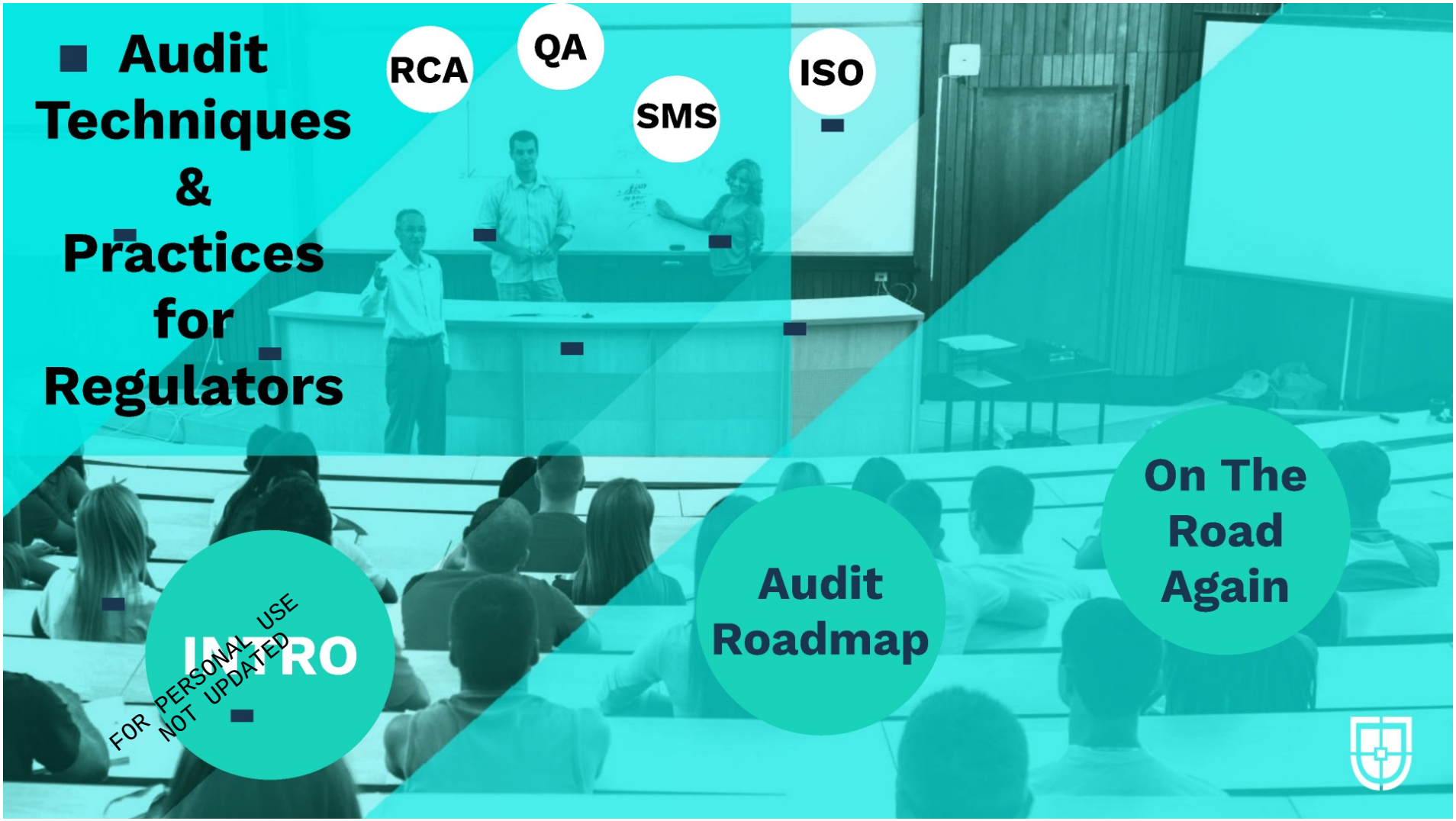
Audit Techniques & Practices for Regulators
RCA
QA
SMS
ISO
INTRO
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Audit Roadmap
On The Road Again

INTRO
TITLE
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Overview of the Audit Process

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Inspectors Handbooks

The procedures outlined in this presentation are

1. Audit Procedures
2. Policy and Procedures
3. Check Lists

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Aim

To give a description

of the audit process.

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2

AGENDA

- Background
- Surveillance/inspection process overview
- Writing Clear Findings

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Outline

We will cover:

- An overview of Audits
- Definition of an Audit
- Reasons for Conducting an Audit (Types)
- Classes of Audits
- Team Composition and Roles of Members
- Frequency
- Steps in the audit process.

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3

What is an audit?

An audit is an in-depth review of the activities of an organization to verify conformance to applicable Civil Aviation regulations and standards.

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Auditing

The auditing process places the relationship between the regulated organisation and its regulator into the proper context.

It reinforces that essential requirement that the responsibility for safety rests with the regulated organisation.

If the organisation has effective systematic arrangements for managing safety, it will have little difficulty in responding immediately and thoroughly to an audit.

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Auditing

The organisation will be more open about incidents and its failures because its safety management procedures will enforce visibility and due process.

It will also want to explain what went wrong and how the matter was dealt with to reassure the regulator.

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AUDIT VS. INSPECTION

- Audit means a systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which requirements are complied with.

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AUDIT VS. INSPECTION

- Inspection means an independent documented conformity evaluation by observation and judgement accompanied as appropriate by measurement, testing or gauging, in order to verify compliance with applicable requirements.

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AUDIT VS. INSPECTION

Audit
Applies to the overall arrangements, or elements of the flight operations processes or services.
Verify compliance of: · Documented provisions and other established arrangements against safety regulatory requirements, standards, ICAO SARPs or ACAA rules and regulations. · Actual Flight Operations (OPS) practices against documented procedures and other arrangements.
Focus special attention on processes with a wider scope.
Represent the primary safety oversight technique.
Usually conducted by a team of auditors with more comprehensive procedures but it can be executed by a single inspector. In the latter case, the inspector assumes duties and responsibilities of both team leader and team member.

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AUDIT VS. INSPECTION

Inspection
Applies to particular unit or specific part of the program.
Verify by testing and/or examination whether perspective safety regulatory requirements/standards have effectively been complied with.
Focus normally on a particular element of OPS system with a smaller scope.
May serve as an oversight technique supplementary to audits.
May be conducted by one inspector under simpler procedures. If that is the case, the inspector assumes duties and responsibilities of both team leader and team member.

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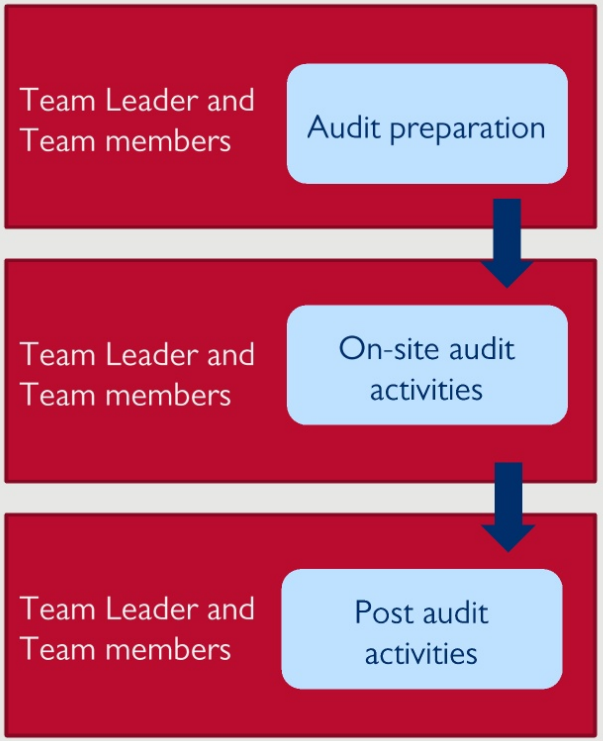
Audit/Inspection Process

Any audit or inspection has three main phases: audit/inspection preparation, on-site audit/inspection activities and post/audit-inspection activities.

These roughly correspond to three main objectives: preparing, performing and following up on the surveillance activity.



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The 4 Basic Audit Activities

- Pre-audit
- Physical audit
- Post audit
- Audit follow-up

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Audit Program

Purpose:

To ensure that a satisfactory level of aviation safety is maintained, and that the governments Civil Aviation's audit policies and procedures are applied nationally in a uniform manner.

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Audit Types

Initial Certification Audit

Approximately six months after the issuance of an Air Operating Certificate or Approved Maintenance Organization Certificate

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Audit Types

Additional Authority Audit

Prior to granting additional authorities an audit <u>may</u> be conducted.

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Audit Types

Routine Conformance Audit

Every holder of an Air Operating Certificate, Approved Maintenance Organization Certificate, or any other type of aviation organization certificate, should be audited on a periodic cycle ranging from 6 to 60 months.

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Audit Types

Special Purpose Audits

Called due to special circumstances; for example an accident, safety concerns etc.

These audits are sometimes referred to as "No Notice Audits".

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Audit Classes

Combined - Operations and Airworthiness conduct audits of their specialties simultaneously under the direction of one Audit Manager.

Specialist - Airworthiness and Operations audit their specialties separately.

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Classes of Audits

- Large Combined Audit
- Small Combined Audit
- Specialist Audit
  - Airworthiness
  - Operations

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Outputs of an Audit

- Audit Report
- Parallel Report

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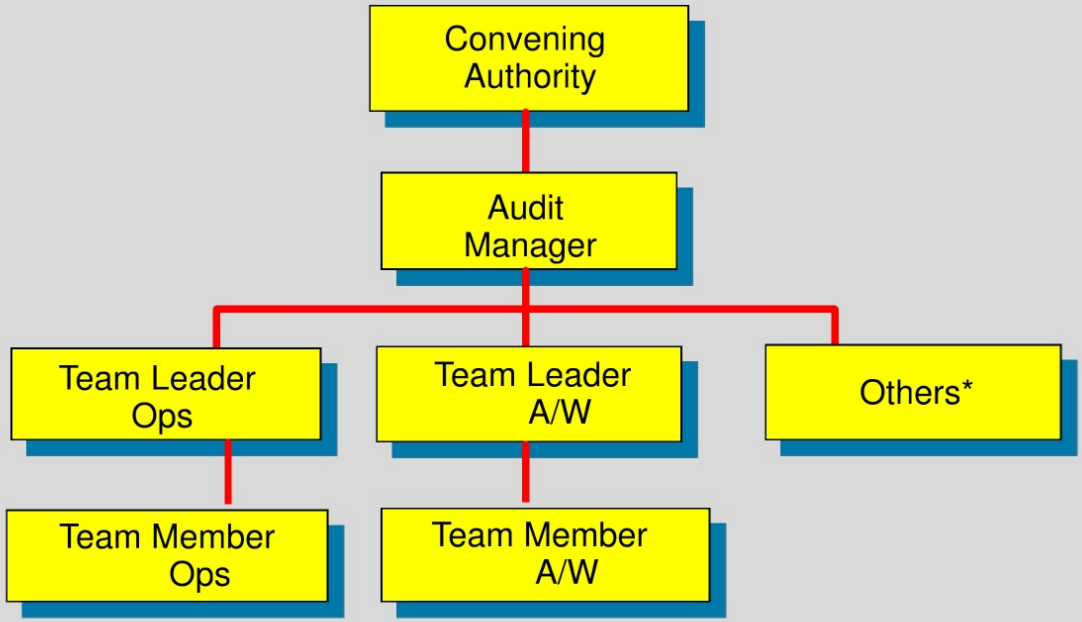
The Audit Team



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Convening Authority

The person responsible for authorizing and overseeing a regulatory audit.

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Audit Manager

- Plans, organizes, directs, and controls the audit process.
- Required on every audit.

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Team Leaders

- Support and assist the Audit Manager.
- Not necessarily required on every audit.

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Team Members

- Conduct the audit field work
- Document findings
- Generally on every audit

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Observers

- Accompany the audit team during the audit.
- Do not participate in the physical inspection unless specifically directed to do so.
- Not necessarily on every audit.

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Steps in the Audit Process

CONVENING AUTHORITY

- Sets the Audit Schedule
- Appoints the Audit Manager

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Steps in the Audit Process

AUDIT MANAGER

- Selects the team
- Communicates internally and externally
- Prepares the audit plan
- Establishes contact with the Auditee
- Sets the audit date(s)

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Steps in the Audit Process

AUDIT MANAGER (con't)

- Initiates the Audit Plan
- Reviews outputs from the audit
- Formulates the Audit Report and Parallel Findings
- Presents report(s) to the Convening Authority
- Ensures that the Audit Report is forwarded to the Auditee.

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Planning

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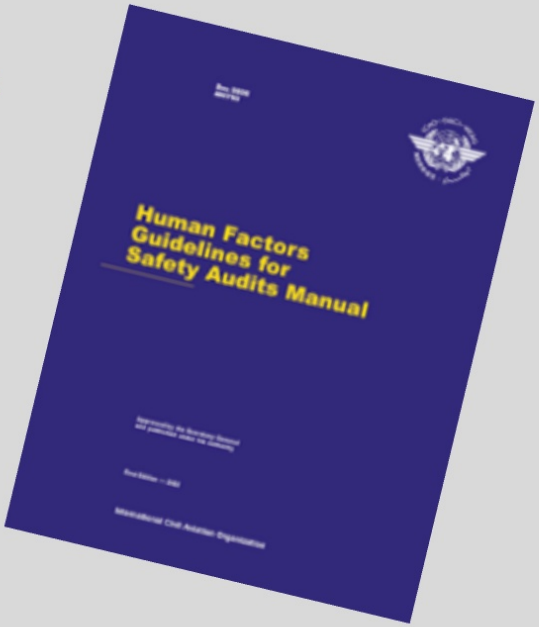
PLANNING

To describe the various parts involved in the planning of an audit in accordance with the applicable Civil Aviation standards



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Aim

To describe the various parts involved in the planning of an audit in accordance with the applicable Civil Aviation standards

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2

Outline

1. An overview of planning
2. Scope and depth of an audit
3. Audit plan

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Audit Plan

Purpose

To ensure that the objectives of the audit are met.

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Audit Plan

MAIN USERS

Plan Audit Manager and Team: will work from Logistical details

SECONDARY USERS

To Convening Authority for Approval: Who, When, How Long and Costs

To Auditee: When, Areas to be audited and Special Requests

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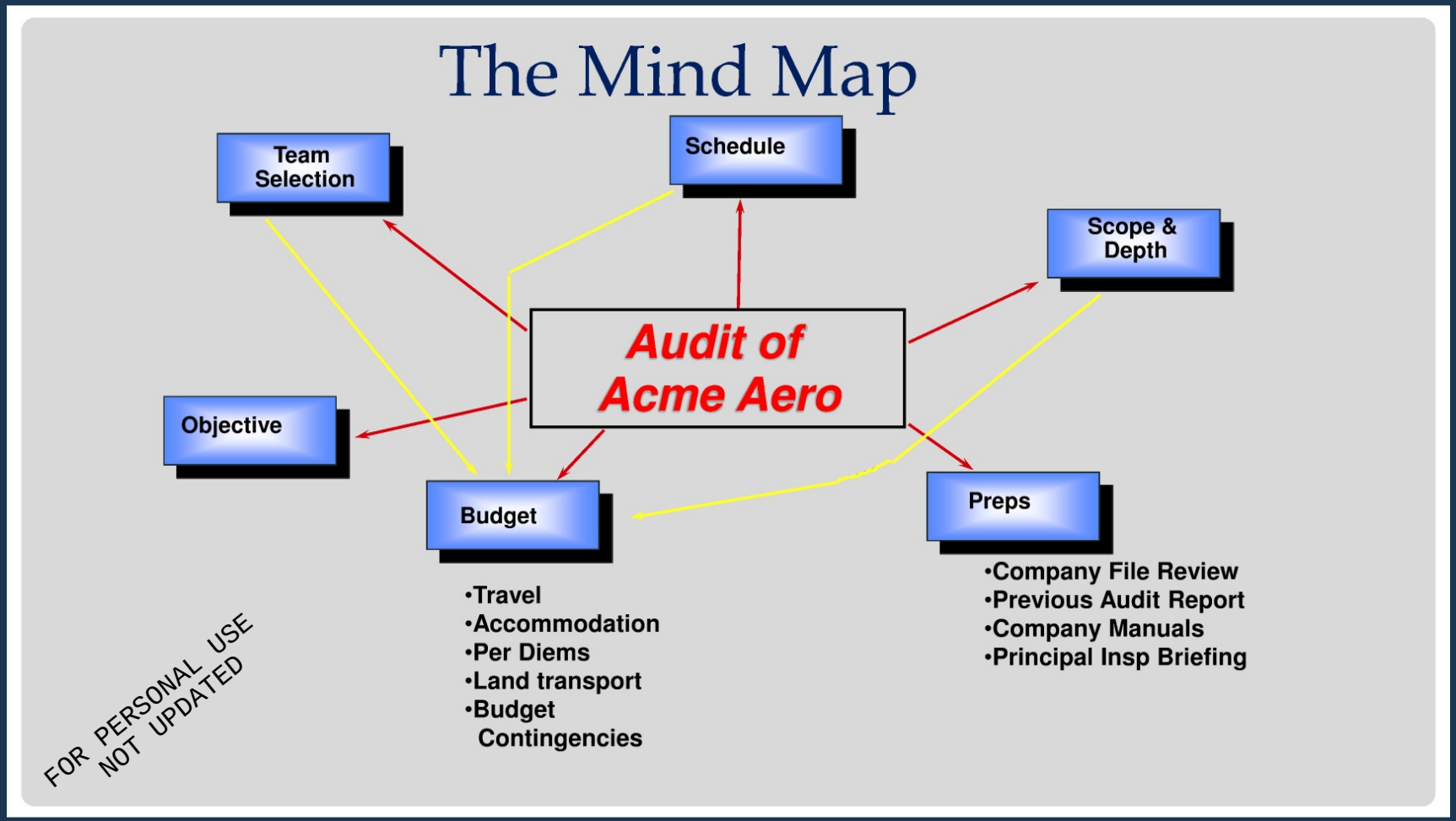
The Mind Map
Team Selection
Schedule
Scope & Depth
Audit of Acme Aero
Objective
Budget
Preps
•Travel
•Accommodation
•Per Diems
•Land transport
•Budget Contingencies
•Company File Review
•Previous Audit Report
•Company Manuals
•Principal Insp Briefing
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Planning

WHY

Ensures efficiency and economics

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Planning

Purpose/Function

Identifies functions

- Shows areas where flexibility is possible
- Shows areas where there is no margin for error

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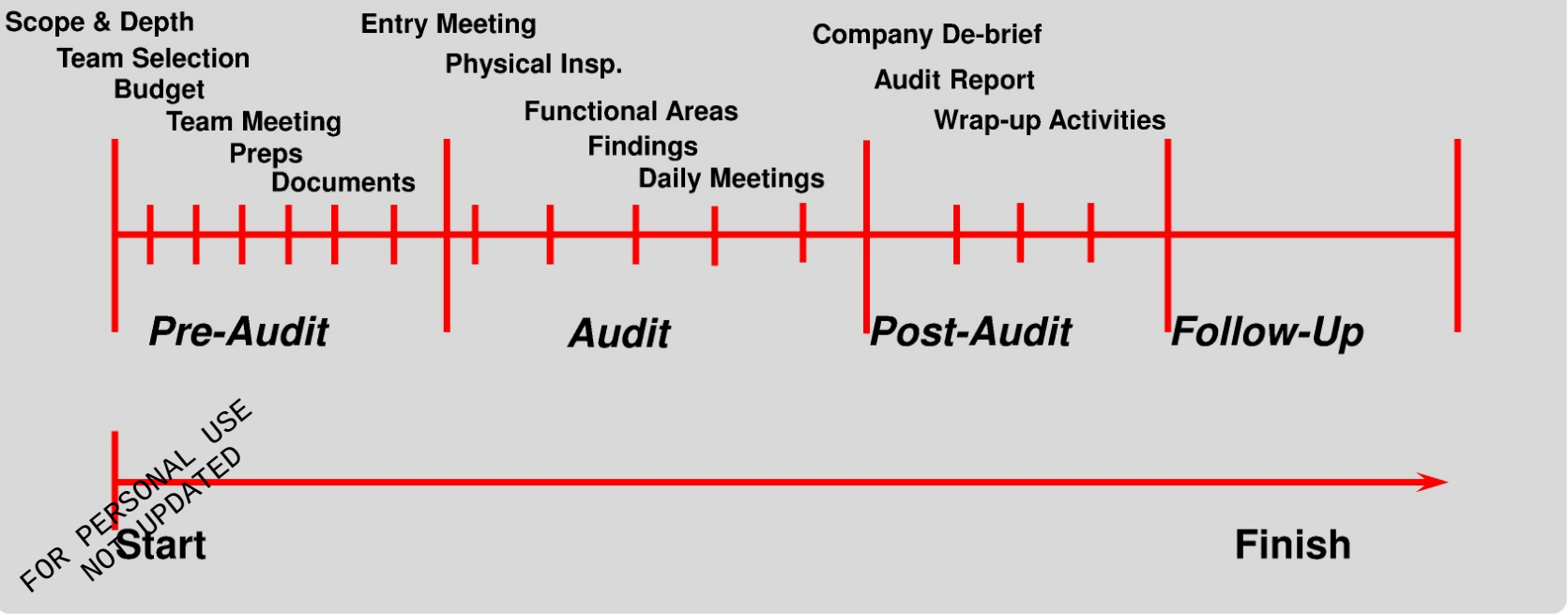
Critical Path Planning



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Scope

What is it?

‘SCOPE’ is defined as the number of functional areas within a company's operation that will be audited.

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Scope

Determined by the class or type of audit to be conducted

- Combined
- Specialist
- Special Purpose

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Scope

Functional Areas

Determined by

- Review OC & OPS Specs to determine size of auditee
- Review AMO's, Distributors and Manufacturers
- Review Certificates of Approval, A/C limitations, Maintenance and/or Quality Control Manuals for Airworthiness

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Scope

Functional Areas

Defined as 28 discrete areas or departments within an organization e.g.:
For Mtnce & Eng

Code	Topic
A-1	Maintenance Control Manual
A-2	Technical Publications
A-3	Company Quality Audits
A-4	Engineering
A-5	Support/Overhaul Shops
[illegible]	Aircraft Maintenance Records, etc

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Depth

The period of time over which a company's operations will be audited, normally from the last audit until present day. It could also be thought of as the extent or the size of the audit.

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Planning Factors

Company

- Discuss company history with appropriate CAA Inspectors
- Obtain and review previous audit report and follow-up action.
- Review company files (Looking for exemptions and special authorities)
- Obtain and review certificates of approval and limitations (AOC's etc.)

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Planning Factors

Company

- Review Manuals (MCM, Ops, Training, Cabin Attendant as applicable)
- Review accident reports
- Review company changes (personnel, aircraft, facilities, equipment, management, etc.)
- Bases
- Size of company for sampling rationale

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Sampling Rationale

MRA set out a table for sampling:

- Confidence level of 95% is identified in the MRA.
- In practical terms it may not be realistic to review all aircraft in the fleet.
- Significant findings against one type of aircraft may require additional review against other types.
- You must be realistic when conducting the review and look at each audit situation independently.

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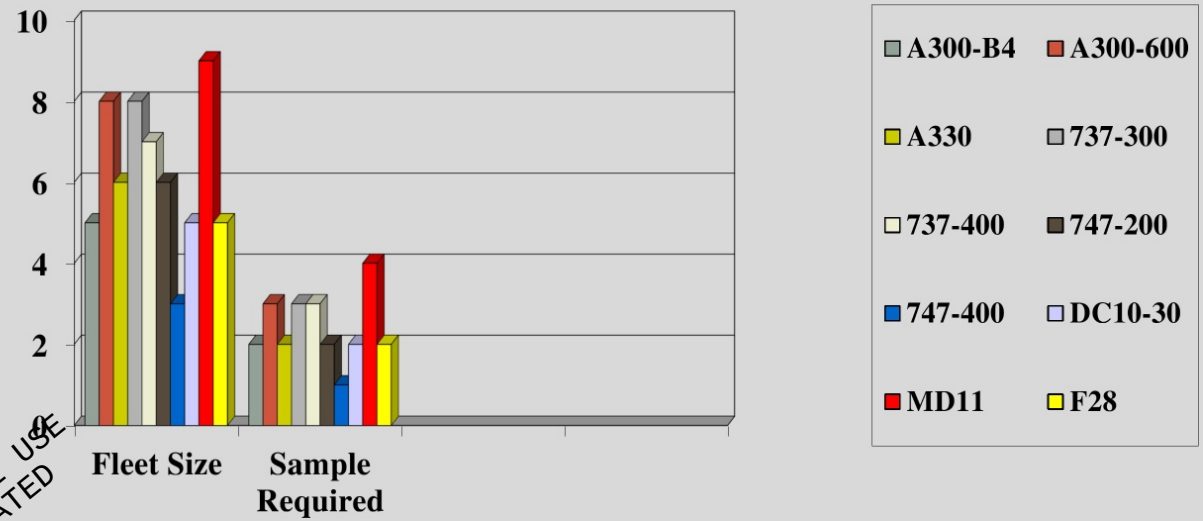
SAMPLING RATES FOR 95% CONFIDENCE



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Planning Factors

Bases

- When was the last audit?
- Review the company and compliance history.
- What was found at the bases during the last audit?
- Was there a follow-up?
- How did it go?

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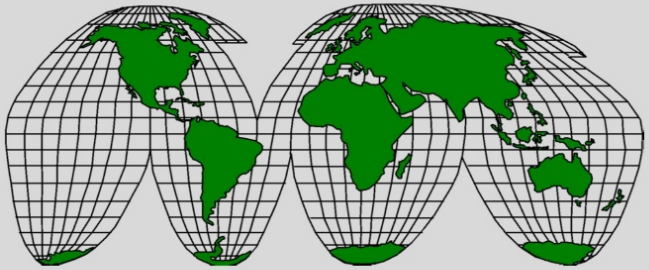
Planning Factors

Bases

- How accessible are the bases and is it worthwhile to visit?
- Can we find the information elsewhere?
- What manpower is required?
- Determine risk management.



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Planning Factors

Manpower

- Team Members. Are the right people available?
- Will Subject Matter Experts be required?
- Will all Specialties be covered?
- Do I need Support Staff?
- How can I get the best utilization of team members?

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Planning Factors

Duration

- Size of Company
- Record of Company
- Capabilities/diversification of A/C, etc.
- Scope and function of work carried out
- Distance, location and company scope of work
- Unforeseen circumstances (weather, travel etc.)

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Planning Factors

Duration

- Significant areas of concern will increase sampling & duration.
- Availability of team members
- Loss of a team member (illness, accident etc)
- Experience level of auditors

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Audit Planning

Rule of Thumb

- Small 1 - 5 days
- Medium 5 - 15 days
- Large 15 + days

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Funding

Consider:

- Class of Audit
- The number of people on the team
- The scope of the audit
- Accommodation, meals, etc.
- Foreign travel, Air and ground transportation,
- Equipment/conference room, rentals.

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Staffing

Considerations

- Make an Organization Chart
- Select Team Leaders
- Select Subject Matter Experts
- Select Advisors (if required)
- Determine support personnel requirements

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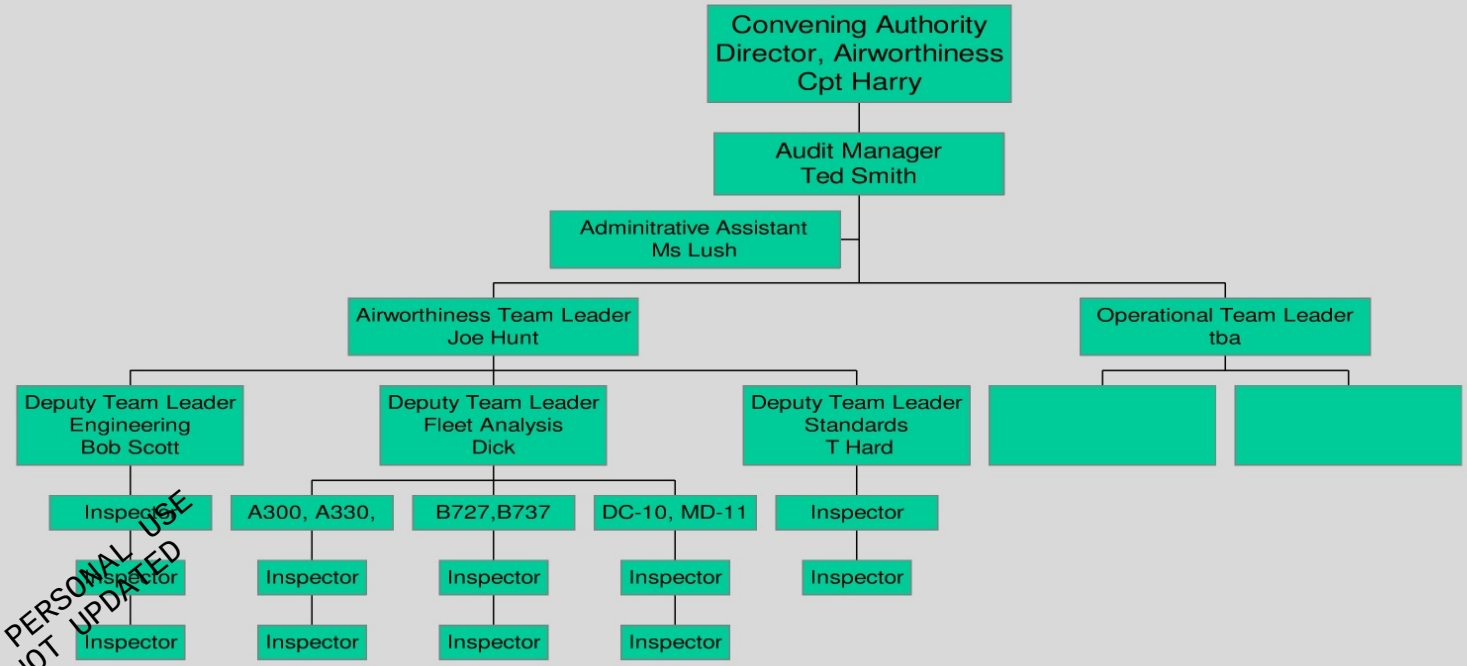
ACE AIRLINES
AMO 58/0100, AOC/40-001



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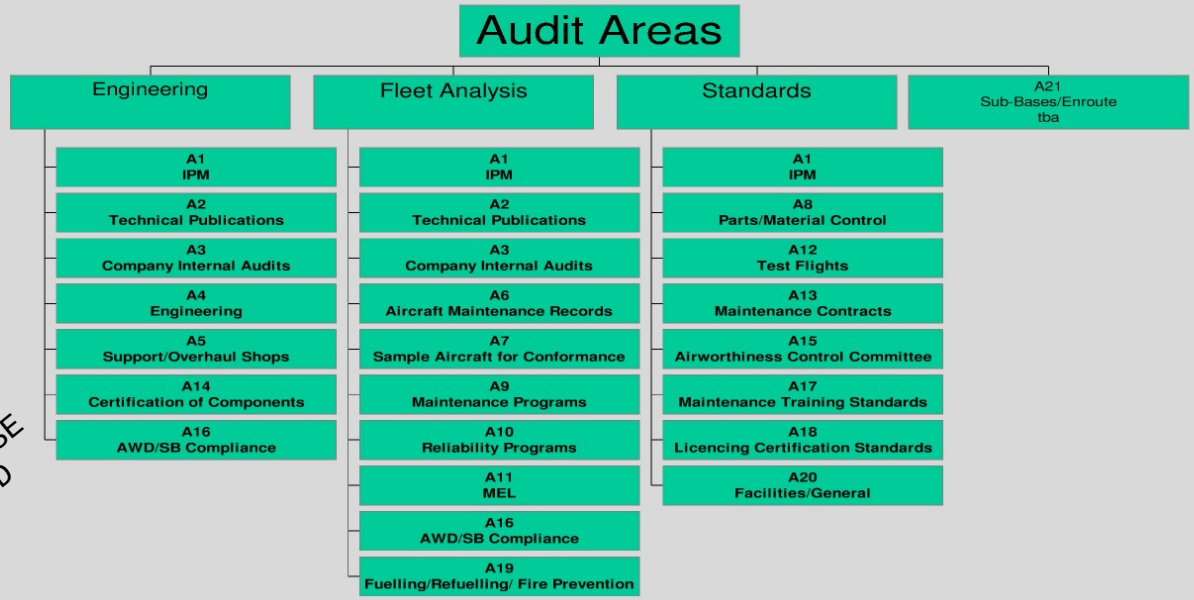
AIRWORTHINESS SHOWING FUNCTIONAL AREAS TO BE AUDITED



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Audit Plan

Purpose

To ensure audit goals and objectives are effectively and efficiently achieved.

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Communication

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Aim

To describe the lines of communication which must be established in order to conduct an effective audit.

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Outline

We will cover:

Lines of communication

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Lines of Communication

Purpose

- To ensure the audit plan is followed;
- To ensure all team members understand with whom they will communicate;
- To ensure unforeseen problems are dealt with in a timely manner.

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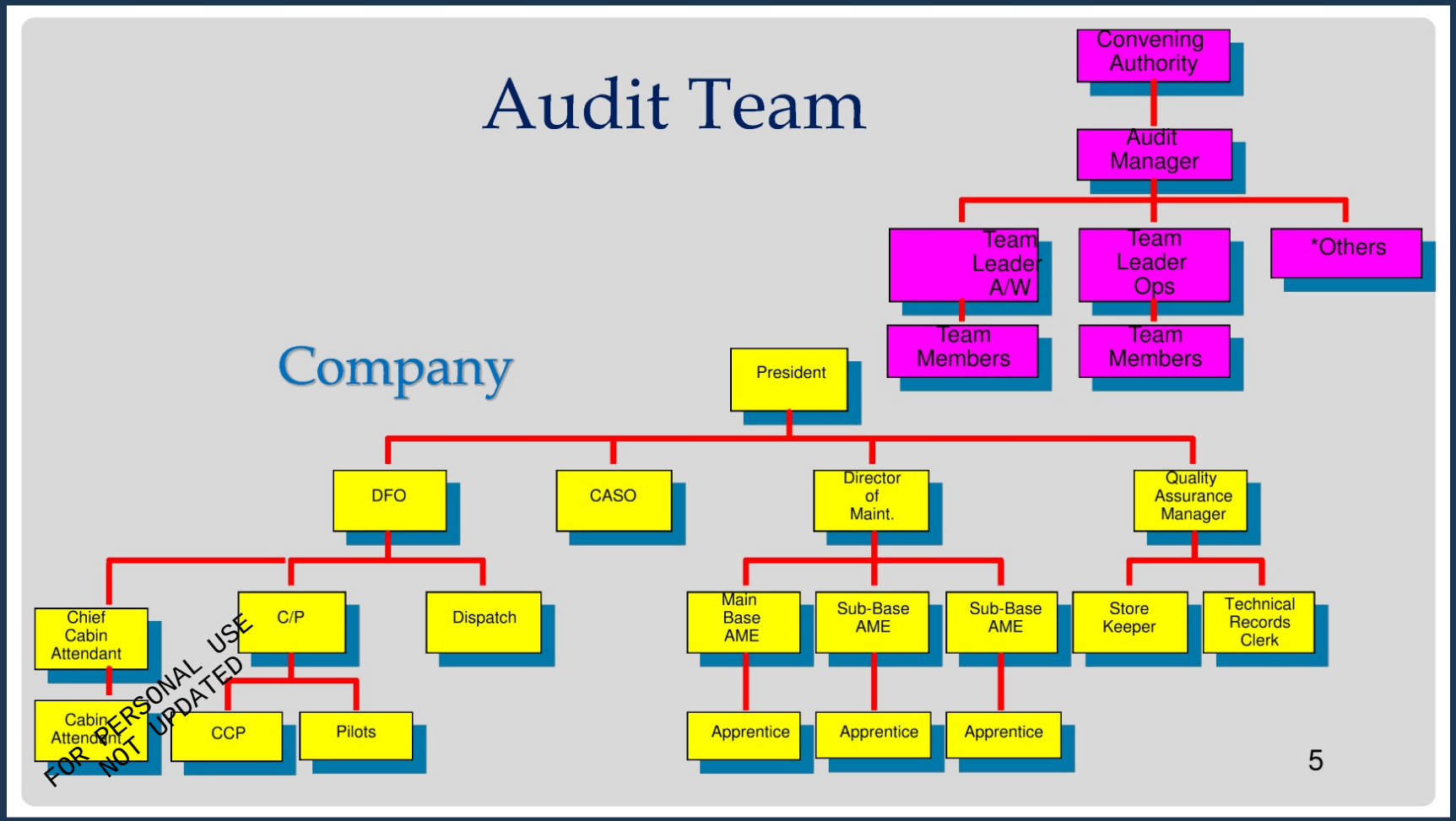
Audit Team
Convening Authority
Audit Manager
Team Leader A/W
Team Leader Ops
*Others
Team Members
Team Members
Company
President
DFO
CASO
Director of Maint.
Quality Assurance Manager
Chief Cabin Attendant
C/P
Dispatch
Main Base AME
Sub-Base AME
Sub-Base AME
Store Keeper
Technical Records Clerk
Cabin Attendant
CCP
Pilots
Apprentice
Apprentice
Apprentice
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Internal Communications

Overview

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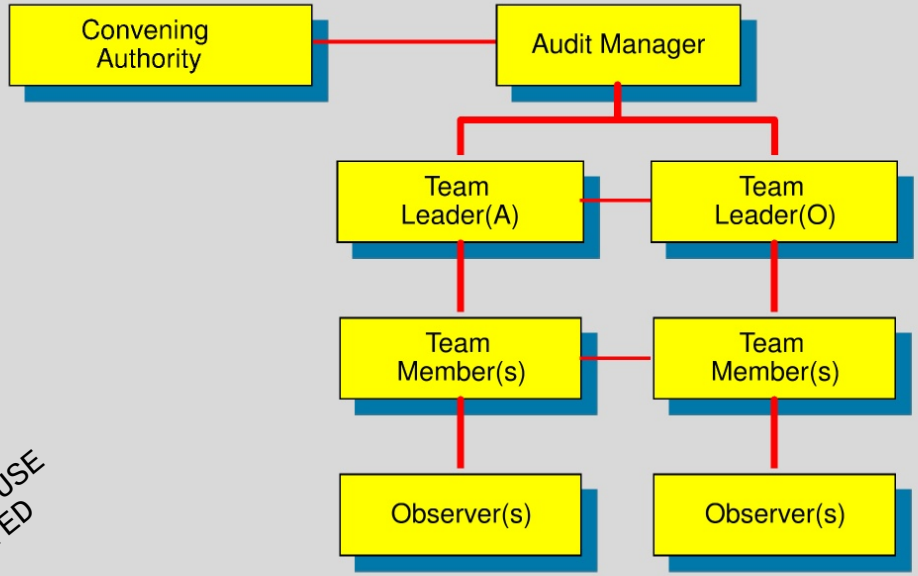
Internal Communications Overview



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Internal Communication

Audit Manager with:

- The Convening Authority
- Team Leaders
- Team Members
- Observers

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External Communications

CAA Members:

- Observers
- Team Members
- Team Leaders
- Audit Manager

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External Communications

Audit Manager with:

- Auditee
- Airport Manager
- Foreign Affairs
- Media

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External Communications

Contact with Company

- Typically by phone, then in writing;
- Establish a good relationship;
- Use a non threatening manner;
- Gain acceptance of your audit plan;
- Ask for a contact/liaison person;
- Set meeting dates and times;
- Request facilities for the audit team.

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Communications

The Process

- AM should begin planning
- AM should establish internal contacts as applicable ie. Inspectors etc.
- AM should establish external contacts if necessary
- AM should establish the audit team (team leader. assist.)

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Communications

The Process cont'd

- AM should contact auditee by phone and in writing
- Audit Manager should complete planning
- Audit Manager should meet with the team

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Pre-Audit

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Aim

To describe the activities that take place during the pre-audit.

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Outline

- Review of Pre-Audit activities
- Topics to be covered during the Pre-audit meeting
- Material to be reviewed during the pre-audit activities

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Pre-Audit Activities

- Audit planning
- Team assembly
- Pre-audit team meeting
- Final preparations including document review

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PRE-AUDIT TEAM MEETING - CONTENT

- The audit/inspection objective and scope;
- The administrative and logistics details;
- The provisions for tracking travel expenses and possible overtime during the activity;
- The authorized scope of activities;
- The working methodology;
- The team members role for audit plan preparation;

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PRE-AUDIT TEAM MEETING - CONTENT

Communication processes - The team leader should precise:

- The responsibilities for the communication with the external;
- The process for asking additional documents to the auditee (direct contact or through the team leader). The team leader should be kept in copy in all the communications with the auditee to keep up to date the audit folder;
- The obligation of each team member to prepare the audit properly taking into account his/her role during the audit;
- The checklists/questionnaires for the audit scope.

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Pre-Audit Team Meeting

Topics to be covered:

- Materials presented to members
- Duties and Responsibilities
- Specific audit area
- Checklists
- Observer position
- Team plan

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Pre-Audit Team Meeting

Other considerations

- Conflict of Interest
- Confidentiality
- Access to Information
- Schedules and Arrangements
- Forms Administration
- Parallel Report
- Budget

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Pre-Audit Review

Files held by the Authority

- Company Files
- Aircraft Files by Registration number
- Concession File
- Aircraft Type File
- Company Approvals File

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Pre-Audit Review

Inspection Reports

- In-flight inspection reports
- Ramp checks

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Pre-Audit Review

Previous Audit Reports

- Previous history
- Review findings

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Pre-Audit Review

All Company manuals

- Maintenance/Operations manuals
- Aircraft flight manual
- Procedures/Training manuals
- Dispatch manual
- MELs

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Pre-Audit Review

Review Documents

- Flight Permit
- ETOPS
- Fuel policy
- Authorities held (CAT II, RVR600, etc.)

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Pre-Audit Review

Review Documents – con't

- Exemptions/Concessions
- Approvals/Modifications
- Aircraft Type Approvals
- Manufacturing Limitations, etc.

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PERFORM THE DOCUMENTATION REVIEW

This step consists of a deep review of the applicable regulation and AOC documents.

The audit team should use all the information gathered during this step to perform a realistic audit plan

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OBJECTIVES OF THE DOCUMENTATION REVIEW

- Understand the current applicable requirements;
- Understand how the organization is working and complying with the requirements;
- Learn the past difficulties faced by the AOC holder to comply with the regulation requirements.

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OBJECTIVES OF THE DOCUMENTATION REVIEW

During the documentation review, each team member should at least review:

- The applicable regulations and/or the guidance material;
- The results from the previous oversight activities.
- The applicable checklists;
- The AOC manuals.

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ELABORATE THE COMPLIANCE CHECKLISTS

If required, the nominated inspectors should develop compliance checklists to be used during the on-site part of the audit/inspection. The checklists should be adapted depending on:

- The audit objectives and scope;
- The outcomes of the previous oversight activities;
- The outcomes of the documentation review;
- The auditee's system of management, organizational structure, and processes.

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PREPARE THE AUDIT PLAN AND AGENDA

During the audit preparation phase, the team members contribute to the audit plan preparation but the last responsible to finalize the audit plan is the team leader.

The audit plan should be formalized and submitted to the auditee at least 15 working days before the audit.

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THE AUDIT PLAN ELEMENTS

- Auditee details: Focal point, position and address;
- Activity details: Audit reference number and audit type;
- Opening and closing meeting details;
- Audit objective and scope;
- Roles and responsibilities of the team members;
- The locations, dates time and duration of the audit activities on-site;
- Logistics and communications arrangements, including locations;
- Detailed audit schedule (agenda).

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CONFIRMATION - FEASIBILITY OF THE AUDIT

The main goal of this step is to ensure that the audit objective can be achieved. Team leader should confirm the feasibility of the audit and should base the decision on the following topics:

- The team have the appropriate and sufficient information to conduct the audit/inspection;
- The team members are independence and experienced enough to conduct the audit/inspection;
- Team availability;
- Appropriate time to achieve audit objectives;
- Available resources, including budget.

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AUDIT PREPARATION

The pre-audit phase begins with a first contact with the auditee contact point, followed by the preparation of the audit plan by gathering the information on the documentation review and the pre-audit team meeting.

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FIRST CONTACT WITH THE AUDITEE

The team leader shall conduct the initial contact with the auditee organization responsible in order to:

- Establish communication with the audited AOC holder;
- Jointly agree on the accepted date for the audit/inspection;
- Provide detailed information about the audit nature, objective, scope, and other activity information;

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FIRST CONTACT WITH THE AUDITEE

Request the relevant AOC documentation for the audit/inspection;

Define a communication channel with the organization during the preparation;

Clarify the concern of the auditee and any other topic about the audit/inspections.

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THE AUDIT NOTIFICATION

- The formal audit notification has to be sent by an e-mail to the organization's representative and has to be proposed for getting his/her acceptance after reviewing it
- The audit notification should be sent 14 to 60 calendar days prior to the planned audit date to confirm the audit schedule
- Only for special purpose audits (unscheduled audits), the advance notice can be shorter, and in some situations, it can be accepted that no prior notification is sent (i.e., random inspection)

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THE AUDIT NOTIFICATION - CONTENT

a) Audit objectives;

b) Audit scope identifying the functional units/departments as well as processes and procedures to be audited;

c) The audit criteria;

d) Request of documentation and evidence to perform the documentation review including the deadline for the submission of such documentation;

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THE AUDIT NOTIFICATION - CONTENT

e) The identification of the auditees representatives to be met during the audit;

f) The locations, dates time and duration of the audit activities on-site, and

g) Logistics and communications arrangements, including specific arrangements for the locations to be audited.

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ESTABLISH THE AUDIT FOLDER

The responsible for establishing the audit folder is the team leader.

The team leader, in coordination with the team members, should establish the audit folder that will be used during the phases of the audit.

The folder should include all the required documents of the audit to be kept as audit records.

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AUDIT FOLDER - CONTENT

- The audit notification;
- The audit plan;
- The audit agenda;
- The checklist used with supporting evidence as necessary;
- The audit report;
- Non-compliance forms - NCFs (Form Various FOI Appendices) acknowledged by the AOC holder representative for each non-compliance;
- All exchanges mails and/or e-mails between the team and the auditee in the frame of the audit;
- Coordination memo and/or minutes of the meeting of the audit team.

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AUDIT/INSPECTION PROCESS - AUDIT PREP

Review: The pre-audit process is the phase performed by the audit team to prepare the on-site audit activities.

The main steps of this part of the process are:

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AUDIT/INSPECTION PROCESS - AUDIT PREP

- Audit notification to the auditee;
- Documentation review;
- Development of the plan of action;
- Elaboration of checklists/questionnaires (high and low-level checklists); and
- Preparation and submission of the audit plan and agenda.

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Entry Meeting

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Aim

To describe the activities involved in the entry meeting with the company and to better appreciate the climate it may be given in.

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2

Outline

We will cover:

- Communication Rules
- Topics covered at Entry Meeting

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ON-SITE AUDIT ACTIVITIES - OPENING MEETING

In summary, the opening meeting should:

1. Be attended by the team leader and the auditee's empowered representatives;
2. Be performed on the auditee's premises;
3. Be specific; and
4. Create a climate of confidence and courteous.

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ON-SITE AUDIT ACTIVITIES -(TEAM LEADER ROLE)

Introduce the audit team members including trainees, observers and external expertise;

Present the audit objective and scope;

Review the audit plan and clarify any doubt;

Set the means of communication;

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ON-SITE AUDIT ACTIVITIES -(TEAM LEADER ROLE)

- Explain the audit purpose is to assess the processes regarding the scope and seek for evidence of effectiveness;
- Remind the regulatory framework related to the level of the findings;
- Agree on the location and date for the closing meeting;
- Confirm the confidentiality and information security of the audit;
- Solve all the doubts of the auditee arisen during the opening meeting.

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Entry Meeting

Factors that shape outlook

YOU

-Your task is to provide a service

-Your Authority is often not well understood by the industry

THE OPERATOR

-Often very clever at conducting commercial ventures

-Some view regulations and standards as barriers to expansion and have little time for those tasked with monitoring and enforcing them

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4

Entry Meeting

Factors (Con't)

OPERATOR'S PERSONNEL

-View themselves as very good in their job

-They do not want to look bad

OWNERS

-Have a lot invested in terms of time and money

-Audit may make findings that will be costly to fix

-Many do not like being under government observation

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Entry Meeting

Factors (Con't)

GOVERNMENT

-Has a lot of say in the company's affairs

-Operator may view your presence as interference

-Time spent during an audit is non-profitable

CREDIBILITY

-Your reputation may have preceded you

-Don't play games

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6

Entry Meeting

Strategy

- Imagine yourself in Operator's shoes
- Plan and prepare for the audit as much as possible
- Identify issues that could prove difficult and develop a plan to deal with them should they arise

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Entry Meeting

Setting the stage

- Held on company's premises
- Dress neatly
- Be on time
- Be open and friendly prior to and during the meeting
- Ensure your team is properly briefed
- Ensure operator is properly represented

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Entry Meeting

Setting the stage cont'd

- Ask Operator to hold questions till the end of your address
- One person speaks at a time
- Speak clearly and be brief
- Try to convey your message in a non-adversarial way
- Do not compare one operator to another
- Maintain control of the meeting

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Entry Meeting

Topics to be covered

- Thank You
- Explain the purpose of the meeting
- Introduction of Audit Team and Company Representatives
- Discuss audit objective
- Discuss scope and depth

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Entry Meeting

Topics to be covered cont'd

- Discuss communications between the Audit Team and the company, including Daily Meetings
- Discuss way audit is conducted
- Discuss the means of handling non-conformances including immediate threat to safety.

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Entry Meeting

Topics to be covered cont'd

- Introduce forms that the operator may see over the course of the audit
- Arrange tour of facilities
- Discuss Exit Meeting date and time
- Discuss efforts that will be made to make sure disruption to the operator is very small

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Entry Meeting

Topics to be covered (Con't)

- Confirm
  - Working Space
  - Photocopier, telephones, facsimile machine, etc.
  - Measuring or test equipment
  - Admission to facilities and files
- Ask questions
- Conclude the meeting in a friendly way

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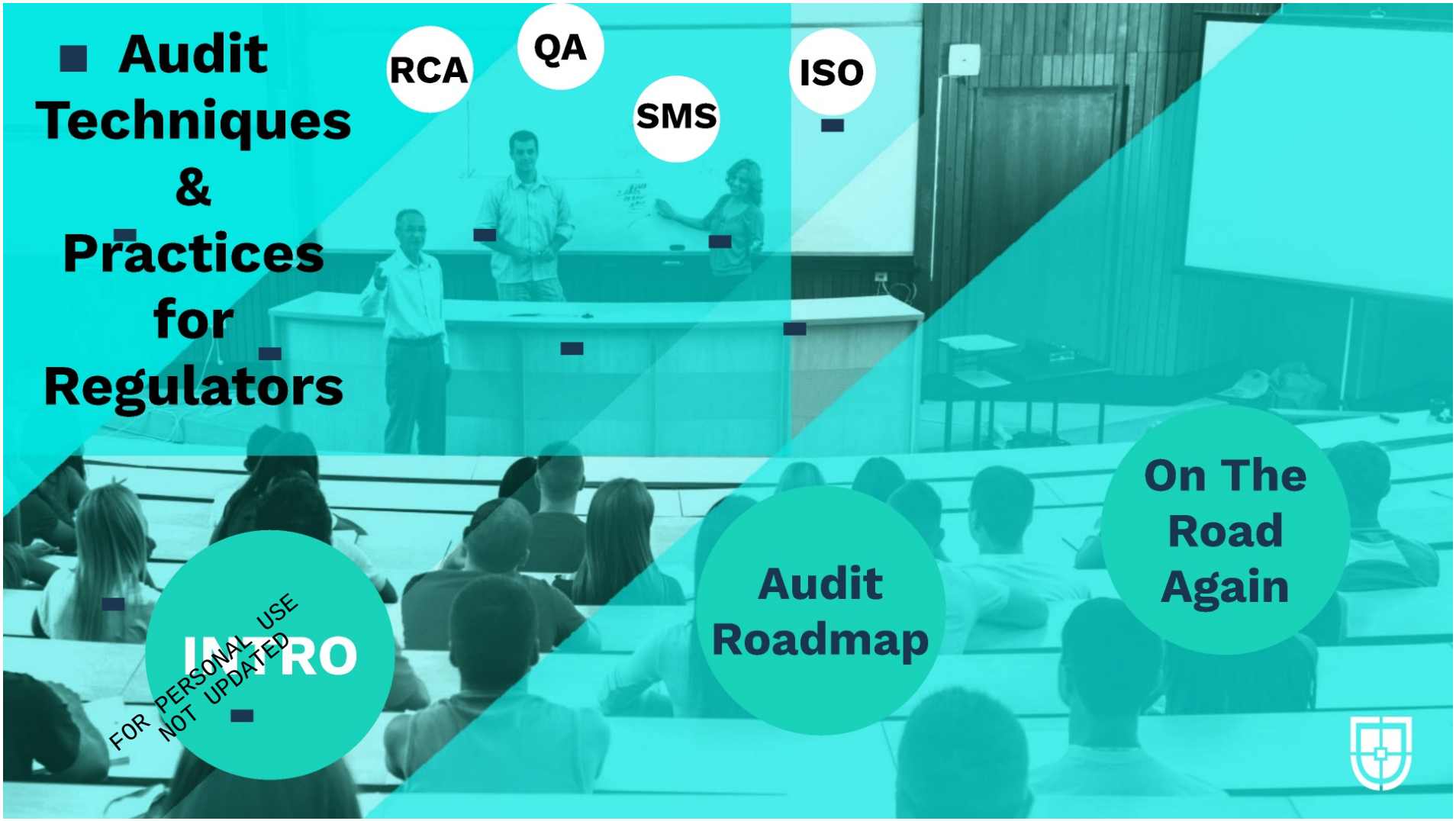
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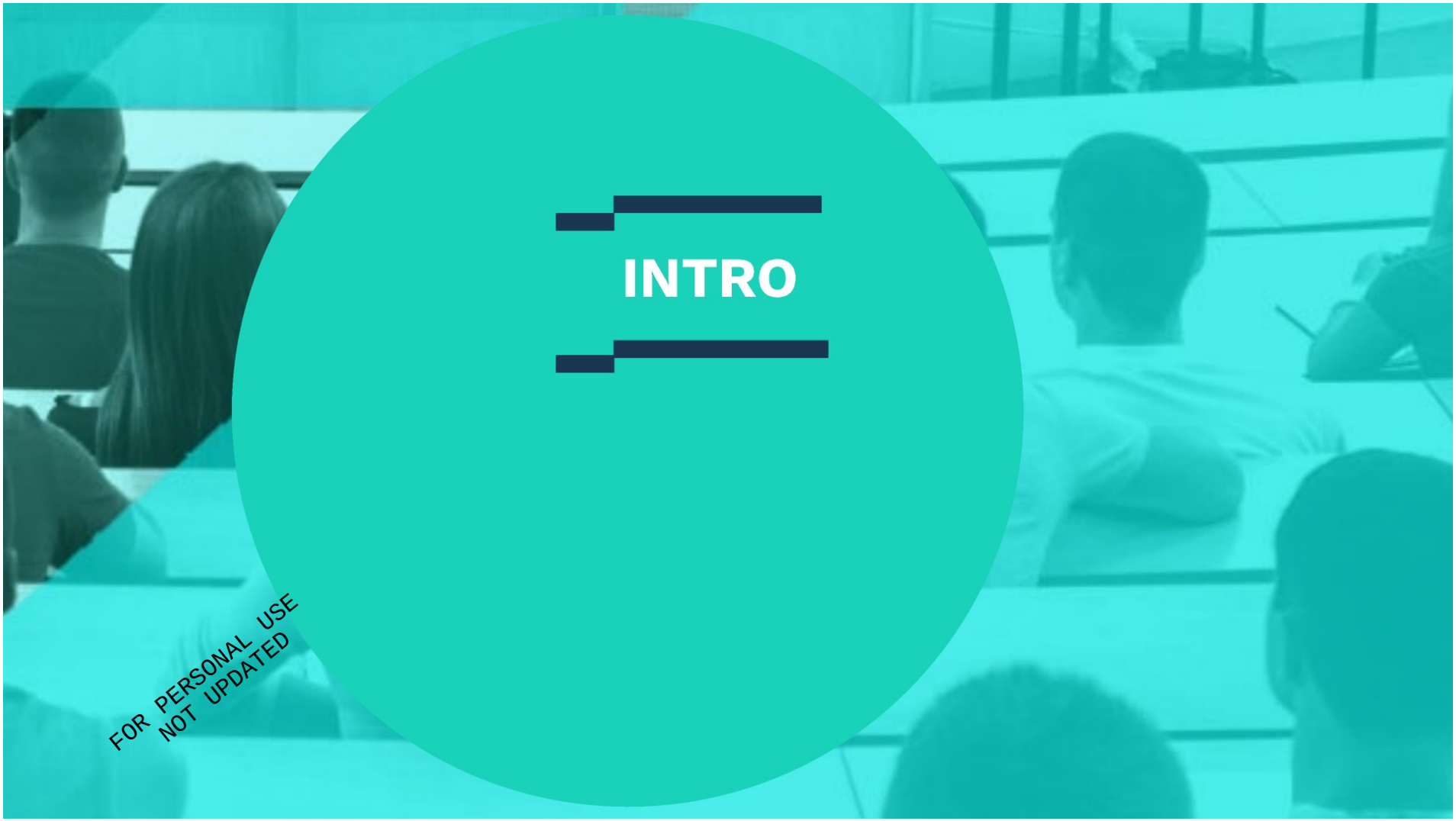

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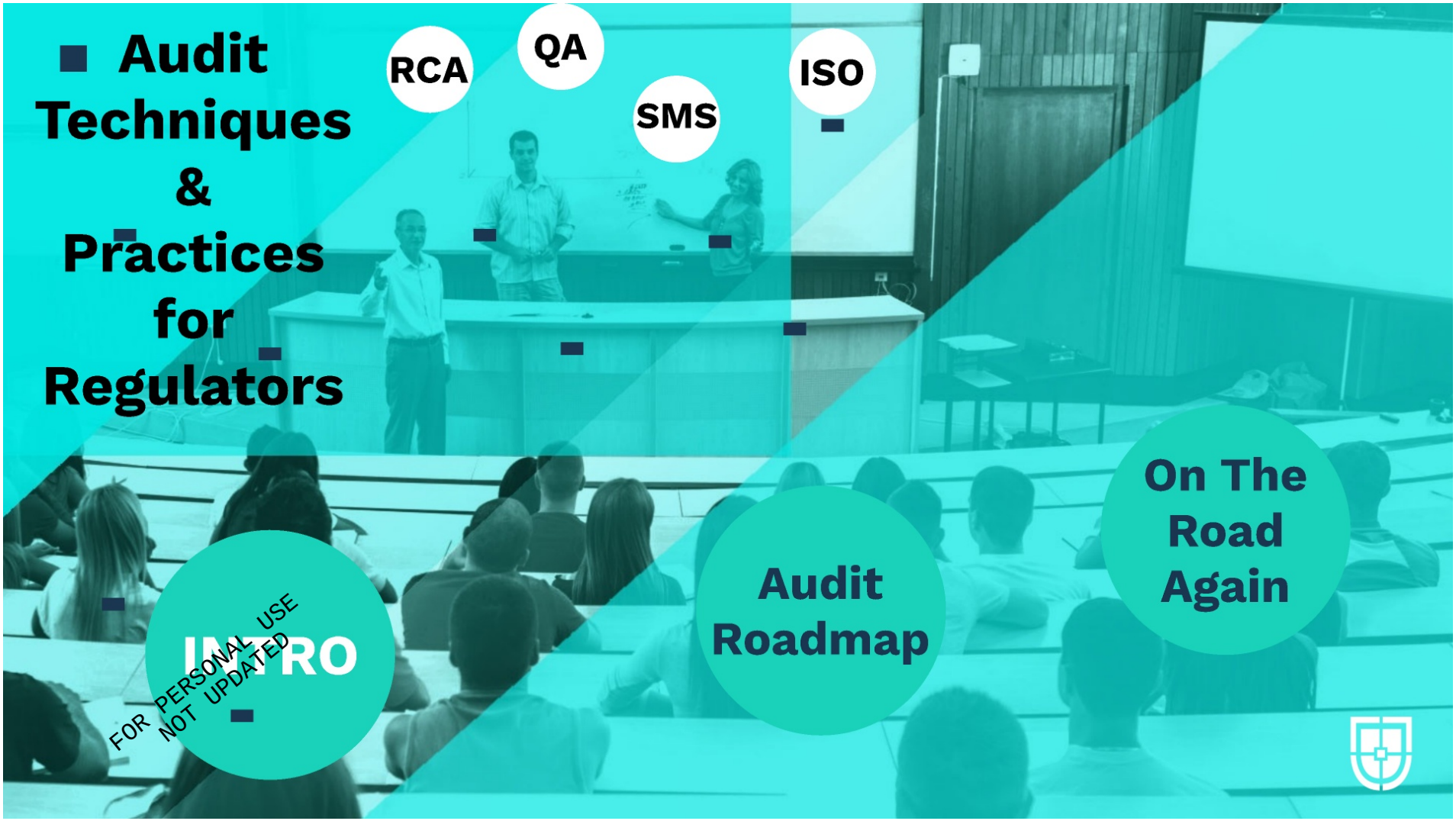
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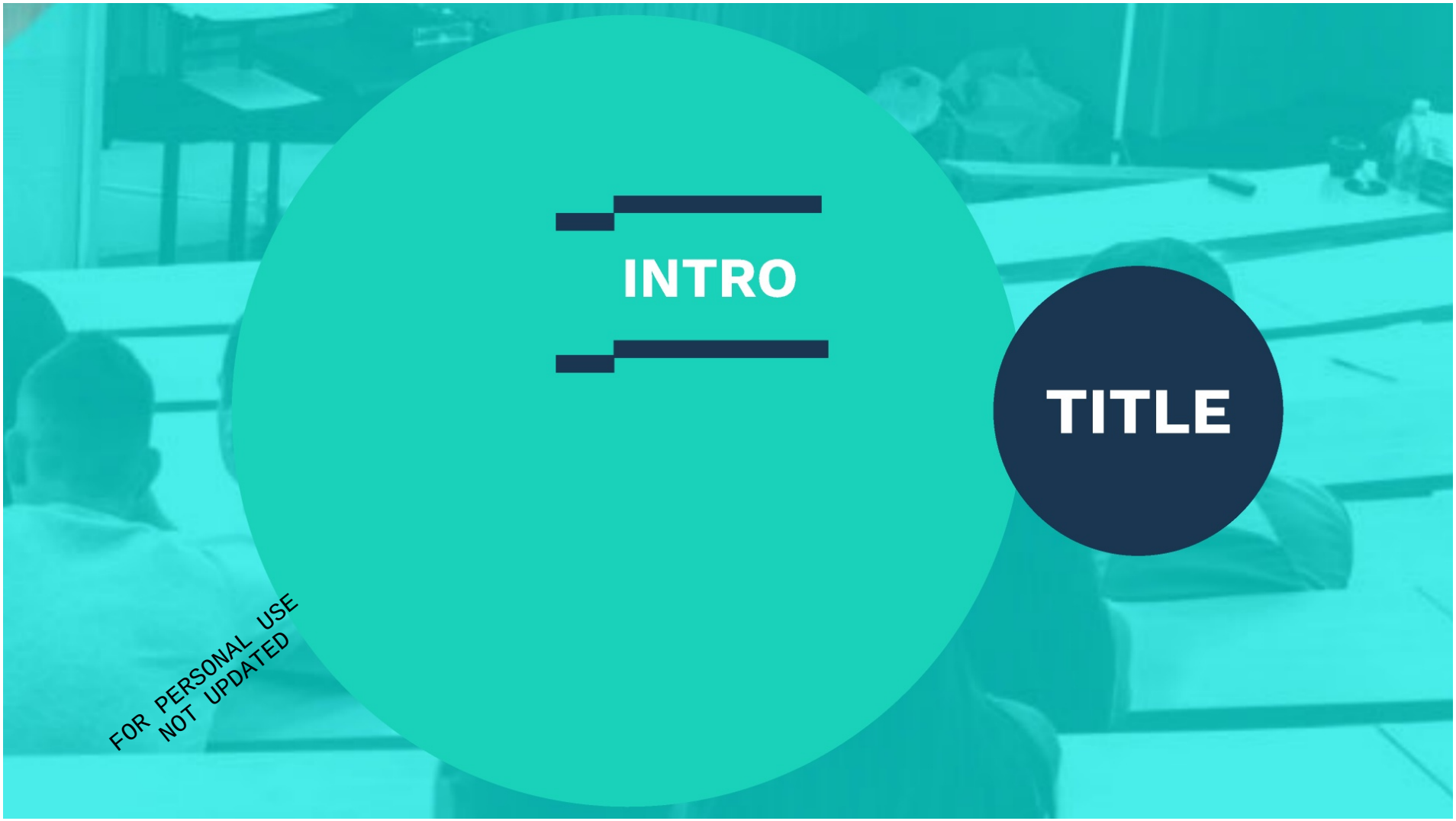
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Physical Inspections

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Aim

To describe the activities and procedures that are carried out during physical inspections.

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Outline

We will cover:

- Overview
- Checklists
- Interviewing
- Documenting evidence
- Audit forms
- Corrective action

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3

What is Auditing?

Examining the operator's system, in your assigned area, to determine if it meets the applicable Civil Aviation regulations and company procedures as published in their CAA approved documents and manuals.

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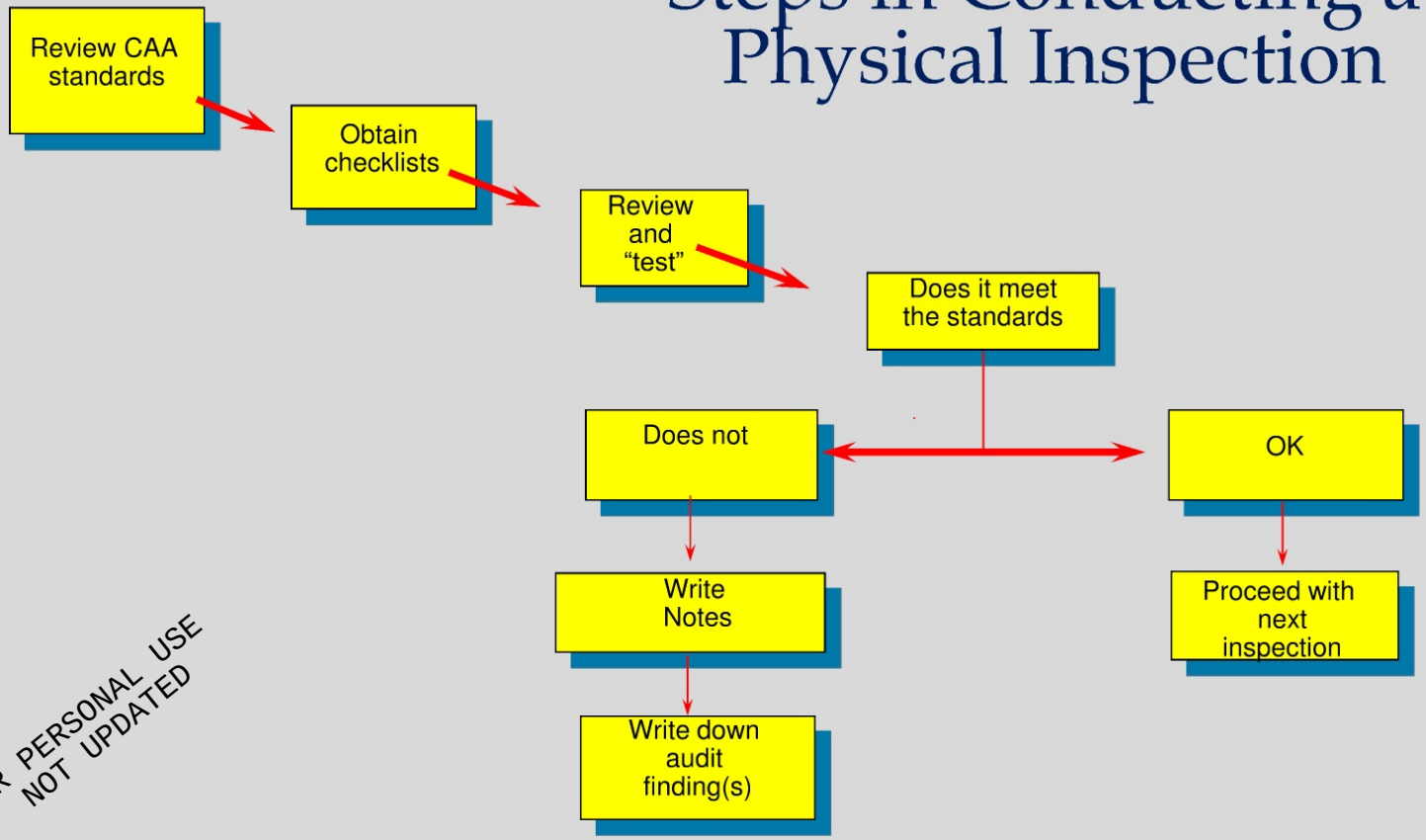
Steps in Conducting a Physical Inspection



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Checklists

- Use as directed
- Ensure that no area is overlooked
- Write down information
- Check company against applicable Civil Aviation regulation requirements

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Audit

Airworthiness

- Maintenance Control/Policy Manual
- Civil Aviation Regulation
- Aviation Act
- MPD/MRB
- Approved maintenance programs

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Interviewing People

Why?

- To determine if the system documented in the approved manuals is the system in use
- To assess the knowledge of the operator's personnel and to review their duties and responsibilities
- To determine if any other areas need be audited
- To tell people what is going on

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Basics of Interviewing

- Ensure no other Inspector has talked to the person about the same thing.
- Where necessary, determine which Team Member will talk to whom
- Be organized
- Be polite
- Do not interrupt auditee. If necessary make an appointment

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Basics of Interviewing

Cont'd

- Do not threatening
- Explain to Person what you are doing and why
- Check whether it is ok to take notes
- Ask questions carefully
- Listen carefully to the response

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Basics of Interviewing

Cont'd

- Ask questions another way if necessary
- Ensure you understand the answers
- Ask extra questions as necessary
- Try to discuss
- Remain on track
- End the interview in a friendly manner

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After Interview

- Make extra notes as necessary
- Tell Team Leader if necessary

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Do Not

- Play ‘I have you now’
- Intimidate
- Allow yourself to be intimidated
- Allow yourself to be drawn into fight

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What if?

- The person refuses to speak to you
- The person wants to say tell you a secret
- The person wants to fight
- The person wants to make a speech

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INTERVIEWS & COLLECTION OF EVIDENCE

During this phase, the level of compliance with the regulations and organization approved manuals will be assessed.

The interactions between –

- functions,
- activities and
- processes

should also be assessed during the interviews and collection of evidence phase.

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INTERVIEWS & COLLECTION OF EVIDENCE

The assessment performed in this phase is based on the interviews, observations and documents and records reviews by sampling.

The evidence collected during the audit should be kept to justify to the auditees the non-compliance founds.

The audit team should share with the auditee the non-compliance as soon as it is found.

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COMMUNICATION AND INTERMEDIATE MEETINGS

The internal communication within the audit team can be convened periodically, depending on the duration of the audit.

The internal communication is led by the audit team leader to share the progress of the audit and any concerns regarding the activities, the auditee and any other topic related to the audit.

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COMMUNICATION AND INTERMEDIATE MEETINGS

The internal communications shall be agreed on the preparation phase but can be amended by the team leader during the on-site activities.

The team leader should pay specific attention to team coordination if the audit is a multi-sites audit.

If a team member comes across a new and/or changed circumstances or risks, he/she should advise the team leader accordingly.

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COMMUNICATION AND INTERMEDIATE MEETINGS

The external communication with the auditee about the non-compliances found during the audit is necessary to be performed to the auditee as soon as possible.

During the communication is the opportunity to explain why they are non-complying with the regulations or manuals and is the right opportunity to explain to the auditee how to implement proper corrections and corrective actions to solve the non-compliance.

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COMMUNICATION AND INTERMEDIATE MEETINGS

The auditee should implement without delay a proper action to get back to a safe situation.

During the audit, the non-compliances template can be used to inform of a non-compliance finding and the deadlines to implement proper actions.

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DAILY TEAM MEETING

Team Leader Duties

- Exchange, discuss and validate the day's findings and confirmation requests
- Reach agreement on certain items
- Be informed and measure the progress of the audit
- Plan the strategies and take decisions necessary in terms of directing and redirecting personnel

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Evidence

What is it?

Anything which supports or shows a non-conformance.

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Immediate Threat to Safety

Inform Team Leader

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Not an Immediate Threat to safety

What do you do?

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QUESTIONS - You Ask Or I Ask

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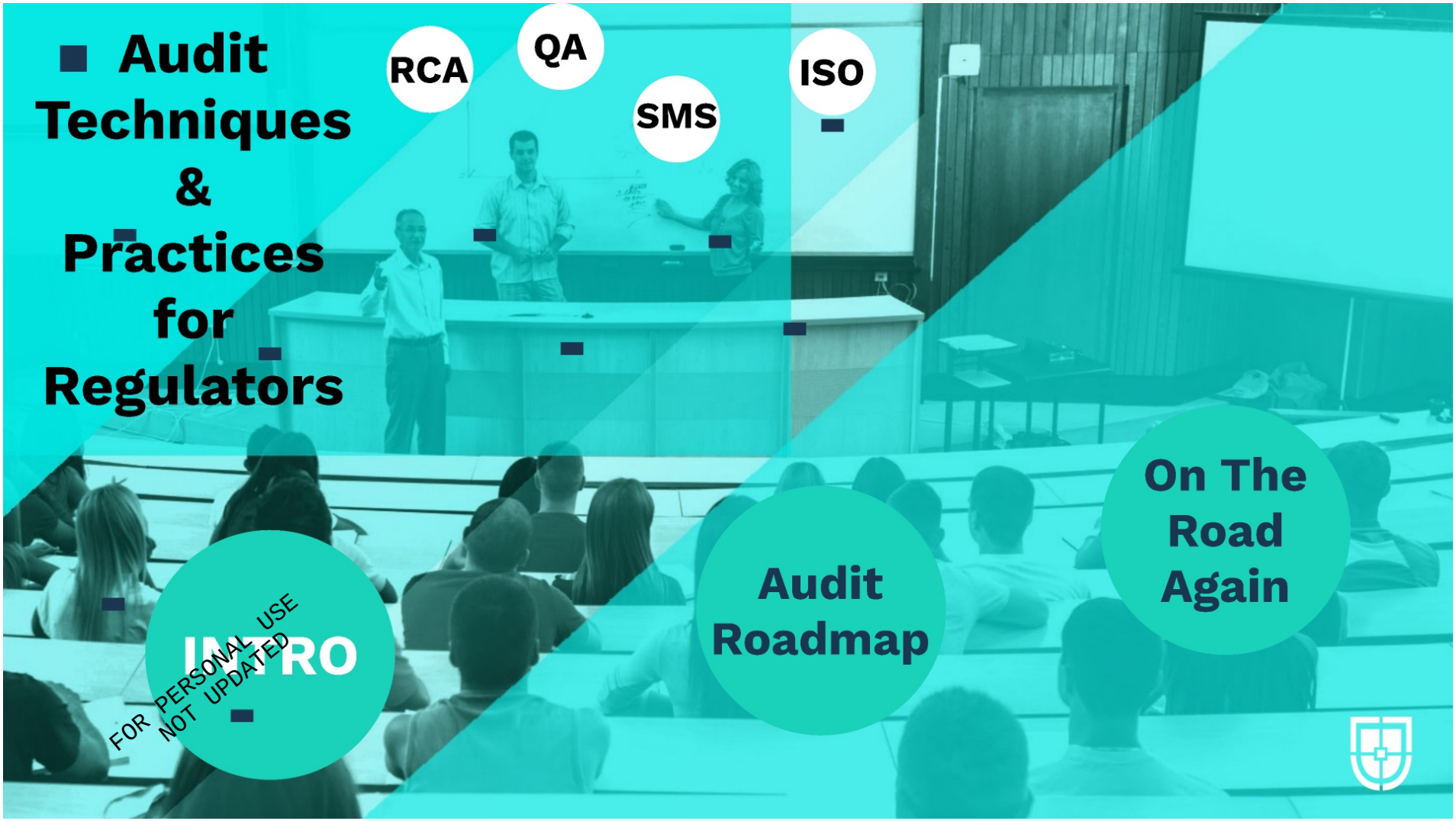
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