



**AERONAUTICAL INFORMATION
SERVICES AND CARTOGRAPHY
INSPECTORS VIRTUAL COURSE**



CHAPTER SIX

Post-Audit Activities and Audit / Inspection Outcomes

COURSE CONTENT

- ❑ Aviation Safety Oversight and the USOAP-CMA;
- ❑ The AIS and Cartography Safety Oversight
- ❑ Development and Review Regulations and other Oversight Documentation
- ❑ Tools used in AIS and Cartography oversight
- ❑ Audit/Inspection of an AIS and Cartography Providers
- ❑ Post-Audit Activities and audit/inspection Outcomes
- ❑ AIS and Cartography Competency Assessment and Certification (CE - 6)
- ❑ Continuous Surveillance of an AIS and Cartography provider (CE -7)
- ❑ Resolution of AIS and Cartography safety issues (CE - 8)
- ❑ Enforcement of AIS and Cartography Related Standards and Regulations (CE - 8)

COURSE OBJECTIVES

At the end of this course the participant should be able to:

- Describe the ICAO Safety Oversight function and the USOAP/CMA;
- Demonstrate an understanding of the State Safety Oversight including the AIS and Cartography Inspector Roles within the Oversight organization
- Understand the duties and responsibilities an AIS and Cartography Inspector;
- Develop and Review Regulations, Guidance Material and other oversight documentation
- Develop and effectively utilize the tools used for the oversight of AIS and Cartography Service Providers;
- Conduct an Audit of an AIS and Cartography Service provider;
- Write and disseminate an audit report and undertake follow-up activities;
- Be able to undertake Resolution of safety issues and enforcement actions

Overview

Post- Audit/Inspection & follow-up Phase

- Post-Audit/Inspection activities include completion of administrative details and preparation of the Audit/Inspection report.
- Audit/Inspection follow-up includes:
 - a) acceptance of the organization's corrective action plan (CAP);
 - b) verification of full implementation of that plan; and,
 - c) formal closure of the Audit/Inspection.

Post-Audit Activities

- After physical or virtual surveillance, audit teams conduct a post-audit meeting to consolidate and analyze data.
- Once conclusions have been drawn, audit teams are expected to conduct a validation meeting with the Head of the inspectorate (Depends on CAA applicable procedures) and finally to complete and submit an audit report to the AIS and Cartography Service provider.
- Audit teams are expected to track and follow-up on ANSP responses to the audit report, as well as any corrective actions.
- Audit records should be archived and safely stored

Note: There should be implemented an effective and efficient system for record-keeping and filing of records for all oversight activities.

Post-Audit Activities

Post audit activities include:

- collating and analyzing data collected from all audited facilities and services;
- validating observations;
- writing and submitting an audit report;
- Clearly communicating audit results
- archiving audit records; and
- follow-up with the ANSP(s).
- Adhere to overall audit timeline

Post-Audit Activities

Post audit activities include:

- Evaluation and acceptance of the AIS and Cartography provider's corrective action plans (CAPS);
- verification of full implementation of that plan; and,
- formal closure of the Audit/Inspection.

Post-Audit Activities



Figure 1: Post-audit activities

Audit Report

- An audit report is the formal representation of audit findings.
- The audit report is the end result of an audit and can be used as a tool for requiring action, altering operations, enforcing accountability, or making decisions.
- An effective audit report is essential to making sure the results of your audit are presented in a way that is useful to the auditee and to ensure compliance.
- Before getting into the specifics of writing an audit report, it is important to understand the objective of the audit report.
- Having these in mind you report will write a report that meets the objective it is supposed to.

Audit Report

- An audit report summarizes the results of an audit
- It gives a factual account of the audit
- Highlights observations made and if applicable recommendations
- An audit report is prepared by the team leader in coordination with team members
- It should be approved by the head of inspectorate /Department / Directorate (as applicable) before submission to the provider.

Objective of Audit Reports

1. Identifying non-compliances:

- The main goal of any audit report is to illustrate where the AIS and Cartography Service Provider does not conform with the regulations or procedures that have been promulgated by the CAA;
- It is important to clearly identify the non-conformity, as well as the requirement that the AIS and Cartography Service Provider provider does not conform with.
- It is then important to identify the evidence that confirmed the non-conformity.
- The objective is that the identified non conformity should contain enough information so that the receivers of the audit report can rectify the non-conformance.

Objective of Audit Reports

2. Outlining positives:

- An audit report should not just include negatives. This is especially true for compliance reports, and operational audits.
- This allows the organization to focus on areas that are working and apply these to other areas.

3. Identify areas that require improvement:

- It's also important to identify the high risk areas or areas that may be in compliance but are at risk of eventually not complying, or that could be improved.

Qualities of a Good Audit Report

Strategies of a Successful Report:-

- a) The report should be risk based;
- b) Link the report to safety;
- c) Present audit observations effectively;
- d) Convey important information up front in the executive summary;
- e) Include details in the body of the report;
- f) Use objective evidence to support conclusions;
- g) Be accurate and consistent;
- h) Exhibit professionalism.

Qualities of a Good Audit Report

An audit report should be objective and not contain:

- Subjective opinions
- Criticism
- Items that were not discussed at the exit meeting
- Confidential information
- Trivial issues

Note: An audit report is an official record of an audit, so it will likely be returned to in later years for review.

Audit Report - Contents

The audit report should potentially include the following:

- Objectives
- What was audited, including the organization/area and scope
- Details of the auditee
- Audit team details
- Dates and locations of the audit
- Audit criteria used
- Audit findings (which may be summarized in the body of the report if they are reported separately elsewhere)
- Conclusions
- Improvement recommendations.

Audit Report - Contents

Other items may include:

- Audit plan
- People contacted within the auditee organization
- Audit process
- Problems encountered that may have an impact on the reliability of the results
- Achievement of the audit objectives
- Areas within the scope but not covered
- Follow-up plans and arrangements
- A confidentiality statement
- Distribution list for the audit report

Audit Report

- The audit report should outline the follow-up actions required to resolve any issues.
- The report should indicate the need for corrections or for corrective, preventive or improvement actions.
- These actions are usually decided and undertaken by the auditee within an agreed timeframe.
- The auditee should keep the person managing the audit programme and the audit team informed of the status of the actions.
- The auditor should ensure that remedial action is taken.

Audit Report (Findings)

For each finding, there should be:

- A description of the non-compliance or observation
- Assigned risk rating of the non-compliance
- Timeframe for completion of actions for each non-compliance identified

Audit Report Format

1. Executive Summary	Main message: a few sentences summing up your findings, conclusion and recommendations.
2. Introduction Background	What you inspected and why (objective); who was involved; the scope (where); when; method of inspection
3. Main Body	Contains the details of the audited/inspected areas including observations and findings?
4. Conclusion (Outcome)	Contains results, evaluations and what action should be taken on the findings identified during the audit/inspection.
5. Recommendations	What should be done to meet required standards or continued compliance.
6. Appendices/Attachments	Supporting materials. e.g. checklist, Corrective Action Request (CAR) form etc.

1. Executive Summary

- This is an overview of the audit results.
- It should present overall conclusions and recommendations related to the Purpose and Scope Methodology.
- This section must include:
 - a) A brief description of what was audited, objectives, scopes, and time periods.
 - b) Statements of significant action plans.
 - c) Overall statements of concerns and conclusions.
 - d) Overall audit report rating.

2. Introduction/Background

The Introduction details the following items:

- What was inspected;
- Why (the objective);
- Who was involved in the audit;
- Where (the scope);
- When (Date of audit);
- Method of inspection (Methodology).

3. Main Body

- Contains details of the audited/inspected areas including observations and findings?
- When writing the body of the report, you need to understand the **condition, criteria, cause, and effect**.
- The findings of your audit report are reliant on these terms, and understanding and addressing them in each finding is key to a good report.
 - a) **Criteria** : an explanation of the standards/requirement used to evaluate the service, program, function, or activity audited.
 - b) **Condition** : how effectively the AIS and Cartography provider is complying. Requirements can either be fully, complied with, partially complied with, or not complied with.
 - c) **Cause** is a statement on the reason things have gone well or poorly. Possibilities include inadequate procedures, procedures not being followed, poor supervision, or the AIS and Cartography provider using unqualified personnel.
 - d) **Effect** states the result of the conditions, in quantifiable terms. Is the effect increased risk or exposure? Is it poor performance?

4. Audit Conclusions

- The audit report concludes against the audit objective and that the conclusion should be clearly indicated in the audit report.
- Contains results, evaluations and what action should be taken on the findings identified during the audit/inspection.
- These conclusions should be independent and factual, and not based on assumptions. A set of such conclusions leads to forming an opinion.

5. Recommendations (As applicable)

Make effective recommendations.

- As an auditor/inspector, your final task is making recommendations for improvement for the audited AIS and Cartography provider.
- Remember to do the following while writing your recommendations:
 - a) **Be positive.** Focus on what is going right at the moment, and how the good aspects of the entity can be applied in ineffective areas.
 - b) **Be specific.** Be very clear as to what specific aspects do not adhere to requirements, and to what concrete steps could be potentially implemented to ensure compliance.
 - c) **Identify who should act.** Does the service provider need better employee performance or should management be picking up the pace? Make clear who needs to make changes.
 - d) **Keep recommendations brief.** Be succinct - only include details that are necessary to your point.

Audit Report Appendices/Attachments

The following items should be attached as supporting materials:-

- Checklist;
- Corrective Action Request (CAR) form (findings);
- Corrective Action Plan template for the action of the AISP to resolve the non compliances.

Corrective Action Requests (CAR)

- The audit report transmitted to the audited entity will be accompanied with individual Corrective Action Requests for each finding identified during the audit/inspection.
- CAR should contain:
 - a) The regulation/requirement breached
 - b) The details of the finding including any evidence(s)

Classification of Findings

Findings can be classified in three classes namely:

- a) Serious Finding (Level I)
- b) Major Deficiency (Level II)
- c) Minor Deficiency (Level III)

Serious Finding (Level I)

- A deficiency posing a very serious safety risk to aviation safety
- Requires immediate action by the ANSP to resolve it
- Involves imposition of operating restrictions till the safety concern has been addressed or resolved
- No certificate / licence or authorization should be issued or renewed till the deficiency is resolved or eliminated.

***Example** : operating a static database for aeronautical Information/data with no access restriction and control on data manipulation of processing.*

Major Deficiency (Level II)

- A deficiency in the service provider's system and posing a serious safety risk which should be resolved within 10 days
- Requires a CAP from the ANSP detailing plans and timelines to resolve the deficiency if not resolved within the stipulated period;
- The Authority can impose operating restrictions to ensure the ANSP resolves the deficiency;
- Certificate / Licence/authorization action till an acceptable CAP is received is an example of operating restrictions

Example: Lack of clearly defined work procedures in the data receipt and processing including verification and validation.

Minor Deficiency (Level III)

- A non-compliance that could lower safety standards
- Poses less serious safety risk and concerns isolated incidents which will not necessarily have a direct impact on safety on its own
- Required development of a CAP by the ANSP with a maximum implementation period of 90 days
- A certificate / licence/authorization may be issued/renewed subject to submission of an acceptable CAP by the ANSP;

Example: Lack or inadequate supply of working tools , lack of a maintenance contract with the a software/application vendor

Minor Deficiency (Level III)

- The AIS and Cartography Service provider shall inform the CAA in writing on completion of corrective actions for all deficiencies identified;
- The AIS and Cartography Service provider can apply for exemption while providing suitable mitigation measures where the deficiency cannot be resolved within 90 days;
- Exemptions shall be granted for a period not exceeding that specified in the regulations;

Handout -CAR

Observation

- May be negative or positive;
- They must not include information suggesting non-compliance with Civil Aviation Regulations and/or procedure;
- No regulatory action is required to be taken in the case of observation;
- Service providers are however urged to take observations seriously for purposes of improving their operations.

Audit/inspection report submission

- Once the team leader has received and assembled all the areas of the report, it will be forwarded to the head of inspectorate for approval;
- Timelines specified by the CAA will be followed in submission of the final report

Audit Report Transmission

Audit reports should follow a proper format. When polishing up the audit report, make sure to follow proper format before transmitting it.

- a) Include a **cover page**. The cover page should be three or four lines, and outline the subject of the audit report and the type of audit.
- b) A **letter** should follow the cover page. The memo should be one or two short paragraphs overviewing who and what was audited, who has received or is receiving the report, and plans for future distribution.
- c) A **table of contents** follows the memo, and it contains a catalogue of sections, page numbers, sections, and suggestions of the audit.
- d) The report should be written in plainly-worded, non-technical language and use proper grammar and paragraph organization.
- e) Audit Reports are organized by chapters, each with a title, and by sections and subsections, each marked with a heading. Headings should go from general to more specific.

Audit Report Transmission

Provide an explanation for the

- a) CAR;
- b) CAP; and
- c) CAP Evaluation forms.

Exercise No.4

Writing of an Inspection Report



End of Chapter 6

Thank You