

Safety Oversight Audit Section

Regional Seminar on the Preparation, Conduct and Reporting of an ICAO Safety Oversight Audit

Beijing, China, 12 to 15 December 2006

USOAP Audit Process – Post-audit Phase

Module 9

Module objective

At the end of this module the participants will have a clear understanding of the activities undertaken both by Contracting States and ICAO during the post-audit phase under the comprehensive systems approach.

Outline

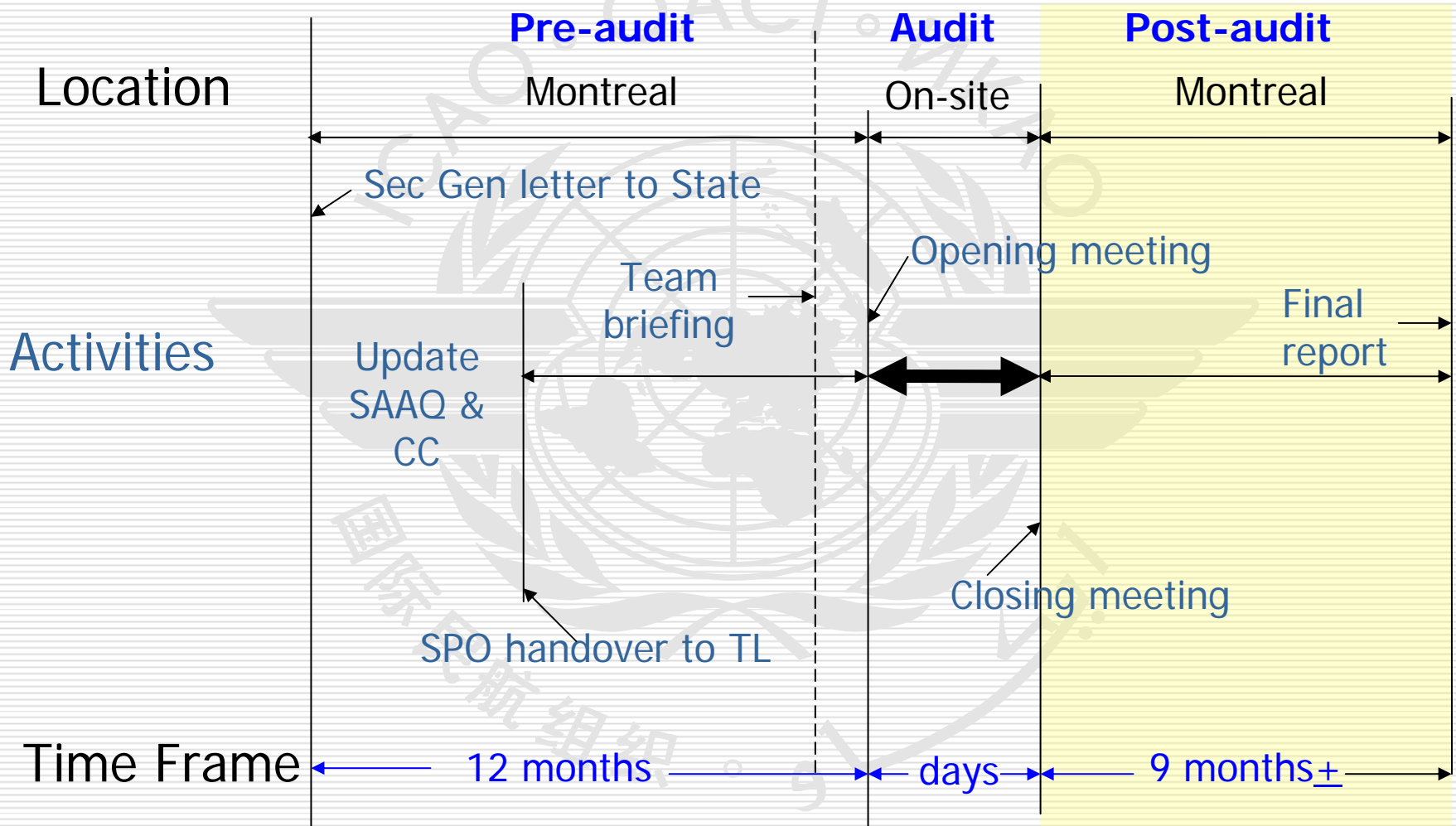
- ❑ Post-audit phase
- ❑ Flowchart of post-audit phase activities
- ❑ Interim Safety Oversight Audit Report
- ❑ State's corrective action plan
- ❑ Final Safety Oversight Audit Report
- ❑ Notification of differences to ICAO
- ❑ Preliminary progress review
- ❑ Internal quality assurance – Feedback forms
- ❑ Role of the National Safety Oversight Coordinator during the post-audit phase

Post-audit phase

- The post-audit phase commences at the end of the official closing meeting with the State and concludes with the publication of the final safety oversight audit report and related information by ICAO.

NOTE: *The final safety oversight audit report is a living document and will be continuously updated with the most current information during the audit cycle.*

Post-audit phase



Post-audit activities

Day "0"

- Safety Oversight audit completed
- Audit debriefing completed
- Draft findings & recommendations provided to the State

State may start to work on its action plan

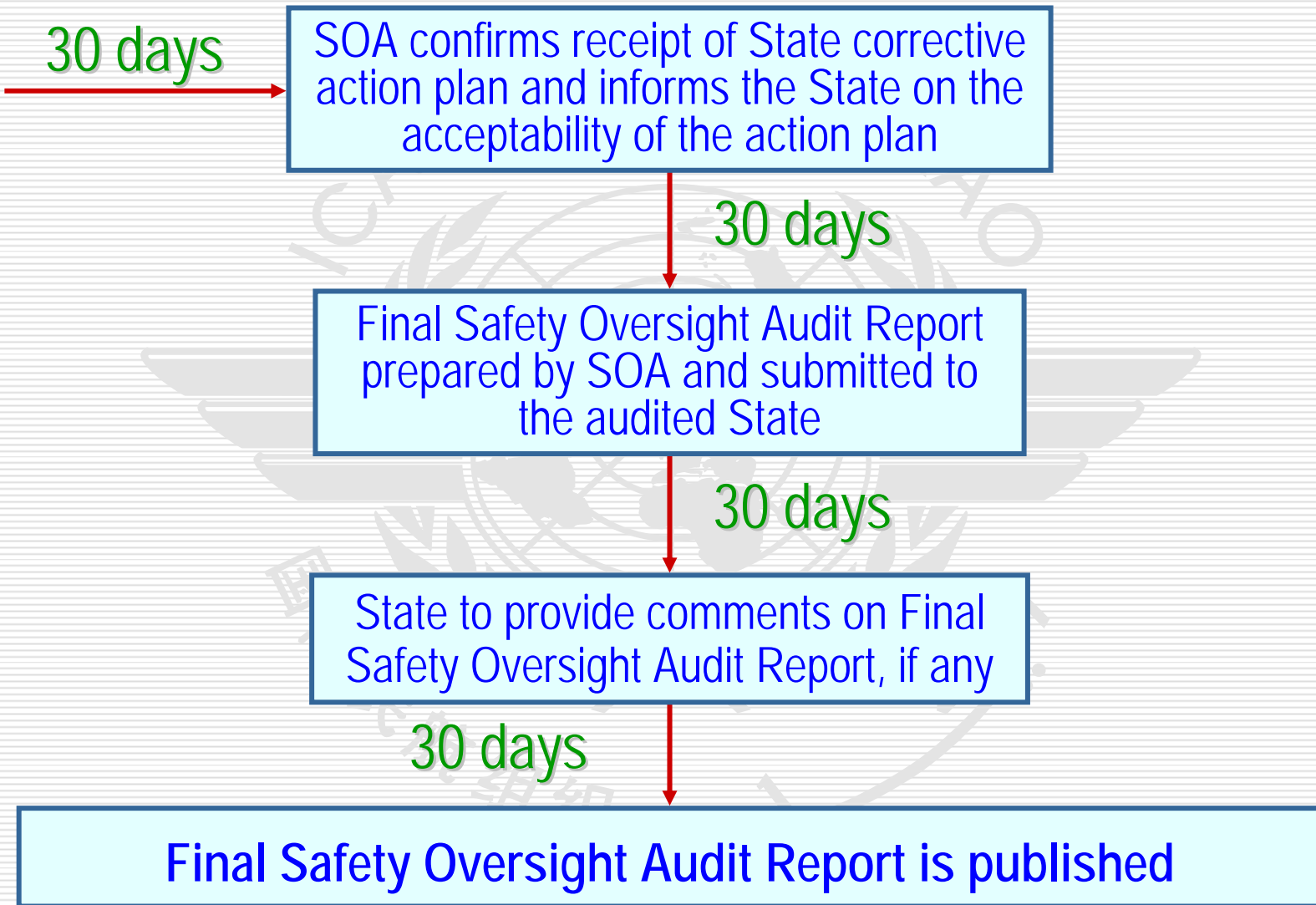
90 days

SOA forwards Interim Safety Oversight Audit Report to the State

60 days

State submits its corrective action plan and its comments on the interim audit report

Post-audit activities



Interim safety oversight audit report

- ❑ The Interim Safety Oversight Audit Report is the first ICAO “official” report of the audit.
- ❑ It is submitted to the State within 90 calendar days after the audit closing meeting.
- ❑ If the report needs to be translated to another ICAO language, 45 additional calendar days are added.

Contents of the interim safety oversight audit report

Introduction

Background information on the CSA and the audit

Audit results by critical element

Status of implementation of the critical elements in the State

Information related to:

Industry visits conducted	SAAQ
Compliance Checklists	Follow-up actions

Appendices and attachments

Audit findings and recommendations
Analysis of findings bar chart
Copy of Memorandum of Understanding

State's corrective action plan

- ❑ The State is encouraged to start working on its corrective action plan on the basis of the draft findings and recommendations submitted to the State's authorities during the closing meeting.
- ❑ The official State corrective action plan, however, should be based on the "official" Interim Safety Oversight Audit Report, and should reflect the findings contained in the Interim Safety Oversight Audit Report.
- ❑ The State corrective action plan should be submitted to ICAO within 60 calendar days after the State has received the Interim Safety Oversight Audit Report.

State's corrective action plan

- ❑ The State's corrective action plan should:
 - Address ALL the findings contained in the Interim Safety Oversight Audit Report.
 - Provide specific actions and time-lines for the resolution of each of the findings.
 - Indicate the office responsible for each action.
- ❑ States are encouraged to use the State Corrective Action Plan Template developed and provided by ICAO for this purpose.

State's corrective action plan

- ❑ If no State corrective action plan is submitted within the determined period, the State will be reminded of the situation and asked to submit its action plan immediately.
- ❑ In the absence of a corrective action plan, the Final Safety Oversight Audit Report will be prepared and distributed to all Contracting States.
- ❑ The failure to submit a State corrective action plan will be informed to the ICAO Council, which will determine the course of action.

State's corrective action plan template


AUDIT FINDING XXX/nn		
<p>Example: The State has not established a system or an organization to ensure that air operators issued with an air operator certificate (AOC), are appropriately assessed for their ability to conduct an air transport activity. The Organization authorized to issue AOCs does not have appropriate resources and qualified experts to effectively conduct the assessment of a potential air transport provider.</p>		
<p>STATE'S COMMENTS AND OBSERVATIONS</p>		
<p><i>The CAA agrees with the findings of the ICAO audit team.</i></p>		
<p style="text-align: center;">Post-Audit Activities A Sample of the Corrective Action Plan</p>		
CORRECTIVE ACTION (S) PROPOSED	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<i>Establish an appropriately organized and resourced flight operations and air worthiness inspectorate departments.</i>	CAA	<i>By 31 October 2006</i>
<i>Recruit appropriately qualified flight operations and airworthiness experts</i>	CAA	<i>Before 31 July 2006</i>
<i>Recruit supporting staff to assist the newly established Office of Certification and Inspection</i>	CAA	<i>By 15 September 2006</i>
<i>Establish a training programme for inspectorate staff and provide initial training to all technical staff</i>	CAA	<i>By 31 August 2006</i>
<i>Establish a programme of re-certification of all AOC holders</i>	CAA	<i>Starting 15 November 2006</i>
<p>SOA COMMENTS ON STATE'S CORRECTIVE ACTION PROPOSAL</p>		

Final safety oversight audit report

- ❑ The Final Safety Oversight Audit Report is the official report of the audit. It supersedes the Interim Safety Oversight Audit Report.
- ❑ It is sent to the State within 60 calendar days after the State has submitted to ICAO its corrective action plan and its comments on the interim audit report.
- ❑ The State has 30 days to comment on the final audit report prior to and distribution to all Contracting States.
- ❑ The Final Safety Oversight Audit report will be distributed approximately 30 days after the State's comments have been received.

Contents of the final safety oversight audit report

The Interim Safety Oversight Audit Report forms the basis of the Final Safety Oversight Audit Report. The following elements are added:



The State's comments on the interim report

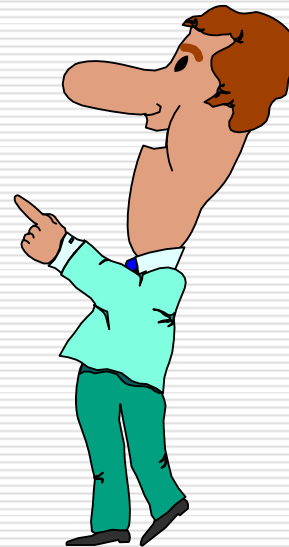
The State's corrective action plan

ICAO's comments on the State's corrective action plan

Other pertinent information relevant to the audit

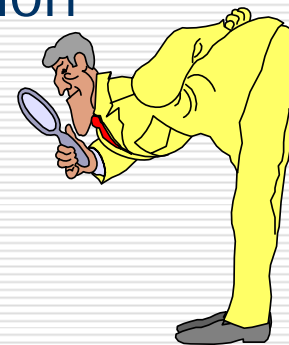
Notification of differences to ICAO

- ❑ Differences identified in the course of an audit are deemed to have been notified to ICAO by the State (MOU, Article 21) and will be forwarded to the ICAO Sections concerned.
- ❑ Differences will be incorporated in the Supplements to the appropriate Annexes.
- ❑ The overall obligation and responsibility for the notification of differences to ICAO rest with the audited State (Article 38 of the Convention).



Preliminary progress review

- ❑ ICAO will not conduct formal audit follow-up missions under the current cycle of audits.
- ❑ ICAO **MAY** conduct a preliminary review to determine the progress made by the State in the implementation of its corrective action plan
- ❑ This preliminary review may be made at any time by ICAO technical officers, either from the Regional Office concerned or from ICAO Headquarters, in coordination with the State.
- ❑ If necessary, more than one audit of a State will be conducted within the audit cycle;



Internal quality assurance – Feedback forms

Team Leader's Mission Report

Covers technical and administrative aspects of the audit. Includes appraisal of team members and recommendations.

Team Member's Mission Report

Covers specific concerns.

Completed on a need basis or if requested by SOA management.

Confidential State Feedback Form

Forwarded to the State with the Final Audit Report. It provides the State the opportunity to comment on the entire audit process.

Role of the NSOC during the post-audit phase

- ❑ Ensure that significant safety concerns, if any, are handled expeditiously.
- ❑ Ensure that the State starts working on its corrective action plan using the draft findings and recommendations and the template provided by the ICAO team during the audit closing meeting.
- ❑ Coordinate the preparation and submission of the State's corrective action plan within 60 calendar days after receiving the Interim Safety Oversight Audit Report, including the State's comments on the report.

Role of the NSOC during the post-audit phase

- ❑ If required by SOA, coordinate the entry of changes or adjustments to the State's corrective action plan and its re-submission to ICAO.
- ❑ Upon receipt of the Final Safety Oversight Audit Report , coordinate the comments from the State on the report and submit them to ICAO within 30 calendar days.
- ❑ Ensure that the State Audit Feedback Form is duly completed and submitted to ICAO shortly after the receipt of the Final Safety Oversight Audit Report.
- ❑ Keep SOA abreast of the State's progress in the implementation of the corrective action plan.

Review

- ❑ Post-audit phase
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Safety Oversight Audit Section

Thank you!

