

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 – Pre-audit Phase

Module 6

Module objective

At the end of this module, the participants will be familiar with the nature, scope and sequence of USOAP activities carried out during the pre-audit (preparatory) phase, and with the associated interactions between ICAO and the State's authorities.

Outline

- ❑ The Pre-audit phase
- ❑ Pre-audit activities:
 - Official notification of an audit
 - SPO's responsibilities
 - Assignment of team leader and team members
 - Documents and tools available to the team
 - State-specific safety oversight audit plan
 - Audit work programme
 - On-site pre-audit team briefing
- Role of the NSOC during the pre-audit phase

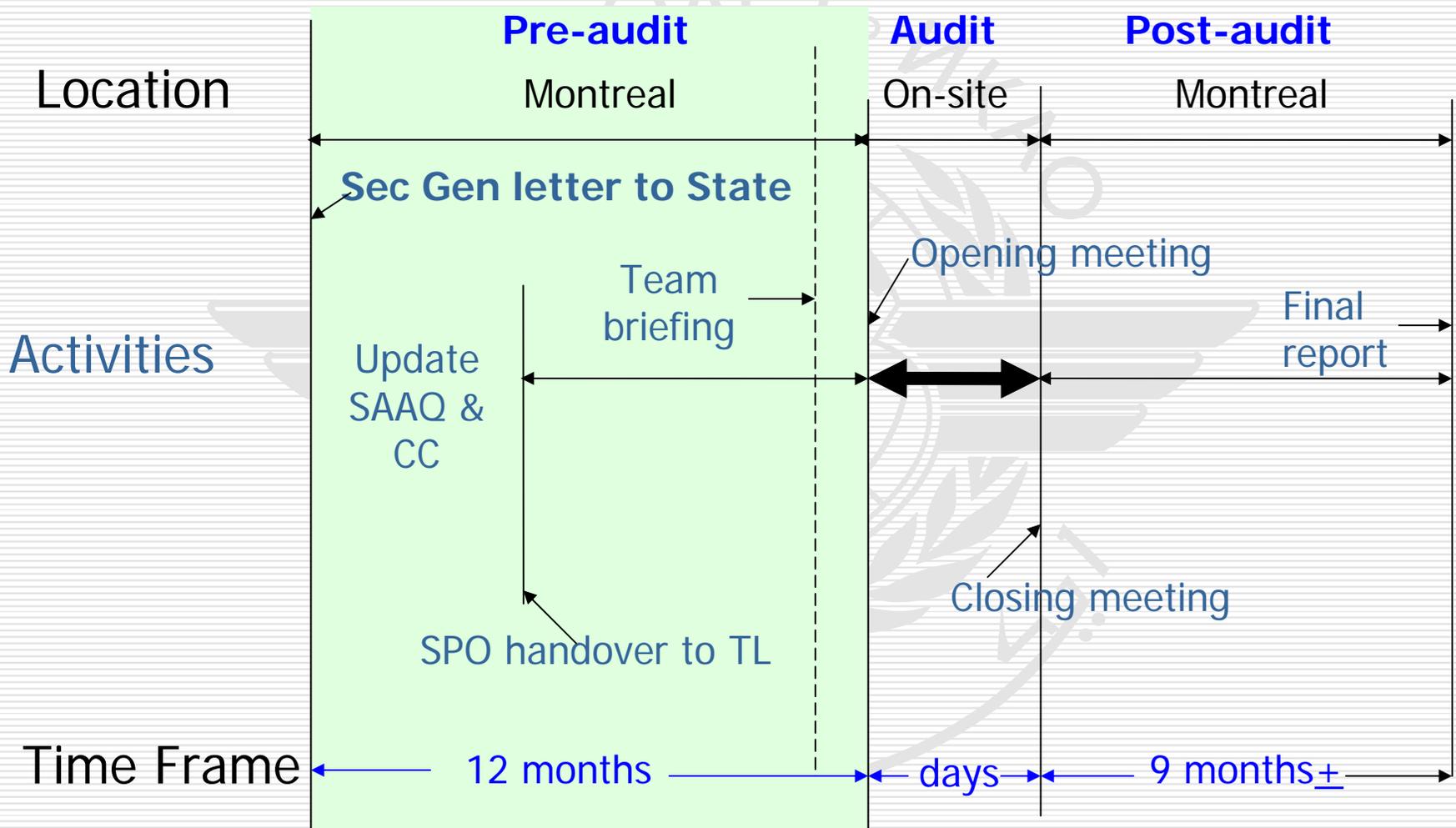
The background features a large, light gray watermark of the International Civil Aviation Organization (ICAO) logo. The logo consists of a globe with latitude and longitude lines, flanked by two olive branches. The acronym 'ICAO' is written in English at the top and in Chinese characters '国际民航组织' at the bottom. The text 'PRE-AUDIT PHASE' is superimposed over the center of the logo.

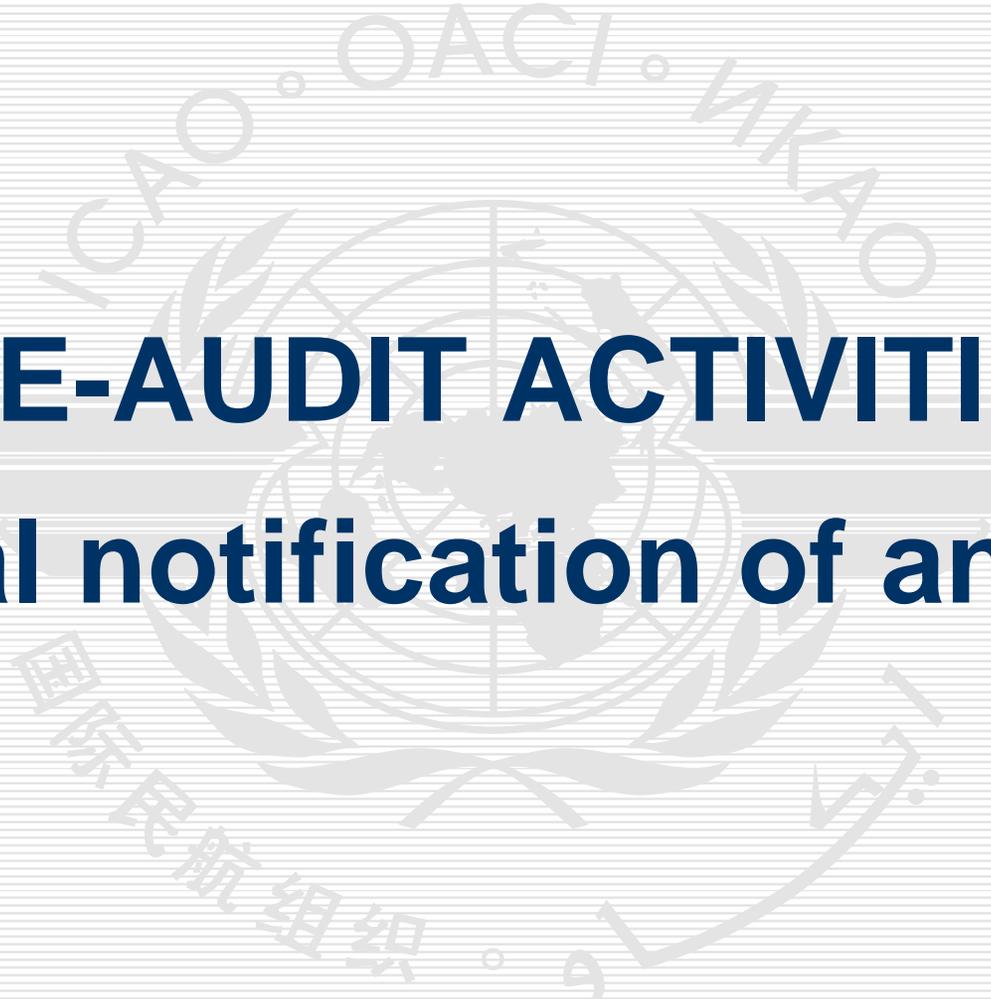
PRE-AUDIT PHASE

Pre-audit phase

- ❑ The Pre-audit phase of a USOAP audit starts when the letter from the Secretary General giving notification of the forthcoming audit is forwarded to the State.
- ❑ This phase concludes with the on-site audit team briefing prior to the official opening meeting of the audit with the State's authorities.

Pre-audit phase





PRE-AUDIT ACTIVITIES

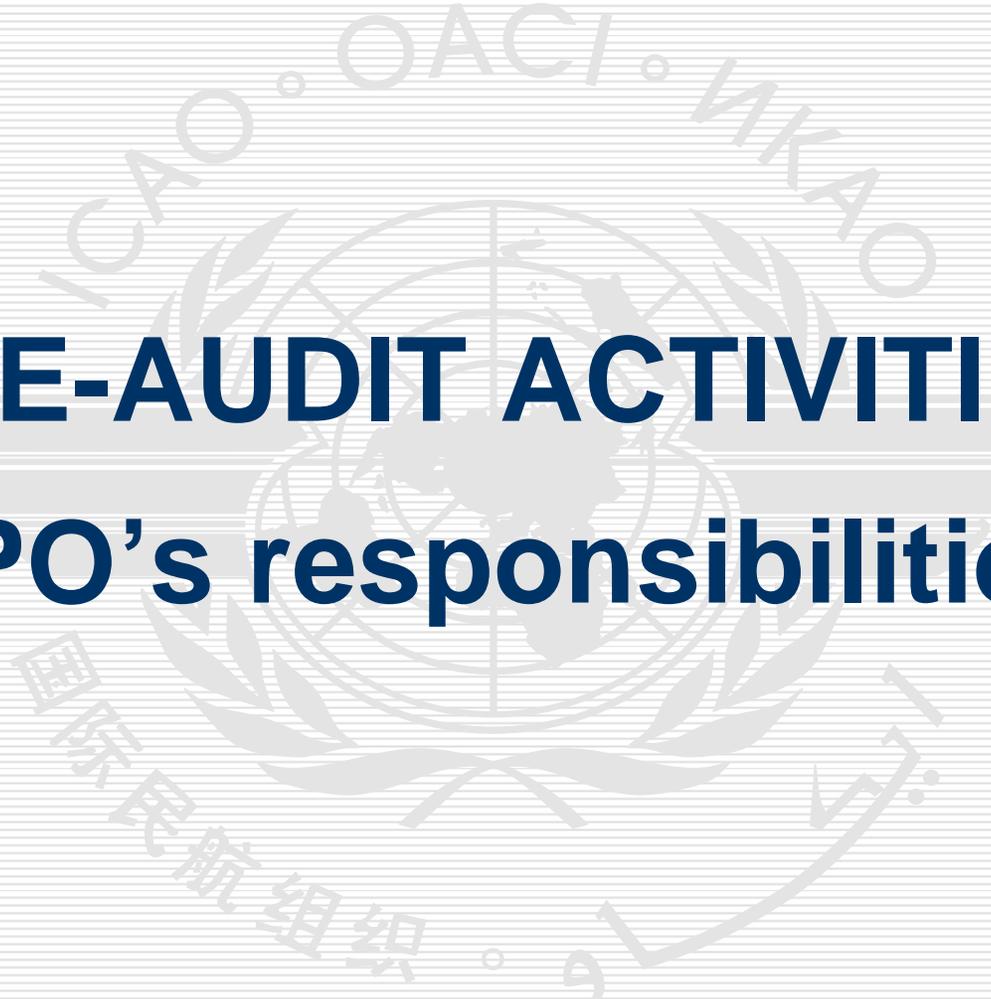
Official notification of an audit

Official notification of an audit

- ❑ States are initially informed of an audit up to 18 months in advance through a State letter containing the audit activity plan, which is forwarded to all Contracting States twice a year (June and December).
- ❑ An official letter of notification, signed by the Secretary General, is sent to the State to be audited 12 months prior to the conduct of the on-site audit.
- ❑ The Memorandum of Understanding (MOU) to be signed by the State is attached to the official letter of notification.

Official notification of an audit

- ❑ States are urged to accept the scheduled audit dates (Assembly Resolution A35-6).
- ❑ If a State requests that the audit be deferred to a later date, the Secretary General will send a letter requesting the State to reconsider its request.
- ❑ Refusal to accept a scheduled audit is reported to the ICAO Council for its action.



PRE-AUDIT ACTIVITIES

SPO's responsibilities

SPO's responsibilities

- ❑ Within one month after the official audit notification letter has been sent to a State, the SOA Standards and Procedures Officer (SPO) concerned initiates contact with the State's National Safety Oversight Coordinator (NSOC).
- ❑ All communications exchanged with the NSOC, including telephone conversations, are kept in the State's file at SOA.
- ❑ If there is any indication that the conduct of the on-site audit might be adversely affected, it is reported to C/SOA.

SPO's responsibilities

- The SPO:
 - Ensures that the SAAQ, Compliance Checklists, and other related documents have been received from the State.
 - Reviews the completeness of the SAAQ and Compliance Checklists (using the SPO's checklist).
 - At the appropriate time, hands-over all submitted documents and any other additional information to the assigned team leader.



PRE-AUDIT ACTIVITIES

Assignment of team leader and team members

Assignment of the team leader

- ❑ C/SOA, in consultation with TC/SOA, appoints an audit team leader for each audit mission at least nine months prior to the commencement of the audit.
- ❑ Team leaders are assigned from among SOA's SPOs and Technical Officers.
- ❑ The team leader's responsibilities start when the SPO officially transfers and hands-over all relevant information and documents to the team leader to continue with the preparations for the audit.

Assignment of team members

- ❑ TC/SOA selects and assigns audit team members soon after the appointment of the team leader, but not later than six months prior to the start of the on-site audit.
- ❑ Audit team members are selected from among the certified ICAO safety oversight auditors, taking into consideration the geographical region, area of expertise and language of the audit.
- ❑ At least one member of the audit team will have command of the ICAO official language used by the Contracting State.

Audit team assignment

- ❑ Although the same team may cover more than one State on a mission, each State's audit must have a specific team named.
- ❑ States to be audited are informed of the composition of the audit team approximately two months prior to the commencement of the audit.
- ❑ Although interpreters and observers may be assigned to an audit mission, they are not considered audit team members.

PRE-AUDIT ACTIVITIES:

**Documents and tools
available for the
preparation of the audit**

Documents and tools for the preparation phase

- ❑ State Aviation Activity Questionnaire (SAAQ)
- ❑ Compliance Checklists
- ❑ Previous SOA audit reports
- ❑ Status of progress in implementing the State corrective action plan from previous SOA audits
- ❑ Aircraft accidents/incidents information reported to ICAO (ADREP)
- ❑ State's AIP and/or own websites
- ❑ Relevant mission and project reports from the ICAO Technical Cooperation Bureau
- ❑ Relevant information from ICAO Regional Offices

Other sources of information available

- ❑ Relevant information from international and/or regional organizations (PIRGs, EUROCONTROL, IASA, IOSA, SAFA, etc.)
- ❑ ICAO intranet, internet, Air Navigation Plans;
- ❑ Media sources (to be used with utmost care and only as a source of general information)

PRE-AUDIT ACTIVITIES

**State-specific safety
oversight audit plan**

State-specific safety oversight audit plan

- ❑ An internal SOA working document prepared by the team leader and provided to team members approximately two months before the on-site audit.
- ❑ Outlines the sequential process of the audit, providing essential information on the activities to be carried out.
- ❑ Includes the names and coordinates of the State's NSOC and other key personnel.
- ❑ Indicates the language to be used for the audit.
- ❑ Identifies priority issues.
- ❑ Includes an administrative plan (travel arrangements, security clearance, visas, health requirements etc.).

	1	2	3	4	5	6	7	8	9	10
1	TL (Initials)	State:	Language:	File Ref.:						
2										
3	TIME TO GO	ACTIONS	CALENDAR	STATUS	DATE					
4				✓						
5		OPENING MEETING ⇔⇔⇔	1/01/07	See comment						
6	9 MONTHS	Assignment of the Team Leader ⇔⇔	1/04/06							
7										
8	6 MONTHS	Desk preparation begins ⇔⇔	1/07/06							
9		Initiate/complete handover from SPO								
10		Create a TL checklist (QMSF - 007 - 30, as amended)								
11		Establish contact with the National Safety Oversight Coordinator (NCOR)								
12		Confirm the status of documents received from the State								
13		Confirm Technical staff assignments (preparation of the customized protocols, including LEG and ORG)								
14		Confirm team members' relative assignments for the conduct of all audit areas								
15		Follow-up on status of request for secondment of auditors and confirmation of release								
16		Follow-up on status of request for auditors from other ICAO sections including regional offices								
17										
18	4 MONTHS	Desk preparation (continues) ⇔⇔	1/09/06							
19		Follow-up on MOU if not already signed and received								
20		Confirm the proposed audit dates								
21		Follow-up on release of auditors								
22		Identify counterparts								

	1	2	3	4	5	6	7	8	9	10
1	TL (Initials)	State:	Language:	File Ref.:						
2										
3	TIME TO GO	ACTIONS	CALENDAR	STATUS	DATE					
53	21 DAYS	Mission package preparation ⇔⇔	11/12/06							
54		Submission of customized protocol questions for each area by SPOs and Tos								
55		Printing of the booklets								
56		Mission packages preparation and distribution								
57		Auditor tool-kits updated to reflect latest ICAO documents and information								
58		Preparation of the CD								
59										
60	14 DAYS	Mission package distribution ⇔⇔	18/12/06							
61		Airline tickets sent to ST seconded auditors with mission package - copies of airline tickets to be kept in SOA								
62		DSA cheques sent to Team Members								
63		Preparation of the PP presentations (Team briefing, Opening and Closing meetings)								
64										
65	7 DAYS	Before leaving ⇔	25/12/06							
66		Team Leader provide coordinates of hotels and itinerary to SOA secretary								
67		Team Leader submit to TC/SOA a signed copy of the Audit Preparation Process								
68										
69	Prepared by:	Team Leader name and signature								
70										
71	Approved by:	TC/SOA								
72										



PRE-AUDIT ACTIVITIES

Audit work programme

Audit work programme

- ❑ Prepared by the team leader.
- ❑ A detailed schedule of the on-site audit activities.
- ❑ It establishes a step-by-step itinerary for the conduct of the audit, including meetings, briefings and visits to concerned authorities, regional offices, service providers and industry.
- ❑ Submitted to the State for its consideration and tentative agreement. It is approved during the audit opening meeting with the State's authorities.
- ❑ Provided to team members for information and to assist them in preparing for the conduct of the audit.

Audit work programme

Sunday 4 December	See table	Audit city	All	All audit team members are arrived in Audit city.
Monday 5 December	09.00-12.00	CAD conference room	All	On-site team members' pre-audit briefing.
	14.00-17.00		All	Individual preparation work
Tuesday 6 December	08.30-09.30	CAD	All	Start of the audit: opening meeting and presentation of the ICAO Safety Oversight Audit (Comprehensive Systems Approach) by NR.
	10.00-11.00	CAD	All	Presentation by the CAD: overview of the organization of the civil aviation system in the State.
	11.00-12.30	CAD	All	ICAO team to audit in the area of Legislation (LEG protocol questions).
	14.00-16.30	CAD	All	- Audit activities continue in the area of Legislation (LEG protocol questions) - ICAO team to audit in the area of Organization (ORG protocol questions).
<ol style="list-style-type: none"> 1. Daily audit team meeting in CAD conference room, from 16.30 to 17.30 hours (6 to 9 December inclusive). 2. Six separate groups for the period from Wednesday 7 to Tuesday 13 December 2005 inclusive. 3. Industry visits on Monday 12 December 2005. 4. Daily transport to be provided by the CAD when required. 				
Wednesday 14 December	08.30-17.00	CAD conference room	All	Report production: team coordination for the preparation of the draft findings and recommendations.
Thursday 15 December	14.00-16.00	CAD	All	Closing meeting and presentation of the audit results to the State's authorities by the ICAO team.

Audit work programme

OPS – Operation of aircraft				
Wednesday, 7 December	08.30-12.30 13.30-16.00	CAA	TA	Audit activities in Operation of Aircraft
Thursday, 8 December	08.30-12.30 13.30-16.00	CAA	TA	Audit activities in Operation of Aircraft
Friday, 9 December	08.30-12.30 13.30-16.00	CAA	TA	Audit activities in Operation of Aircraft
Monday, 12 December	08.30-12.30	City Airport	TA	Industry visit: <i>Fly Airlines</i>
	14.00-16.30	City Airport	TA	Industry visit: <i>Travel Air</i>
Tuesday, 13 December	08.30-12.30 13.30-16.00	CAA	TA	Clarification of any open items and/or confirmation of any matter observed during the industry visit

PRE-AUDIT ACTIVITIES

On-site pre-audit team briefing

On-site pre-audit team briefing

- ❑ Conducted on-site by the team leader with the entire team one day prior to the official opening of the audit.
- ❑ Main items covered:
 - Review of audit work programme, including scheduled visits, meetings and briefings
 - Confirmation of assignments
 - Role of team members receiving on-the-job training
 - Review of the audit process
 - Review of the ICAO rules of conduct (confidentiality, acceptance of gifts, dealing with media and unions)
 - Last-minute information on the audit

Role of the NSOC during the pre-audit phase

- ❑ To ensure that the Memorandum of Understanding (MOU) is promptly signed and submitted to ICAO.
- ❑ To coordinate with the State's different Ministries, Authorities, Departments responsible for safety oversight activities to ensure the proper completion (preferably online) of the:
 - State aviation activity questionnaire (SAAQ)
 - Compliance Checklists (CC)
 - These documents should be submitted as soon as possible and kept updated. Final update 90 days before the on-site-audit.

Role of the NSOC during the pre-audit phase

- ❑ To coordinate with the appointed SOA Standards and Procedures Officer (SPO) to ensure the proper completion of the documentation and to request/provide clarification and assistance, as necessary
- ❑ To coordinate the submission of supporting documentation from the State (legislation, regulations, procedures etc.) to facilitate the preparation of the audit.
- ❑ To coordinate with the SOA audit team leader, once assigned, the preparation of the tentative audit work programme. .../

Role of the NSOC during the pre-audit phase

- ❑ To prepare for the actual on-site audit and assist the team leader with all administrative and logistical arrangements that may be necessary, including, but not limited, to:
 - Coordinating the schedule of visits to regional offices, industry and service providers, as applicable
 - Arranging local and off-site transportation, as required
 - Arranging meeting facilities
 - Arranging work area and equipment for the audit team
 - Assisting with hotel reservations, if needed. .../

Role of the NSOC during the pre-audit phase

- ❑ To identify focal points (counterparts) for all specific areas covered in the audit.
- ❑ To brief all key management personnel of the State's aviation system on the scope, objective and tentative work programme for the upcoming audit.
- ❑ To distribute the audit protocols to the relevant areas involved in the audit and coordinate the preparation of evidence to be presented to the audit team.
- ❑ To ensure that questions or queries from the team leader related to the preparation of the audit are answered in a timely manner.

Review

- ❑ The Pre-audit phase
- ❑ Pre-audit activities:
 - Official notification of an audit
 - SPO's responsibilities
 - Assignment of team leader and team members
 - Documents and tools available to the team
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Safety Oversight Audit Section

Thank you!

