

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 – On-site Audit Phase

Module 8

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 on-site audit phase, and with the associated interactions between the audit team and the State's authorities.

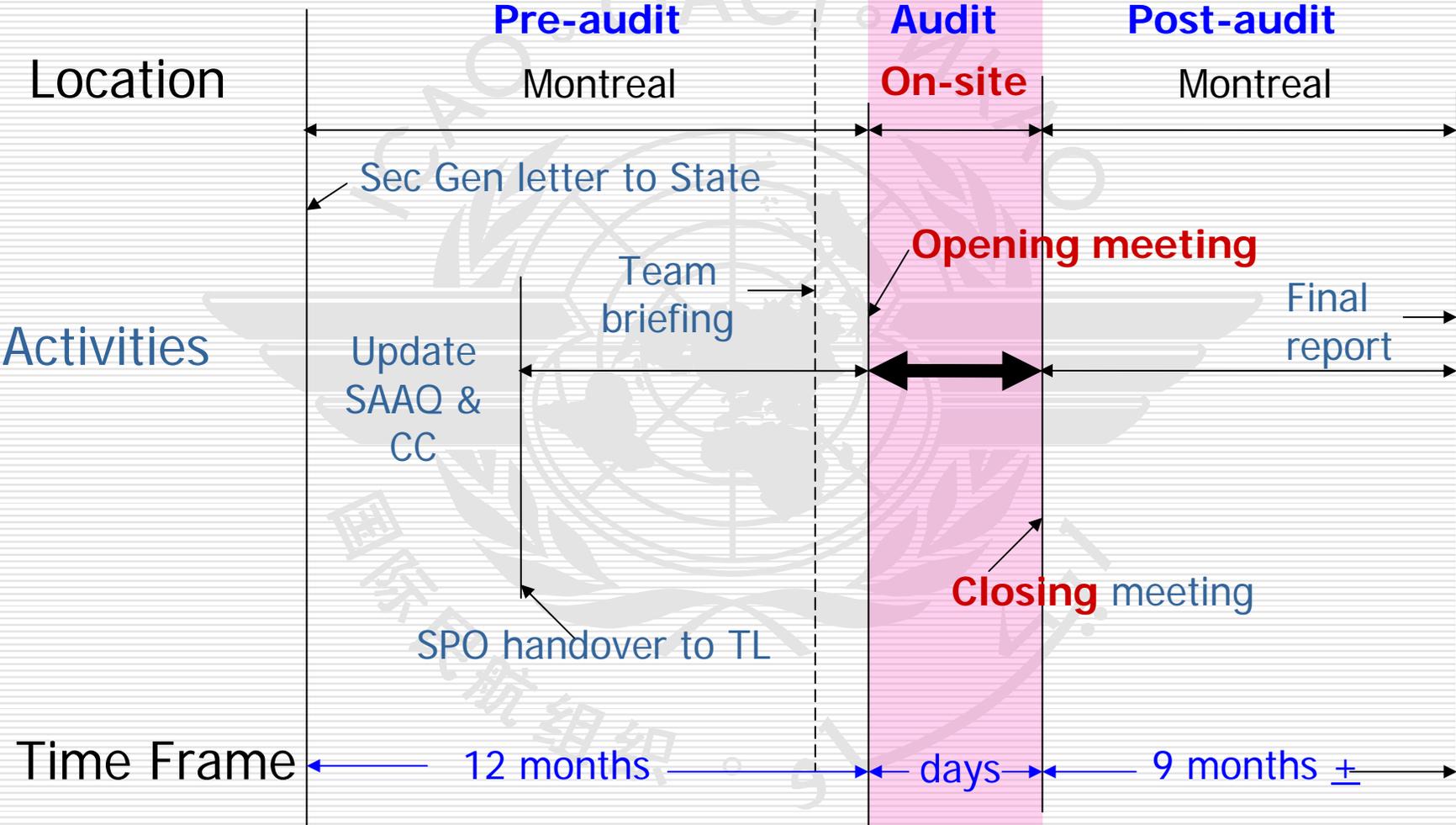
Outline

- ❑ The on-site audit phase
- ❑ On-site audit activities:
 - Opening meeting
 - General rules for the conduct of the audit
 - Daily team briefings
 - Draft findings and recommendations
 - Industry visits
 - Closing meeting
- ❑ Role of the NSOC during the on-site audit phase

On-site audit phase

The on-site audit phase commences with the opening meeting with the State's officials at the start of the audit and concludes at the completion of the closing meeting at the end of the audit.

On-site audit phase



On-site audit activities

Opening meeting

General rules for the conduct of the audit

Daily team briefings

Draft findings and recommendations

Industry visits

Closing meeting

On-site audit activities

Opening meeting

- ❑ The audit team leader conducts an opening meeting with the State authorities on the first day of the audit.
- ❑ All ICAO audit team members attend.
- ❑ State representatives responsible for each area to be audited are expected to be present in this meeting.

On-site audit activities

Objectives of the opening meeting

- ❑ Provide a brief explanation on the comprehensive systems approach (CSA).
- ❑ Review and explain the scope and conduct of the audit:
 - Pertinent provisions from the MOU
 - Tools to be used for conducting the on-site audit
- ❑ Review and finalize the tentative work programme:
 - Audit of specific areas and visits to Regional Offices, Industry and Service Providers
- ❑ Communication process, and any other relevant item.

On-site audit activities

Opening meeting

Generic Agenda Items:

- Introduction of audit team members
- Overview of the comprehensive systems approach
- USOAP Principles and Audit Principles
- Critical elements
- Core areas of the audit
- Scope and conduct of the audit
- Excerpts from the MOU
- Audit work programme; and question and answer period

On-site audit activities

Opening meeting

Review of the tentative audit work programme:

- Review the tentative work programme and finalize the details.
- Determine and finalize arrangements for the visits to regional offices, service providers, etc.
- Set the time and place for the holding of the audit closing meeting.
- Determine and agree upon the system of communication during the audit and for making changes to the audit work programme.

On-site audit activities

Opening meeting

Communication process:

- To ensure transparency and fairness during the on-site audit phase.
- Daily debriefings by team members with their counterparts in each area of audit.
- Overall daily debriefings may be organized between the team leader (assisted by team members) and the national coordinator (assisted by experts).
- “No surprises” at the closing meeting.

On-site audit activities

General rules for the conduct of the audit

- ❑ Audit Protocols: used as the basis to conduct the audit. They are supported with the presentation of physical evidence as applicable - “show me”.
- ❑ Interviews and evidence: collection of information and evidence on the basis of one-on-one or group interviews.
- ❑ System versus people: we audit the system (safety oversight capability) and not the organization’s staff.

On-site audit activities

General rules for the conduct of the audit

- ❑ Normally the protocols on legislation and organization are covered by the ICAO audit team as a whole at the beginning of the audit.
- ❑ Audit protocols on the technical areas are completed by team members in their assigned area(s) of audit.
- ❑ The SAAQ and compliance checklists may be updated by the State during the audit mission (on line, preferably).
- ❑ Guidelines on dealing with media and unions.

On-site audit activities

Daily team briefings

- ❑ The team leader conducts daily briefings with the audit team, generally at the end of day, when interviews are finished.
- ❑ Items to be discussed may include:
 - Identified concerns (draft findings and recommendations)
 - Progress in the audit and difficulties encountered, if any
 - Changes to the work programme, if any
 - Audit team coordination and support
- ❑ In addition, overall daily debriefings may be organized between the team leader (assisted by team members) and the national coordinator (assisted by experts).

On-site audit activities

Draft findings and recommendations

- ❑ Evidence is collected through conducting interviews, reviewing documents and observing activities and conditions in the State's aviation system.
- ❑ Each draft finding identifies the protocols found to be "not satisfactory".
- ❑ Absence of evidence will normally generate an audit finding.

On-site audit activities

Draft findings and recommendations

- ❑ Team members provide the team leader with draft findings and recommendations in their respective areas.
- ❑ One finding can be based on one or several non-satisfactory protocols.
- ❑ The data collected during the audit is entered by the team members in the Audit Manager software application, which is one of applications of ICAO's AFDD.
- ❑ The number of findings is not a good indicator of the overall results of the audit.

On-site audit activities

Industry visits

- ❑ Visits to selected operators, maintenance organizations, training organizations, aerodromes, service providers etc., are undertaken by ICAO auditors.
- ❑ These visits do not constitute an audit of the aviation industry, but are used to help verify the implementation of the State authorities' oversight activities.
- ❑ The presence of an official from the State's CAA is required.
- ❑ No industry visit in the AIG area.

On-site audit activities

Closing Meeting

At the end of the audit, the audit team leader, with the rest of the audit team, holds a closing meeting with the State's officials to brief them on the results of the audit.

On-site audit activities

Closing Meeting

- ❑ The audit team presents concisely the overall audit results and emphasizes the most significant concerns.
- ❑ It is not a detailed explanation of the findings and recommendations.
- ❑ The audit team leader informs the State authorities of the actions that follow after the closing meeting.
- ❑ A copy of the draft findings and recommendations is provided to the State at the end of the closing meeting.

On-site audit activities

Closing Meeting

- ❑ This enables the State to start to work on its corrective action plan. The State is provided with a suggested template for such plan.
- ❑ The State is also advised of preliminary significant safety concerns, if any.
- ❑ The audit team leader also informs the State authorities of the critical dates relating to the submission of the various versions of the audit report, the State's corrective action plan and comments and feedback from the State during the reporting period.

Role of the NSOC during the on-site audit phase

- ❑ To ensure that all the State representatives responsible for each area to be audited attend the audit opening and audit closing meetings.
- ❑ To work closely with the audit team leader to ensure a smooth conduct of the on-site audit.
- ❑ To ensure proper coordination for the audit team's visits to the aviation industry and facilitate any required changes to the schedule.
- ❑ To keep the State's key management personnel informed on the progress and preliminary results of the audit.

Review

- ❑ The on-site audit phase
- ❑ On-site audit activities:
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Safety Oversight Audit Section

Thank you!

