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

Introduction to the Audit Protocols

Module 5

Module objective

At the end of this module, the participants will be familiar with the overall structure and contents of the Audit Protocols used in the conduct of safety oversight audits under the comprehensive systems approach, including the reference material associated with the protocols.

Outline

- Definition

- Overview of the audit protocols

- Scope of the protocols

- Protocol customization

- ICAO reference documentation

- Sample page

Definition

Audit Protocol

A comprehensive checklist, covering all elements of the State's safety oversight system subject to audit.

Audit protocols

- ❑ Developed by SOA with the assistance of relevant ANB Sections.

- ❑ Used for the conduct of the on-site audit.

- ❑ Provide both the auditors and the State with a step-by-step guide to verify the status of implementation of the various elements being audited.

- ❑ The use of standardized protocols as the primary tool for the conduct of the on-site audit ensures transparency, consistency and standardization.

- ❑ It also enhances confidence and reliability in the conduct of audits.

Audit protocols

- ❑ Provide guidelines to the auditors on what evidence should be requested and reviewed.

- ❑ Allow the auditors to determine if the State's requirements and practices comply with, conform with, or adhere to, the requirements of the Convention, Annex provisions, and ICAO guidance material.

- ❑ Indicate the relationship between the specific protocol questions and the critical elements of a safety oversight system, which is at the core of the audits conducted under the Comprehensive Systems Approach.

Audit protocols

- Enable auditing against the critical elements of a safety oversight system.

- The protocols are designed to reflect the core areas of the audit Programme, as defined by Assembly Resolution A35-8, in addition to the legal and organizational aspects of the safety oversight system of the State.

- The SOA audit protocols can also be used by Contracting States to conduct internal audits at any time.

Scope of the audit protocols

- Primary aviation legislation and civil aviation regulations (LEG)
- State aviation system and safety oversight functions (ORG)
- Personnel licensing system (PEL)
- Operation of aircraft (OPS)
- Airworthiness of aircraft (AIR)
- Aircraft accident and incident investigation (AIG)
- Air navigation services (ANS)
- Aerodromes (AGA)

Protocol customization

❑ Audit protocols can be tailored by SOA to the size and complexity of aviation activities in a Contracting State.

❑ This is done by reviewing, during the preparatory phase of the audit, the information provided by the State in the State Aviation Activity Questionnaire (SAAQ), Compliance Checklists and other relevant documentation.

❑ Areas of a protocol not applicable to a State are excluded from the audit.
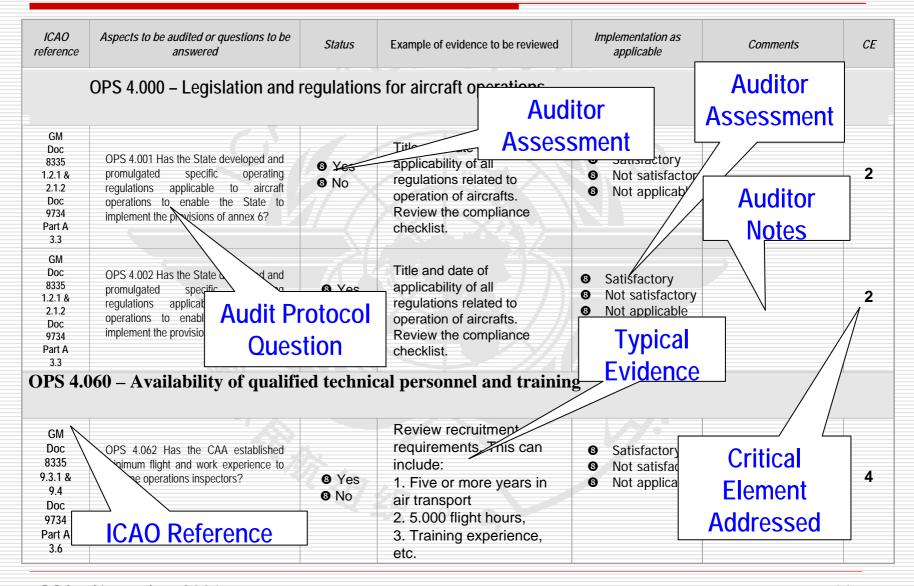
ICAO reference documentation

The protocols identify the ICAO reference document(s) applicable to each protocol question:

- Chicago Convention (CC)

- ICAO Annex Standard (STD)

- ICAO Recommended Practice (RP)

- Guidance Material (GM), including Manuals and Circulars

Audit protocols – sample page

ICAO reference	Aspects to be audited or questions to be answered	Status	Example of evidence to be reviewed	Implementation as applicable	Comments	CE
	OPS 4.000 – Legislation and regulations for aircraft operations					
GM Doc 8335 1.2.1 & 2.1.2 Doc 9734 Part A 3.3	OPS 4.001 Has the State developed and promulgated specific operating regulations applicable to aircraft operations to enable the State to implement the provisions of annex 6?	☒ Yes ☒ No	Title and date applicability of all regulations related to operation of aircrafts. Review the compliance checklist.	☒ Satisfactory ☒ Not satisfactory ☒ Not applicable		2
GM Doc 8335 1.2.1 & 2.1.2 Doc 9734 Part A 3.3	OPS 4.002 Has the State developed and promulgated specific regulations applicable operations to enable implement the provisio...	☒ Yes	Title and date of applicability of all regulations related to operation of aircrafts. Review the compliance checklist.	☒ Satisfactory ☒ Not satisfactory ☒ Not applicable		2
	OPS 4.060 – Availability of qualified technical personnel and training					
GM Doc 8335 9.3.1 & 9.4 Doc 9734 Part A 3.6	OPS 4.062 Has the CAA established minimum flight and work experience to ...e operations inspectors?	☒ Yes ☒ No	Review recruitment requirements. This can include: 1. Five or more years in air transport 2. 5.000 flight hours, 3. Training experience, etc.	☒ Satisfactory ☒ Not satisfactory ☒ Not applicable		4

Auditor Assessment

Auditor Assessment

Auditor Notes

Audit Protocol Question

Typical Evidence

Critical Element Addressed

ICAO Reference

Review

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Thank you!