

AUDITS FOR IMPROVED SAFETY/SECURITY

ooo

PRESENTED BY
SENIOR MANAGER: CRR
MR. PETERSON TJITEMISA

NCAA

Namibia Civil Aviation Authority



TABLE OF CONTENTS

- INTRODUCTION
- WHY DO WE AUDIT
- AUDITOR ATTRIBUTES
-



MENTORSHIP



• WHAT FOR OR WHY AUDIT?

- To get a NCAA approval (PART 91, 121, 145, 147 etc)
- To obtain a Certificate of Airworthiness
- To improve system

• WHICH TYPE OF AUDIT ?

- Third party audits
 - Conducted by outsiders, independent
- Be sure of the conformity of an organism within a standard
 - Rules = the same reference for auditors and auditee :
 - NAMCARS + CATS + TGM => Manuals
- Be sure the aircraft remains in conformity with the Type Certificate
 - Reference = Type Certificate + Type Certificate Data Sheet + Reference Data Sheet of the Technical Authority

• HOW ?

- Measuring the deviation between reference and findings
- By sampling
- Evidence-based method

• WHAT FOR OR WHY AUDIT?

To ensure effective interviews, **preparation** is important.

Auditors should always:

- study the checklist in **advance**
- prepare **specific questions** for each anticipated situation
- pose them in a way to create **productive dialogue** and therefore enhance the return of information from interviewees.

AUDITOR ATTRIBUTES

Criteria to ensure the **competence** of auditors, based upon:

- **Personal attributes**
- **Knowledge and skills**
- **Education**
- **Work experience**
- **Auditor training**
- **Audit experience**



AUDITOR ATTRIBUTES

- **Personnal aptitude and qualities auditors should possess:**
 - **Person of integrity, autonomous, tactful, sharp eyed, keen appreciation of the context, persistent, able to use verbal and non-verbal communication.**
 - **Prevent potential conflict of interest.**
- **Professional conduct**
 - **Confidentiality**
 - **Provide further training in regulation**
 - **Knowledge of organization procedures**
- **Interview with the managers, review of relevant documents, observation of the activity, the environment.**

ORGANISM AUDIT

- **Input data: Exposition Manuals & former audit reports:**
 - - ✓ Prevent potential issues or non-compliance before auditing in the field.
 - ✓ Allow the audit team to know about the Organism
 - ✓ Procedures of the manuals describe how the organism works
- **The Lead Auditor will identify areas of concern and request for additional information:**
 - ✓ No « non compliance » were identified
 - ✓ Notify the audit (accept the request appropriately)
- **Prepare and send the organism the evaluation calendar:**
 - ✓ Auditee has to agree with
 - ✓ Could be change within the audit is being performed
 - ✓ However, enough detailed for the auditee to be prepared.

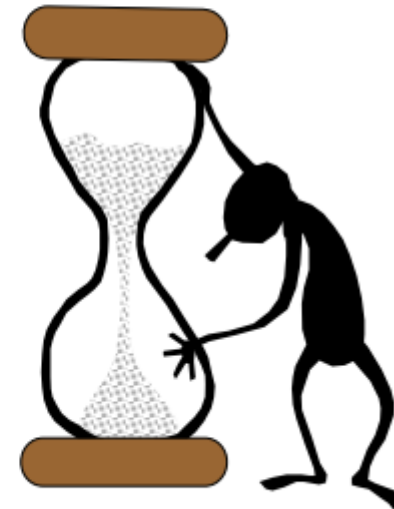
AUDIT PROGRAMME

	Monday	Tuesday	Wednesday	Thursday	Friday
8h – 9h • .	Opening Meeting	A) Briefing with auditee B) Line operations	A) Briefing with auditee B) Workshops – avionics	A) Briefing with auditee B) Workshops – hydraulics	A) Briefing with auditee B) Briefing with auditee
9h – 10h	Tour of the premises A) + B)	A) Supply Chain B) Line operations	A) Maintenance organisation B) Workshops – avionics	A) Quality B) Workshops – hydraulics	RESERVE
10h - 12h	A) Management B) Training & qualifications	A) Supply Chain B) Line opérations	A) Maintenance Organisation B) Workshop - avionics	A) Quality B) Workshops- hydraulics	RESERVE
14h – 16h	A) Management B) Training & qualifications	A) Supply Chain B) Line operations	A) Base operations B) Workshop - avionics	A) Base operations B) Workshops - hydraulics	Auditors Check
16h -17h	Auditors Check	Auditors Check	Auditors Check	Auditors Check	Closing Meeting

TIME MANAGEMENT

During an audit, time is never enough!
If you have plenty of time... Something is wrong.

- Plan optimal use of time in advance
- Do not go out of scope
- Do not linger too much
- Do not spend much time on minor details
- Decide sampling size and stick to it (unless...)



AUDIT PROTOCOLS

- Disruptive elements:
 - . ✓ Phone calls, noise, smoke, jargon, acronyms, initialisms (abbreviations),
 - ✓ Auditee does several things at the same time or does not come back (auditor has to be autonomous)
 - ✓ Tense climate: management pressure, aggressivity, fear
 - ✓ Too relaxed climate : speak about holidays, coffee machine
 - ✓ The auditee paying off old scores : not to take sides
- ⇒ follow the audit programm / go back to the basics
- Behavior : firm, tactful, polite
- Important to set the rules during the opening meeting.
 - ✓ Same rules for auditors and auditees

AUDIT PROGRAMME

- Observe the activity, asking accurate questions
 - .
- Interviews
 - ✓ Open Questions => off-topic answers, waste of time
 - ✓ Closed Questions (yes/no) => too focused, risk missing something, devalues the auditee

***Important to build trust :
the audit is performing WITH the auditee***

EVIDENCE FORMULATION

Formulation of non-compliance findings should be closely **correlated** to the requirement involved.

If the requirement cannot be clearly identified, then probably it is **not** a non-compliance finding.

The **wording** of the finding should:

- Present factual evidence
- Summarise the requirement involved
- Be unambiguous (technically/legally), clear, and concise
- Not contain any personal "opinion" or "evaluation"

AUDIT PROGRAMME

- Opening Meeting by the lead auditor :
 - ✓ Formally start the organization audit in the field
 - ✓ Present the audit team
 - ✓ Remind the field of the certification
 - ✓ Remind the certification process
- Non compliance = requirement + default + evidence
 - ✓ No Approval
- Deviations = could conduct to a non compliance
 - ✓ Approval OK
 - ✓ Remedial actions for the organization

AUDIT PROGRAMME

- **Investigations**
 - ✓ Take notes / collect evidences
 - ✓ Respect the audit program and timing
 - ✓ If no problem detected, don't delve more to find something wrong = waste time
 - ✓ However, if problem detected, go on to know if it is an isolated issue.
 - ✓ Eg. of factual proofs: copy of recording documents, picture
 - ✓ Oral evidence is possible, should be verified.
- Be sure the auditees understand when a non-compliance is spotted. Could be useful to do an each day meeting to recap the findings.

AUDIT PROGRAMME

Always take notes on your checklist!

Explain the **reason** to the auditees...

Notes should be:

- Complete
- Accurate
- Precise
- Readable



AUDIT CLOSING

- Closing meeting :
 - .
 - ✓ Remind the goal of the audit
 - ✓ Summary of the audit : Approval ?
 - ✓ Synthesis of the findings, time allowed to resolve
 - *Remedial actions*
- Not a surprise for the auditee neither for the auditor.
 - ✓ No new proof during the closing meeting.
 - ✓ No time anymore to discuss.
 - ✓ Don't requalify the deviations
- Do not forget to point out strengths. Not only weaknesses.

AUDIT CLOSING

Key elements:

- Recall of the team
- Recall of objectives and scope
- Review of the audit plan ex-post
- Recall of the sampling principle
- Issues that may influence results
- Brief summary of key results

Closing meeting

- Findings
- Recommendations
- Confidentiality
- Follow-up process
- Questions



AUDIT PROGRAMME



AUDIT PROGRAMME

- **FOLLOW UP audit**
 - ✓ **Approval: without flight or personnel safety deviations**
 - ✓ **Goal: Verify and assess the effectiveness of corrective actions given by the auditee**
 - ✓ **It could be new factual evidence (corrected document, updating data, modified procedure, ...)**
 - ✓ **Sometimes a new audit on the field is required.**



Initial Certification

Expiry of Certification

Surveillance OK
= Still approved

○○○

Follow up
audit

Surveillance audits

Surveillance audits

On-going
surveillance activities
1 year certification cycle.
**Full set of
audit criteria checked**

1 year certification cycle.

ooo

THANK YOU !!

We look forward to working with you

4 Rudolph Hertzog Street
Windhoek, Namibia



spq@ncaa.na



+264 83 235 2100



<http://www.ncaa.com.na>