DEALING WITH AUDIT FINDINGS
(Classification of Findings)

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Dealing with Audit Findings

Doc. 10070 Manual on the Competencies of Civil Aviation Safety Inspectors

➢ Ethics and Values

➢ Communication

➢ Initiative

➢ Risk Management

➢ Problem solving

➢ Critical Thinking

➢ Team works

Dealing with Audit Findings

➢ Preparation for Audit

➢ Review Previous Reports

➢ Information to Operator

➢ Meeting with Operator

Audit Findings

➢ Findings are the result of an observed action once it has been compared to the required approved documentation.

➢ An observation of a documented requirement or an implemented requirement will indicate whether compliance with required procedures is achieved or not.

➢ A non compliance is classified as a finding, and it should be accompanied by a request for corrective action.

Audit Findings

➢ Findings are not opinion, but statements of facts as observed by the auditor.

➢ Findings must be backed up by proof, or other evidence of non compliance, such as a photograph or the completed checklist, explanation of deficiency, or a statement of findings by the auditor

Audit Findings

➤ Classification of findings to be done in a criteria developed by the State.

➤ Corrective Action Requests shall be subject to Category/class/level of findings.

Audit Findings

Examples of Classification

➢ Non-Compliant, with major deficiencies - Category 1

➢ Non-Compliant, with minor deficiencies - Category 2

➢ Compliant, but improvement desirable - Category 3

Audit Findings

Examples of Classification

➢ Not Applicable - N/A (element that does not apply to the entity being audited, e.g. length of runway on a helipad)

➢ Not Confirmed - N/C (element whose compliance with required documentation could not be verified during the audit for whatever reason, e.g. Lack of time, absence of key personality.)

Audit Findings

➢ Category 1 findings are a high priority as they require major corrective action to correct the deficiency

➢ Category 2 findings as a second priority

➢ Further additional classification shall be assigned to indicate the priority for corrective action on the part of the audited organization.

Audit Findings

➢ In order to add a degree of priority Category 1 and Category 2 findings

➢ Classification A = A finding that is critical in nature that has the potential to cause loss of life, serious injury, or damage to facilities, and which requires corrective action to be completed immediately;

➢ Classification B = An occurrence or deficiency involving a major system that caused, or has the potential to cause, significant problems to the function or effectiveness of that system; and

➢ Classification C = An isolated occurrence of deficiency not indicative of a significant system problem

Audit Findings

The time frame given by the aerodrome operator for findings classified as B and C are subject to review by the Authority to ensure they are realistic and would not unduly pose additional risk to safety of operations.

CAP Characteristics

➢ The CAP needs to include all actions that at least will remedy the deficiency in the short term and prevent a future re-occurrence.

➢ Failure to comply with a CAP or failure to comply with the deadline for submission of the CAP or failure to implement the measures outlined in the CAP may result in enforcement action, including possible sanctions against an aerodrome certificate.

CAP Characteristics

➢ The recommendations/ Areas of Improvement

➢ Planned corrective action;

➢ Identification of the person(s) responsible for implementing and finalizing the corrective action; and

➢ Time frame for completion.

CAP Characteristics

Relevant — CAPs should address the issues and requirements related to the finding and corresponding.

Comprehensive — CAPs should be complete; including all elements or aspects associated with the finding.

Detailed — CAPs should be laid out in a step-by-step approach, as required, to outline the implementation process.

CAP Characteristics

Specific — CAPs should identify who will do what, when, in coordination with the responsible office or entity.

Realistic — CAPs should be realistic in terms of contents and implementation timelines.

Consistent — CAPs should be consistent in relation to other CAPs and with the State self-assessment.

Developing a CAP

Step	Proposed Action	Action Office	Evidence Ref.	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress

Developing a CAP

Steps And Proposed Action Items

➢ Ensure that the proposed actions in a CAP directly and fully address the finding and National provisions as stated in the reference/guidance provided by the State.

➢ Break down large action items into smaller, more manageable elements.

➢ Describe each proposed action in a clear and detailed manner.

Developing a CAP

Steps And Proposed Action Items

➢ List the step-by-step corrective actions in the correct sequential and/or chronological order.

➢ Provide a good and clear working plan and adequate detail for the implementation of each step of the proposed corrective actions.

➢ You may need to provide evidences as attachments especially for findings related to implementation.

Developing a CAP

Action office

➢ Ensure that the responsible action office is indicated for each one of the corrective action steps.

➢ If more than one organization or entity are involved in each step, identify and record each one clearly.

➢ Ensure that the action offices identified in each step of the corrective action have the authority to complete the action

➢ Spell out the acronym for the title of an action office the first time it is used in the CAP; use the acronym thereafter

Developing a CAP

Evidence reference

➢ Indicate the document containing the evidence in a clear manner.

➢ Provide a specific and clear reference to the page, section or paragraph of the document that contains the information that needs to be reviewed and validate.

➢ Avoid broad and generic reference to a large document. Be as specific as possible

Developing a CAP

Estimated implementation date

Useful if CAPs are submitted through an online system

➤ Ensure that an estimated implementation date (est. imp. date or EID) is entered for each step in order to save the CAP.

➤ Ensure that the EID is realistic for the action item.

➤ Ensure that the EID is appropriate for the level of risk associated with the finding.

➤ The EID should be the date of completion for the action item.

Developing a CAP

Responding to CAP assessment /Evaluation

➢ If the CAP is initially assessed as not addressing or only partially addressing the finding, revise the CAP and ensure that it addresses the shortcomings indicated.

➢ Ensure continuous updating of CAPs by indicating all of the following:
  a) a progress level (in percentage %) for each action item as it is implemented; and

  b) the date of completion for each completed action item.

➢ If the initial estimated implementation date of an action item has passed and the action has not been completed (or not fully implemented yet), provide a revised implementation date.

➢ Where necessary support this with a risk assessment.

CAP FOLLOW UP ACTION

➢ The State may want to carry out a follow up action on the CAP based on the evaluation.

➢ The State should ensure that this is indicated in the Surveillance program for the specific item.

➢ Closed CAPs to be notified to operator