**Instructions for developing and completing the Audit Checklist:**

**PLEASE PRINT THESE INSTRUCTION PAGES FOR REFERENCE, AND BE SURE TO DELETE WHEN THE CHECKLISTS ARE COMPLETE.**

**I. Developing a Checklist**

**1. Identify Requirements**

Your first step in identifying requirements is to fully comprehend the audit objective and scope as well as the context of the audit.

Next, determine the relevant national safety and operational requirements by looking up regulations, standards, orders, and notices as well as related guidelines in manuals, handbooks, etc. The requirements should be as narrow and focused as possible. For example, if you are auditing compliance with issuance of weather notices, you would review weather-related requirements. Once you have identified a relevant requirement, enter it in the **Requirement** field of the Audit Checklist. One checklist should be used for each requirement.

NOTE 1: You can copy and paste requirements directly from web-based documents into the Audit Checklist.

NOTE 2: Each audit is different, as are the requirements on which the audit is based. The level of difficulty in identifying the appropriate requirements can vary depending on the complexity, scope, and objective of the audit.

**2. Develop Checklist Questions**

Fully understanding the audit objective and scope will help you develop the best checklist questions for determining compliance. First, ask yourself these questions:

* What am I specifically auditing?
* What are the reasons for the audit and why is it necessary?

The checklist questions should be worded so as to be answerable only by “yes,” “no,” or “not-verifiable.” The questions should be explicit, evidence-based, and written in a way that elicits answers clearly indicating compliance or noncompliance with the requirement.

For example, if you are trying to determine compliance with a directive which states, *Facility Managers shall ensure operational personnel are briefed on the contents of this notice prior to the effective date*, then the following questions would be appropriate:

*Question 1:“Is there evidence indicating that operational personnel were briefed on the contents of Directive XXX?”*

*Question 2:“Is there evidence indicating that the briefing was delivered prior to the effective date of [insert date]?”*

**3.** **Describe Audit Sampling**

Describe the auditing techniques you will use, i.e., interviews, observations and/or review records. Be specific. For example, “*auditors will observe 2 hours of operations at each facility.”*

Since it is impractical to visit all facilities and review all documentation, the audit is based on a representative sample taken from the system. In this section, if you are reviewing records, you must answer the following questions.

* What does your representative sample look like, i.e., what percentage of the population will you look at?
* What is your sampling procedure?
* Where is the evidence you need to review to determine compliance?
* What records will you review?

**II. Completing the Checklist**

**1. Record Evidence and/or Observations**

In addition to determining compliance with the requirement, you should complete the **Evidence and/or Observation** field of the checklist for each question. You must provide a brief explanation of how you determined compliance. Be sure to record specific information about what you reviewed and observed (e.g., name, document title, date, time, operation observed, position, etc.). You should also consider peripheral issues that may be relevant to (but not necessarily mandated by) the specific requirement in the checklist. Or, you may find safety critical or other items that should be recorded here, too.

Here is an example of an explanation of how we determined compliance:

*At the North Pole Airport, we looked at 12 employee training records and found that they all had the mandatory briefing item (MBI) for turns to final by the deadline of April 17, 2009.*

Here is an example of recording information appropriately:

*At North Pole Airport, we reviewed the Standard Operating Procedure dated   
August 16, 2008 for guidelines on turns to final. We found it on page 18, Chapter 10, par. 4. They were sufficient.*

Here is an example of an observation:

*We observed that the announcement for the next required briefing was haphazardly placed on a table with other documents. We advised the facility manager that these announcements should be prominently placed at a location where all personnel can see them.*

**2. Additional Comments**

Use this space for additional comments or in the event you don’t have enough room in the evidence and/or observation box above.

**3. Complete Checklist**

The Audit Team Lead should work with Team Members to complete all of their checklists before leaving the audited location.

Checklist Number:

|  |  |  |
| --- | --- | --- |
| **Requirement**:  *Insert specific requirement (copy and paste from standard, directive, regulation, etc.)* | | |
| **Checklist Questions** | **Compliance verified?**  **(yes or no)** | **Evidence**  **and/or**  **Observations** |
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |
| **Audit Sampling Methods** (where to look and how many to look at, find, discuss or interview) | | |
| **Additional Comments** (use additional pages as needed) | | |