

# **ANS Audit Training**

## **Day #3 – Audit Exercise**

**ICAO Bangkok Regional Office**  
***December 2024***

# Audit Exercise

## What we are going to do ?

- Define groups
- How to make high-level and low-level checklists ?
- Organize each group (split the work!)
- Make a document review (by pair of trainee)
- Define the audit questions (using forms)
- Define the audit plan (people that must be interviewed)
- Perform the interviews (Day #4)
- Writing the audit findings (Day #5)

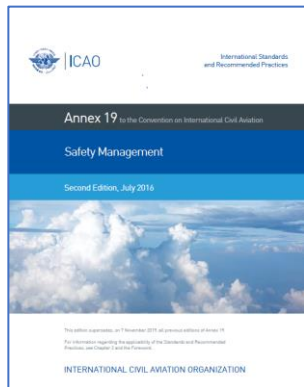
## What we are NOT going to do ?

- No opening and closing meetings.
- Not a full SMS audit (only a few requirements will be audited)
- Not writing a full audit report

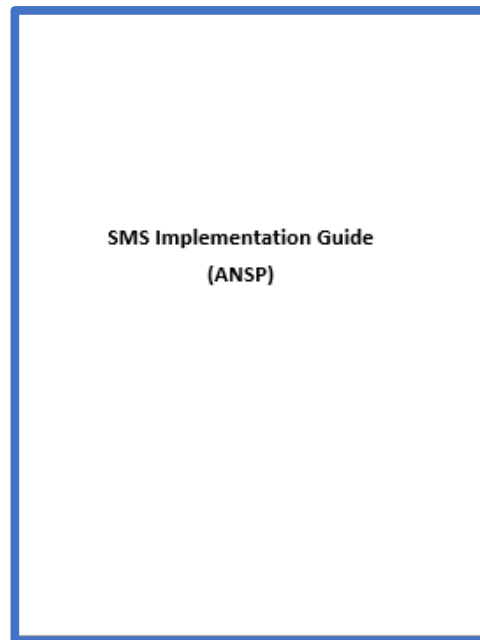
# Summary of the Training

- SMS implementation Guide → Let's have a look
- How to write « High-level Questions »
- How to write « Low-level questions »
- **Exercise : Writing together the High-Level Questions for the OJT**
- Document review (from ANSP Documents)
- **Exercise : Writing low-level questions for the OJT**
- Define the audit plan
- Undertaking the interviews (Day #4)
- Writing findings (Day #5)

# How to go from requirements to questions ?



**Annex 19  
requirements for  
SMS, SSP ...**

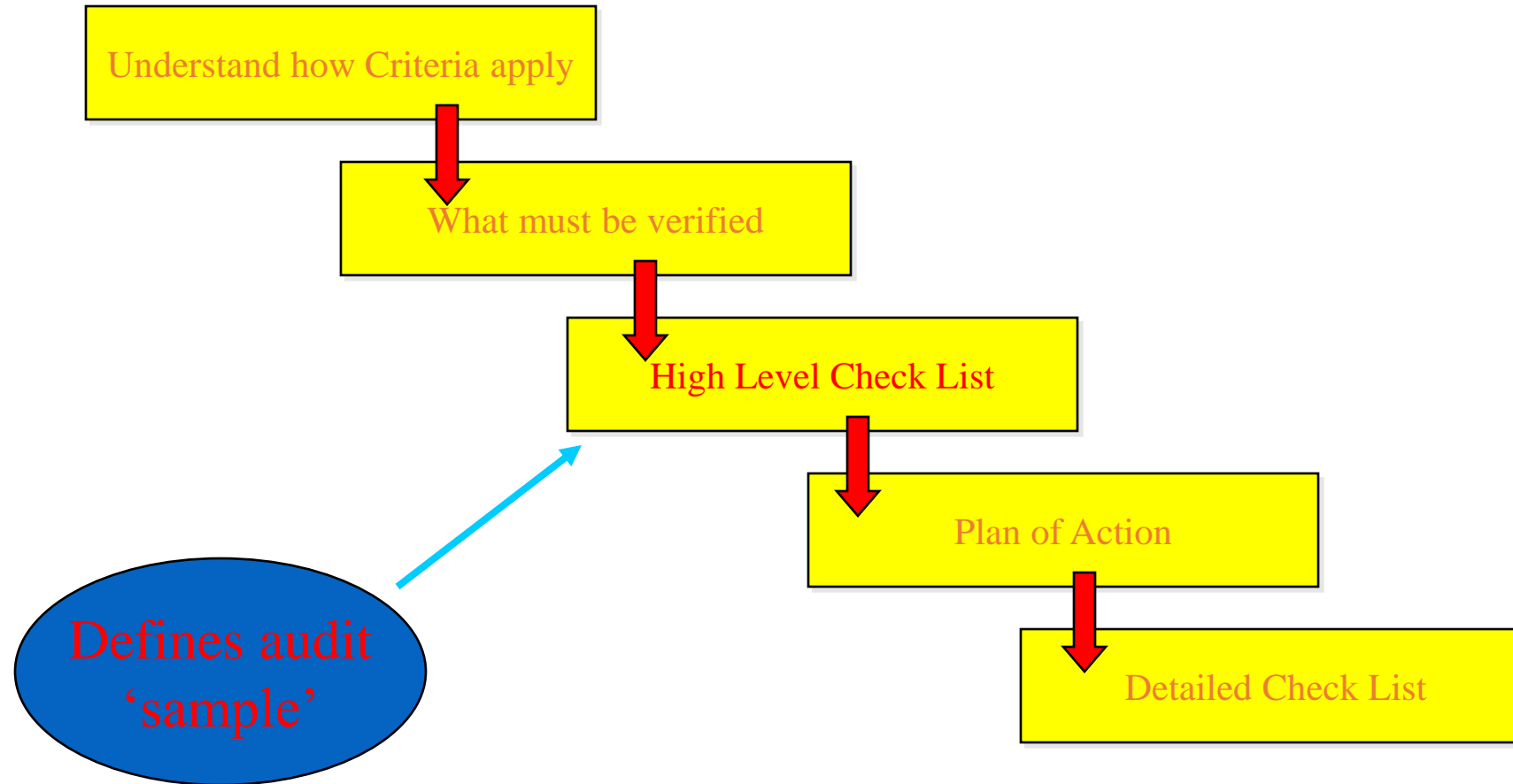


**SMS implementation guide  
can be used to prepare audit  
(self-assessment questions).**

**An audit guide can be built by using :**

- gap analysis questions (ICAO DOC 9859),**
- EU questionnaire to evaluate the Effectiveness of Safety Management (EoSM).**

# How to start preparing your audit ?



## Exercise : Build high-level Check-list

### Annex 19 : 1.1.1

*The service provider shall define its safety policy in accordance with international and national requirements.  
The safety policy shall:*

- a) reflect organizational commitment regarding safety, including the promotion of a positive safety culture;*
- b) include a clear statement about the provision of the necessary resources for the implementation of the safety policy;*
- c) include safety reporting procedures;*
- d) clearly indicate which types of behaviours are unacceptable related to the service provider's aviation activities and include the circumstances under which disciplinary action would not apply;*
- e) be signed by the accountable executive of the organization;*
- f) be communicated, with visible endorsement, throughout the organization; and*
- g) be periodically reviewed to ensure it remains relevant and appropriate to the service provider.*

## Exercise : Build low level Check-list

*Requirement : The service provider shall appoint a safety manager who is responsible for the implementation and maintenance of the SMS.*

### **Non-exhaustive topics and list of questions**

- Has an SMS manager been appointed?
- What is his role?
- Who does he report to?
- Does he have easy access to the director of the ANSP?
- What is his position in relation to the other executives?
- Who does he work with?
- What training did he follow?
- Does he have access to all the information he needs (indicators, safety events, changes, etc.)?
- Does it monitor the processing of safety events?
- Does it ensure the transmission of events to the CAA?
- Does it check the safety studies (methodology, risk reduction actions)?
- Does it provide follow-up functions (action plan, corrective actions, etc.)?
- Is he the writer of the SMS manual?
- Does it manage training relating to the SMS (internal auditors, safety studies, handling of events, etc.)?

## Exercise : Build low level Check-list

**1/ Identify your regulatory requirement**

**2/ Use the SMS guide to start your low-level questions**

**3/ Use document review to add specific questions linked to the ANSP documents you audit**



# Compliance Matrix

Annex 19 Requirement	SMS		
	Starting	Partial	Completed
<b>1. SAFETY POLICY AND OBJECTIVES</b>			
<b>1.1 Management commitment</b>			
Commitment of main managers			
Policy: content, signed ...			
Policy: dissemination and knowledge			
Action plan			
<b>1.2 Accountabilities and responsibilities</b>			
Responsibilities defined			
Responsibilities known and applied			
<b>1.3 Appointment of key safety personnel</b>			

# Audit Exercise Reminder

## ❖ Documents distributed to the groups

- ⇒ SMS Manual
- ⇒ Safety Events Manual
- ⇒ Compliance matrix
- ⇒ Interview form

## ❖ Audit Preparation

- ⇒ Organize internally to distribute each part of the SMS to each trainee or pair of trainees
- ⇒ Make a document review (each pair on his specific requirement)
- ⇒ Identify Annex 19 requirements (with the audit guide)
- ⇒ Use forms to build high level checklists and low-level checklist
- ⇒ Each pair of trainee makes an audit plan (identify whom you want to interview in the organization)

## ❖ Role play - Rules of the game

- ⇒ Each group will have 45mn interview on Day #4 Morning (organization will be decided depending on the number of groups and trainees)
- ⇒ You may ask the trainer to be any interviewed person in the organization
- ⇒ Each "white paper" given is audit evidence which is automatically compliant
- ⇒ Try to gather evidence

## ❖ Writing findings

- ⇒ Day #4 afternoon, organize your groups to try to write non-conformities.
- ⇒ Day #5 morning, we will review your findings and discuss them with the group.