# ICAO SAFETY OVERSIGHT

## Audit Principles, Auditor Attributes and Communication Process

# Lesson objective

At the end of this session, the participants should be fully familiar with the USOAP principles, the international auditing principles and Communication Process.
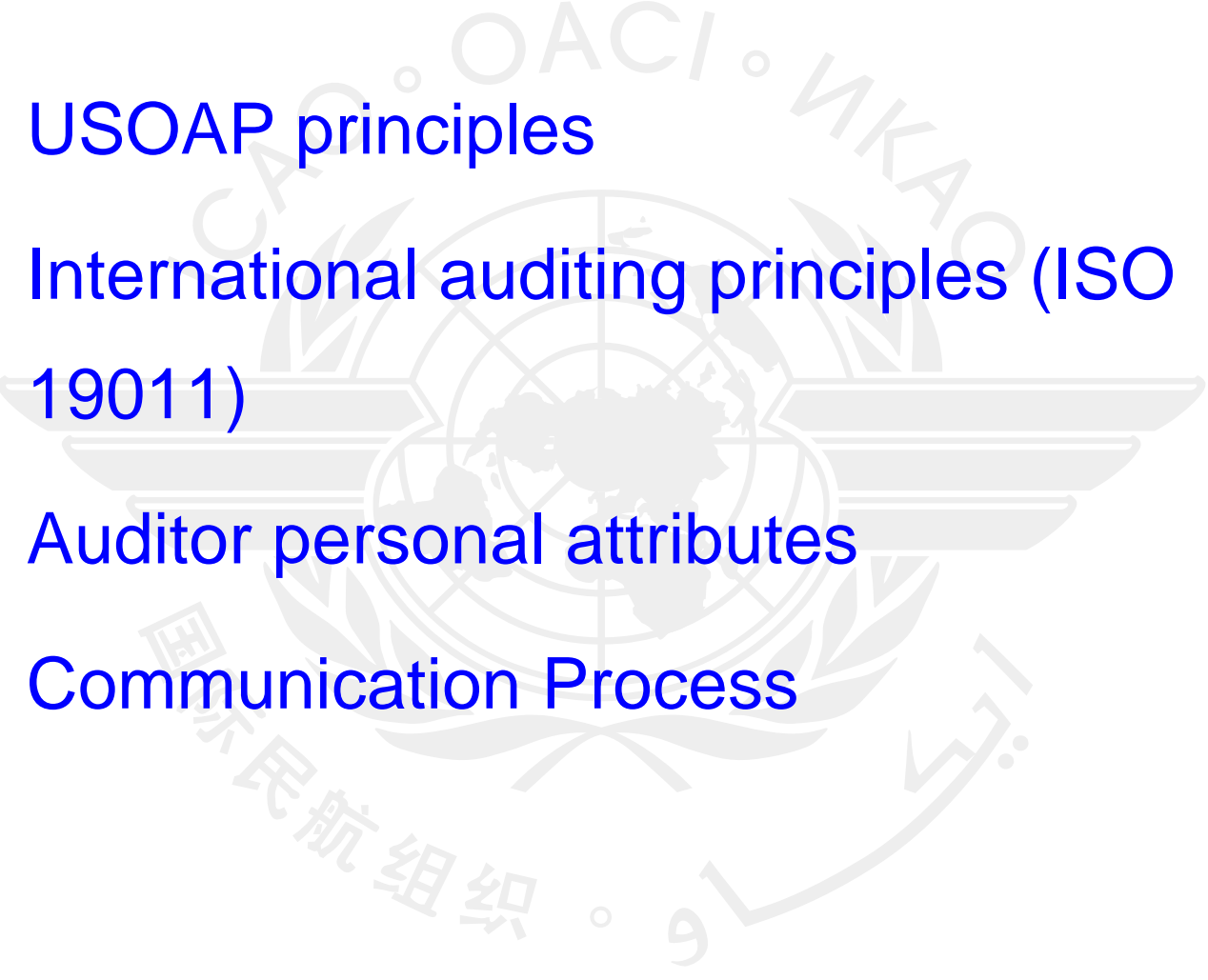
The participants should also have a good understanding and awareness of the personal qualities and characteristics of an auditor, and recognize communuication factors which may have an influence on the audit process.

# Outline

❑ USOAP principles

❑ International auditing principles (ISO 19011)

❑ Auditor personal attributes

❑ Communication Process

# SOA audit principles

**What is a principle?**

A basic generalization that is acceptable as true and that can be used as a basis for reasoning and conduct; a basic truth or law or assumption;

A rule or standard, especially of good behaviour or rule of personal conduct;

An idea that some things are higher and more important and represent an ideal towards which individuals and groups should strive.
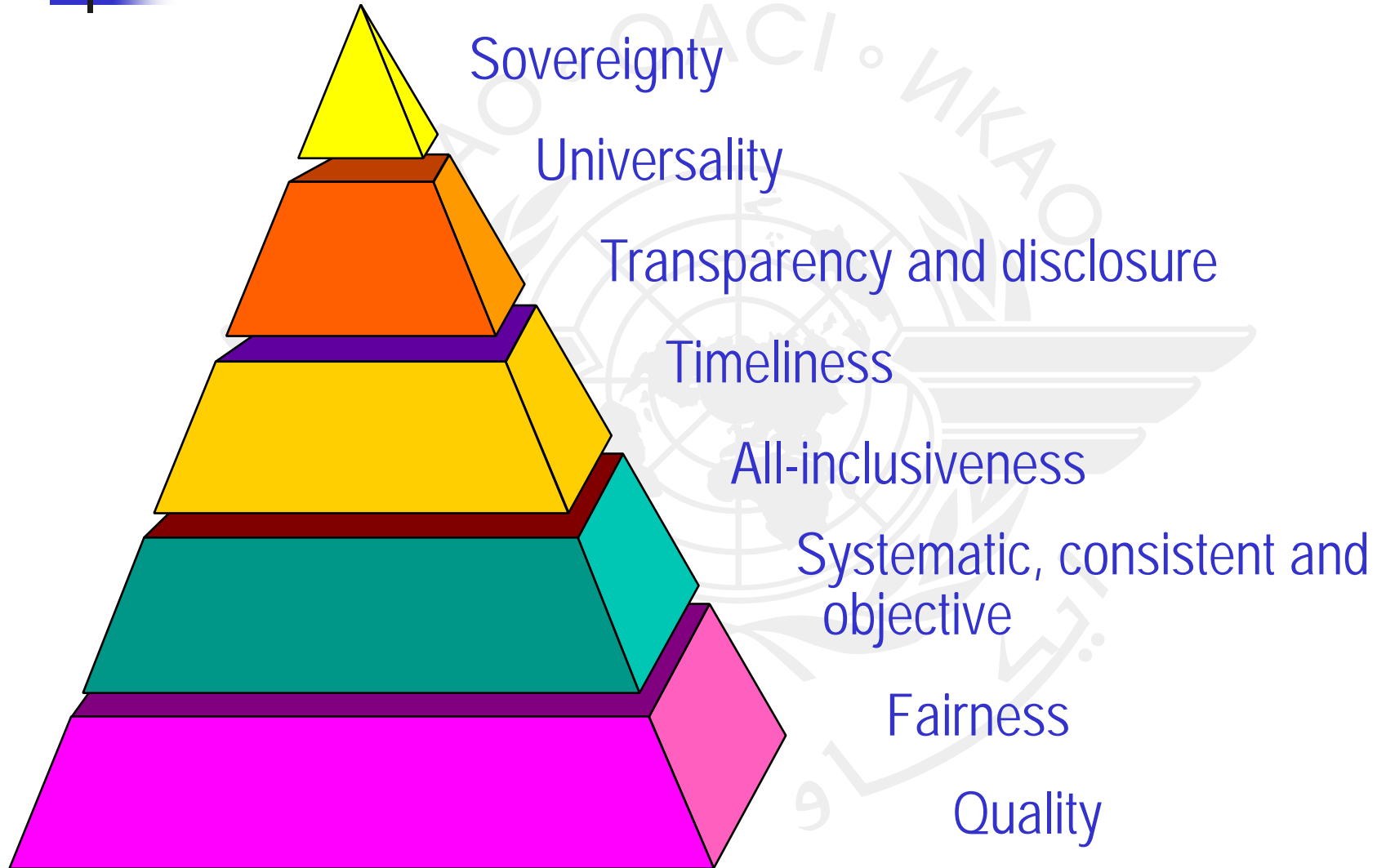
# SOA audit principles

**Questions for discussion:**

**Taking into consideration the definitions given to "Principle", is there a need to establish "Programme Principles" for USOAP?**

**If "Yes," what should they be?**

# USOAP principles

Sovereignty

Universality

Transparency and disclosure

Timeliness

All-inclusiveness

Systematic, consistent and objective

Fairness

Quality

# USOAP principles

**Sovereignty**

Every State has complete and exclusive sovereignty over the airspace of its territory. Accordingly, ICAO fully respects a sovereign State's responsibility and authority for safety oversight, including its decision-making powers with respect to implementing corrective actions related to audit findings.

# USOAP principles

**Universality**

All Contracting States shall be subject to a safety oversight audit by ICAO, in accordance with the principles, processes and procedures established for conducting such audits, and on the basis of the Memorandum of Understanding signed by ICAO and each Contracting State.

# USOAP principles

**Transparency and disclosure**

USOAP audits shall be conducted under an auditing process which is fully transparent and open for examination by all concerned parties.

There shall be full disclosure of audit final reports and the reports shall provide sufficient information for Contracting States to make informed determinations as to the safety oversight capability of other States.

TRANSPARENCY DOES NOT NECESSARILY MEAN NON-CONFIDENTIALITY

# USOAP principles

**Timeliness**

Results of the audits will be produced and submitted on a timely basis, in accordance with a predetermined schedule for the preparation and submission of audit reports.

Contracting States are equally required to submit their comments, action plan and all documentation required for the audit process within the prescribed time.

# USOAP principles

**All-inclusiveness**

The scope of the ICAO Universal Safety Oversight Audit Programme under the Comprehensive Systems Approach includes the safety-related provisions contained in all safety–related Annexes, Procedures for Air Navigation Services (PANS), guidance material and related procedures and practices.

# USOAP principles

**Systematic, consistent and objective**

ICAO safety oversight audits will be conducted in a consistent and objective manner. Standardization and uniformity in the scope, depth and quality of audits will be assured through initial and refresher training of all auditors, the provision of guidance material, and the implementation of an audit quality control system within USOAP.

# USOAP principles

**Fairness**

Audits are to be conducted in such a manner that Contracting States are given every opportunity to monitor, comment on, and respond to, the audit process, but to do so within the established time frame.

# USOAP principles

**Quality**

Safety oversight audits will be conducted by appropriately trained and qualified auditors and in accordance with widely recognized auditing principles and practices.

# Auditing principles

**Ethical conduct**

**Ethics, a definition:**
- ✓ the philosophical study of moral values and rules;
- ✓ motivation based on the ideas of wrong and right.

# Auditing principles

**Manifestations of "Ethical conduct"**

Trust,

Integrity,

Confidentiality, and

Discretion

The above listed manifestations of "ethical conduct" are generally considered as the "*Foundations of Professionalism*"

# Auditing principles

The **ISO 19011** International Standard provides guidance on the management of audit programmes, the conduct of internal or external audits of quality and/or environmental management systems, as well as on the competence and evaluation of auditors.

Four of the most important principles have been selected by SOA for USOAP's auditing purposes.

# ISO 19011 auditing principles adopted by USOAP

**Fair presentation**
The obligation to report truthfully and accurately

**Due professional care**
The application of diligence and judgement in auditing

**Independence**
The basis to audit with impartiality and objectivity

**Evidence-based approach**
Systematic audit process to reach reliable conclusions

# Auditing principles

**Fair presentation:**

*the obligation to report truthfully and accurately*

Audit findings, audit conclusions and audit reports reflect truthfully and accurately the audit activities. Significant obstacles encountered during the audit and unresolved diverging opinions between the audit team and the audited are reported.

# Auditing principles

**Due professional care:**

*the application of diligence and judgement in auditing*

Auditors exercise care in accordance with the importance of the task they perform and the confidence placed in them by audit clients and other interested parties.

**The necessary competence is an important factor.**

# Auditing principles

**Independence**:

*The basis for the impartiality of the audit and objectivity*

Auditors are independent of the activity being audited and are free from bias and conflict of interest.

Auditors maintain an objective state of mind throughout the audit process to ensure that the audit findings and conclusions will be based only on the audit evidence.

# Auditing principles

**Evidence-based approach:**

*The rational method for reaching reliable and reproducible audit conclusions in a systematic audit process*

Audit evidence is verifiable. It is based on samples of the information available, since an audit is conducted during a finite period of time and with finite resources.

The appropriate use of sampling is closely related to the confidence that can be placed in the audit conclusions.

# Principles and personal attributes

**Is there any relationship between "principles" and "personal qualities and attributes?"**

**or**

**Is there a need to define personal qualities and attributes for auditors?**

# Personal attributes of auditors

**The maxim goes:**

**"The personal qualities and attributes of an auditor are as important as knowledge and experience of his or her subject matter expertise."**

**If this is true, what should these qualities/attributes be?**

# Personal attributes of auditors

- Ethical in conduct
- Objective, fair and impartial
- Self confident
- Honest and firm
- Focused
- Observant
- Team player
- Open to alternative ideas
- Tactful
- Discreet
- Analytical and logical
- Well groomed

# Personal attributes of auditors

**Essential auditor attributes and/or qualities:**

- An enthusiastic, constructive, objective, inquisitive and analytical state of mind;

- A patient, good listener who can communicate at all levels without arguing;

- A strong but diplomatic personality; able to make unpopular decisions, and yet maintain respect, based on sound judgements;

# Personal attributes of auditors

**Essential auditor attributes and/or qualities (cont'd):**

- ❑ A versatile and flexible person, unbiased, not easily influenced but respected by all;

- ❑ A pleasant friendly character able to quickly establish a good rapport with people at all levels; and

- ❑ Have a good memory.

# Principles and personal attributes

**What does it mean?**

Principles and personal qualities and attributes do have an impact on the audit process, but also do other factors.

To be successful with an audit we need to be aware of the factors which influence the audit process.

Psychological elements are some of the factors known to have an impact on the outcome of the audit process.

# Auditor-related factors

**Some factors known to influence the audit process:**

- ❑ The right questions need to be asked, to the right people;

- ❑ The audit style must be matched to the status and personality of the audited;

- ❑ The auditor must be fully prepared for conducting the audit; and

- ❑ The atmosphere must be as relaxed as possible (auditing is a stressful situation for both parties).
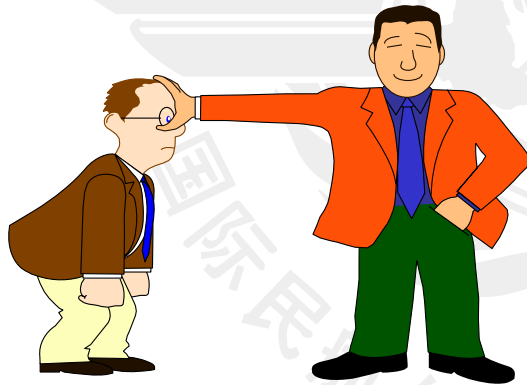
# Communication process



MESSAGE

RECEIVER

SENDER

FEEDBACK
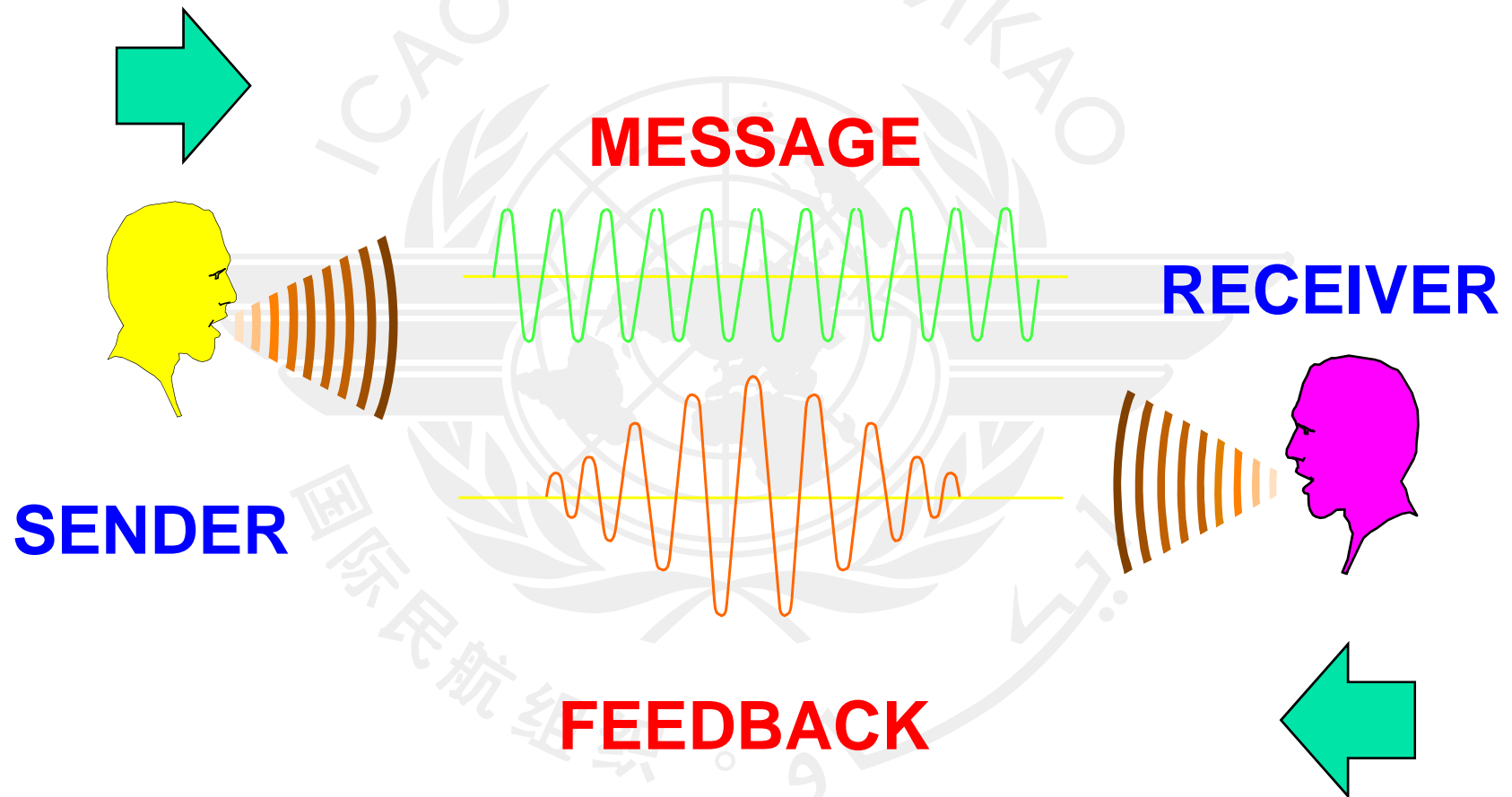
# Methods of communication
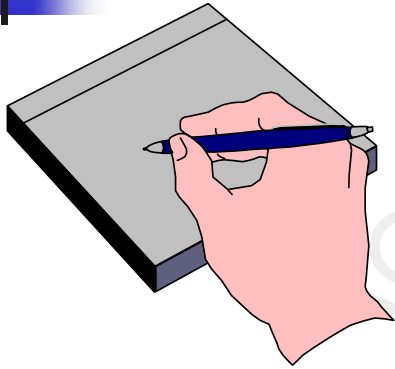
**WRITING**          **READING**          **SPEAKING & LISTENING**
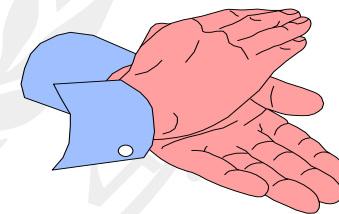
**NON-VERBAL COMMUNICATION AND BODY LANGUAGE**

# Time spent communicating



SPEAKING
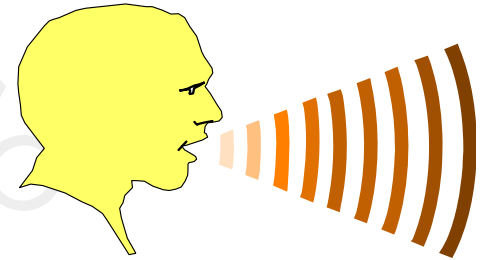16%

WRITING
14%

FACE TO FACE LISTENING

32%

MASS LISTENING

21%

READING

17%
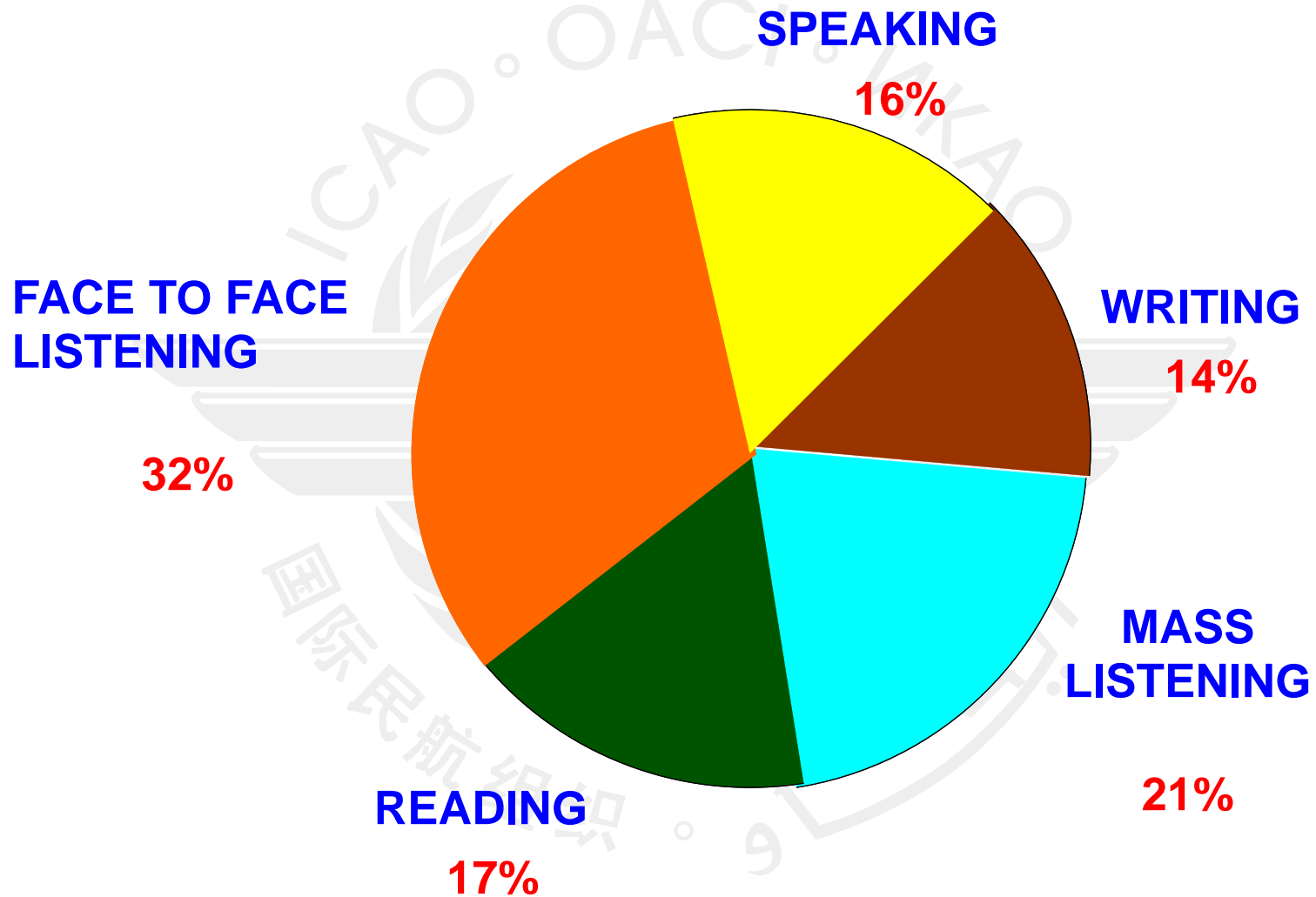
# Listening: a forgotten art

Everybody wants to talk

Few want to think

Nobody wants to listen!

# Components of listening

- Hearing – the physiological aspect of listening

- Attending – paying attention, showing interest

- Understanding – making sense of the message

- Responding – giving observable feedback

- Remembering – recalling the message
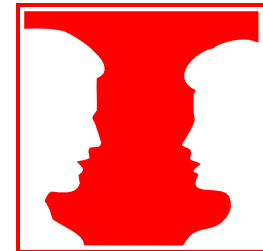
# Why is listening so hard?

- LACK OF TRAINING - it is a skill rarely taught.

- FILTERING - we perceive the world in ways which reflect our own needs.

- SELF-ABSORPTION – we are preoccupied with our own agenda.

- DISTRACTIONS - both internal and external.

# Listening with empathy

❏ Be open and receptive, show interest.

❏ Hear all that the other person has to say before responding. Postpone all evaluation.

❏ Don't interrupt or finish sentences for the other person. Wait during pauses.

❏ Interpret the other person's message by listening for feelings as well as facts.

❏ Pay attention to body language.

❏ Ask for clarification if needed.

❏ Be aware of enhancers and inhibitors
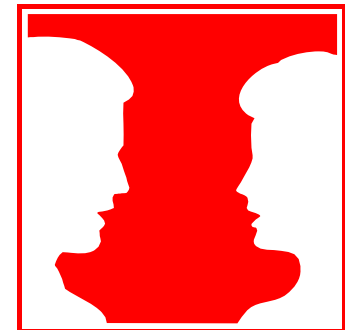
# Enhancers and inhibitors

**ENHANCERS**

INCREASE THE STRENGTH OF THE COMMUNICATION

**INHIBITORS**

PREVENT THE COMMUNICATION FROM TAKING PLACE

# Do ask questions

- ❑  To gain information.

- ❑  To stimulate and encourage conversation.

- ❑  To learn the other person's views.

- ❑  To check for agreement.

- ❑  To build rapport and trust.

- ❑  To verify information.

# If you disagree with a point of view:

- Find out what has led the other person to that view.

- Make sure you truly understand the view.

- Explore, listen and offer your own views in an open way.

- Raise your concerns and state what is leading you to have them.
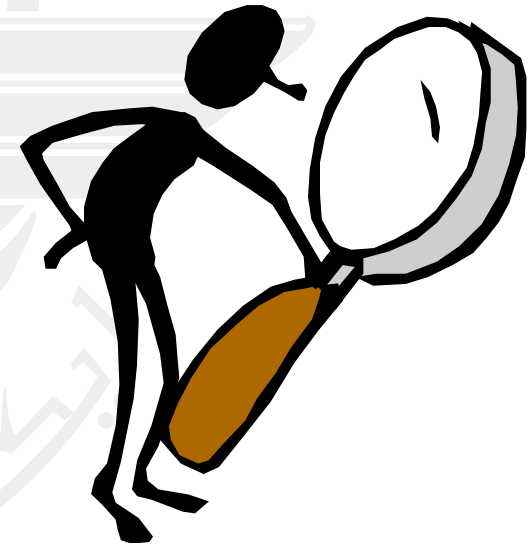
# When things go wrong…

- Do not force your point of view

- Be honest

- Stay calm

- Take a break

# Public speaking

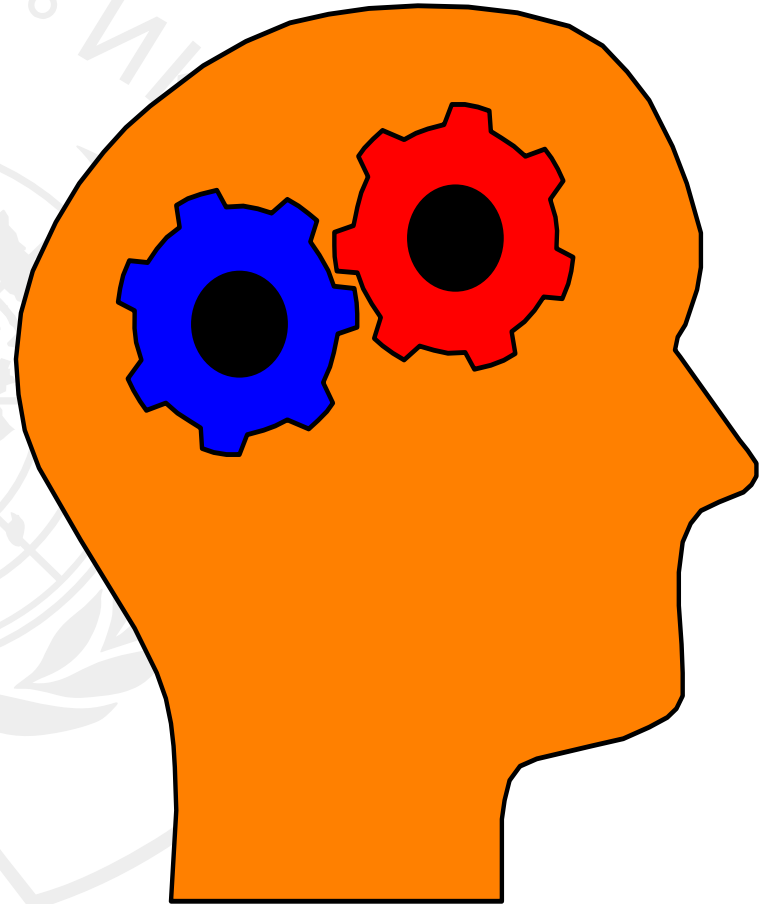# The moment of truth

**"The mind is a wonderful thing:**

**It starts working the minute you are born**

**and never stops…**

**until you get up to speak in public!!"**

# Why do we fear speaking to groups?

- We feel naked and exposed

- We know mistakes are likely

- We lack good experience

- We are untrained

- We have no systematic approach

- We face "the ghost of speeches past"

# Three basic truths

- Good speakers are made, not born. Speaking to groups is a learnable skill.

- By focusing on the right things and using effective techniques, anyone can be a successful speaker.

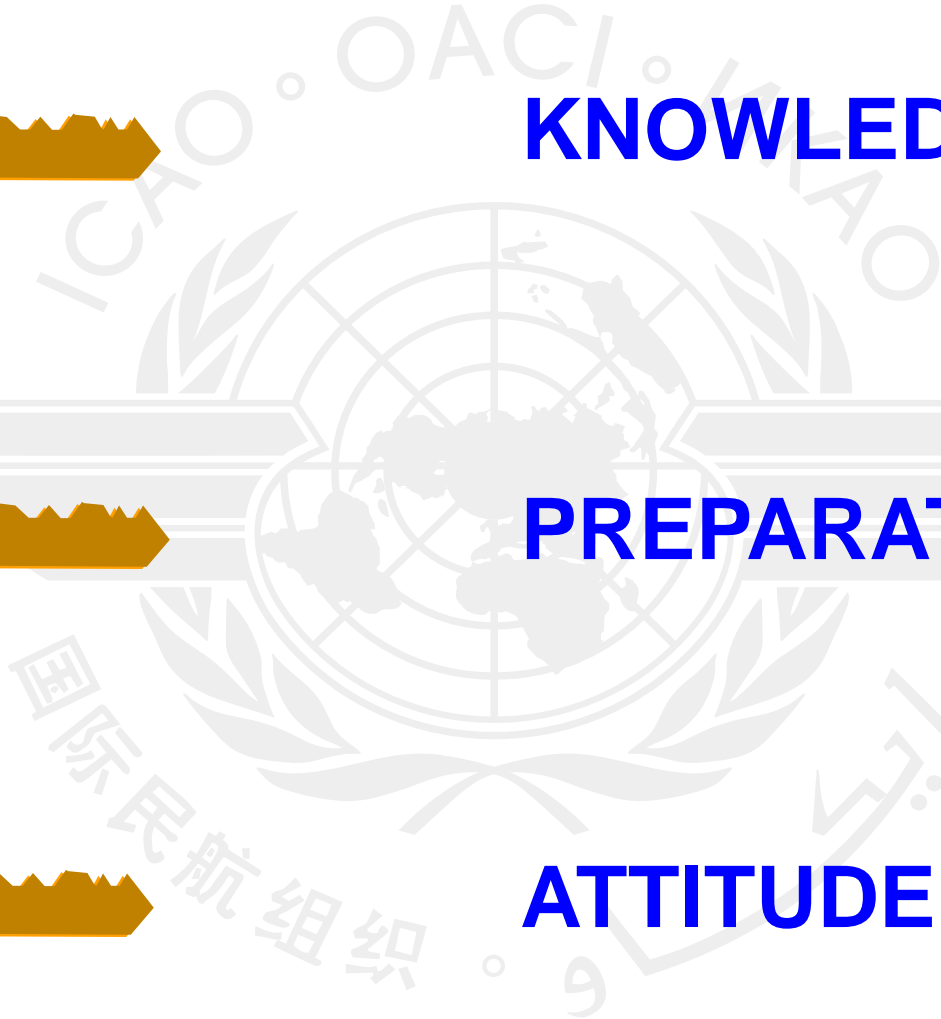- Practice makes perfect: the more presentations we make, the better we become.

# The three keys

**KNOWLEDGE**

**PREPARATION**

**ATTITUDE**

# Knowledge

❑ Subject mastery comes from research, study and good preparation. The better your preparation and research, the more obvious it will be that you have the required knowledge and expertise for the task at hand.

❑ Subject mastery also means being able to answer questions, or dealing with the unforeseen.

# Preparation and organization

- List the activities to be completed in order to achieve your objectives;

- Then organize these activities in sequence;

- Finally list them as a checklist.

- By following this sequence, you will be able to monitor your progress and confirm that each activity was carried out.

# Attitude

❑ A glass with water can be seen as either half-empty or half-full.

❑ If you start on a positive, optimistic (half-full) attitude, you will likely succeed.

❑ If you start on a negative (half-empty) attitude, chances are that you will fail.

# George Bernard Shaw's formula

**"I first tell them what I am going to tell them;**

**then, I tell them;**

**and finally,**

**I tell them what I told them".**

# The three parts of a presentation

**INTRODUCTION**

(why, for whom, what)

**BODY**

(the main message)

**CONCLUSION**

(key points)

# Introduction

- The introduction should clearly state the purpose, scope and specific objective of the presentation.

- An audience usually wants to know why they should listen, what they will gain from the presentation and how the information will help them (e.g., solve problems, etc.).

IN THE INTRODUCTION YOU TELL THEM WHAT YOU ARE GOING TO TELL THEM

# Body

- The body should follow a clear sequence, organized from simple to complex, known to unknown, general to specific or in a chronological order.

- Your sequence should also ensure that the information is presented in pieces that can be easily understood. Use questions and short reviews at the end of each main point to check understanding.

<div style="border: 2px solid orange; color: red; text-align: center">

IN THE BODY YOU TELL THEM
WHAT YOU HAVE TO TELL THEM

</div>

# Conclusion

❑ The purpose of the conclusion is to review and emphasize the main points of the presentation.

❑ It should clearly identify what is worth remembering.

❑ It must not include any new information.

❑ If your audience leaves with a clear picture of what has been presented and how it will help them, then you probably have succeeded.
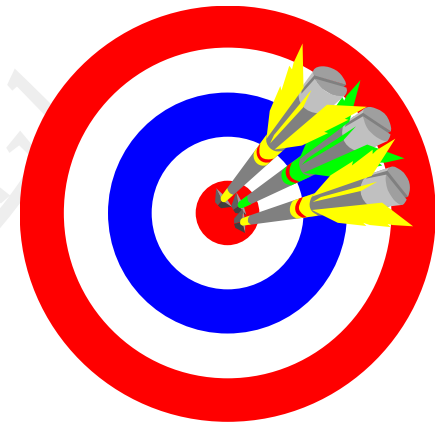
> IN THE CONCLUSION YOU TELL THEM
> WHAT YOU TOLD THEM

# Using visual and training aids

Any device, equipment, machine, mock-up, illustration, simulator, etc. used to improve or facilitate the presentation process
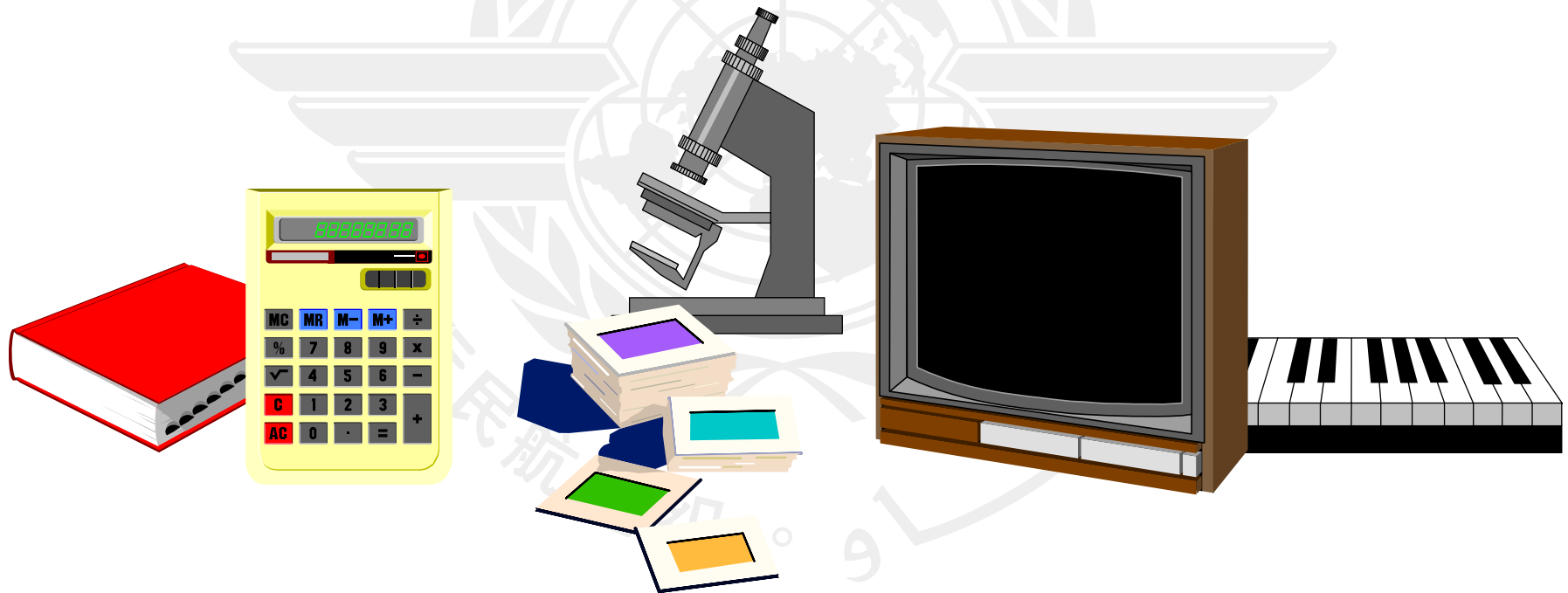
# Role of visual and training aids

- ❑ Focus attention

- ❑ Reinforce the message

- ❑ Stimulate interest

- ❑ Illustrate concepts

- ❑ Improve retention

- ❑ Provide practice

# Retention of information

| METHOD USED | RECALL 3 HOURS LATER | RECALL 3 DAYS LATER |
|---|---|---|
| TELLING ONLY | 70% | 10% |
| SHOWING ONLY | 72% | 20% |
| A BLEND OF TELLING & SHOWING | 85% | 65% |

# Verbal aids

❏ These are essentially techniques that help support your presentation.

❏ They are verbal in that they are spoken. They can be quite effective to strengthen the discussion, increase interest and understanding, clarify points, etc.

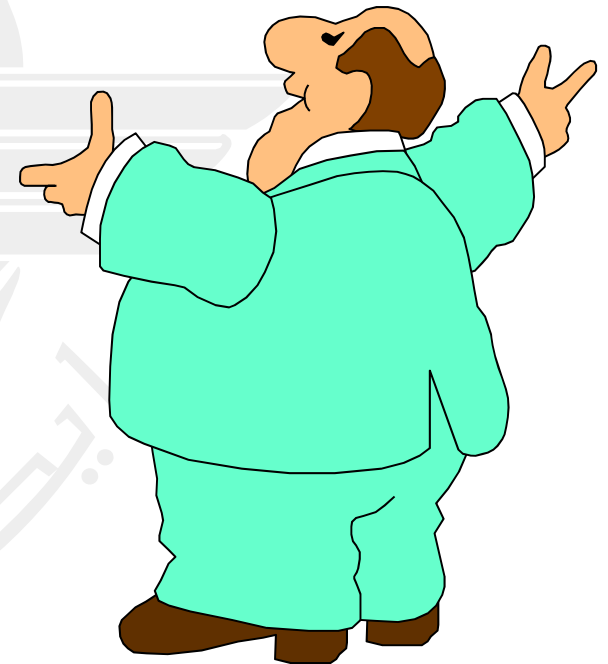❏ They can also generate motivation and increase retention. These verbal aids include the following:

# Verbal aids

- **Making comparisons**

- **Giving reasons**

- **Providing examples**

- **Using statistics, charts**

- **Giving testimonials**

# During the presentation

- Maintain good posture

- Modulate your voice

- Control your gestures

- Be clear

- Invite questions

- Use visual and verbal aids

# Dealing with anxiety

- Plan

- Practice

- Breathe

- Relax

- Move

- Maintain eye contact

# When things go wrong…

- Do not force your point of view

- Be honest

- Stay calm

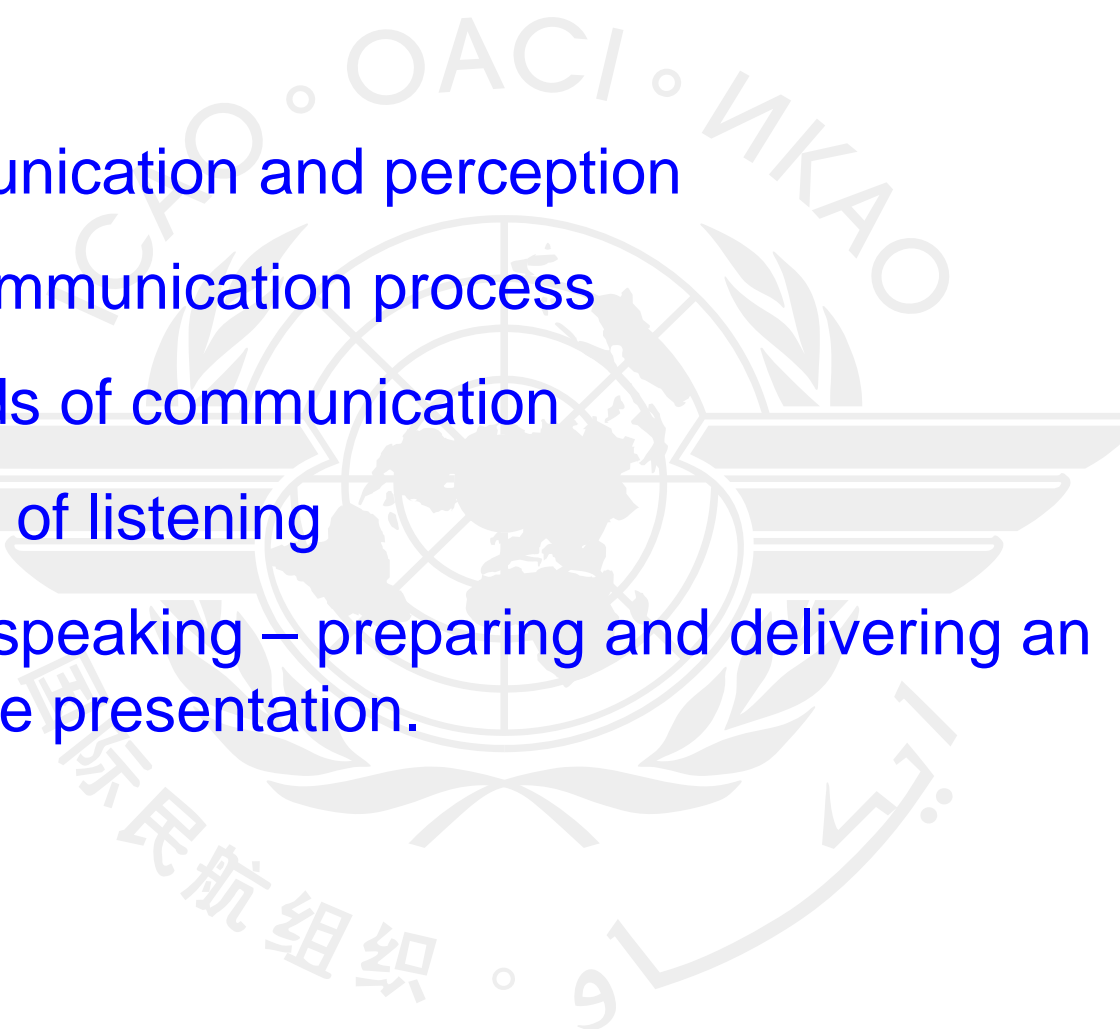- Take a break

# 4 steps (Ps) to a successful presentation

1. **P** LAN

2. **P** REPARE

3. **P** RACTICE,
   **P** RACTICE,
   **P** RACTICE

4. **P** RESENT
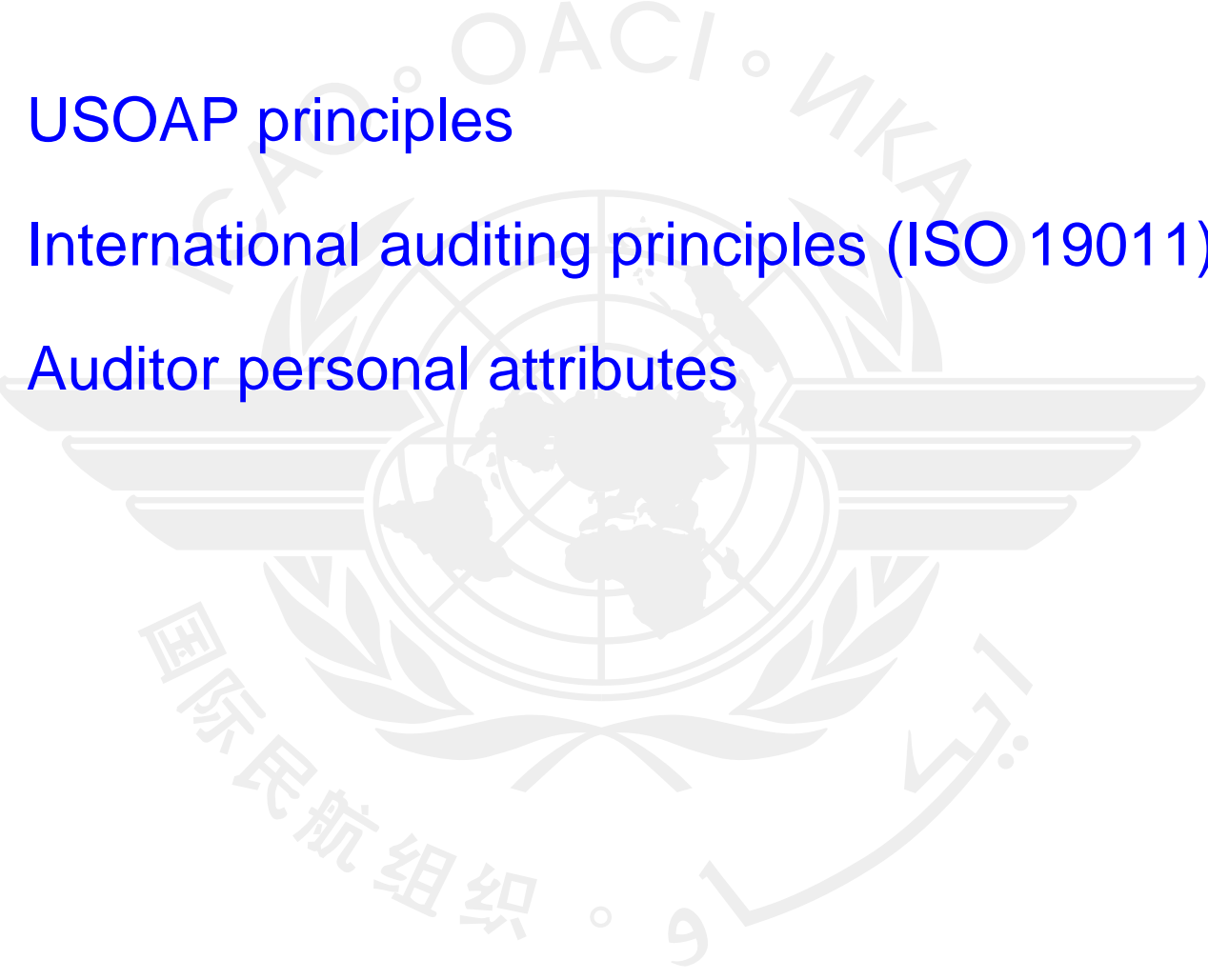
**THE "4 Ps" REALLY WORK!**

# Review

- Communication and perception

- The communication process

- Methods of communication

- The art of listening

- Public speaking – preparing and delivering an effective presentation.

# Review

- ❑ USOAP principles

- ❑ International auditing principles (ISO 19011)

- ❑ Auditor personal attributes

# ICAO SAFETY OVERSIGHT

# Thank you !