

OZTECH LTD

AuditZone

AIP Auditing Quick Guide

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OZTECH LTD.

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1 Introduction

This guide briefly explains main flow of actions for AIP audits.

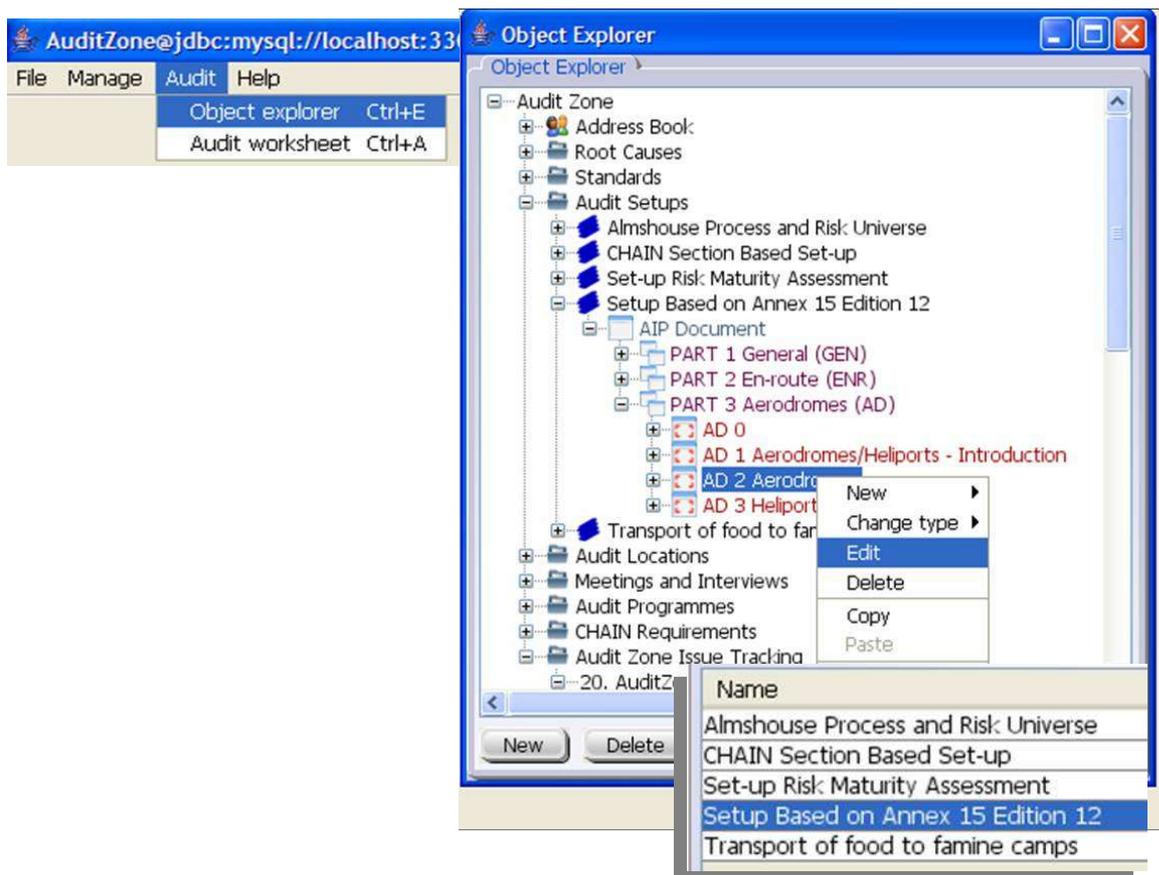
AIP Audit Set-up (i.e., “*Setup Based on Annex 15 Edition 12*”) was designed to provide the States with a standardised programme for assessing their AIP (Aeronautical Information Publication). By using this set-up, auditors use standard procedures to determine the level of conformity with internationally recognized ICAO Standards and Recommended Practices (SARPs). The auditor must be skilled at collecting factual evidence, analyzing that evidence and making a determination as to whether the AIP document is or is not in conformity with SARPs.

1.1 Adapt set-up to your environment

AIP audit set-up is based on Annex 15 - Appendix 1. Therefore, you have to introduce your airports and heliports to the AuditZone.

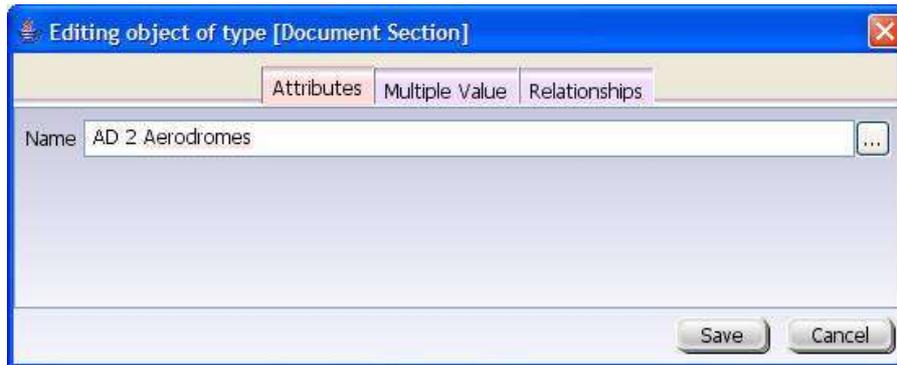
Adapt set-up to your environment

1. Use the **Object Explorer** to locate and adapt audit setup to your environment.
2. Go to “AD 2 Aerodromes” and select it.
3. Use right click and select **Edit**.



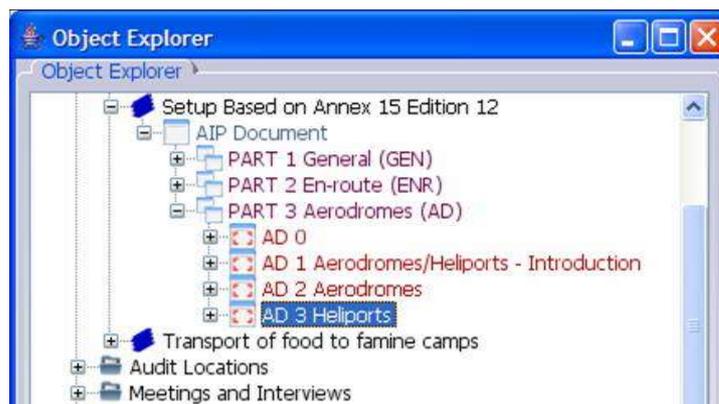
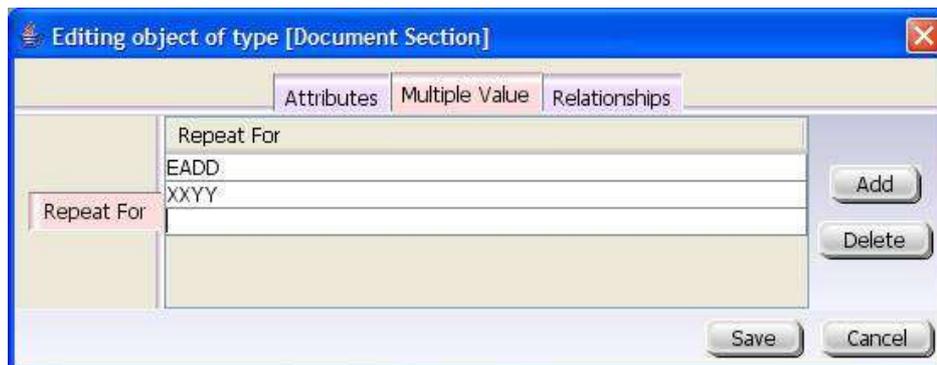
Edit "AD 2 Aerodromes"

1. Click on **Multiple Value** tab.



Enter your aerodrome location indicators

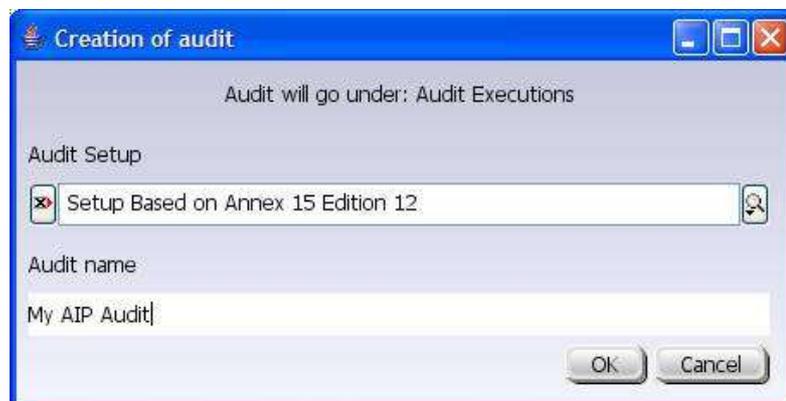
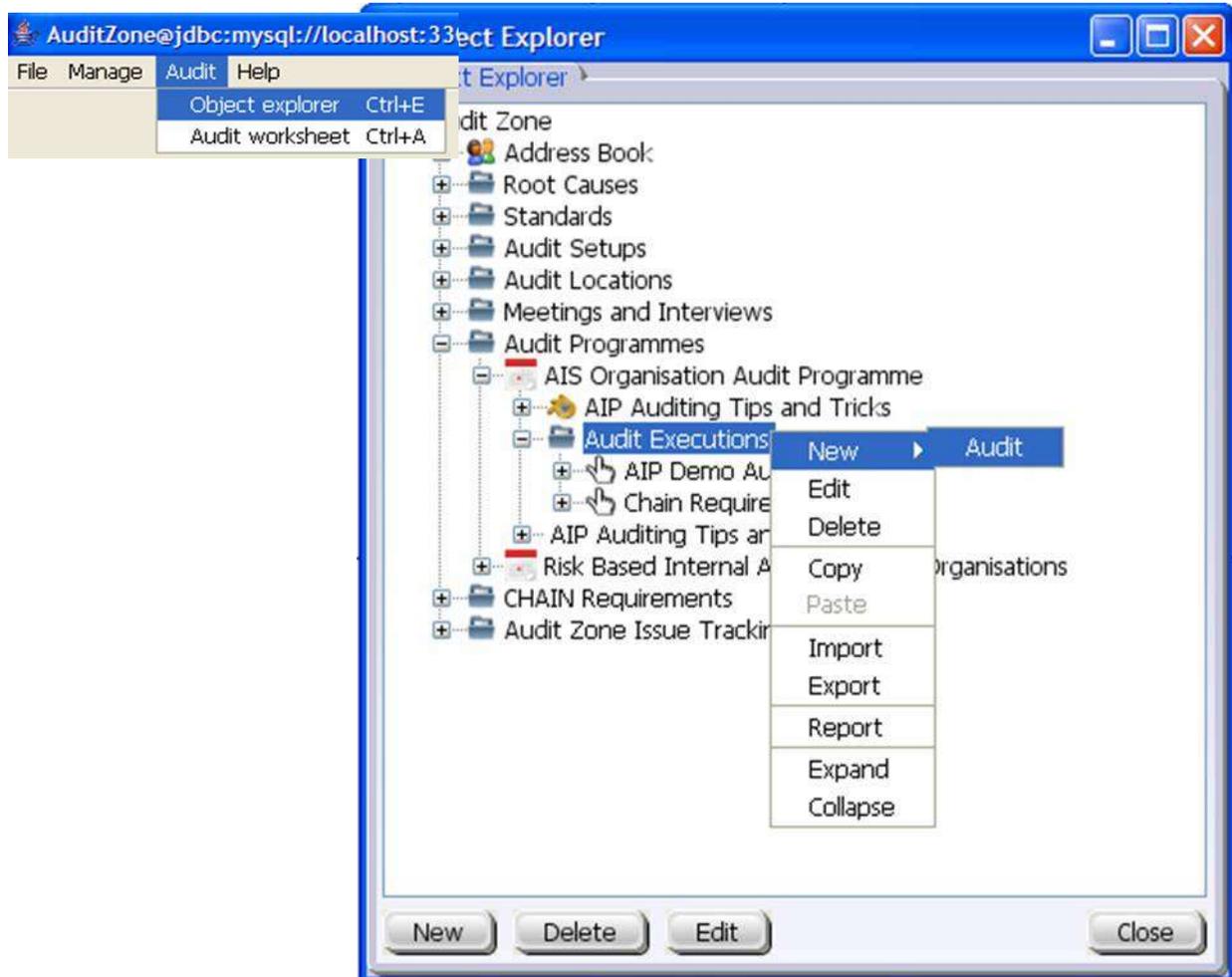
1. Use the **Add** and **Delete** buttons to add and delete aerodrome location indicators. After entering location indicators use the **Save** button to save your changes into the AuditZone repository.
2. If applicable, repeat same exercise for "AD 3 Heliport".



1.2 Create your audit

Audit Creation

1. Use the **Object Explorer** to locate *Audit Executions*.
2. Use right click and select **New->Audit**.
3. Select your setup ("Setup Based on Annex 15 Edition 12") from the combo-box and give a name to your audit (e.g., "My AIP Audit").
4. Click on the **OK** button.



2 Audit Worksheet

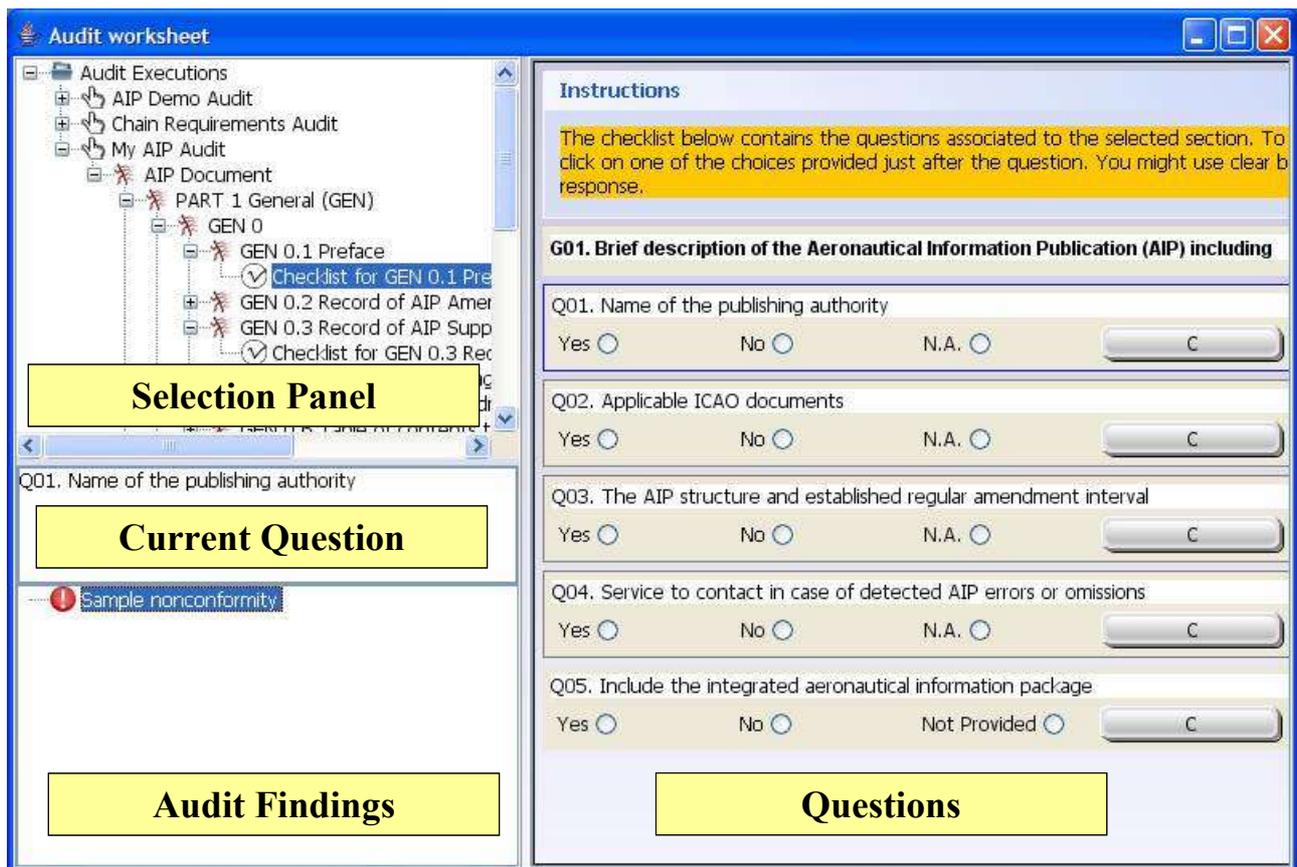
You can activate audit worksheet by selecting **Audit->Audit worksheet** from the main menu.



2.1 Worksheet Panels

Audit worksheet contains four panels:

- **Selection Panel:** This panel allows you to select questionnaire for AIP sections.
- **Questions Panel:** This panel contains questions to be responded for the selected AIP section.
- **Current Question Panel:** It indicates the text of the current question. Current question is also outlined with blue color in questions panel.
- **Audit Findings Panel:** It shows, if any, audit findings recorded for the current question.



2.2 Responding Questions

How to respond a question

1. Choose one of the option buttons to respond a question.
2. If you want to clear your response, use **Clear (C)** button.

2.3 Outlining Active Question

While responding questions, the current question is outlined with a blue line.



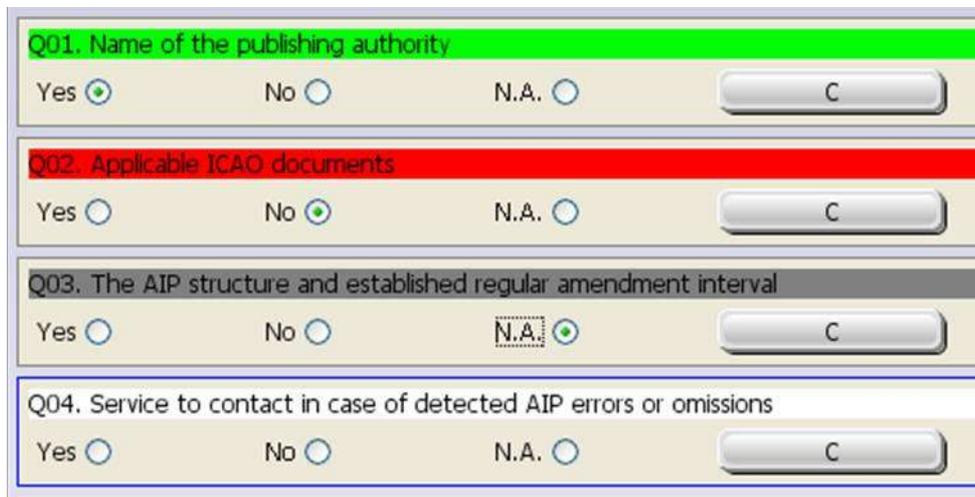
Q01. Name of the publishing authority

Yes No N.A.

2.4 Coloring Scheme in Questions Panel

The following colors are used to show response status in the **question panel**:

- **Green**: positive response,
- **Red**: negative response,
- **Gray**: not applicable,
- **White**: not responded.



Q01. Name of the publishing authority

Yes No N.A.

Q02. Applicable ICAO documents

Yes No N.A.

Q03. The AIP structure and established regular amendment interval

Yes No N.A.

Q04. Service to contact in case of detected AIP errors or omissions

Yes No N.A.

2.5 Creating Audit Findings

How to create audit finding

1. Use right click over a question to enable the pop-up menu.
2. Select **Audit Finding** and, then the finding type to create an audit finding.

The following audit findings are supported by default:

- **Non-conformity:** it corresponds to the cases when audited item does not follow standards and/or requirements. Non-conformity with an ICAO Standard results in this audit finding. In order to close a non-conformity corrective actions must be implemented that addresses root cause(s) and permanently eliminates non-conformity. The auditor must verify the corrective action implemented by the assigned action holder during follow-up phase.
- **Possible issue:** it should be used when there is an anomaly related to a recommended practices. Recommended practices specify practices that are deemed desirable. Fulfilment of such specifications is optional. Please note that it is not required to be in conformity with recommended practices at the close of an audit. Therefore, possible issue is not required to be closed, and consequently, implementation of corrective action is optional during follow-up phase.
- A **positive observation** should be collected when you want to encourage best practices. Auditees have a tendency to see the audit process as producing negative results. This audit finding might help you to overcome this problem.
- If you identify a chance for progress or advancement, it should be recorded as an **opportunity**.
- **Stakeholder:** It corresponds to a person or group that has an investment, share, or interest in your data/information. It is only advised to record such information if you didn't yet construct your originator and client index. However, please note that it is a secondary objective.
- **Evidence:** The goal of the auditor is to secure sufficient factual evidence to provide irrefutable proof that the AIP either is or is not in conformity with SARPs. Factual evidence is gathered as a result of various activities undertaken by an auditor during the course of an Audit. Specifically, factual evidence will be derived from the following activities:
 - Reviewing documentation;
 - Interviewing personnel;
 - Observing the conduct of operational activities and processes.
- **Audit note** is a very flexible way for an auditor to record the audit. The main disadvantage of using audit notes is that they tend to be a very personal way of recording information during an audit, and the levels of recording detail and styles will vary greatly from one auditor to another. Therefore, it is suggested that you use an audit not if you can not classify an audit finding to one of above.

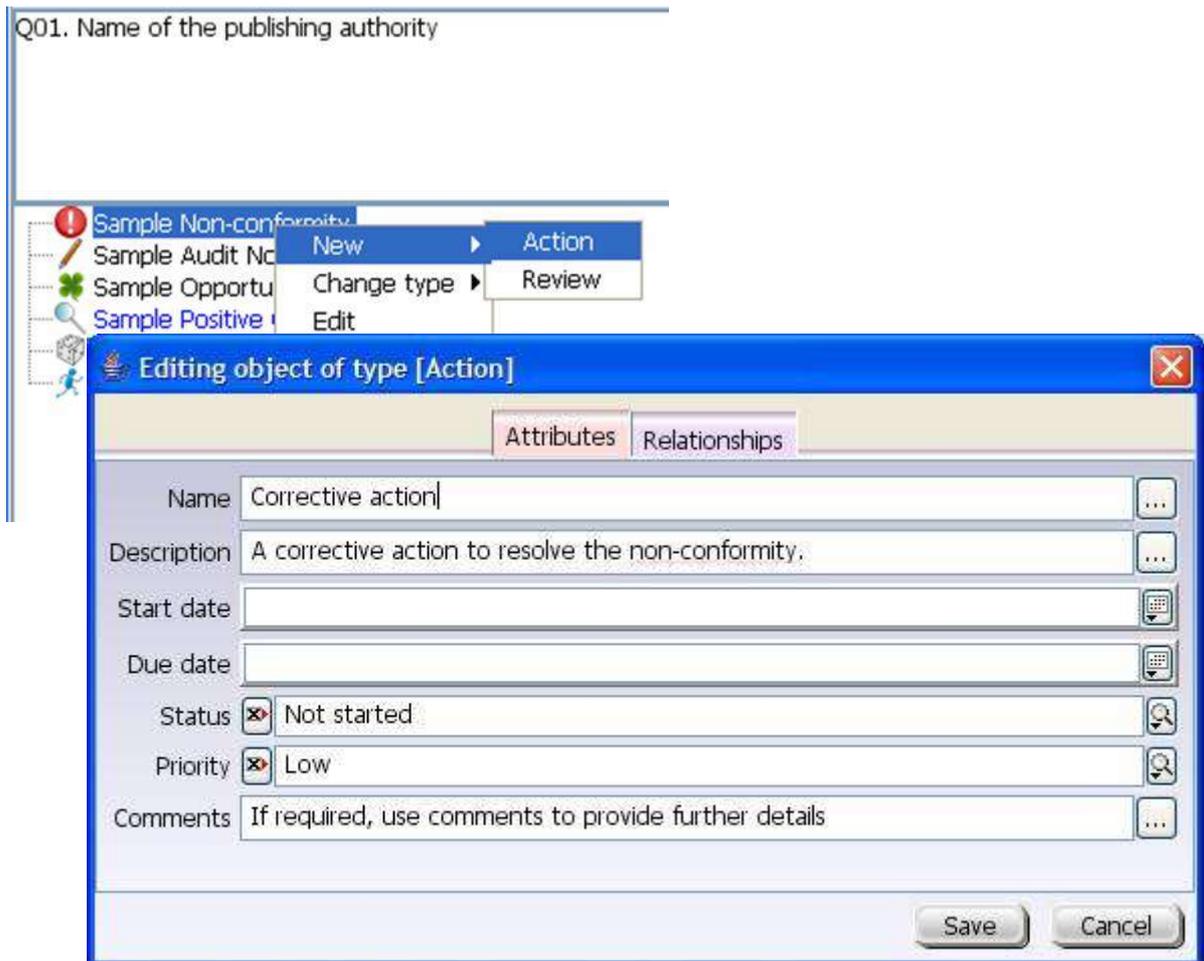


2.6 Creating Actions

AuditZone allows to create action under any type of audit findings. However, it is recommended to create actions (i.e., corrective actions) systematically for non-conformities.

How to create actions

1. Select an audit finding in the audit findings panel.
2. Right click to activate the pop-up menu.
3. Select **New->Action** from the pop-up menu.
4. Enter a short name, description, start date, due date, status, priority and comments for the action.
5. Click on the **Save** button.



2.7 Creating Reports

You can create reports from any tree view in AuditZone. Please note that AuditZone does not check whether a report is applicable for the selected node.

How to create reports

1. Select a node and right click over it.
2. Select **Report** from the pop-up menu.
3. Select a report template in the reporting dialog.
4. Select the title of report you want generate and choose file extension.
5. If required, choose destination folder by clicking on the **Browse** button.
6. Click on the **Create Report** button.

