



IS-BAO POLICY



IS-BAO Policy 2010-02

Subject – IS-BAO Audit Monitoring Program

Effective: April 15, 2010

1. Purpose

The purpose of the IS-BAO Audit Monitoring Program is to conduct quality assurance of the IS-BAO audit program. Quality assurance is the process of verifying or determining whether products or services meet or exceed expectations. It should provide confidence that quality requirements are being fulfilled. Quality assurance is a process-driven approach with specific steps to help define and attain goals. This process considers design, development, production, and service of a product. The IBAC Audit Manager is responsible for the IS-BAO Audit Monitoring Program, which is designed to:

1. Ensure that IS-BAO audits are being planned and performed in accordance with the IS-BAO Audit Procedures Manual, and
2. Identify any opportunities for improvement of the IS-BAO audit program and its delivery.

The Audit Monitoring Program is a part of the global IS-BAO Audit Program Quality Assurance initiative and is funded through program publications, registration and accreditation receipts.

2. Methodology

1. Audits will be monitored by members of the IS-BAO audit quality assurance team who are directly involved in the selection and training of accredited auditors and quality assurance review of IS-BAO audit reports.
2. Audits to be monitored will be selected on the following basis:
 - a. Auditors where issues have been identified either through operator feedback on audits or quality assurance reviews of their audits,
 - b. Newly accredited auditors, and
 - c. Randomly selected auditors.

Selection of these auditors will be the responsibility of the Audit Manager after soliciting input from other members of the audit quality assurance team.

3. Selected auditors will be required to notify the audit manager of impending audits as far in advance as possible of the audit scheduled date to enable selection and assignment of a member of the audit quality assurance team to conduct the audit monitor.
4. Arrangements to monitor the audit will be made between the appointed Monitor and the auditor. Permission for the Monitor to participate in the audit will be requested from the operator by the auditor.
5. The Monitor will “shadow” the selected auditor from the pre-audit process through a representative portion of the on-site audit. The on-site monitoring process should comprise not less than one working day.
6. A verbal debrief of IS-BAO Audit Monitoring Report will be provided on-site to the auditor by the Monitor to ensure complete understanding of any identified issues.
7. The Monitor will complete the IS-BAO Audit Monitoring Form, attached, following receipt of the IS-BAO Audit Report, submit the IS-BAO Audit Monitoring Report to the auditor for comments



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and signature, and then file the Report with the IS-BAO Audit Manager. The report will be reviewed by the members of the audit quality assurance team.

8. The Audit Manager will retain copies of the completed IS-BAO Audit Monitoring Reports.

3. Audit Monitor Procedures

The Monitor will use the IS-BAO Auditor Monitor Protocol contained in the IS-BAO Auditor Monitoring Report as a guide in monitoring the audit. The Monitor will refrain from interfering with the audit or providing advice and counsel to the auditor; the purpose of the audit monitor is to provide an objective appraisal of the audit and the manner in which it is conducted.

If the auditor makes a significant error in applying an IS-BAO standard, one that would compromise the integrity of the audit, the Monitor should immediately discuss the issue confidentially with the auditor and take action as necessary to preserve the integrity of the audit. The issue and action taken should be noted in the IS-BAO Audit Monitoring Report.

The Monitor should minimize interaction with the operator regarding audit protocols or procedures to preserve the objectivity of the audit monitor. Questions not related to the audit or interpretation of audit protocols may be answered but care should be exercised to not interfere with the audit.

4. Use of Monitoring Information

The Audit Manager will compile an annual report for the IS-BAO Standards Board summarizing the results of the IS-BAO Auditor Monitoring Program. Recommended standards or audit procedures changes derived from the Audit Monitoring Program should be noted as a part of the report.

A trend or pattern of audit procedural faults determined from monitoring events will be brought to the attention of the audit quality assurance team members by the Audit Manager for possible immediate action to correct the faults. Minor faults or discrepancies noted in IS-BAO Auditor Monitoring Reports will be noted in periodic auditor newsletters and incorporated into the IS-BAO Auditor Accreditation Workshops.

5. Monitoring by States or Regulatory Agencies

States or other regulatory agencies that accord a degree of recognition to the IS-BAO within their regulatory system may undertake quality assurance (QA) audits of the IS-BAO program. Such QA activities may take the form of audits or reviews of any aspect of the IS-BAO Program and how it is being managed.

QA activities of the IS-BAO Audit Program may include monitoring of IS-BAO registration audits and/or review of management of the Audit Program. QA of other aspects of the IS-BAO program may include activities such as audits or reviews of IS-BAO Program records, interviews with IBAC personnel involved in IS-BAO program management, and observing IS-BAO Program workshops.

Any such QA activities should be requested through the IBAC Standards Manager sufficiently far in advance of the selected event to permit adequate coordination. Any States or other regulatory agency that conducts QA activities are expected to provide a copy of their report and any recommendations to the IBAC Standards Manager for review and comment before it is finalized.

Approved by D.S. Spruston Director General

January 15, 2010

IS-BAO Auditor Monitoring Report

MONITOR DATE _____

NO. OF DAYS _____

MONITOR NAME & ADDRESS	telephone	_____
	fax	_____
	e-mail	_____

AUDITOR NAME & ADDRESS	telephone	_____
	fax	_____
	e-mail	_____

OPERATOR BEING AUDITED & CONTACT PERSON	telephone	_____
	fax	_____
	e-mail	_____

AUDIT SCOPE	Full System <input type="checkbox"/>	Partial <input type="checkbox"/>
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Audit Team Members

Summary of Monitor

Monitor Results		
Fully Satisfactory <input type="checkbox"/>	Minor Issues <input type="checkbox"/>	Unsatisfactory <input type="checkbox"/>
Additional details on page 2		

Monitor Signature

Auditor Signature

Date

Date

**IS-BAO Auditor
Monitoring Report**

Additional Details

IS-BAO Auditor Monitoring Finding Form

NUMBER ___ OF ___

AUDITOR NAME

IS-BAO AUDIT PROCEDURES MANUAL REFERENCE

DETAILS OF FINDING

Monitor's Name

Signature

Date

AUDITOR CORRECTIVE ACTION PLAN

Auditor's Name

Signature

Date

Corrective Action Plan

Acceptable

Not Acceptable

Monitor's Name

Signature

Date

FOLLOW-UP ACTION, IF ANY

**IS-BAO Auditor Monitoring
Finding Form**

ADDITIONAL DETAILS

APM ref.	Requirement	Conform		N/A	Remarks, Observations & Findings
		Y	N		
Audit Planning and Preparation					
4.4	Auditor should provide the operator with information on the audit process including the audit protocols				
	Auditor should obtain and review relevant operator documents prior to the audit.				
4.12	There should be an agreement between the operator and auditor that defined the scope of the audit.				
	An audit plan should be developed and communicated to the operator?				
4.5	The Opening Meeting should at least cover: a. Introductions; b. Purpose and scope of the audit; c. Audit schedule; and d. Overview of the Audit Protocols that will be used.				
Summary of Observations					
Summary of Findings					

APM ref.	Requirement	Conform		N/A	Remarks, Observations & Findings
		Y	N		
Audit Procedures					
4.7	The Audit Protocols should be used to determine if the operator is in conformance with the requirements of the IS-BAO.				
4.8	Remarks, Observations and indications of Finding should be recorded.				
4.10	The appropriateness and effectiveness of the operator processes and procedures should be assessed.				
	The assessment should include examination of operator documents, records and interviews with operator personnel.				
5	The operator SMS should be evaluated to determine soundness, appropriateness and effectiveness				
	The stage of maturity of the operator SMS should be considered in the evaluation.				
	The linkages of the operator's SMS with other IS-BAO elements should be included in the assessment.				
Summary of Observations					
Summary of Findings					

APM ref.	Requirement	Conform		N/A	Remarks, Observations & Findings
		Y	N		
Preparation of Audit Findings and Report					
6.2	Findings factual and substantiated. Where possible they should be validated from different sources.				
	Findings should relate to the management of risk and the cause must be determined.				
6.3	The criticality of the findings must be determined so that operators can plan remedial action.				
	Agreement with the operator should be obtained as part of the process.				
7.1	The Audit Report should be prepared and communicated to the operator.				
	Audit Report and Findings: <ul style="list-style-type: none"> a. There should be consistency between findings between the closing meeting and Audit Report; b. conclusions should substantiated with references; c. findings should stated clearly and concisely; d. generalities should be avoided; e. the full extent of the problem - non-conformance should be communicated; f. objective assessments and language should be used; g. accepted aviation terminology should be used with acronyms and jargon avoided; and h. there should be no focus on criticism of individuals or positions. 				
Summary of Observations					

APM ref.	Requirement	Conform		N/A	Remarks, Observations & Findings
		Y	N		
Summary of Findings					

Closing Meeting and Follow-up					
4.11	A closing meeting will be held prior to departure of the auditor.				
	The closing meeting should cover: a. objective and scope of the audit; b. summary of the audit procedures, (including a list of those interviewed); c. audit findings and observations; and d. where appropriate, audit programme quality and process recommendations to the Standards Board.				
3.9	The results of the audit should be produced and delivered on a timely basis.				
General Considerations					
3.9	The audit should follow the principles of : a. Transparency and disclosure; b. Timeliness; c. Systematic, consistent and objective; d. Fairness; and e. Quality.				
Summary of Observations					

APM ref.	Requirement	Conform		N/A	Remarks, Observations & Findings
		Y	N		
Summary of Findings					