

FIJI AERONAUTICAL INFORMATION CIRCULAR



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ADM

This AIC replaces AIC 02/11, which is hereby cancelled.

CAAF AUDIT PROCEDURE

1. Introduction

- 1.1 This is an overview of CAAF's audit procedure for issue or renewal of an organisational approval such as AOC, Aerodrome Licence, and Certification etc.
- 1.2 The purpose of initiating the process 13 weeks before the expiry of approval document is to allow time for both auditor and auditee to prepare and to be able to complete the audit one month before the expiry of approval.
- 1.3 The Authority expects that all critical findings (Level 1 & 2) are satisfactorily actioned by the auditee within this one-month period. Failure to do so could result in a shorter-term renewals or approvals not even renewed (depending on the risk levels for the open findings).

2. Audit Activity Timeframes

- 2.1 The following table outlines the actions by the Authority and the auditee at different stages of the audit process identified by the timeframe (i.e. no. of weeks before approval expiry date).

Timeframe	Authority's Action(s)	Auditee Action(s)
13 weeks before renewal date (D-Date)	Regulator writes to auditee, enclosing renewal application and requests its completion, if such is required, advising that audit will commence 9 weeks before D date.	
11 weeks -	Follow-up phone call if necessary	Auditee to respond within 2 weeks.
10 to 9 weeks	Audit Team Leader & members appointed, internal meeting held, previous audit report, findings, responses and MORs reviewed, audit focus identified, documentation prepared.	

9 weeks	Initial audit entry meeting held. Auditee advised of areas, documentation and personnel required to be available and timeframe. Schedules established for completion within 3 weeks and exit meeting, with presentation of findings, to be held in 4 weeks time	
8 to 5 weeks before expiry date	Audit conducted over max 3 weeks, team meets to confirm and document findings, and prepare for exit meeting.	
D-5 weeks (minimum)	Audit exit meeting and presentation of findings, concerns, observations and assessment. Identification of main areas of concern. Perhaps indications of what corrective actions are required, with timeframe.	
By D-4 weeks	Regulator ensures that any Level 1 Findings have been rectified. If any Level 1 are unresolved, auditee is advised that it is likely that the renewal will be only short term or even that it is unlikely that the approval will be renewed.	Auditee has the option to prepare responses to findings (Corrective Action Plan - CAP), indicating what corrective actions will be implemented and when and advises this to regulator.
By D-3.5 weeks	If a CAP has been submitted by Auditee, the Regulator reviews Corrective Action Plan and advises if it is acceptable or what further action(s) required. Also indicates the likely period of authorisation renewal, depending on Level and number of findings and timeframe for rectification.	Auditee acknowledges any further requirements.
By D-1 week	Regulator follows up on implementation of CAP.	
By D-3 days	If any Corrective Actions for Level 2 Findings are still unresolved, recommendation will be for a renewal for no longer than 1 month. If all Level 1 and Level 2 Findings have been addressed, recommendation will be for full 12 months renewal.	

Note: All non-compliance findings are considered to be level 1 finding and such must be satisfactorily addressed and closed within 7 days. No aviation document should be issued with an open non-compliance finding.

3. Classification of Findings

3.1 It is a requirement to utilise the following categories for classifying the Audit Findings:

- **Non-Compliance** – The non-fulfilment of a mandatory regulatory / legal requirement or certification standard.
- **Non-Conformance** – The failure to meet a specified Company requirement such as written instructions.
- **Observation** – An assessment made by the auditor, regarding the status / efficiency of the system / process. An observation can be used as a recommendation to the auditee, for a system improvement.
- **Quality Related Concern** –Where the auditee is currently in compliance or conformance, but the problem indicates a weakness in the Quality Management System.
- **Safety Related Concern** – Where the auditee is currently in compliance and conformance, but the problem indicates a weakness in the safety system.
- **Commendation** – is a positive finding where a system or portions of a system are assessed as consistently meeting or exceeding all requirements.

4. Risk Assessment and Finding Levels/Category

4.1 Findings will be classified into Level 1, 2 & 3 and be allowed practical time scales for completion of corrective actions.

Level 1 findings are those, which could have a direct safety implication or lead to a serious breach of legislation.

Level 2 findings are those, which have a moderate risk and can be allowed a bit more time to action than Level 1.

Level 3 findings are generally isolated events of non-compliance, which have no direct safety effect.

4.2 The maximum permissible time for implementation of corrective actions for each level is as follows:

Level 1 (Extreme and High Risk) – Action to be completed within 7 Days

Level 2 (Moderate Risk) - Action to be completed within 1 month

Level 3 (Low Risk) - Action to be completed within 3 months

4.3 For Security findings, the classification of findings is done using Categories 1 –3, where Cat 1 is the low risk and Cat 3 is the extreme risk.

5. Issue and Renewal of Aviation Documents

5.1 Upon completion of the audit and prior to the issue or expiry of the aviation document to be renewed, the Authority's Lead Auditor will review the corrective actions to close the audit findings and conduct a risk assessment of the remaining open findings.

5.2 The Lead Auditor then records the outcome of the review on CAAF CA 100 Form and submits the same to the Department Controller responsible for the aviation document being audited.

5.3 The department Controller after having reviewed the outcome of the risk assessment will recommend to the CE the issue, renewal and/or the appropriate enforcement action to be taken prior to the expiry of the aviation document.

5.4 The Controller will communicate to the Operator or Service provider the Authority's decision by letter.

Note:

- 1. The Authority is not responsible for the delay in the issue or renewal of aviation documents administered by the Authority, if operators' or service providers' fail to implement corrective action on time or meet Fiji's aviation laws and standards requirements.***
- 2. The Authority is not responsible for the delay in the issue or renewal of aviation document if the operator fails to comply with other Fiji laws, policies and requirements that are pre-requisite before the aviation document administered by the Authority, is issued or renewed***