

	Company Name የኢትዮጵያ ሲቪል አቪዬሽን ባለሥልጣን ETHIOPIAN CIVIL AVIATION AUTHORITY	Document No. ECAA/ANR/OF/002	
	Document Title: ANR Audit/Inspection Finding Form		Issue No. 3

Company Name	Base Location	Date (dd/mm/yyyy)	Reference No.
Area of inspection (check list)			Finding Number
Non-Conformance with Which state <input type="checkbox"/> which state in part <input type="checkbox"/>			
Example(s):			
Corrective action plan required by			On Date (dd/mm/yyyy)
Inspector name (S)			Date (dd/mm/yyyy)

PLEASE MAKE SURE THAT THIS IS THE CORRECT ISSUE BEFORE USE

	Company Name የኢትዮጵያ ሲቪል አቪዬሽን ባለሥልጣን ETHIOPIAN CIVIL AVIATION AUTHORITY	Document No. ECAA/ANR/OF/003	
	Document Title: ANR Random (spot check) form	Issue No. 1	Page No. Page 1 of 1

Random (spot check) for ANRD Inspectors'

1. AREA (SITE) Bole International Airport NOTAM Office

2. HAAB HABD HADR HAMK

3. Date and Time of spot check conducted

4. Document reference if any,

5. Finding Observed

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6. Recommendation

7. Name of inspector

8. Signature _____

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	Company Name የኢትዮጵያ ሲቪል አቪዬሽን ባለሥልጣን ETHIOPIAN CIVIL AVIATION AUTHORITY	Document No. ECAA/ANR/OF/004	
	Document Title: ANR Corrective Action Plan Form	Issue No. 3	Page No. Page 1 of 1

Company Name:	Base Location:	Date (dd/mm/yyyy)	Ref. No.:
Area of Inspection(Checklist):		Finding Number:	
Company Corrective Action			
a) Short-Term Completion Date (dd/mm/yyyy)			
b) Long-Term Corrective Action to prevent Recurrence			
Proposed Completion Date (dd/mm/yyyy)	Company Representative (Name and Signature)	Date (dd/mm/yyyy)	
For ECAA use only			
ECAA Response/Comment <input type="checkbox"/> Accepted <input type="checkbox"/> Rejected New CAP Target Date _____ <div style="text-align: right;">(dd/mm/yyyy)</div>			
Inspector(s) Signature		Date (dd/mm/yyyy)	
Reason for closure/Follow-up/Comments			
CAP Tracking form in use <input type="checkbox"/> Yes <input type="checkbox"/> No On-site Follow-up Required <input type="checkbox"/> Proposed Date _____ <div style="text-align: right;">(dd/mm/yyyy)</div>			
<input type="checkbox"/> Administratively Closed <input type="checkbox"/> Long-Term Corrective Action Exceeding 90 days			
Date of Closure (dd/mm/yyyy)		Finding Closed by:	

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	Company Name የኢትዮጵያ ሲቪል አቪዬሽን ባለሥልጣን ETHIOPIAN CIVIL AVIATION AUTHORITY	Document No. ECAA/ANR/OF/005	
	Document Title: ANR Audit Plan Form	Issue No. 3	Page No. Page 1 of 1

Sample Audit plan

Objective

An audit will be conducted on XXX operator during the period of dd/mm/yyyy – dd/mm/yyyy to ensure that ECAA regulatory requirements are met and an acceptable level of aviation safety is maintained.

Scope and Depth

The scope of the audit will encompass all activities that could affect the safe operation of the company, including, but not limited to:

- (a) Airworthiness and related programs,
- (b) Flight operations and the operational control system,
- (c) Training, simulators and flight training devices, and
- (d) The transportation of dangerous goods.

Approach

The audit of XXX operator Limited will be a combined audit (of both airworthiness and operations functional areas) and will be conducted in accordance with the Audit and Inspection Manual.

Specialist Assistance/Foreign Travel

Specialist assistance and foreign travel is not required for this audit.

Audit Team

Name	Function/Specialty	Location	Telephone No.

Company Management

Name	Title	Telephone No.

Audit Plan

Date	Activity	Time(hrs)	Task
DAY 1	Opening meeting	XX:XX –XX:XX	General briefing and audit entry meeting with Director/ Manager
	XXXX	XX:XX – XX:XX	XXXX
	XXXX	XX:XX – XX:XX	XXXX
DAY 2	XXXX	XX:XX – XX:XX	XXXX
	XXXX	XX:XX – XX:XX	XXXX
	XXXX	XX:XX – XX:XX	XXXX
DAY 5	Audit exit meeting	XX:XX – XX:XX	Briefing on audit findings and observation to Director/ Manager and senior officials

Team Member Information Communications

Discussions of a “sensitive nature” shall take place at a location that assures confidentiality; this is especially true when discussions take place on XXX operator premises. Do not discuss the audit with XXX operator employees. Refer any company questions to the Audit Manager through the company representative. Contact the appropriate Team Leader or the Audit Manager prior to taking any immediate action such as grounding or detaining aircraft.

Note: *The audit manager or team leader will cover this point in greater detail during the preaudit meeting.*

Methodology

Standard audit procedures as per the Audit policy and procedure Manual will be used. In every case, we are trying to determine XXX operator level of conformance to ECAA rules and standards. Where XXX operator appears not to be performing in accordance with the civil aviation proclamation, Ethiopian Civil Aviation Rules and standards, associated standards, or an approved Company manual, they are said to be in non-conformance. Where we determine through our review that everything appears to be in order, we complete the functional summary for that area and go on to the next functional area that we are responsible for.

	Company Name የኢትዮጵያ ሲቪል አቪዬሽን ባለሥልጣን ETHIOPIAN CIVIL AVIATION AUTHORITY	Document No. ECAA/ANR/OF/006	
	Document Title: ANR Covering Letter for Inspection/Audit	Issue No. 3	Page No. Page 1 of 1

Covering Letter for Audit

Managing Director,
XXX

Subject: Safety Audit

Dear _____

Attached is a copy of the Inspection Report, together with a copy of the Inspection Findings. These come as a result of the regulatory audit of ANS which was conducted by the Ethiopian Civil Aviation Authority during the period _____ (date) to _____ (date). Inspection Findings are related to the Requirements, associated standards, the Company Operations and Maintenance Control Manuals, as well as the conditions and approvals found in the Operator Certificate. Inspection Findings require a written response from you and a follow-up from Ethiopian Civil Aviation Authority.

I request that the Audit Finding Forms, which comprise part of this report, be completed and returned to my office within 30 days.

It is our intention to conduct a Special Purpose Inspection in six months time to ensure that all deficiencies noted have been rectified.

The co-operation extended to the Inspection team by you and your staff during the audit was appreciated.

Sincerely Yours,
XX Directorate Director

	Company Name የኢትዮጵያ ሲቪል አቪዬሽን ባለሥልጣን ETHIOPIAN CIVIL AVIATION AUTHORITY	Document No. ECAA/ANR/OF/007	
	Document Title: ANR Corrective Action Plan Tracking Form	Issue No. 3	Page No. Page 1 of 1

Corrective Action Plan Tracking Forms

No	Finding No.	Audit/Inspection Finding Description	Action Target Date	Audit Follow-up Date	Implementation Status	Completion Date
1	HABD-01/2017	1. No intercom, direct telephone and personal PC. No means of access to contact with tower. 2. AMHS is not functional	30/10/2018	02-05/04/2018	No progress so far.	

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	Document Title: ANR Entry Meeting Form	Issue No. 3	Page No. Page 1 of 1

Sample Entry Meeting Notes

Acknowledgements

Thank the company officials for their attendance, co-operation and use of their facilities.

Purpose

Explain the purpose of the meeting:

1. Introduce the audit team members;
2. Define the objective and scope of the audit;
3. Define the methodology used during the audit; and
4. Co-ordinate staff and facilities.

Introductions

Introduce the audit manager, team members, specialists and observers; and company representatives.

Objective and Scope

The objective and scope of this audit is:

- (a) To conduct an analysis of the policies, standards, procedures and facilities of (company name) to ensure that regulatory requirements are being met and that maximum effort is made to ensure aviation safety; and
- (b) To ensure compliance with the Civil Aviation Proclamation, ECARAS, Associated Standards and approved company operations manual.

Depth

The audit will

- (a) Encompass, but not be limited to, the functional audit areas identified, as covered by the appropriate audit checklists; and
- (b) Cover the period from _____ (date) to _____ (date).

Communications

The following communication protocols will be observed:

- (a) Initial communication in each audit area will be between the auditor for that area and the company official specified by _____ (company) as the contact for that area;
- (b) Where problems or questions arise, team members will advise me and I will contact _____ (company representative); and
- (c) If the company has a problem or questions, it is to contact the audit manager, who will meet daily with the team leaders to discuss the day's findings and address any questions.

Methodology

Standard audit procedures are those set out in the Audit policy and procedure manual and will include:

- (a) Interviews with personnel to discuss the areas of responsibility;
- (b) The examination of records, such as those for training and flight documentation;
- (c) In-flight inspections;
- (d) Aircraft inspections; and
- (e) The review of manuals and directives.

In every case, we are trying to determine the company's level of conformance to regulations and standards, primarily the Civil Aviation Proclamation, ECARAS, Associated Standards and approved company operations manual. The audit process will help determine the adequacy of these standards and

assist us in making recommendations as necessary. Our concern is adherence to standards. These standards have been developed so that compliance should ensure that the carrier is operating at an acceptable level of flight safety. If I or team members determine that an examined area appears to be in order, we will move on to the next area.

When the company appears to be violating a known statute, it is said to be in nonconformance; if questions arise regarding potential or definite non-conformances:

- (a) Approach the company to determine whether we are interpreting the data correctly (there may occasionally be ambiguities);
- (b) Direct the company to provide missing data within a specific timeframe;
- (c) Where it is determined that our perception is correct, or where the company does not respond adequately to our queries within the specified timeframe, these items will be drawn up as audit findings;
- (d) Where it is determined that our interpretation of the data is correct and that flight safety is being jeopardized, the audit manager will approach the director of flight operations or designate to obtain the authorization to take appropriate action immediately; and
- (e) Should the need arise, the convening authority will be approached for further guidance on appropriate action
- (f) Queries regarding the audit should be addressed to the audit manager as well;
- (g) Two things must be remembered:
 - a) All activities are to be conducted in a professional manner; this is not a witch hunt; and
 - b) Specify the minimum acceptable standards for an operator.

We will undoubtedly find areas in which the company far exceeds the minimum acceptable standards.

Tour of Facilities

It may be possible to arrange a tour of the facilities after the briefing. This will include directing us to our workspaces, identifying the location of records and doing anything else that will facilitate the audit process (such as providing access to photocopiers, fax machines and telephones).

Exit Meeting

The exit meeting is proposed for _____ (location) on _____ (date) at _____ (time).

General every effort will be made to conduct all audit activities with minimal disruption to the company. The fact that operations are ongoing will be respected. Should an interview be requested, for example, it will be conducted at a mutually satisfactory time. We will tailor our hours to the company's normal working hours and team leaders will inform their staff of the protocol discussed at this meeting, with regard to communications in particular.

Question Period

A question period will follow.

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	Document Title: ANR Exit Meeting Form	Issue No. 3	Page No. Page 1 of 1

Sample Exit Meeting Notes

Acknowledgements

Thank the company officials for their co-operation and assistance.

Purpose

1. Explain the purpose of the meeting;
2. Summarize the audit report; and
3. Ensure that there are no surprises.

Audit Findings

1. Explain that there will not be a discussion on findings.
2. The company will have the opportunity to address these findings in its CAP.

Post-Audit

1. Explain the next stage of the audit.
2. Inform the attendees that the audit report will be completed in twenty working days.
3. State that the company will have thirty working days to respond.
4. Explain that the audit team's role is to make a report, and that we will meet with the Convening authority concerning any further action.
5. Explain that the company can expect a follow-up after the audit is completed.

Report Format

Review the audit report format in terms of content.

Questions and Comments