

AUDIT CHECKLISTS

General Information:

This checklist is applicable to all internal and external audits.

Audit Information	
Person /Organization undertaking audit	
Organization being audited	
Information Sources	
Documents Reviewed	(list all documents reviewed in course of the audit) Note: This includes all Safety Reports and Safety Checklists pertaining to the operator to be audited for the previous 12 months.
Individuals Interviewed	(list all persons interviewed including title)
Operations Assessed	(list all operations that were observed during the course of the audit- e.g. fuelling of a B-747 on air bridge) Note; For the observation phase of the audit use Safety Checklists.

Management:

Is there a formal safety policy statement?	
Does the policy statement explicitly address apron and aircraft safety?	
Is the safety policy statement endorsed by the Board?	
Is the safety policy statement reviewed and revised at suitable intervals	
Is the safety policy publicized within the organization ?	
Are safety performance indicators defined?	
Are levels of safety reviewed to check that they are still appropriate	
Is the Organization's SMS readily available to staff	
Does the safety policy state that each individual has a responsibility for safety?	
Does the safety policy state who is ultimately accountable for safety in the organization?	
Does the organization have a dedicated safety officer?	
Does the Safety Officer report directly to the Board?	
How, and by whom, are internal safety standards and procedures?	
Are Safety Standards and procedures reviewed regularly?	
How is non-compliance with organizational safety standards and procedures identified and dealt with?	
How is non-compliance with Airport safety standards and procedures identified and dealt with?	
Are safety accountabilities reviewed after an organization change has taken place?	
If the organization is a subsidiary or division of a parent organization, is safety accountability and reporting linked into the parent organization? How?	
Does the organization have a safety committee?	
What processes are in place for staff to raise safety concerns with senior management?	
How, and by whom, are safety improvement suggestions investigated?	
How, and by whom, are all proposed changes to operations or equipment assessed to determine their safety impact?	

Internal Accident/Incident Investigation

Does a process exist for investigating accidents	
--	--

and/or incidents?	
Is the process investigating safety significant occurrences defined?	
How are accidents/incidents reported? By whom?	
How are reports of Accidents/incidents investigated and recorded? BY Whom?	
Who decides if corrective action is necessary?	
How are corrective actions monitored to ensure implementation?	
Is there a requirement for safety audits within the organization?	
Who determines the need for corrective actions arising from the results of safety audits?	

Training

Are safety responsibilities defined for each individual working on the airside?	
Are individuals licensed to operate on the airside?	
How are the competency requirements determined for safety responsibilities? By whom? Consider equipment operation, driving on airside etc.	
Where are the competency requirements for safety responsibilities recorded?	
How is it decided if a member of staff meets the competency requirements for safety responsibilities?	
How often are staff competencies reviewed to ensure that the staff remain competent for their safety responsibilities?	
What process is followed if it is determined that a member of staff is not fully competent for the safety responsibilities assigned?	

Airside Supervision

What arrangements are in place to enable detection of safety deviations from policy ,standards and procedures?	
Is the supervision proportionate to the safety requirements of the practice or procedure?	
Are practices and procedures that affect safety routinely monitored?	

Equipment/Vehicle Maintenance

Is there a procedure for determining if airside equipment/vehicles meet safety requirements?	
What is the frequency of the equipment/vehicle checks for safety requirements? What is checked?	

Are there formal records of the safety checks of airside equipment? Review a sample of the records.	
---	--

Note: For fuel concessionaire that hoses have to be pressure checked

Sub- Contractors

Management

Does the contract state that sub contractor must satisfy ADA's safety management standards and procedures?	
How are the safety requirements for sub contractors determined and by whom?	
How, and by whom are safety requirements communicated to the sub-contractors?	
How, and by whom, is it decided whether the sub contractor has an acceptable SMS in place?	
What procedures are in place to check that sub contractors comply with ADA safety requirements?	
How is the competence of sub contractors' staff checked? Check records re training to utilize equipment, drive on airside etc.	
Does the sub contractor have a safety committee?	
How is the competence of sub contractor staff checked?	
What process is followed if it is determined that a member the sub-contractor staff is not fully competent for the safety responsibilities assigned?	
What arrangements are in place to enable detection of safety deviations from policy, standards and procedures?	
Is the supervision proportionate to the safety requirements of the practice or procedure?	
Are practices and procedures that affect safety routinely monitored?	

Note: In auditing the sub-contractor directly the Concessionaire checklists should be used

Internal Audits

E&M

Does the maintenance management system define systems and equipment required for safe operation of the airport as Critical Systems? Review Maintenance management system documents.	
Are safety critical systems and equipment inspected on a regular basis?. How often?	

How are safety critical maintenance deficiencies reported? How are they actioned? How many have occurred in the past 12 months?	
How and who follows up on sub-contractor repairs of safety critical systems and equipment?	
If replacement or major repair of safety critical systems is required how is this programmed?	
What authorities are required for the capital replacement of safety critical systems or equipment?	
Are regular condition reports prepared for mission critical equipment noting any safety deficiencies? How are these reports followed-up? By whom?	
Are risk assessments of identified and potential hazards undertaken/ By whom?	
Have E&M staff received airside safety training? How is this recorded?	
Have any safety incidents/accidents occurred in the previous 12 months where equipment, systems or infrastructure was determined to be a part of the causal factors? How were these followed –up?	
Are vehicles and equipment subject to a check of safety systems on a regular basis? What is the frequency?	

Operations

What training is given to the Follow-Me re marshalling of aircraft, driving on airside and other safety responsibilities?	
How is this training recorded?	
Who determines the training requirements? What are these requirements based on?	
Who monitors the driving and marshalling of the Follow-Me to ensure that they are following ADA safety practices and procedures?	
What training is given to drivers re airside safety and airside driving? How is it recorded?	
Who monitors the driving practices on airside of the ADA drivers?	
Do Follow-me and drivers inspect safety systems and equipment in vehicles prior to operation? How is this recorded?	

How often does the Follow Me inspect the maneuvering surfaces? How are deficiencies or safety hazards reported? Review Follow-Me reports for last 12 months	
How are Follow-Me reports followed-up? Is a record kept?	
Are the calibration of navigational aids and gate guidance systems regularly checked? By Who? How are reports followed up?	

Air Traffic Services

Management/Reporting

What arrangements are in place to enable the detection of safety deviations from policy, standards and procedures?	
Are safety responsibilities defined for each individual working in the unit?	
Where are the competency requirements for safety responsibilities recorded?	
How is it decided if a staff member meets the competency requirements for safety responsibilities?	
How often are staff competencies reviewed to ensure that staff remain competent to execute their safety responsibilities?	
What process is followed if it is determined that a member of staff is not fully competent for their safety responsibilities?	

Supervision

Is sufficient staff available to meet current and future operational requirements?	
Do all air traffic controllers at the unit have valid licenses and ratings in accordance with ICAO Annex 1 requirements?	
What arrangements are in place to enable the detection of safety deviations from policy, standards and procedures?	
Is the level of supervision proportionate to the safety requirements of the unit?	
Are practices and procedures affecting safety, routinely monitored?	

Training

Are staff given re-currency training to ensure that they can maintain their competency following periods of significant absence?	
Do staff members receive training prior to the introduction of any new equipment or new procedures?	

Operating

Does the unit have adequate operational and supervisory staff to provide safe air traffic services?	
Have there been any recent changes to ATS procedures or equipment used to perform ATS tasks?	
Are practices and procedures that affect safety routinely monitored?	
Are current procedures appropriate in relation to current traffic levels and/or traffic mix?	
Are controllers well rested before beginning their work?	
What arrangements are in place to enable detection of safety deviations from policy, standards and procedures?	

Equipment

Do staff members have reliable and adequate systems (i.e., comm, nav, radar, flight data and MET systems) to assure safe aircraft separation?	
Is there a procedure for determining if ATS equipment meets safety requirements?	
Are written records maintained when safety-critical equipment fails? (e.g., nav, comm, radar, flight data or MET systems, approach aids, airport lighting, or major power systems which could adversely affect flight safety? Review all records).	