



Government of India

Office of the Director General of Civil Aviation
Technical Center, Opposite Safdarjung Airport, New Delhi

**CIVIL AVIATION REQUIREMENT
SECTION 3 AIR TRANSPORT
SERIES 'X' PART I**

EFFECTIVE : _____

Subject: Accreditation of an organization for conducting third party audit.

1. Introduction

- 1.1 CAR Section 2, Series 'A', Part IV and CAR Section 8 Series 'A' Part II mandate that periodic internal audit shall be carried out by maintenance organizations and air transport operators. It has been observed that internal audits are not able to trap the system and procedural deficiencies and non-conformances with laid down standards in a fool proof manner. It is considered essential that in addition to regular internal safety audits carried out by the operators, an accredited external / third party audit should be carried out once in two years to ensure that requisite standards and good practices are continued to be followed for the enhancement of flight safety.
- 1.2 For the purpose of audit, small operators and maintenance organizations who do not have a full fledged quality assurance division, may entrust the audit to another operator/maintenance organization which has the requisite infrastructure to carry out such audits. An alternate means of compliance of audit requirement is to entrust the audit to an organization accredited by DGCA.
- 1.3 This CAR provides requirements for compliance by organizations seeking accreditation as an audit organization to conduct third party safety audits of air transport operators and maintenance organizations.

2 Organization Requirements

- 2.1 Organization seeking approval as Accredited Audit Organization (AAO) shall be a company registered under the Companies Act. The paid-up capital of the company shall be not less than 10 lakhs.
- 2.2 The organization have suitable experts in their organization or alternatively a panel of suitable experts meeting the qualifications requirements of paragraphs 3 to 6.

- 2.3 The AAO shall nominate a suitable persons as a Lead Auditors for each audit, supported by specialist auditors and support staff.
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- 2.5 A candidate for an Auditor shall successfully accomplish each of the following steps in order to attain the status of an auditor working in an accredited audit organization:
- i) complete the auditor training;
 - ii) conduct at least one audit or a part thereof, under the supervision of an accredited auditor;
 - iii) conduct at least one full audit while being evaluated by an accredited evaluator;
 - iv) be recommended by the accredited evaluator for acceptance as an accredited auditor.
- 2.6 Compliance with the prerequisite qualifications will ensure that an auditor has acquired the necessary knowledge and skills to conduct audits and also indicator of auditor's competence. The auditor may receive additional training to improve proficiency, if required. The applicant organization shall verify that a candidate auditor has met the appropriate qualification in terms of operational/ maintenance organization experience, audit certification, training and audit experience before the candidate can be accepted as an auditor.

Note. 1- A candidate for empanelment as an auditor/lead auditor should have passed the Lead Auditor Training under the ISO 9001-2000. IOSA Auditor Training conducted by an auditor training organization will be preferred qualification.

Note. 2- The expert should have satisfactorily completed flight operations audit procedures course conducted by DGCA/ EU-India programme/ COSCAP / Flight Safety Foundation International/IOSA Auditor Training by IATA approved organization or any other organization acceptable to DGCA.

2.5 Categories of Auditors

There are three categories of auditors classified in accordance with their experience, knowledge and skill:

- (i) Auditor: an experience aviation auditor with a minimum of 10 years in an airline/ operator/ regulatory authority/MRO.
- (ii) Lead Auditor: an experience aviation auditor with a minimum of 15 years in an airline/ operator/ regulatory authority/MRO.
- (iii) Evaluator: an experience aviation auditor with a minimum of 15 years in an airline/ operator/ regulatory authority/MRO.

3. Flight Operations Expert

3.1 The operations expert should hold or have held an Airline Transport Pilot License with at least 10 years of experience either in civil or defense with at least 5 years experience in civil operations. In addition to above, any of the following experience is desirable:

- a) Management of flight operations of an organization for at least 2 years;
- b) Examiner / instructor for at least 2 years;
- c) Safety/ associate auditor for at least 2 years;
- d) Flight Inspector in the DGCA for at least 2 years; and/or,
- e) Previous experience of conducting safety audit of major operators as lead auditor/ associated auditor.

3.2 At least six months of the operational experience referred to in 3.1, or the audit procedures course referred to in Note 2 of paragraph 2.4 should have been completed in the 24 months preceding the date of application by the AAO.

4. Engineering Expert

4.1 The engineering expert should hold or have held an AME license with at least 10 years experience in an approved maintenance organization, or equal relevant experience in the regulatory authority.

4.2 In addition to above, any of the following experience is desirable;

- i) Management of Maintenance programmes or quality control functions of maintenance organization for at least 2 years;
- ii) DGCA approved quality manager of a CAR145 organization for at least 2 years;
- iii) Maintenance auditor for at least 2 years; and
- iv) Experience of conducting maintenance safety audit of major operators as lead auditor/ associated auditor.

4.3 The Engineering Expert should have completed maintenance audit procedures course conducted by DGCA/ EU-India programme/ COSCAP programme/ Flight Safety Foundation International / IOSA Auditor Training by IATA approved organization or any other organization acceptable to DGCA.

4.4 At least six months of the experience referred to in 4.1, or the audit procedures course referred to in 4.3 should have been completed in the 24 months preceding the date of application by the AAO.

5. Personal attributes

- i) The auditor must possess critical and analytic mind with a view to standardize procedures attributable to safe flying operations and engineering disciplines.

- ii) He must be objective, fair and have an unbiased attitude in applying judgment as also ethical in approach with integrity of highest order.
- iii) He should be tactful in dealing with people and discreet in managing information.
- iv) He should be honest and firm in conviction.
- v) He should be dedicated to operate in a teamwork environment with a focus on achieving objectives.
- vi) He should not have been an employee either directly or as a consultant of the auditee in the last 2 years.
- vii) He shall have no direct or indirect financial interest or a family affiliation in the auditee.

6. Knowledge and Skills of the Auditors

6.1 The auditors shall have a thorough knowledge of the following:

- i) quality and safety audit principles, procedures and techniques;
- ii) manuals that comprise the AAO's document system;
- iii) typical organizational structures of airlines and other operators, including size, functions and relationships;
- iv) relevant technical areas of the airline operations such as SMS, CRM, Risk Assessment and application of Human Factors etc.;
- v) applicable laws, Aircraft Rules, CARs, AICs, DGCA circulars and other instructions, ICAO Annexes and regulatory requirements; and.
- vi) Airlines business processes and related terminology;

6.2 The auditors shall have effective skills in writing reports and communicating to individuals and to groups of high ranking people.

6.3 Additional skills for Lead Auditors

The lead auditors require additional skills in leadership that enhance the performance of the Audit Team. Skills in this area include:

- i) planning the audit and making effective use of resources during the audit;
- ii) representing the audit team in communication with the auditee in the entry meeting, during the course of the audit and during the exit meeting with the airline management;
- iii) organizing and directing the audit team members;
- iv) leading the audit team to reach audit conclusions;
- v) preventing and resolving problems and conflicts;
- vi) preparing and completing the audit reports.

7. General Requirements

- 7.1 Applicants should be well equipped with basic infrastructure e.g. office space, latest copies of all relevant publications required for safety audit, namely Aircraft Rules, CARs, AICs, DGCA circulars, ICAO Annexes etc., compliance with which is mandatory for the auditee organization. Access to publication available on DGCA website and its related links shall be acceptable.
- 7.2 The audit team shall follow a specified audit procedure and hold formal entry and exit meetings with the management of the auditee. The audit procedure shall be detailed in an Audit Procedures Manual to be approved by DGCA (Air Safety Dte.).
- 7.3 The audit findings will be based on non-conformity with standards specified in the aircraft manual, CARs, Operations Manual, Quality Control Manual, Company Procedures, DGCA Circulars etc. The reference of such manuals will be quoted in the relevant column of the audit finding forms or template as issued by DGCA or developed in coordination with DGCA.
- 7.4 The audit record shall include a detailed audit report of the organization including individual audit finding forms. A sample audit finding form is enclosed as Appendix-I.
- 7.5 Review of safety audit would be conducted at a mutually acceptable time. If the operator fails to comply with the minimum standard as per DGCA requirement, a supplementary report shall be made in addition to the main report.
- 7.6 The auditors shall maintain record of audit reports for a minimum period of 5 years.

Note: For helicopter operators, Rotary Wing Society of India shall be accepted as an AAO.

8. Grant of Accreditation

- 8.1 The scope of accreditation granted shall depend on the field of expertise available with the organization.
- 8.2 The accreditation will be valid for a period of 2 years and may be renewed for a further period of 2 years subject to satisfactory performance of the organization during the preceding years and having carried out at least one audit during the period since last approval.
- 8.3 The accreditation may be withdrawn at any time if the organization is found deficient in complying with the audit procedures.
- 8.4 DGCA representatives will have the right to inspect the facilities and records of the organization, at all reasonable times.

(K. Gohain)
Director General of Civil Aviation

Audit Finding Form

<p>Auditee organization:</p> <p>Place Date</p>
<p>Non-conformance with <i>(quote standard/regulation/practice etc.)</i></p>
<p>Examples of non-conformance</p>
<p>Follow Up Action <i>(Short term and Long term)</i></p> <p style="text-align: right;">Quality Manager Auditee Organization</p>
<p>Acceptance by the Auditor</p> <p>Date of Closing of Finding</p>

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