



Auditing

VAIL-QAS-014

Affected Departments	
ALL	

	Role	Date
Originator	Quality & Safety Director	27 Jun 2024
Reviewer	Quality Manager	27 Jun 2024
Process Owner	Quality Manager	27 Jun 2024
Approved By	Quality Manager	27 Jun 2024
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ISSUE/REV NUMBER	SUMMARY OF UPDATE	DATE INCORPORATED
0A	New format and consistency review	07/07/2016
1A	Form VAIL-AUD-001F01 added and sub-para 4.7.1 thru 4.7.8 amended to reflect change	09/11/2017
1.0.	Complete re-write and document number change	19/09/2018
1.1	Addition of FLM to para 4.6, 4.6.6 and 4.6.7 amended to reflect that VAIL-QAS-014F01 is saved locally and sent to the QADesk.	15/01/2019
1.2	Merging of VAIL-QAS-014F02A and F02B into one document	05/03/2019
1.3	Change of role titles, inclusion of Air Safety Management	28/05/2020
1.4	References Updated and Forms Numbers corrected Updated to include risk-based auditing approach	15 Dec 2020
2.0	This procedure has been re-named and substantially re-written; for clarity, no change marks are presented – please read in entirety	21 Jun 2021
2.1	Addition of remote audits	22 Feb 2022
2.2	Additional requirement added at 4.2.13	19 Jul 2022
2.3	Removal of need for opening/closing meeting and addition of note for use of auditor external to the VAIL QMS, responsibility of Quality Engineers added to para 3.4.	12 May 2023
3	Para 2.5 added to clarify the NDT Level 3 technical audit requirements. Para 4.1.6. Added the requirement for the internal audit schedule to include an NDT level 3 technical audit. Para 4.2.3. Note added to change opening/closing meeting to “optional”. Para 4.4.4 and 4.4.5 updated to give clarity on administration and management of external audits.	16 Nov 2023
3.1	Addition of paragraph 4.3.10 covering the requirement to ensure customer and contractual requirements are included in the scope of supplier/sub-contractor audits.	27 Jun 2024

List of Abbreviations	
ASMS	Air Safety Management System
BMS	Business Management System
BU	Business Unit
EH&S	Environment, Health and Safety
FLM	Front Line Manager

NCR	Non-Compliance/Non-Conformance Report
QA	Quality Assurance
OFI	Opportunity for Improvement
QSD	Quality and Safety Director
ICT	Information and communication technologies

References	
VAIL-QAS-002	Supplier Evaluation Approval and Re-Approval
VAIL-QAS-015	System Non-Conformances
VAIL-QAS-021	Training, Competency and Authorisation Requirements for QA Staff
145.A.65	Safety and quality policy, maintenance procedures and quality system, and Continuation of an approval

Forms	
VAIL-QAS-002F02	Supplier/Surcontractor Audit Questionnaire Form
VAIL-QAS-014F02	EH&S Audit Schedule (English & Scottish Law) - see R:\EHS Legal Register
VAIL-QAS-014F03	Opening/Closing Meeting (optional)
VAIL-QAS-014F04	Audit Plan (optional)
VAIL-QAS-014F05	Audit Checklist Template
VAIL-QAS-014F06	Audit Report

1. Purpose

- 1.1. The purpose of this leaflet is to ensure the Quality, Air Safety, Health, Safety and Environment Management systems comply with International Standards, Regulations and Customer requirements where appropriate. This is achieved through a mix of Product, Process and Compliance Audits.

2. Scope

- 2.1. This procedure defines the responsibilities and process for the planning and execution of audits across Vector Aerospace International Limited. The scope includes Product, Compliance and Process Auditing.

2.2. Compliance Auditing:

A compliance audit is a comprehensive review of the organisation's adherence to regulation and standards. The audit should evaluate the strength and thoroughness of the company compliance procedures. A compliance audit should:

- Identify what tasks are being performed.
- Identify who performs the tasks.
- Identify the procedures governing the tasks.
- Establish whether the procedures are being followed.
- Establish whether the person is trained to perform the task.

- f) Verify that the documentation is current and the equipment is calibrated tested and/or inspected as appropriate.
- g) Verify that the working conditions are suitable.
- h) Verify that the personnel making acceptance decisions are authorised to do so.
- i) Verify that required records are being maintained.
- j) Verify conformity with regulations, standards, customer requirements, and safety measures.

2.3. Process Auditing:

A process audit focuses on how the business prepares, produces, packages and distributes products, and how effectively risk is managed. This approach provides a more comprehensive view of the value stream and assesses the effectiveness of process in delivering their objectives. A process audit should:

- a) Identify what objectives are required to be achieved.
- b) Identify the factors affecting success.
- c) Establish what the process is for achieving the objectives.
- d) Verify that the controls in place are consistent with the success factors.
- e) Establish the competences and capabilities required to deliver the outputs.
- f) Establish that competence and capability is being assessed effectively.
- g) Establish what results are being achieved.
- h) Establish how outputs are being measured.
- i) Verify the integrity of the results.
- j) Establish where the inputs come from and where the outputs go to, and those objectives are being achieved.
- k) Establish that performance, efficiency and effectiveness is reviewed.
- l) Establish that improvement in performance, efficiency and effectiveness is pursued.
- m) Verify that risks and opportunities are being managed.
- n) Verify that Risks to Life (if any) are being managed effectively.

2.4. Product Auditing:

This type of audit is an examination of a particular product or service, such as an aircraft, engine, component, processed material, or software, to evaluate whether it conforms to requirements (i.e., specifications, performance standards, and customer requirements). A product audit should:

- a) Establish whether the organisation is approved to carry out the work on a particular product.
- b) Verify that the correct manuals and drawings have been used.

- c) Validate that the correct materials have been used and traceability is maintained.
- d) Validate that appropriate calibrated measuring devices have been used.
- e) Validate that contractual requirements have been met.
- f) Validate the accuracy of configuration control.

2.5. NDT Level 3 Technical Audit:

The NDT Technical Audit is performed by the NDT Level 3 (or deputy) and is mandatory to ensure the nominated person meets their annual NDT Level 3 surveillance requirements for EASA (UG.CAO.00161-001) and other Military and National Airworthiness Authorities. The Technical audit should:

- a) Verify that the requirements of Original Equipment Manufacturers (OEM) and relevant standards are incorporated into local techniques and procedures.
- b) Verify that current procedures and techniques are up to date, approved by the Level 3, and in use.
- c) Verify that the correct NDT instruments and equipment are available, serviceable, calibrated (where necessary), and in use.
- d) Verify that NDT level 2 personnel remain competent and authorised for the NDT tasks they perform, and that any medical requirements (such as eye tests) have been complied with.
- e) Verify that environmental conditions (including magnetic fields) do not have the potential to interfere with NDT readings or results.
- f) Verify that the correct chemicals are in use, not expired, stored in the correct conditions, and used in the correct concentrations (where appropriate).

3. Responsibilities

3.1. Quality and Safety Director (QSD)

The QSD is responsible for the following:

- a) Providing competent resource to deliver the Environmental, Health and Safety (EH&S), Air Safety, and Quality Assurance (QA) audit schedules.
- b) Providing competent independent resource for assurance of the audit schedules.

3.2. QA Form 4 holders

Within their area of responsibility, the QA form 4 holders are responsible for the following:

- a) Approving the audit schedule, ensuring all relevant standards, regulations (including sub-regulations) and customer requirements are covered.
- b) Ensuring internal and sub-contractor audits are performed in line with the schedule.
- c) Approving any changes to the schedule.

- d) Ensuring the independence of auditors, including independent oversight of the QMS.
- e) Issuing auditing authorisations to quality audit staff.
- f) Monitoring the quality and content of audit reports to ensure standards are maintained.

3.3. EH&S Manager

The EH&S Manager is responsible for the following:

- a) Approving the EH&S audit schedule, ensuring all relevant standards, regulations (including sub-regulations) and customer requirements are covered.
- b) Ensuring EH&S internal audits are performed in line with the schedule.
- c) Approving any changes to the EH&S audit schedule.
- d) Ensuring the independence of auditors, including independent oversight of the EH&S Management System.
- e) Monitoring the quality and content of EH&S audit reports to ensure standards are maintained.

3.4. Senior Quality/Quality Engineers

Senior Quality/Quality Engineers are responsible for:

- a) Compiling and maintaining an audit schedule within Q-pulse for each relevant Business Unit, which covers all relevant standards, regulations (including sub-regulations) and customer requirements are covered.
- b) Agreeing the audit schedule and any subsequent changes with the appropriate Quality Form 4 holder.
- c) Continually reviewing the audit schedule to ensure compliance with the risk-based approach (see paragraph 5)
- d) Ensuring audits are only carried out by authorised personnel.

Note: *The procedure for training, competency and authorisation of QA staff is detailed in VAIL-QAS-021.*

- e) All responsibilities listed in paragraph 3.5.

3.5. Auditors

Auditors must be independent from the area being audited. Quality Engineers must not audit the Quality Assurance Process within their own Department. Such audits must be performed by a Quality Engineer from another Department. All auditors (Quality, Air Safety, and EH&S) are responsible for:

- a) Performing audits as planned in the scheduled, and agreeing any changes to the schedule with the appropriate Quality Form 4 holder.
- b) Ensuring the management of the areas to be audited are informed of any planned audits and their scope, and holding opening/closing meetings as necessary.

- c) Compiling audit reports, raising Non-Compliance/Non-Conformance Reports (NCRs), identifying Opportunities for Improvements (OFIs), and maintaining Q-pulse records.

Note: See paragraph 4.8 for categories and classification of NCRs.

- d) Ensuring they are authorised for the scope of the audit being performed.

Note: The procedure for training, competency, and authorisation of quality audit staff is detailed in VAIL-QAS-021.

Note: Auditors external to Vector Aerospace International Limited may be used for overseas audits and independent audits of the VAIL QMS however; such persons shall be assessed for competence iaw VAIL-QAS-021.

3.6. NDT Level 3

As the subject matter expert, the nominated NDT Level 3 is responsible for performing a technical audit of the NDT process and associated techniques.

Note: The nominated NDT Level 3 is assessed as competent by the organisation in accordance with the qualification procedures detailed in the respective maintenance organisation expositions, and accepted by the relevant National or Military Airworthiness Authority. As such, the procedure for training, competency, and authorisation of quality audit staff (VAIL-QAS-021) is not applicable.

4. Process

4.1. Planning

- 4.1.1. Each Business Unit Quality Representative is to create and maintain an internal audit schedule on Q-Pulse that is relevant to their customers, products and approvals.
- 4.1.2. The periodicity and type of audits must meet the audit cycle requirements of customers and regulators.
- 4.1.3. The internal audit schedule must contain at least one product audit for each product line, and must include a product from every rating held under each regulatory approval.

- 4.1.4. An unplanned audit must be scheduled every quarter (see risk-based auditing approach in paragraph 5).

Note: Unplanned means the scope and criteria are not determined until the audit is due to start.

- 4.1.5. The internal audit schedule must contain a mix of compliance, process, and product auditing (where appropriate).
- 4.1.6. The internal audit schedule must contain an NDT Level 3 Technical Audit

Note: In cases where an external provider supplies the Nominated NDT Level 3 under contract, the individual is working under the VAIL approval and as such, the NDT Level 3 technical audit

should still be considered as an internal audit, and planned accordingly.

4.2. Internal Audits

- 4.2.1. The Audit schedule(s) and the results of Internal Audits will be continually reviewed by the above responsible Managers with proposed changes based on known Quality, Air Safety, Environmental, Health and Safety issues (see paragraph 5 - risk based auditing approach). The re-scheduling of internal audits will be with approval from the relevant Quality Form 4 holder or EH&S Manager respectively.
- 4.2.2. The scope of the audit will not necessarily be restricted to the area being, audited. If necessary, the audit trail will encompass all affected areas in order to check the effectiveness of the process being audited.
- 4.2.1 Competent and authorised Auditors who, as far as is practicable, are independent of the areas being audited in terms of their location and function will perform the audits.
- 4.2.2 The auditor or audit team will create a checklist (VAIL-QAS-014F05) as conformance and compliance evidence, recording any departures from the documented procedures or the appropriate International Standards, Regulations and Customer requirements.
- 4.2.3 The audit team may conduct an 'Opening' meeting with the responsible Process Owner, Manager or Director, and any other relevant personnel, if requested to do so, outlining the purpose and scope of the audit, this is captured on VAIL-QAS-014F04 and VAIL-QAS-014F03.

Note: *With agreement from stakeholders, the auditor may opt not to hold an opening or closing meeting, however; acceptance and ownership of any NCRs must be agreed prior to completing the audit on Q-Pulse.*

Note: *An optional audit plan may be created using Form VAIL-QAS-014F04, if necessary (e.g. if an audit is deemed complex and crosses many processes).*
- 4.2.4 All key areas, processes, previous findings, regulations and contractual requirements will be audited as a minimum requirement.
- 4.2.5 Auditors must also consider the effectiveness of actions taken to address previous findings.
- 4.2.6 Within the area being audited, auditors must consider any changes to operations that have occurred since the last audit and assess whether the implementation of such changes has been effective in preventing non-compliances, non-conformities, EH&S issues and Air Safety issues.
- 4.2.7 Audit reports will be produced on VAIL-QAS-014F06 complete with executive summary (QA Only). This is to be placed as an attachment within Q-Pulse.

- 4.2.8 The completed Audit Checklist (VAIL-QAS-014F05) will clearly identify the audit scope and will capture all aspects audited, whether satisfactory or unsatisfactory, in the checklist responses section. The completed checklist will be an attachment in Q-Pulse.
- 4.2.9 An NCR or OFI shall be raised for all audit findings.
Note: See paragraph 4.8 for categories and classification of findings.
- 4.2.10 On completion of the audit, the audit team will hold the 'Closing' meeting with the process owner, area manager or area director who initially attended the 'Opening' meeting, if requested to do so. This will involve a brief summary of the audit undertaken, including the detail of any findings. The attendees of the closing meeting will be captured on VAIL-QAS-014F03.
- 4.2.11 Any non-compliances or non-conformances that are deemed an Air Safety risk must be reported to the Air Safety Manager.
- 4.2.12 During the 'Closing' meeting, the auditor will ensure that the appropriate process owner, area manager or area director (and any other relevant personnel) attend in order to:
- a) Accept the findings of the report by signing/dating electronically.
 - b) Agree the documented completion timescales for each raised NCR (including its Stages).
 - c) Agree the documented completion timescales for each raised OFI (including its stages).
- 4.2.13 On completion of actions at 4.2.12, the auditor is to raise a new audit in Q-Pulse that meets the periodicity audit cycle requirements of customers and regulators.
- 4.2.14 The process owner, area manager or area director shall ensure that Containment, Impact, Root Cause, Corrective and Preventative Actions presented on NCRs are taken, without any undue delay, to eliminate any detected non-compliances and non-conformities, and their causes.
- 4.2.15 NCRs shall be managed in accordance with VAIL-QAS-015.
- 4.2.16 "Desktop audits" may be carried out without the use of the opening/closing meeting, checklist, and report forms; however, details of the audit shall be entered in to Q-Pulse.

4.3 NDT Level 3 Technical Audit Procedure

- 4.3.1 The Nominated NDT Level 3 shall perform periodic technical audits to ensure the continued standard of NDT work carried out in the organisation.
- 4.3.2 The purpose of the NDT Level 3 technical audit is to review the current NDT procedures and techniques to confirm continued competency and compliance with technical requirements.

Note: *The Nominated NDT Level 3 is not considered to be independent of the process being audited. As such, the technical audit does not replace the requirement for the Quality Department to perform any independent Quality Assurance or Compliance Monitoring audits on the NDT process.*

4.3.3 Where the Nominated NDT Level 3 is directly employed by VAIL, the Level 3 technical audit shall be planned and managed IAW paragraphs 4.1 and 4.2.

4.3.4 Where an external provider supplies the Nominated NDT Level 3 under contract, the individual may not be granted access to Q-Pulse or other sensitive IT systems. In such cases the following paragraphs apply

4.3.4.1 The NDT Level 3 Technical Audit shall remain on the **Internal** Audit Schedule.

4.3.4.2 A Quality Engineer shall be assigned as the lead auditor on Q-Pulse.

4.3.4.3 The Quality Engineer shall only be responsible for administering Q-Pulse. Responsibility for performing the technical audit shall remain with the Nominated NDT level 3, as the Subject Matter Expert.

4.3.4.4 On completion of the audit, the nominated NDT Level 3 shall provide the Quality Engineer with an audit report that gives an overview of the audit and full details of any findings.

4.3.4.5 On receipt of the audit report, the Quality Engineer shall raise a QA Desk ticket to log receipt of the report and to request that the Q-Pulse records are updated.

4.3.4.6 The QA desk ticket is to be assigned an owner who is responsible for updating the Q-Pulse record, attaching any related reports and documents, and raising and assigning any associated NCRs, within the allotted timescale.

4.2.1.1 The Quality Manager shall ensure that appropriate action is taken (including re-assigning ownership if necessary) should QA desk tickets not be resolved within the allotted timescale.

4.3 Supplier and Sub-contractor Audits

4.3.1 Supplier or sub-contractor audits shall only be conducted by an authorised Supplier Evaluator.

Note: *The procedure for authorisations, training and competency of quality audit staff is detailed in VAIL-QAS-021.*

- 4.3.2 A supplier audit schedule will be created and maintained by authorised Supplier Evaluators.
- 4.3.3 Records shall be maintained on Q-Pulse.
- 4.3.4 The basis and periodicity by which audits are conducted on suppliers and sub-contractors are determined by the following:
- a) Identified and known issues or level of risk associated with a particular supplier or subcontractor.
 - b) The volume and nature of business conducted with that supplier or subcontractor.
 - c) Evaluation and Approval of new supplier or sub-contractor.
 - d) The presence of a formal safety management system.
- 4.3.5 Audits conducted on suppliers and sub-contractors fall into one of the following categories:
- a) **Initial Qualification Systems Audit**
Where a full systems audit will be conducted as part of a contractual requirement.
 - b) **Surveillance System Audit**
To ensure that the supplier or sub-contractor maintains an effective Quality System which meets the requirements of VAIL-QAS-002 or as part of a contractual requirement.
 - c) **Product Audits**
Where periodic checks are performed on repair work or services which are incorporated in the manufacture or maintenance of aircraft and engine parts.
- 4.3.6 The supplier or sub-contractor onsite/virtual audit will follow the same process as the internal audit. The exceptions being:
- a) A supplier audit questionnaire (Form VAIL-QAS-002F02) can be used in place of the checklist VAIL-QAS-014F05
 - b) The auditor will conduct an 'Opening' meeting at the supplier or sub-contractor premises with key personnel outlining the purpose and scope of the audit.
 - c) All key areas, processes and contractual requirements will be audited as a minimum requirement.
- 4.3.7 On completion of the audit, the auditor will hold the 'Closing' meeting, if requested to do so, with all the key personnel who initially attended the 'Opening' meeting. This will involve a brief summary of the audit, noting any non-compliance or non-conformance observed at the time of the audit and will confirm whether the audited process is compliant with requirements.
- Note:** *With agreement from stakeholders, the auditor may opt not to hold an opening or closing meeting, however; acceptance and*

ownership of any NCRs must be agreed prior to completing the audit on Q-Pulse.

- 4.3.8 If a Major NCR (see paragraph 4.8) has been issued, this will need to be corrected prior to recommending the supplier or sub-contractor for approval.
- 4.3.9 If a timely response is not forthcoming from a supplier/subcontractor, or if QA deem the corrective action to be ineffective, the Quality Manager, or authorised Supplier Evaluator, will make a decision to suspend or withdraw the supplier's or subcontractor's approval status. In such cases, the Quality Manager or authorised Supplier Evaluator, will change the supplier or sub-contractor status to 'Inactive' and amend Q-Pulse. The Approved Suppliers Register held on Q-Pulse will also be amended.
- 4.3.10 Prior to conducting any such supplier or sub-contractor audit, the assigned auditor must ensure that all customer and contractual requirements such as AQAP requirements (where applicable), are included within the scope of the audit, to ensure flow down of any such requirements takes place.

4.4 External Audits of the Organisation (2nd/3rd Party)

- 4.4.1 External 2nd Party (Customers), and 3rd Party (Regulator and Certification Body) audits are to be controlled by the relevant Quality or EH&S team.
- 4.4.2 External audits shall be planned through Q-Pulse.
- 4.4.3 All external audit records are to be maintained within Q-Pulse.
- 4.4.4 On receipt of an audit report from an external organisation, a QA Desk ticket is to be raised to log receipt of the report and request the Q-Pulse records to be updated.
- 4.4.5 The QA desk ticket is to be assigned an owner who is responsible for updating the Q-Pulse record, attaching any related reports and documents, and raising and assigning any associated NCRs, within the allotted timescale.
- 4.4.6 The Quality Manager shall ensure that appropriate action is taken (including re-assigning ownership if necessary) should QA desk tickets not be resolved within the allotted timescale.
- 4.4.7 Different external auditors use different terminology when raising audit findings. All external audit findings are raised as NCRs on Q-Pulse. The following table shows the equivalent terminology used by external auditors:

VAIL	Certification Bodies	CAA & EASA	MAA	UK MoD	DQAFF
Non-Compliance / Non-Conformance Report	Non-Conformance Report	Non-Compliance	Corrective Action Requirement	Quality Occurrence Report	Quality Deficiency Report
NCR	NCR	NC	CAR	QOR	QDR

4.5 Remote auditing

- 4.5.1 There may be situations that require VAIL QA to carry out an audit whereby they cannot be on site, in this case a 'remote audit' may be carried out with the use of any real-time video and audio communication tools instead of the physical presence of the auditor on-site.

It is the responsibility of the VAIL QA Department representative to assess whether the use of remote ICT constitutes a suitable alternative to the physical presence of an auditor on-site and to agree this with the auditee/s.

Considerations such as sharing platforms, continued visual and audio, multiple cameras, and data protection should be discussed with the auditee when planning the audit.

- 4.5.2 Examples of the use of remote ICT during audits may include but are not limited to:

- Online meeting software such as GoTo, Zoom or MS Teams.
- Phones, cameras, instant Messenger & email.
- Sharing platforms such as Standard Aero 'Box'.

Note: *It is the responsibility of all parties to ensure that data protection is considered and adhered to.*

- 4.5.3 Audit reports should be completed as per an onsite audit but should detail that the audit was carried out remotely and to what extent it impacted the audit, e.g., any areas that could not be reviewed.

4.6 Performance Measures

- 4.6.1 The Audit programme is to be completed within planned timescales. Audit Schedule adherence will be monitored in line with Quality and Safety Objectives.
- 4.6.2 The outcome of audits, schedule adherence, shortfalls in audit resources, and the status of findings are to be reported to the Accountable Managers through management reviews.

4.7 Categories and Classification of Findings

4.7.1 All findings fall into 3 categories and the severity is classified within each category.

Note: Findings are categorised and classified using different terms by different regulators and 3rd party auditors. VAIL classifies all NCRs as '**MAJOR**', '**MINOR**', or '**OFI**'

4.7.2 The following table defines the categories of NCRs and Aviation Authority equivalent classifications:

Category	Category Description	Classifications		Classification Description
		VAIL	Equivalent	
Non-Compliance	No evidence can be produced to show compliance with a regulation.	Major	Level 1	Any significant non-compliance with regulations, which lowers the safety standard and presents a serious hazard to Air Safety.
		Minor	Level 2	A non-compliance that is judged not to be a Major or Level 1 finding.
Non-Conformance	No evidence can be produced to show conformance with any notified audit criteria other than the regulation or standard.	Major	Level 1	A deviation from or an omission of a requirement that may contribute to a major Air Safety Risk (e.g., the breakdown or absence of a system to meet AS9100 series, customer, or 14 organizational requirements), or where the effect is judged to be detrimental to the integrity of the product/service, or can result in the probable delivery of a non-conforming product/service, or can result in failure or reduced usability of the product/service.
		Minor	Level 2	A non-conformity that is judged not to be a Major or Level 1 finding. Typically, a single or isolated occurrence within the management system.
Opportunity for Improvement	No non-compliance or non-conformity identified but improvements could be made to a process to better manage positive or negative outcomes.	OFI	Negative Observation	Indicates a weakness in the process that could have the potential for failure, increased Risk to Life, or increased business risk, or whereby a change could have a positive effect in terms of efficiency or the prevention of a non-compliance/non-conformance.

5 Risk Based Auditing Approach

5.2 The following paragraphs describe the VAIL approach to risk-based auditing:

5.2.1 Audit Schedule

The Audit Schedule is established at the start of the year to ensure that all regulatory and customer requirements are covered by the program, however; it is not fixed and may be adjusted as risks within the business emerge or evolve, to ensure that higher risk processes are given the appropriate level of oversight. As the audit program progresses it should be periodically reviewed and adjusted as appropriate, to take into account the following:

- a) The risks and opportunities that can affect conformity of products and services.
- b) The Magnitude of residual/retained risks within each business activity, including Air Safety Risks.
- c) Previous audit findings (internal and external).
- d) Identified root cause trends.
- e) Changes to regulations and standards.
- f) Changes to the organisation.
- g) Changes to key personnel.
- h) Introduction of new products.
- i) Major changes to procedures.
- j) Occurrence reporting.

5.2.2 Unplanned Audits

Each Business Unit Quality Department must schedule an unplanned audit each quarter. The scope of such audits will be determined at the start of the audit and will take into account the points specified in paragraph 5.1.1.

5.2.3 Risk Based Process and Product Audits.

When performing any process or product audit, the auditor should review the risk registers and assess which risks are relevant to process or product being audited. The scope of that audit must include an effectiveness check of any identified mitigation actions related to such risks.