

1	INTRODUCTION.....	4	44	THE AUDIT CHECKLIST	14
2	QUALITY MANAGEMENT	4	45	LOT SIZE	14
3	MANAGEMENT SYSTEM BASICS	4	46	CONFIDENCE LEVEL	14
4	QUALITY ASSURANCE AND CONTROL	4	47	MARGIN OF ERROR	14
5	COMPANY CULTURE.....	4	48	RESPONSE DISTRIBUTION.....	14
6	HOW DOES THIS FIT INTO SMS?	4	49	SAMPLE SIZE	14
7	QUALITY ASSURANCE.....	4	50	SAMPLE SIZE VERSUS RISK.....	14
8	QA – THE BIG PICTURE	5	51	SAMPLE VALIDITY	14
9	WHAT IS SMS.....	5	52	SAMPLE SIZE SUMMARY	14
10	A SMS SHALL INCLUDE	5	53	PREPARE AND PLAN FOR MEETINGS.....	15
11	WHAT IS AN AUDIT?.....	5	54	KNOW YOUR CLIENT	15
12	INTERNAL AUDITS	5	55	PREVIOUS AUDIT FINDINGS.....	15
13	EXTERNAL AUDITS.....	6	56	LOGISTICS	15
14	PRINCIPLES OF AUDITING.....	6	57	OPENING MEETING TOPICS	15
15	AUDITOR – ETHICAL CONDUCT	6	58	ENTRY MEETING MANAGEMENT	15
16	AUDITOR – FAIR PRESENTATION	6	59	BRIEFINGS AND DEBRIEFINGS.....	15
17	AUDITOR – DUE PROFESSIONAL CARE	6	60	BRIEFINGS AND DEBRIEFINGS.....	15
18	AUDITOR – INDEPENDENCE.....	6	61	EXIT MEETINGS	16
19	AUDITOR – EVIDENCE BASED APPROACH	6	62	INTERVIEWS.....	16
20	MEASUREMENT STANDARDS	6	63	OBSERVING WORK PRACTICES	16
21	AUDIT STEPS	7	64	REVIEWING PAPER RECORDS.....	16
22	AUDITOR EXPERTISE.....	7	65	REVIEWING ELECTRONIC RECORDS.....	16
23	AUDITS AND INVESTIGATIONS	7	66	REVIEWING RECORDS	16
24	CHECKLISTS	7	67	USE THE CORRECT STANDARD.....	16
25	CREATING CHECKLISTS	7	68	ANALYZING EVIDENCE.....	16
26	STRATEGIES TO CREATE A CHECKLIST	7	69	CONTINUOUS QUALITY IMPROVEMENT	17
27	AUDIT CHECKLIST EXAMPLE	7	70	DIFFERENT IS OK	17
28	SCHEDULING AUDIT CONSIDERATIONS.....	11	71	FINDINGS OUT OF SCOPE	17
29	OPERATIONAL CONSIDERATIONS	11	72	ANALYZE EVIDENCE.....	17
30	HAZARDS	11	73	ANALYZE EVIDENCE.....	17
31	RISK	12	74	WHERE TO FOCUS ATTENTION	17
32	RISK MANAGEMENT.....	12	75	CONVENING AUTHORITY REPORTING.....	17
33	RISK ASSESSMENT.....	12	76	PROVIDE TEAM DIRECTION	17
34	RISK ASSESSMENT MATRIX (RAM).....	12	77	TEAMWORK.....	18
35	MITIGATION	12	78	MAINTAIN OR ADJUST SCHEDULE.....	18
36	QUALITY VERSUS RISK MANAGEMENT	13	79	PREPARING FINDINGS	18
37	AUTHORIZATION TO PROCEED?	13	80	AUDIT FINDING	18
38	SCHEDULING AUDIT RESOURCES	13	81	PREPARING FINDINGS	18
39	CLIENT EXPECTATIONS	13	82	PARALLEL FINDINGS	18
40	AUDIT OBJECTIVES AND SCOPE	13	83	PREPARING AUDIT REPORTS	18
41	GAP ANALYSIS.....	13	84	AUDIT REPORT TEXT.....	18
42	DETAILED AUDIT SCHEDULE	13	85	PERFORMING AUDIT FOLLOW-UP	18
43	SELECTING THE AUDIT TEAM.....	13	86	CAPS.....	19



87	FIVE WHY PROCESS	19
88	CAP IMPLEMENTATION	19
89	PERFORMING AUDIT FOLLOW-UP	19
90	PERFORMING AUDIT CLOSURE	19
91	IMPROVING AUDIT PROCESSES	19
92	CREATING A CHECKLIST - EXERCISE	20
93	WRITING FINDINGS - EXERCISE	20
94	CASE STUDY NUMBER 1 – 702 OPERATORS.....	21
95	CASE STUDY NUMBER 2 – 406 FLIGHT TRAINING ...	22
96	CASE STUDY NUMBER 3 – 604 OPERATORS.....	23
97	CASE STUDY NUMBER 4 – 302 AIRPORTS	24
99	PRACTICE FINDING FORMS.....	25