

Audit and Compliance Policy

1. Rationale

The audit and compliance framework provides the Accountable Manager of Recreational Aviation Australia (RAAus) with a mechanism to ensure compliance that Operational, Technical and Safety accountabilities are being met by RAAus authorisation holders. This framework also provides an opportunity for auditors to enhance the business operations of each Flight Training School (FTS).

2. Policy Statement

RAAus maintains oversight of its authorisation holders through an audit and compliance framework. This framework encompasses the Operational, Technical and Safety components of RAAus activities, and is assessed in accordance with established audit processes. Authorisation holders and in particular FTSs will be audited on a regular basis in accordance with RAAus' FTS risk 'safe school' matrix with prioritisation of audit and compliance activities commensurate with resources available.

The frequency and type of audit that applies to an authorisation holder is based on RAAus' overall Risk Appetite. Furthermore, scope and timing of audits will be carried out in line with established audit processes. RAAus believes that its response to risk should reflect the rating of the risk and that the outcome of any audit should facilitate continual improvement of RAAus authorised holder activities.

The audit and compliance functions of RAAus ensures authorised holders are assessed with relevance to activity levels, commensurate risk, procedures and management of training for Pilot Certificate, Ratings or Approvals and conduct of aircraft maintenance.

There are multiple activities that occur as part of the audit and compliance framework. These include site audits, phone calls, interviews and desktop audits. These processes are articulated in the RAAus audit and compliance processes.

RAAus has the right to audit recreational Pilot Certificate Holders and holders of a Maintenance Authority independently to FTS auditing. This auditing will occur as deemed appropriate by RAAus and will be guided by a risk-based approach to safety.

3. Scope

This document applies to all members, FTSs, CFIs, maintainers, auditors and auditees.

4. Definitions

Accountable Manager	The person designated by the organisation who is responsible to the regulatory authority in respect of the functions which are subject to compliance under the relevant policy and procedures manual.
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RAAus Board Policy

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Audit	A risk based, systematic and objective review of RAAus authorisation holder s compliance and conformance to RAAus Operations, Safety and Technical Manual and other requirements.
Auditee	A person or organisation that is audited.
Auditor	A person who conducts an audit.
Authorisation Holder	A legal entity who is authorised under the provisions of RAAus' Operations, Safety and Technical manual to operate under privileges of a designated certificate, approval or authority.
CEO	The person occupying the position of Chief Executive Officer.
Flight Training School (FTS)	A school authorised by RAAus to conduct ground theory and flight training.
Maintenance Authority	An authority issued to a suitably qualified person appointed by the RAAus Technical Manager to conduct maintenance on an RAAus aeroplane.
Pilot Certificate Holder (PCH)	A Certificate issued on successful completion of a RAAus approved pilot training program. Refer to Section 2.07.
Policy	A statement about what* is to occur in relation to the operations of RAAus, which has the corporate authority of the board or, by delegation, the CEO. * Policy statements are not normally concerned with how the policy will be implemented—this is a matter of processes, procedures and guidelines as used by those responsible for implementing the policy.
RAAus	Means Recreational Aviation Australia as an organisation and unless indicated to the contrary in this document it includes its Officers, Members and Affiliates.
Syllabus of Flight Training	A document produced by RAAus for the purposes of outlining the minimum training requirements for issue of a Pilot Certificate, Endorsement, Instructor rating or approval.

5. Code of Professional Conduct

All RAAus employees have the responsibility to understand, implement and conform to the RAAus' Code of Professional Conduct as it relates to this policy.

6. Breaches of the Code or the Policy

Breaches of the policy and procedures may result in disciplinary action being taken, up to and including dismissal.

7. Responsibilities

Policy Approval: Board

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Implementation: Innovation and Improvement Executive

Review: Executive Leadership Team

Improvement: Innovation and Improvement Executive

8. Review Schedule

This policy will be reviewed every two years.

9. Lapse Date

This policy does not have a lapse date.

10. Meta Data

ID	POL-2018-03
Version	1.0
Version date	4 November 2018
Type	Board
Approval date	4 November 2018
Availability	All staff, Board, schools, CFIs, members.
Keywords	Self-assessment, Flight Training School, inspection, Operations Manual, Technical Manual, flight training, aircraft maintenance, standards, audit, assurance
Responsible officer	Innovation and Improvement Executive
History	This is the first time this policy has been established at organisational level.
Review date	4 November 2020
Related documents	RAAus Operations, Technical and Safety Manual, RAAus Staff Code of Professional Conduct, Master School Inspection document, Self-Assessment for Flight Training Schools – Processes, Flight Training School Self-Assessment Inspection Report and the Self-Assessment Guide, Operations Administrator Manual, Audit and Assurance Framework and Processes.
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