

# ARGYLL & BUTE COUNCIL

## Internal Audit Section

### INTERNAL AUDIT REPORT

CUSTOMER DEPARTMENT	DEVELOPMENT AND INFRASTRUCTURE SERVICES
AUDIT DESCRIPTION	RISK BASED AUDIT
AUDIT TITLE	OBAN AIRPORT
AUDIT DATE	JUNE 2016

2016/2017



## **1. BACKGROUND**

This report has been prepared as a result of the Internal Audit review of Operational Procedures at Oban Airport as part of the 2016/17 Internal Audit programme. As part of the Civil Aviation Authority (CAA) requirements an independent review is required on an annual basis.

Oban Airport Aerodrome Manual has been produced to satisfy the requirements of the UK Civil Aviation Authority, Health and Safety legislation and the Air Navigation Order. The Aerodrome Manual sets out operational procedures, accountability by personnel and importantly acts as an information manual to assist personnel in performing their role. Included within the aerodrome manual is the Rescue and Firefighting Service (RFFS) sub manual which will form the basis of the audit.

Records are kept on a Microsoft Access database called the 'Navigator System' which has been created in house by the airport manager. In addition the service also operates the 'RedKite' system tracker which is a recognised equipment management and personal development system.

Scheduled services operate from Oban airport to Coll, Colonsay, Islay and Tiree. They also operate scholar flights for island school children. In addition, the Airport deals with chartered traffic and military flights as well as general aviation traffic such as medevacs, training flights and scenic tours by private operators.

The 2016/17 net operating budget for the airport is £538k.

## **2. AUDIT SCOPE AND OBJECTIVES**

The main objectives of the audit were:

- Review latest Civil Aviation external audit to ensure that corrective actions have been completed.
- Test compliance with the Rescue and Firefighting Service sub manual.

### 3. RISKS CONSIDERED

- Failure to adhere to formal procedure manual leads to non-compliance resulting in licence potential licence restrictions.
- Lack of formal procedures potentially leads to inconsistency in operation potentially resulting in safety issues and financial /legal challenge.
- Failure to timeously complete audit recommendations.

### 4. AUDIT OPINION

The level of assurance given for this report is Reasonable.

<b>Level of Assurance</b>	<b>Reason for the level of Assurance given</b>
<b>High</b>	Internal Control, Governance and the Management of Risk are at a high standard with only marginal elements of residual risk, which are either being accepted or dealt with. A sound system of control is in place designed to achieve the system objectives and the controls are being consistently applied.
<b>Substantial</b>	Internal Control, Governance and management of risk is sound, however, there are minor areas of weakness which put some system objectives at risk and where specific elements of residual risk that are slightly above an acceptable level and need to be addressed within a reasonable timescale.
<b>Reasonable</b>	Internal Control, Governance and management of risk are broadly reliable, however although not displaying a general trend there are a number of areas of concern which have been identified where elements of residual risk or weakness with some of the controls may put some of the system objectives at risk.
<b>Limited</b>	Internal Control, Governance and the management of risk are displaying a general trend of unacceptable residual risk above an acceptable level and system objectives are at risk.

	Weakness must be addressed with a reasonable timescale with management allocating appropriate resources to the issues raised.
<b>No Assurance</b>	Internal Control, Governance and management of risk is poor, significant residual risk exists and/ or significant non-compliance with basic controls leaves the system open to error, loss or abuse. Residual risk must be addressed immediately with management allocating appropriate resources to the issues.

This framework for internal audit ratings has been developed and agreed with Council management for prioritising internal audit findings according to their relative significance depending on their impact to the process. The individual internal audit findings contained in this report have been discussed and rated with management.

A system of grading audit findings, which have resulted in an action, has been adopted in order that the significance of the findings can be ascertained. Each finding is classified as High, Medium or Low. The definitions of each classification are set out below:-

**High** - major observations on high level controls and other important internal controls. Significant matters relating to factors critical to the success of the objectives of the system. The weakness may therefore give rise to loss or error;

**Medium** - observations on less important internal controls, improvements to the efficiency and effectiveness of controls which will assist in meeting the objectives of the system and items which could be significant in the future. The weakness is not necessarily great, but the risk of error would be significantly reduced if it were rectified;

**Low** - minor recommendations to improve the efficiency and effectiveness of controls, one-off items subsequently corrected. The weakness does not appear to affect the ability of the system to meet its objectives in any significant way.

## 5. FINDINGS

The following findings were generated by the audit:

### Review latest Civil Aviation Authority external audit to ensure that corrective actions have been completed

- The latest external audit by the Civil Aviation Authority (CAA) was carried out during October 2015. It was noted that there was 1 corrective action requiring a response by 27<sup>th</sup> January 2016. Corrective actions are matters requiring management action.

The action was in relation to maintenance records concerning a buoy light; it was evidenced that the action was closed as complete by the CAA on 8<sup>th</sup> January 2016.

- In addition there were 10 observations included in the report. Observations are matters which are recommended to be carried out but are not a compulsory requirement. It was evidenced that 9 of the 10 observations were responded to and have been adopted. The outstanding observation relates to runway signs and markings in regard to them being faded.

#### Test a sample of requirements within the Rescue and Firefighting Service (RFFS) Manual to ensure compliance

- Oban Airport manual is reviewed by management on an annual basis. It was noted that the Airport Rescue and Firefighting manual was last reviewed in July 2015.
- The RFFS manual has a range of requirements including the following:
  - Individual responsibilities for safety are clearly incorporated into job descriptions
  - Equipment used by employees is regularly checked and serviced to ensure safe operation
  - Staffing at Oban Airport is specified by category
  - Qualifications required for each category of staff is specified
  - Training requirements for staff are specified
  - Risk Assessments for breathing apparatus to be carried out
  - Contingency plans in place to ensure to ensure that time at a reduced protection category is kept to a minimum
  - RFFS Appliances testing frequency

#### Individual responsibilities for safety are clearly incorporated into job descriptions

- It was evidenced from a review of job descriptions for RFFS personnel, that responsibilities for safety are incorporated within them.

Equipment used by employees is regularly checked and serviced to ensure safe operation

- Maintenance records for RFFS equipment is captured within the “RedKite” system. A review of these records showed when tests are due and who is responsible for carrying out the test. It was evidenced from the system that all equipment had been checked and serviced as per scheduled requirements.

Staffing at Oban Airport is specified by category

- The RFFS manual stipulates the following staffing level available over 2 shifts. Each shift comprises 1 crew commander and 3 firefighters. For Oban Airport:
  - 1x Station Manager
  - 2x Crew Commanders
  - 6x Firefighters

It was evidenced from personnel records that the above complement is in place.

Qualifications required for each category of staff is specified

- The RFFS manual stipulates which mandatory certificates of competence are required for each level of personnel working at Oban Airport:
  - Station Manager should have an in date Supervisor certificate qualification
  - Crew Commanders should have an in date Crew Commander incident command qualification
  - Fire Fighters should have a in date Fire Fighters course certificate
- It was evidenced for each of the categories specified above that an in date qualification certificate was in place. In addition the RFFS manual stipulates that the Station Manager is responsible for maintaining an up to date list of all qualifications, medical examinations and mandatory courses. It was evidenced that these records are kept on an excel file.

- The RFFS manual states that staff will be qualified to the First Aid at Work Standard. This qualification is approved by the Health & Safety Executive, and complies with the (First Aid) Regulations 1981. It was evidenced that staff have this qualification.
- The RFFS states that all personnel will be qualified as breathing apparatus wearers. There was no evidence of a separate qualification as this training is now incorporated in the firefighting course and this was evidenced to the course details. The procedure manual should therefore be updated to reflect this. It was evidenced that all personal have this firefighting qualification.
- The RFFS manual states that all Firefighting personnel will have a Large Goods vehicle (LGV) qualification. It was noted that not all of the personnel have this qualification, however as there are no LGV vehicles on site there is no longer a requirement for personnel to be LGV qualified. The manual should therefore be updated to reflect this.

#### Training requirements for staff are specified

- The RFFS manual states that the continued fire-fighting competency training at the Airport is recorded on Oban Airport's RedKite electronic recording system. Examples of the types of training undertaken is as follows;
  - Internal aircraft fire-fighting (heat and smoke)
  - Internal passenger rescue scenarios using hydraulic cutting equipment
  - Fuselage ventilating techniques
  - Aircraft interior search techniques (BA)
  - Engine fire scenarios (dual media application)
  - Undercarriage assembly fires (dual media application)
  - Helicopter engine fire (high level)
  - Foam on fuel large scale tray fires
  - Vehicle positioning exercises including the use of monitor and side-lines
  - Aircraft crash configuration

It was evidenced from the RedKite system that for each of the personnel there is a list of monthly training exercises with dates showing when due. It was noted that a number of these exercises had not been completed as per schedule; e.g. Decontamination and Aircraft Familiarisation courses were overdue. However in consultation with the Station Manager it was confirmed that these exercises are undertaken on a regular ongoing basis thus mitigating residual risk. It was further confirmed that all staff had completed required exercises at least once.

- The RFFS manual states that the Station Manager will document his training and will be made available to the CAA on request. There was no evidence that at the time of the audit the Station Manager had documented his training.

#### Risk Assessments for breathing apparatus to be carried out

- The RFFS manual states the minimum requirement for the use of breathing apparatus at Oban Airport will be as a result of a risk assessment being carried out. There was no evidence of a risk assessment having been carried out.

#### Contingency plans in place to ensure to ensure that time at a reduced protection category is kept to a minimum

- The RFFS manual states that contingency plans should be in place to ensure that time at a reduced protection category is kept to a minimum. It was evidenced that there is a contingency plan in place which cover the following 3 main points;
  - Established formal agreements with other emergency services
  - Detailed operating procedures for 24 hour response ,communications and operations under poor weather
  - Agreement for incident command and control systems

The contingency plan states that all members of the Contingency planning liaison group within Argyll and Bute council will review this plan on an annual basis. There was no evidence that this review has been carried out.



### RRFS Appliances testing frequency

- The RFFS manual specifies the frequency of testing for appliance equipment; namely monthly, quarterly or annually. It was evidenced to the RedKite system that testing had been carried out on the equipment in line with the prescribed frequency specified in the manual.
- The manual states that the Station Manager will audit all appliance tests on a monthly basis. There was no evidence that this is carried out.

## **6. CONCLUSION**

This audit has provided a reasonable level of assurance. There were a number of recommendations for improvement identified as part of the audit and these are set out in Appendix 1 and 2. There are 4 medium recommendations set out in Appendix 1 which will be reported to the Audit Committee. There is 1 low recommendation which is not reported to the Audit Committee. Appendices 1 and 2 set out the action management have agreed to take as a result of the recommendations, the persons responsible for the action and the target date for completion of the action. Progress with implementation of actions will be monitored by Internal Audit and reported to management and the Audit Committee.

Thanks are due to the Oban Airport staff and management for their co-operation and assistance during the Audit and the preparation of the report and action plan.

**APPENDIX 1 ACTION PLAN**

Findings	Risk Impact	Rating	Agreed Action	Responsible person agreed implementation date
<b>1. RFFS Procedure Manual</b>		<b>High/ Medium or Low</b>		
It was noted from a review of the RFFS manual that various sections require to be updated.	Failure to have an up to date procedure manual may lead to inefficient and ineffective operations resulting in non-compliance.	Medium	RFFS Manual will be updated during July.	<b>Station manager</b>  <b>31<sup>st</sup> July 2016</b>
<b>2. Training Overdue</b>				
It was noted that there a number of training requirements that are overdue.	Failure to have up to date training requirements may lead to inefficient and ineffective operations.	Medium	Training courses to be brought up to date.	<b>Station Manager</b>  <b>30<sup>th</sup> September 2016</b>
<b>3. Breathing Apparatus</b>				
It was noted that the risk assessments for breathing apparatus have not been carried out.	Failure to carry out regular risk assessments may lead to inefficient safe operations resulting in non-compliance.	Medium	Breathing apparatus risk assessments will be carried by end of July.	<b>Station Manager</b>  <b>31<sup>st</sup> July 2016</b>

<b>4. Review of Contingency Plans</b>		<b>High/ Medium or Low</b>		
There was no evidence that the Contingency Planning Liaison group within Argyll and Bute Council have reviewed Oban Airports contingency plan	Failure to review contingency plans may lead to inefficient and ineffective operations.	Medium	Manual erroneously states that “Argyll and Bute Planning Liaison Group to review”, this should read “the Civil contingencies group to review”. Manual to be updated.	<b>Station Manager</b>  <b>31<sup>st</sup> July 2016</b>



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