



Designation: F3364 – 19

Standard Practice for Independent Audit Program for Unmanned Aircraft Operators¹

This standard is issued under the fixed designation F3364; the number immediately following the designation indicates the year of original adoption or, in the case of revision, the year of last revision. A number in parentheses indicates the year of last reapproval. A superscript epsilon (ϵ) indicates an editorial change since the last revision or reapproval.

1. Scope

1.1 This practice establishes a minimum set of requirements for an Unmanned Aircraft Systems (UAS) Operator Independent Audit Program in compliance with Practice F3365.

1.2 *This standard does not purport to address all of the safety concerns, if any, associated with its use. It is the responsibility of the user of this standard to establish appropriate safety, health, and environmental practices and determine the applicability of regulatory limitations prior to use.*

1.3 *This international standard was developed in accordance with internationally recognized principles on standardization established in the Decision on Principles for the Development of International Standards, Guides and Recommendations issued by the World Trade Organization Technical Barriers to Trade (TBT) Committee.*

2. Referenced Documents

2.1 *ASTM Standard:*²

F3365 Practice for Compliance Audits to ASTM Standards on Unmanned Aircraft Systems

3. Terminology

3.1 *Definitions:*

3.1.1 *audit finding, n*—a statement of audited entity conditions at the time of the audit by evaluation against audit criteria. Audit findings shall be based upon verifiable audit data and may be either positive or negative with respect to audit criteria.

3.1.2 *independent audit, n*—an audit of an unmanned aircraft systems operator and its associate facilities by an external auditing entity to determine compliance with Civil Aviation Authority (CAA) accepted consensus standards, and procedures established to meet those requirements.

¹ This practice is under the jurisdiction of ASTM Committee F38 on Unmanned Aircraft Systems and is the direct responsibility of Subcommittee F38.03 on Personnel Training, Qualification and Certification.

Current edition approved May 1, 2019. Published June 2019. DOI: 10.1520/F3364-19.

² For referenced ASTM standards, visit the ASTM website, www.astm.org, or contact ASTM Customer Service at service@astm.org. For *Annual Book of ASTM Standards* volume information, refer to the standard's Document Summary page on the ASTM website.

3.1.3 *noncompliant finding, n*—a non-fulfillment of a requirement that may affect the ability of the UAS Operator to comply with the provisions for compliance of the relevant CAA.

4. Significance and Use

4.1 This practice establishes the minimum set of requirements for an independent audit program for unmanned aircraft system operators. The intended use is to provide minimum requirements for an initial assessment of operators bringing a new aircraft model or service to market, or for periodic review of an existing operator's operations.

4.2 Compliance to this practice would ensure that the audit program and those who execute it meet the consensus set of minimum requirements and qualifications.

4.3 This practice does not mandate operator independent audits.

4.4 Independent audits are to be conducted only at the request of the operator or the relevant CAA. This does not preclude an independent audit at the request of a court of law or arbitrator.

5. Audit Criteria

5.1 *Initial Assessment*—When performing an initial assessment audit of an unmanned aircraft system operator, the auditor(s) shall review compliance to the consensus standards for the aircraft being produced.

5.1.1 The auditing entity shall verify that the referenced consensus standards are appropriate and accepted by the relevant CAA.

5.1.2 At a minimum, the auditor(s) shall assess compliance to the following processes as applicable to the category of aircraft being produced:

5.1.2.1 UAS Design and Performance;

5.1.2.2 UAS Operating Instructions;

5.1.2.3 UAS Maintenance and Inspection Procedures;

5.1.2.4 UAS Flight Training Supplement (as applicable);

5.1.2.5 UAS Operator's Quality Assurance System;

5.1.2.6 UAS Operator's Continued Operational Safety Program; and

5.1.2.7 Any specific requirements mandated by relevant CAA.