

Effective 1 October 2021

# IOSA Program Manual (IPM)

Operational Safety Audit

Edition 13



## **NOTICE**

DISCLAIMER. The information contained in this publication is subject to constant review in the light of changing government requirements and regulations. No subscriber or other reader should act on the basis of any such information without referring to applicable laws and regulations and/or without taking appropriate professional advice. Although every effort has been made to ensure accuracy, the International Air Transport Association shall not be held responsible for any loss or damage caused by errors, omissions, misprints or misinterpretation of the contents hereof. Furthermore, the International Air Transport Association expressly disclaims any and all liability to any person or entity, whether a purchaser of this publication or not, in respect of anything done or omitted, and the consequences of anything done or omitted, by any such person or entity in reliance on the contents of this publication.

© International Air Transport Association. All Rights Reserved. No part of this publication may be reproduced, recast, reformatted or transmitted in any form by any means, electronic or mechanical, including photocopying, recording or any information storage and retrieval system, without the prior written permission from:

Senior Vice President  
Operations, Safety and Security  
International Air Transport Association  
800 Place Victoria  
P.O. Box 113  
Montreal, Quebec  
CANADA H4Z 1M1

## Approval Page

This Edition was verified by the IATA Operational Auditing Department and the IOSA Oversight Council.

It was approved for use, after due diligence as indicated below.

Step	Name	Date
Prepared by:	Serkan Simitcioglu Head, IOSA	June 2021
Reviewed and recommended by:	Catalin Cotrut Director, Audit Programs	June 2021
Approved by:	Nick Careen Senior Vice President, Operations, Safety & Security	July 2021



INTENTIONALLY LEFT BLANK

## Table of Contents

<b>Section 0</b>	<b>Introductory Content</b>	
	Approval Page.....	i
	Table of Contents .....	iii
	Foreword .....	ix
	Applicability .....	ix
	Record of Editions .....	xi
	Introduction .....	xiii
1)	Purpose .....	xiii
2)	Examples of IOSA Documents and Forms .....	xiii
3)	IOSA Documentation System .....	xiii
4)	English Language .....	xiii
5)	Manual Revision - Regular, Temporary & Corrections.....	xiv
6)	Manual Approval Process.....	xiv
7)	Content Changes.....	xiv
8)	Conflicting Information.....	xv
9)	IOSA Documents and Forms.....	xv
10)	IRM for IOSA Abbreviations, Acronyms, Definitions .....	xv
11)	IOSA Authority.....	xv
12)	Audit Scope .....	xv
	Description of Changes .....	xvi
	Glossary of Symbols to Designate IPM Changes.....	xviii
 <b>Section 1</b>	 <b>IOSA Program Management</b>	
1.1	Organization and Management System.....	1-1
	<b>Figure 1.1</b> IOSA Program Management System (Functional Overview).....	1-2
1.2	Quality Assurance.....	1-3
	(includes: IAR Quality Control)	
	<b>Figure 1.2</b> IOSA Quality Assurance Program (Functional Overview) .....	1-6
1.3	Customer Relations .....	1-7
1.4	Accreditation Management .....	1-7
1.5	Audit Administration .....	1-8
	(includes: AO Selection; Audit Invalidation; Audit Funnel; Audits of Affiliated Operators; Merger of Air Operators; Focus Areas; Collection of Administration Fees)	
1.6	Auditor Approval and Administration.....	1-10
	(includes: Auditor Qualification Record (AQR) and Master List of Approved IOSA Auditors; Auditor Qualifications Currency; Auditor Currency Database)	
1.7	Standards Management .....	1-11
1.8	Information and Data Management .....	1-12
1.9	Registration Management and Options .....	1-13
1.10	Documentation Management.....	1-13
	(includes: Legal Documents; IAR)	
1.11	Records Management .....	1-14
1.12	Training Management.....	1-15
	(includes: IOSA Auditor Training (IAT); AO Quality Control Manager Training; IOSA Standards Familiarization)	
1.13	Communication and Marketing .....	1-15
1.14	IOC Administration.....	1-16
	<b>Figure 1.3</b> IOSA Standards Change Management Process Flow .....	1-17
	<b>Figure 1.4</b> IOSA Standards Special Review Process Flow .....	1-18
1.15	Accreditation Management .....	1-18

<b>Section 2</b>	<b>AO Accreditation</b>	
2.1	Accreditation General .....	2-1
2.2	Accreditation Requirements.....	2-2
	<b>Figure 2.1</b> AO Accreditation Process Flow .....	2-4
2.3	Evaluation and Monitoring .....	2-5
2.4	Conflict of Interest.....	2-5
2.5	General Requirements.....	2-7
2.6	Organization and Management .....	2-7
	(includes: QC Manager - Prerequisites, Responsibilities, Training, Evaluation)	
2.7	Quality Assurance and Quality Control .....	2-10
2.8	Facilities and Resources.....	2-12
2.9	Documentation System.....	2-12
2.10	Records System .....	2-13
2.11	Auditor Administration.....	2-13
2.12	Notifications and Submissions.....	2-15
	(includes: Audit Funnel; Auditor Currency Database)	
2.13	Accreditation Renewal .....	2-16
2.14	Accreditation Termination .....	2-17
2.15	Termination of Business .....	2-17
 <b>Section 3</b>	 <b>Auditor Qualification</b>	
3.1	Categories of IOSA Auditors.....	3-1
3.2	Competence of IOSA Auditors.....	3-1
3.3	Qualification Prerequisites for IOSA Auditor Acceptance .....	3-1
	<b>Table 3.1</b> Experience Prerequisites for ORG Auditors .....	3-4
	<b>Table 3.2</b> Experience Prerequisites for FLT Auditors .....	3-4
	<b>Table 3.3</b> Experience Prerequisites for DSP Auditors .....	3-6
	<b>Table 3.4</b> Experience Prerequisites for MNT Auditors.....	3-6
	<b>Table 3.5</b> Experience Prerequisites for CAB Auditors .....	3-7
	<b>Table 3.6</b> Experience Prerequisites for GRH Auditors.....	3-7
	<b>Table 3.7</b> Experience Prerequisites for CGO Auditors .....	3-7
	<b>Table 3.8</b> Experience Prerequisites for SEC Auditors .....	3-7
3.4	Personal Attributes of IOSA Auditors .....	3-8
3.5	Ethical Standards for IOSA Auditors .....	3-8
3.6	Knowledge and Skills for IOSA Auditors .....	3-9
3.7	Additional Skills for Lead Auditors .....	3-9
3.8	Special Qualities for Evaluators .....	3-10
3.9	Responsibilities of Auditors, Lead Auditors and Evaluators .....	3-10
3.10	Qualification Process for Auditors.....	3-11
	<b>Figure 3.1</b> IOSA Auditor Qualification Process Flow.....	3-14
3.11	Qualification Process for Lead Auditors.....	3-14
3.12	Qualification Process for Evaluators .....	3-15
3.13	Conduct of Multiple Evaluations.....	3-16
3.14	Qualification Process for Auditing Additional Operational Discipline(s) .....	3-16
3.15	Recurrent Training Currency .....	3-17
3.16	Performance Evaluation Currency .....	3-17
3.17	Audit Conduct Currency.....	3-17
3.18	Re-Establishment of Qualifications .....	3-18
	<b>Table 3.9</b> Audit Conduct Re-Establishment .....	3-18
3.19	Auditor Transfer or Sharing.....	3-20
3.20	Intentionally Left Open .....	3-20
3.21	Suspension and Removal of IOSA Auditors .....	3-20

## Section 4 Auditor Training

4.1	IOSA Auditor Training (IAT)	4-1
4.2	Prerequisite Auditor Training	4-1
4.3	Prerequisite Lead Auditor Training	4-2
4.4	Intentionally Left Open	4-3
4.5	Auditor Recurrent Training	4-3

## Section 5 ETO Accreditation

5.1	Accreditation General	5-1
5.2	Accreditation Requirements	5-2
	<b>Figure 5.1</b> ETO Accreditation Process Flow	5-4
5.3	Observation and Monitoring	5-5
5.4	Conflict of Interest	5-5
5.5	General Requirements	5-5
5.6	Organization and Management	5-6
5.7	Quality Assurance	5-6
5.8	Facilities and Resources	5-6
5.9	Documentation System	5-7
5.10	Records System	5-7
5.11	Instructor Qualification Prerequisites	5-7
5.12	Instructor Initial Qualification and Approval	5-8
5.13	Instructor Continuing Qualification	5-9
5.14	Instructor Administration	5-9
5.15	IAT Course Administration	5-10
5.16	IAT Course Curriculum	5-11
5.17	Written Examination Administration	5-11
5.18	Fees Administration	5-12
5.19	Continual Improvement	5-12
5.20	Notifications and Submissions	5-12
5.21	Accreditation Renewal	5-13
5.22	Accreditation Termination	5-13

## Section 6 The Operator's Responsibilities for IOSA Registration

6.1	Pre Audit Preparation	6-1
6.2	IOSA Audit Planning	6-1
6.3	During IOSA Audit	6-3
6.4	Audit Follow-up	6-3
6.5	Registration	6-4
6.6	Quality Control	6-4
6.7	Registration Maintenance	6-4
6.8	Merge, Takeover or Acquisition of an Operator	6-5

## Section 7 IOSA Registration

7.1	IOSA Registry	7-1
	(includes: Auditing Fleets; Operational Exclusions; Aircraft And/Or Fleet Exemptions)	
7.2	Audit Expiration	7-3
	<b>Figure 7.1</b> Initial Registration Audit Expiration	7-3
	<b>Figure 7.2</b> Registration Renewal Audit Expiration	7-4
	<b>Figure 7.3</b> Registration Renewal Audit Expiration	7-4
	<b>Figure 7.4</b> Verification Audit Expiration	7-5

7.3	Registration Period .....	7-5
7.4	Initial Registration .....	7-5
7.5	Registration Renewal..... (includes: Extenuating Circumstances; Interim Corrective Action; Transfer of Registration)	7-5
7.6	Registration Harmonization .....	7-9
	<b>Figure 7.5</b> Initial IOSA Registration .....	7-10
	<b>Figure 7.6</b> IOSA Registration Renewal .....	7-11
7.7	Reporting Responsibility .....	7-11
	(includes: Verification Audit and Re-Visit; Registration Suspension; Registry Annotations)	
	<b>Table 7.1</b> Registry Annotations .....	7-14
7.8	Registration Removal .....	7-16
7.9	Registration Reinstatement .....	7-16
7.10	IOSA Brand Promotion .....	7-17
7.11	Allocation of Initial Registration Audits (Effective for Initial Registration Audits Conducted as of January 2019).....	7-18
	<b>Figure 7.7</b> Initial IOSA Registration, Process Flowchart .....	7-19
	<b>Figure 7.8</b> IOSA Registration Renewal, Process Flowchart.....	7-20
	<b>Figure 7.9</b> Consideration of Extenuating Circumstances, Process Flowchart .....	7-21

## Section 8

### Audit Program

8.1	Organization and Management .....	8-1
8.2	Audit Planning.....	8-1
8.3	Selecting and Assembling Audit Teams .....	8-5
8.4	Audit Preparation .....	8-6
8.5	Providing Resources and Logistical Support .....	8-8
8.6	Opening Meeting .....	8-9
8.7	Conducting the Audit .....	8-9
8.8	Closing Meeting .....	8-11
8.9	Terminating an Audit.....	8-12
8.10	Corrective Action Plan (CAP)..... (includes: Interim Corrective Action (ICA))	8-12
8.11	Conducting Audit Follow-up.....	8-14
8.12	Closing Findings/Observations .....	8-14
	(includes: Effect of ISM Revisions; Effect of a Standards Special Review)	
8.13	Closing an Audit.....	8-16
	(includes: IAR Submission Deadlines)	

## Section 9

### IOSA Audit Report (IAR)

9.1	IOSA Audit Report (IAR) .....	9-1
9.2	Quality Control of the IAR .....	9-1
9.3	Intentionally Left Open .....	9-2
9.4	IAR Security.....	9-2
9.5	IAR Ownership.....	9-2
9.6	IAR Custodianship .....	9-3
9.7	IAR Retention .....	9-3
9.8	IOSA Database .....	9-3
9.9	IAR Access .....	9-4
9.10	IOSA Data Analysis .....	9-5
	<b>Figure 9.1</b> IAR Quality Control, Process Flowchart.....	9-6

<b>Section 10</b>	<b>Audit Sharing</b>	
10.1	Description.....	10-1
10.2	The Interested Party .....	10-1
10.3	IATA.....	10-1
10.4	The Operator .....	10-1
	<b>Figure 10.1</b> IOSA Audit Sharing Process Flow .....	10-2
<b>Section 11</b>	<b>Dispute Resolution</b>	
11.1	Applicability.....	11-1
11.2	Dispute Resolution between AO and Operator .....	11-1
	<b>Figure 11.1</b> IOSA Dispute Resolution, Process Flowchart.....	11-2



INTENTIONALLY LEFT BLANK

## Foreword

The IATA Operational Safety Audit (IOSA) Program is an internationally recognized and accepted evaluation system designed to assess the operational management and control systems of an Operator.

IOSA is based on industry-proven quality audit principles and is designed to ensure that each Audit is conducted in a standardized manner to achieve consistent results.

The IATA Operational Safety Audit (IOSA) was developed under IATA to provide the industry with an internationally recognized and accepted evaluation system for assessing the operational management and control systems of the world's airlines. To attain and maintain the desired level of recognition and acceptance, IATA, as the custodian of IOSA, must ensure the program embodies the high degree of quality, integrity and security necessary to build and maintain the confidence of those airlines, regulatory authorities and the industry that participate in the program, and who stand to reap the associated safety and cost benefits.

Standards contained in this manual were initially developed during the years 2002–2003 by task forces (now 'technical groups') as part of the IOSA developmental project. When structuring the membership of the IOSA Technical Groups, IATA selects industry safety and quality experts from organizations around the world possessing operational audit expertise. Special care is taken to ensure equal participation from all areas of the world, such that no single region, alliance, or organization would dominate.

The IOSA "philosophy" is that the IOSA Standards and Recommended Practices (ISARPs) located in the IOSA Standards Manual (ISM), must be consistently "documented" and "implemented" by an Operator to ensure standardized application within the eight operational disciplines.

IATA will continue to update IOSA Program standards, as derived from accepted industry reference sources, as defined in [IPM Section 1.7](#), Standards Management.

## Applicability

This IOSA Program Manual (IPM) contains standards that govern all aspects of the IOSA Program for the purpose of achieving a standardized and consistent Audit product.

Standards in this manual are applicable primarily to:

1. Accredited Audit Organizations (AOs), that will conduct Audits under IOSA;
2. All Operators audited under IOSA;
3. Endorsed Training Organizations (ETOs), that will provide IOSA Auditor Training; and
4. The International Air Transport Association (IATA), who are the stewards of the IOSA Program.



INTENTIONALLY LEFT BLANK

## Record of Editions

<b>Edition Number</b>	<b>Issue Date</b>	<b>Effective Date</b>
1st Edition	October 2003	October 2003
2nd Edition	November 2004	November 2004
3rd Edition	December 2007	March 2008
4th Edition	January 2011	April 2011
5th Edition	December 2011	April 2012
6th Edition	January 2014	May 2014
7th Edition	May 2015	September 2015
8th Edition	October 2016	January 2017
9th Edition	June 2017	September 2017
10th Edition	July 2018	October 2018
11th Edition	June 2019	September 2019
12th Edition	November 2019	January 2020
13th Edition	July 2021	October 2021



INTENTIONALLY LEFT BLANK

## Introduction

### 1) Purpose

- (i) The IOSA Program Manual (IPM) is published in order to make the complete body of standards that govern all aspects of the IATA Operational Safety Audit (IOSA) Program available in a single source. Standards in the IPM provide the basis for program standardization, which ensures that each audit is conducted in a consistent manner.
- (ii) IOSA Audits will only be conducted by Audit Organizations (AOs) that have been accredited by IATA. To successfully complete the accreditation process, an AO shall be required to structure its organization, management systems, and operational processes, including administration of its audit and auditor programs in conformity with these IPM standards.
- (iii) Additionally, the standards in this manual shall be the basis for the system used by IATA in providing quality oversight and management of the IOSA Program.

### 2) Examples of IOSA Documents and Forms

Certain IOSA documents and forms may be depicted in this manual for the illustrative purpose of providing examples. Some, or all, of these published examples may have subsequently undergone revision, and thus may not be the current edition of the document and/or form in use for Program activities.

### △ 3) IOSA Documentation System

This IPM, including any Temporary Revisions, used in association with the following related manuals, together comprise the IOSA documentation system:

- (i) IOSA Standards Manual (ISM);
- (ii) IOSA Audit Handbook (IAH) (all parts);
- (iii) IATA Reference Manual for Audit Programs (IRM);
- (iv) Quality Assurance Program Manual (QAPM);
- (v) Auditor Quality Performance Program (AQPP);
- (vi) AO/ETO Performance Monitoring Program (AO/ETO PMP);
- (vii) IOSA Audit Software manuals.

IATA also have policies, guidelines, resolutions, and additional strategy and position papers, that are published and amended as complementary to the IPM. These documents may relate to various different topics (e.g. privacy policy, digital strategy, code of conduct etc.) and are always communicated to respective IOSA program's participants. Requirements from those additional documents are incorporated by reference into agreements between IATA and IOSA program participants, this program manual or user manual, as the case may be.

Supporting documents such as Alerts, Bulletins are also used to disseminate related information.

### 4) English Language

English is the official language of the IOSA Program and the IOSA Documentation System. Reference to "international" English will be as per the Merriam-Webster dictionary (refer to M-W website at: <http://www.merriam-webster.com>).

### 5) Manual Revision - Regular, Temporary & Corrections

- (i) IATA will publish new editions and temporary revisions to this IPM as necessary, to ensure the content remains current and meets the needs of the IOSA Program.
- (ii) During a regular revision cycle, where a change to the IPM is required:
  - (i) a new Edition of the manual will be published and account for any applicable Temporary Revisions (TRs) issued since the previous Edition.
  - (ii) the cover of the IPM will indicate the Edition number and the effectivity date, the page footer will indicate the Edition number and the effectivity date.
  - (iii) a new Edition of the IPM becomes effective on the first day of the third month following the month of publication (e.g. an Edition published in May 2013 is effective on the first day of August 2013).
- (iii) When a rapid change to the IPM is required, a Temporary Revision (TR) will be issued, and will indicate:
  - (i) a unique reference number linking it to the appropriate Edition;
  - (ii) an IPM reference number associated to the content requiring change;
  - (iii) a date of issue and effectivity;
  - (iv) the date of the approval by the SVP Operations, Safety & Security (OSS).
- (iv) If publication and/or editorial errors have been identified in any publication making up the IOSA documentation system, IATA can correct such errors through issue of an “errata list”, which will be published in the same location as all the IOSA documents.

### 6) Manual Approval Process

- (i) IATA will internally draft any required changes in consultation with applicable parties, if necessary.
- (ii) A comment period will allow for external (e.g. AOs, IOC) feedback:
  - (i) For a regular revision cycle - fourteen (14) calendar days;
  - (ii) For a TR cycle - up to seven (7) calendar days;
- (iii) An internal review of feedback and incorporation of final changes will occur;
- (iv) A final approval period:
  - (i) For a regular revision cycle - fourteen (14) calendar days with IATA senior management;
  - (ii) For a TR cycle - up to fourteen (14) calendar days;
- (v) The Senior Vice President (SVP) OSS is the final approving authority for new editions or temporary revisions for this manual;
- (vi) Errors corrected according to 5) (iv) above are not subject to comment and review.

### 7) Content Changes

Every new edition will contain a “Description of Changes” table highlighting the significant changes. It is incumbent on the reader to review all relevant Sections in detail to familiarize themselves with the changes.

## 8) Conflicting Information

- (i) Manuals within the IOSA documentation system are not revised concurrently, thus creating a possibility of conflicting information in different manuals.
- (ii) If there are inconsistencies between the IOSA documentation, namely the ISM, IPM and IAH, IATA should be contacted for clarification and correction.
- (iii) If there are inconsistencies between the IPM, related content in the IAH, and the Audit Agreement, the Audit Agreement shall prevail.

## 9) IOSA Documents and Forms

This IPM and other referenced IOSA documents and forms will be made available on the IOSA website, at: <http://www.iata.org/iosa>

## 10) IRM for IOSA Abbreviations, Acronyms, Definitions

- (i) The terminology used in the IPM is consistent with that in the other manuals that comprise the IOSA documentation system. Any related terms, as they are used in the context of the IOSA Program and its documents, are defined in the IATA Reference Manual for Audit Programs (IRM).
- (ii) Where text within the IPM is blue as a hyperlink, this indicates that the word is defined in the IRM (e.g. *corrective action*), and the reader is encouraged to refer to the IRM reference. Hyperlinked references to other parts of the IPM (e.g., [IPM 1.2.3](#)) are also in blue.

## 11) IOSA Authority



The IOSA Program operates under the authority of the IATA Safety Flight and Ground Operations Advisory Council (SFGOAC) with reference to the IATA Board of Governors (BoG).

## 12) Audit Scope

The scope of the Audit is defined in the Introduction of the IOSA Standards Manual (ISM), under Part 4, “Applicability of ISARPs”.

## Description of Changes

The following table provides brief descriptions of the changes contained in IPM Ed. 11. Significant changes are highlighted in **bold** text.

Description of Changes	
Area Changed	Description of Changes
Various sections/chapters	Changed responsible SVP division from SFO to OSS
Various sections/chapters	Removed reference to approval of audit report, changed to release of audit report
<b>Introduction</b>	
3)	Updated IOSA Documentation System (incorporation or TR)
11)	Updated reference to SFGOAC
<b>Section 1 IOSA Program Management</b>	
1.1.8	New provision on data protection and privacy
1.2.4, 1.2.5	Added the option for remote oversight
1.2.10	Added the option for remote oversight
1.3.3	Removed fax as a method of communication
1.5.7	Added Focus Area provision from IPM Temporary Appendix
1.7.1 Note	Changed planned ISM publication month from April to December
1.7.2 (i) c.	Clarified effective month of new ISM edition
<b>Section 2 AO Accreditation</b>	
2.1.5	Added option for remote oversight
2.1.6 (viii)	Added Auditor Performance to accreditation review
2.2.2 (vi)	Added requirement for defined roles and responsibilities within an AO for accreditation
2.3.2 (iv)	Added the requirement to verify AO internal QA corrective actions for effectiveness
2.6.7	Editorial changes, removed bi annual Performance Results, changed frequency of performance report
2.6.11	Clarification on procedures for vacant QC Manager position
2.6.12	Provision removed
2.8.4	Clarification on the sharing of usernames and passwords
2.11.9	New provision for data privacy related to auditors personal information
<b>Section 3 Auditor Qualification</b>	
3.3.2 (ii)	Added option for IATA interview for new IOSA auditors
Table 3.2 Note 1	Added additional requirement for auditors observing line flight operations
3.3.9	Updated alternative training requirements for auditors observing simulator operations

Description of Changes	
Area Changed	Description of Changes
Table 3.8	Inserted requirement for IATA SeMS Competency Test for SEC auditors
3.6.3	Added familiarity with virtual conference software to IOSA auditors general knowledge
3.10.1	Changed auditor qualification process during AO initial accreditation
3.10.3	Updated auditor qualification process
3.11.1	Modified Lead Auditor qualification process and prerequisites
3.14.1	Modified qualification process for additional discipline
3.17.1, 3.17.2	Clarified currency requirements related to remote/ onsite audits
3.17.5	Modified currency requirement for disciplines currency
Table 3.9	Editorial - updated references, updated onsite vs remote audit
Appendix A	Removed
<b>Section 4 Auditor Training</b>	
4.5.3 Note	Removed requirement for classroom recurrent training for Lead Auditors
<b>Section 5 ETO Accreditation</b>	
5.3.1	Clarified ETO QA to be onsite or remote
5.5.1 (ii)	Added requirement for instructors to participate in ETO calls
5.8.2	Clarified options for onsite or virtual delivery of IAT and infrastructure requirements
5.13.3	Removed instructor performance evaluation requirement
5.13.5	Updated requirements for re-establishment of instructor currency
5.15.1 (vi)	Clarified infrastructure requirements for virtual delivery of IAT
<b>Section 6 The Operator's Responsibilities for IOSA Registration</b>	
6.2.2	Clarified requirement for operator to submit up-to-date equipment tables and pre-audit questionnaire
<b>Section 7 IOSA Registry</b>	
7.1.12	New provision clarifying possibility for re-visit for added fleets during an open audit
7.5.3 (ii), (iii)	Updated recommended submission of IAR for renewal audits
7.5.14, 7.5.15	New provisions for the transfer of an IOSA registration

Description of Changes	
Area Changed	Description of Changes
7.6.3	Updated recommended submission of IAR for renewal audits
7.7.1	Clarified, added reporting responsibilities
7.7.4	Clarified SEF submission requirement
7.7.5	Updated Verification Audit procedures and closure deadlines
7.7.6	Updated re-visit procedures to include option for remote verification
7.11.1	Clarified applicability of initial audit allocation for affiliated audits
<b>Section 8 Audit Program</b>	
8.1.2	Clarified applicability of IOSA Documentation System for implementation of IOSA Audit program
8.2.1	Added objective of an IOSA Audit
8.2.6	Removed requirement for the primary operator to undergo a renewal audit for affiliated audits
8.2.13	Updated recommended submission of IAR for renewal audits
8.2.21	New provision, clarifying the requirement for an operator to have active flight operations during an audit
8.4.4	Added pre-audit questionnaire to review
8.4.8	Added items to be reviewed during the audit team briefing prior to an audit
8.7.1	Added implementation of Focus Areas to the audit procedures
8.7.2 (ii)	Removed requirement to record Auditor Actions
8.7.10 Note	Note added regarding exemption of MOs
8.12.3	Corrected reference
8.13.3	Updated recommended submission of IAR for renewal audits
<b>Section 9 IOSA Audit Report (IAR)</b>	
<b>Section 10 Audit Sharing</b>	
<b>Section 11 Dispute Resolution</b>	

Production of IOSA and ISAGO manuals and documentation is being standardized with other manuals provided to the industry by IATA. The processing application uses the following conventions for displaying additions, changes and deletions:

## Glossary of Symbols to Designate IPM Changes

- Addition of a new item.
- △ Change to an item.
- ⊗ Deletion of an item.

## Section 1 IOSA Program Management

### Purpose

This section of the IOSA Program Manual (IPM) sets out program management standards applicable to IATA for ensuring IOSA meets program goals, and maintains the highest possible level of quality, standardization and consistency.

### 1.1 Organization and Management System

**1.1.1** IATA shall have an organization and management system that supports all operations associated with the IOSA program. Such system shall include:

- (i) an Accountable Executive (in the case of IOSA, the Director, Audit Programs);
- (ii) defined lines of managerial authority and responsibilities;
- (iii) documented policies, processes and procedures;
- (iv) provision of appropriate resources, to include personnel, equipment and facilities, information and other direct and ancillary resources necessary to effectively manage and control the IOSA program (see [Figure 1.1](#)).

*Note: IATA shall appoint individuals with the appropriate level of knowledge and expertise to assume the program operational roles and responsibilities.*

**1.1.2** IATA shall establish and maintain a quality management system that ensures the identification and implementation of processes necessary to support and complement the needs and objectives of the IOSA program. Processes shall be documented, structured and implemented in a manner consistent with accepted quality management principles.

**1.1.3** IATA shall have defined methods for monitoring, measuring and analyzing IOSA management and control processes to ensure they are producing desired outcomes and there is continual improvement of all processes.

**1.1.4** IATA shall have a process for a review of the IOSA quality management system to ensure continuing suitability and effectiveness. The review shall be scheduled and conducted a minimum of once during each calendar year, and shall be designed to identify opportunities for improvement and areas within the management system in need of change.

**1.1.5** IATA shall permit a review of the IOSA management system by designated representatives from qualified interested entities. Such review shall be accommodated only after verification that the requesting entity has demonstrated an appropriate need, or requirement, to conduct such a review.

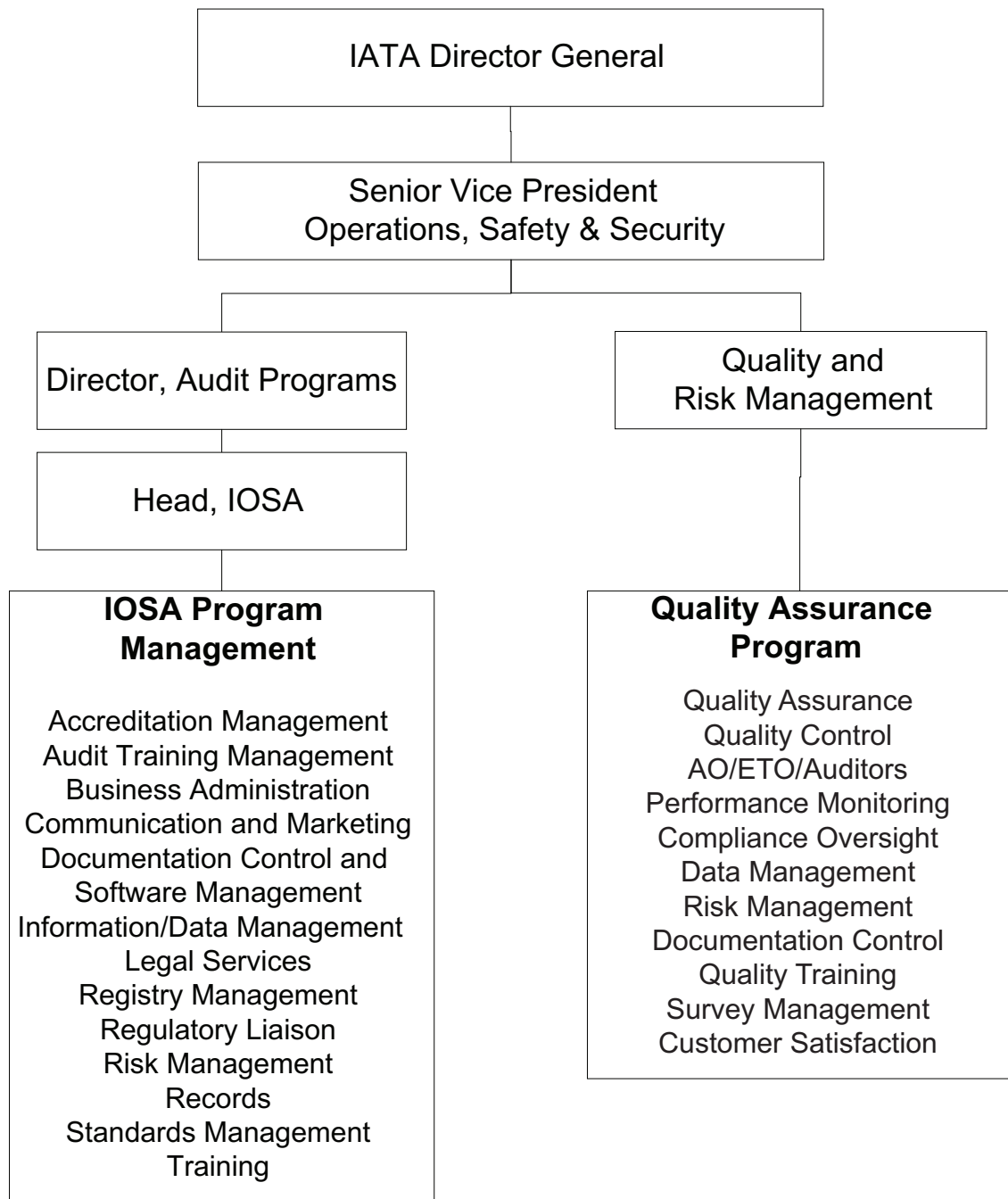
**1.1.6** IATA shall have an Audit Programs Manual that, as a minimum describes:

- (i) the scope of the management system;
- (ii) IOSA quality policy and objectives;
- (iii) references for system processes and procedures;
- (iv) the interaction among processes in the management system.

**1.1.7** The IATA Senior Vice-President (SVP) OSS reserves the right to allow exemption(s), taking into account all circumstances, and is responsible for authorizing any such exemption(s). IATA shall log all exemptions granted by the SVP OSS in accordance with this provision.

**1.1.8** Personal Data shall only be used, stored and processed in accordance with applicable data protection laws, including the European Union General Data Protection Regulation EC 2016/679 if applicable. IATA shall process all personal information in accordance with applicable data protection laws, and IATA's "Audit Programs' Privacy Policy".

**Figure 1.1 IOSA Program Management System (Functional Overview)**



## 1.2 Quality Assurance

**1.2.1** IATA shall have a quality assurance (QA) program that operates independently from the IOSA program management system that:

- (i) monitors, assesses and measures, as applicable, performance in all areas of the IOSA program;
- (ii) is designed to fulfil the IATA commitment to continual improvement throughout the IOSA program.

**1.2.2** The IATA QA Program shall include oversight processes (see [Figure 1.2](#)) that determine the level of conformity in all areas of published IOSA Program requirements. The IATA QA Program processes shall define requirements for:

- (i) the planning, implementation and follow up of the QA activities;
- (ii) the identification of the non conformities;
- (iii) the communication of the result or information collected from the oversight activities;
- (iv) the follow up of the potential corrective actions;
- (v) the monitoring of effectiveness of corrective actions.

**1.2.3** IATA shall have processes for elimination of the causes of nonconformities identified by the QA program and related to the IOSA management system. Processes shall define requirements for:

- (i) reviewing nonconformities;
- (ii) determining the root cause(s) of nonconformities;
- (iii) identifying and following up corrective action as necessary;



**1.2.4** The IATA QA Program shall include oversight of each Audit Organization (AO) to ensure ongoing conformity with IPM requirements and any other applicable procedures. Such oversight shall include headquarters audits and/or on-site audit evaluations conducted either onsite at the AO HQ/operator's facility or remotely, on a periodic basis, with a focus on conformity and standardization in the following areas:

- (i) management structure and internal processes;
- (ii) implementation of the IPM provisions related to the conduct of an IOSA Audit;
- (iii) implementation of the internal quality assurance program;
- (iv) management of documentation and data;
- (v) qualifications and currency of Auditors;
- (vi) maintenance of Auditor records;
- (vii) production and quality control of the IOSA Audit Report (IAR).



**1.2.5** The IATA QA Program shall include oversight of each Endorsed Training Organization (ETO) to ensure ongoing conformity with IPM requirements. Such oversight shall include headquarters audits and training evaluations conducted either onsite at the ETO HQ, at the training facility or remotely, on a periodic basis, with a focus on conformity and standardization in the following areas:

- (i) delivery of the IOSA Auditor Training (IAT) course;
- (ii) management of documentation and data;
- (iii) qualifications and currency of IAT Instructors;
- (iv) maintenance of instructor records;
- (v) conveyance of IAT documents;
- (vi) implementation of internal quality assurance program.

**1.2.6** IATA shall appoint an appropriately qualified individual to have overall responsibility for implementation of the IOSA QA program, and report directly to the IATA Senior Vice President, Operations, Safety & Security (OSS).

**1.2.7** The SVP, OSS shall delegate authority and assign specific responsibilities to the individual specified in [IPM 1.2.6](#). Such responsibilities shall include, as a minimum:

- (i) ensuring applicable quality management processes are developed, implemented and maintained;
- (ii) implementing oversight processes, applicable to all areas of the IOSA program;
- (iii) assessing and measuring the performance of the IOSA management system;
- (iv) acquiring and analyzing feedback and other information/data resulting from IOSA;
- (v) recommending corrective or preventive action, as applicable;
- (vi) reporting audit and other oversight results to senior management, including areas in need of improvement;
- (vii) ensuring awareness of customer requirements;
- (viii) coordinating and communicating with external parties on matters relating to quality management and quality assurance systems.
- (ix) ensuring that any significant issues identified from oversight activities are communicated to all relevant stakeholders.

**1.2.8** IATA shall have standards that apply to personnel that perform AO/ETO headquarter audits and/or on-site audit/training evaluations under the IOSA QA program. Such standards shall specify prerequisites that ensure personnel that perform QA audits and evaluations have, prior to conducting such activities:

- (i) been selected by IATA;
- (ii) sound knowledge of the IOSA Program;
- (iii) experience in airline operational auditing;
- (iv) completed the IAT course;
- (v) completed relevant special training conducted by IATA.

**1.2.9** IATA shall ensure that personnel that perform AO/ETO headquarter audits and/or on-site audit/training evaluations under the IOSA QA program complete recurrent training during each calendar year. The recurrent training curriculum shall be designed to provide information that updates and refreshes auditor knowledge with regard to IOSA and IATA program updates. Typical course content shall, as a minimum, include and/or address the content as described in the QA program requirements.



**1.2.10** The IATA QA Program shall include a process for oversight of internal and external providers who provide services and products necessary for the functionality of the audit process. This includes a process to observe audits remotely, in full or in part, for the purpose of continuous improvement of the Audit, overall quality assurance and data gathering.

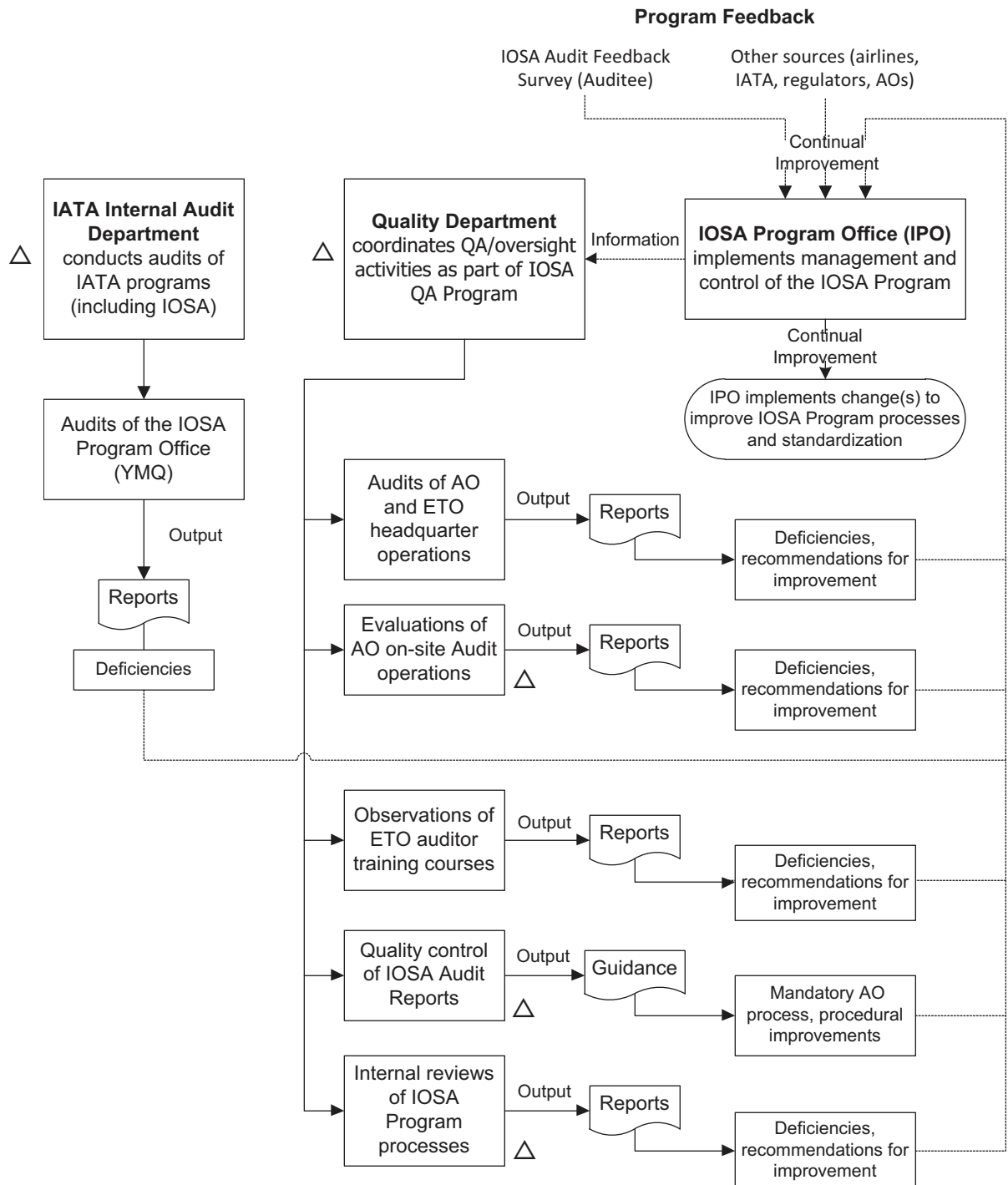
### ***IAR Quality Control***

**1.2.11** IATA shall have an IAR quality control process that is implemented in full or in part at the discretion of IATA. Such process shall provide for a detailed examination of IARs to ensure:

- (i) details of the Audit are accurately described;
- (ii) documents comprising the IAR contain all required information and signatures;
- (iii) checklists are completed and all items are appropriately addressed;
- (iv) information is documented in the English language, and in a manner understandable to any reader of the report;
- (v) checklist items of conformity have documented supporting references from controlled documents;
- (vi) checklist items of nonconformity (Findings and Observations) have documented supporting factual evidence;
- (vii) checklist items of non-applicability (N/As) have a documented explanation;
- (viii) if applicable, the application of Active Implementation (AI) is correctly documented;
- (ix) closure of Findings in each Corrective Action Record (CAR) includes an accurate description and justification of the method(s) used by the AO to verify implementation of corrective action, to include, if applicable, interim corrective action.

**1.2.12** IATA shall have a process to ensure any discrepancies found in an IAR as a result of implementation of the quality control process in accordance with [IPM 1.2.11](#) are conveyed to the AO that conducted the Audit for subsequent resolution, revision and re-issuance, as applicable.

**Figure 1.2 IOSA Quality Assurance Program (Functional Overview)**



## **1.3 Customer Relations**

**1.3.1** IATA shall ensure internal and external customers are identified, and general customer expectations are met on a continuing basis. Periodic surveys (or other effective means for gathering feedback) shall be implemented for the purpose of defining customer expectations and identifying ways to improve overall service.

**1.3.2** IATA shall implement effective verbal and written communication with all customers, to ensure customers:

- (i) are provided with information and data in a manner that is both expected and timely through alerts, bulletins or other means;
- (ii) receive appropriate and timely responses to inquiries and other communications;
- (iii) have avenues for providing feedback, identifying problems and registering complaints.

**1.3.3** IATA shall have appropriate means for communicating bulletins, updates and other relevant information associated with the IOSA program. Methods of communication shall include, but not be limited to:

- (i) website;
- (ii) email;
- (iii) printed media;
- (iv) telephone.



## **1.4 Accreditation Management**

**1.4.1** IATA shall have a process to accredit an AO in accordance with provisions contained in [IPM Section 2](#). The accreditation process shall include due diligence to ensure a candidate for AO:

- (i) is in conformity with the Accreditation Agreement;
- (ii) meets required managerial, financial, insurance and other performance standards;
- (iii) is in conformity with applicable provisions in the IPM;
- (iv) has management personnel and staff with the professional experience and knowledge appropriate for the management of an audit program under IOSA;
- (v) has a sufficient initial group of Auditors that meet IPM prerequisites;
- (vi) has adequate facilities, equipment and other resources in place to function as an AO.

**1.4.2** IATA shall have a process to accredit an Endorsed Training Organization (ETO) in accordance with provisions in [IPM Section 5](#). The IATA accreditation process shall include due diligence to ensure a candidate for ETO:

- (i) is in conformity with the ETO Agreement;
- (ii) meets required managerial, financial and other performance standards;
- (iii) is in conformity with applicable provisions in the IPM;

- (iv) has sufficient instructors with appropriate expertise for delivery of the IAT course;
- (v) has adequate facilities, equipment and other resources to function as an ETO.

**1.4.3** IATA shall ensure the accreditation processes as specified in [IPM 1.4.1](#) and [1.4.2](#) are conducted by personnel with appropriate expertise and qualifications in the areas of:

- (i) airline operations;
- (ii) quality audit;
- (iii) Quality management;
- (iv) business and finance; and/or
- (v) applicable law (legal).

**1.4.4** IATA shall have processes for ongoing administration of AO and ETO accreditation, which include:

- (i) accreditation renewal in accordance with [IPM 2.13.1](#) and [5.21](#);
- (ii) accreditation review in accordance with [IPM 2.1.6](#) and [5.1.6](#);
- (iii) accreditation termination in accordance with [IPM 2.14.1](#) and [5.22](#).

**1.4.5** IATA shall provide guidance to AOs, ETOs and other relevant entities regarding management of the IATA brand. The guidance shall be in accordance with [IPM 7.10](#) and include, but not be limited to:

- (i) the use of the IATA logo;
- (ii) the issuance of communication statements and/or marketing material.

*Note: An AO is authorized to use the IOSA logo on their official company website(s).*

## 1.5 Audit Administration

### **AO Selection**

**1.5.1** IATA shall ensure, effective for Audits conducted on or after 01 December 2015, operators are restricted from consecutively using the same AO for more than one (1) IOSA Audit. After each IOSA Audit, the operator shall use a different AO to conduct the subsequent Audit.

### **Audit Invalidation**

**1.5.2** IATA shall determine and declare an Audit invalid under justifiable circumstances. Circumstances that could lead to Audit invalidation include, but are not limited to:

- (i) an Audit that was not conducted in accordance with standards in this IPM;
- (ii) an Audit that was conducted with a non-approved auditor;
- (iii) a conflict of interest existed in association with the conduct of an Audit;
- (iv) revocation of the AOC of the Operator;
- (v) a merger, takeover, or consolidation involving the Operator;
- (vi) the validity of an open Audit has expired, as specified in [IPM 7.2.1](#).

***Audit Funnel***

**1.5.3** IATA shall provide each AO with an Audit Funnel template, which shall be used by the AO to provide a weekly Audit status report to IATA in accordance with [IPM 2.12.8](#).

***Audits of Affiliated Operators***

**1.5.4** IATA shall conduct an advanced review of Audits of affiliated Operators that are being planned by an AO, in accordance with [IPM 8.2.6](#). Such review shall ensure:

- (i) a written planning notification is received from the AO prior to the submission of an executed Audit Agreement in accordance with [IPM 2.12.1](#), utilizing the IATA form for the Audit of affiliated Operators;
- (ii) such Audits are permitted only if the Operator that provides the majority of the shared operational functions for the affiliated Operators is an IOSA Operator being audited for registration renewal;
- (iii) a response to the planning notification specified in i), including applicable direction from IATA, is provided to the AO a minimum of two (2) weeks prior to the planned start of the first Audit;
- (iv) IATA reserves the right to request the AO to provide additional auditing when either:
  - (a) the planning notification has not been submitted within the time period specified in i);
  - (b) post-audit analysis of the audit report(s) indicate insufficient resources were used for the Audit of one or more of the affiliated Operators.

***Merger of Air Operators***

**1.5.5** IATA shall assess all information provided by the Operators, as specified in [IPM 6.8](#) to address the merger of air operators when such merger includes one or more IOSA Operators. Such assessment shall provide for:

- (i) a determination of the new or revised audit dates for the primary and/or parent Operator, as well as any additional requirements or conditions after the merge and/or takeover;
- (ii) agreement between the Operator(s) and IATA on the changes and/or deletions on the IOSA Registry;
- (iii) Monitoring of the merger, to confirm the issue of revised or new AOC(s) and/or Operations Specifications as planned.

***Collection of Administration Fees***

**1.5.6** IATA shall have a process for collecting the Audit Administration Fee for Non-Member Audit Agreements from the AOs.

***Focus Areas***

**1.5.7** IATA may, at its discretion, identify Focus Areas for an individual operator, multiple operators or all operators. Focus Areas shall be communicated to the AOs through Alerts or direct communication to the AO for audit specific Focus Areas. Focus Areas shall be:

- (i) defined based on objective information and data;
- (ii) selected based on specific policies and criteria;
- (iii) limited to the scope of the ISM;

- (iv) accompanied by instructions for IOSA Auditors;
- (v) communicated to the AOs at least 7 days prior to any applicable Audit; and
- (vi) of temporary nature.

## 1.6 Auditor Approval and Administration

**1.6.1** IATA shall have a process, as part of the initial AO accreditation process, for conducting personal interviews of selected individuals from the list of proposed initial IOSA Auditors that is made available by a candidate for accreditation as an AO in accordance with [IPM 2.2.3](#). The selection and number of proposed auditors interviewed shall be at the sole discretion of IATA.

**1.6.2** IATA shall assess exemption requests (for highly experienced auditors) in accordance with [IPM 3.3.7](#), to include:

- (i) analysis of a candidate auditor's background and experience;
- (ii) approval (or denial) of an exemption request when a candidate auditor meets (or does not meet) stated criteria.

### ***Auditor Qualification Record (AQR) and Master List of Approved IOSA Auditors***

**1.6.3** IATA shall have a process to review and provide approval or non-approval of an Auditor Qualification Record (AQR) when submitted by an AO in accordance with applicable provisions in [IPM Section 3](#). In order to provide IATA approval, such review process shall ensure the AQR reflects that:

- (i) if applicable, the subject Auditor has satisfied all qualification prerequisites as identified in the Auditor Prerequisite Record (APR);
- (ii) if applicable, the subject Auditor has completed the appropriate qualification process in accordance with IPM standards;
- (iii) if applicable, the subject Auditor satisfies all qualification currency requirements in accordance with IPM standards;
- (iv) the AO has confirmed the accuracy of all information contained in the AQR through completion of the AO Acceptance Statement.

**1.6.4** IATA shall ensure the review specified in [IPM 1.6.3](#) includes, as applicable:

- (i) if submitted with the AQR, a Curriculum Vitae (CV) of the subject Auditor;
- (ii) a cross-check of the Auditor Currency Database to verify that all qualification currency requirements are satisfied by the subject Auditor.

**1.6.5** Approval of an AQR by IATA in accordance with [IPM 1.6.3](#) shall result in the following:

- (i) the AO will update its list of approved IOSA Auditors with the change in Auditor qualification(s) reflected in the AQR;
- (ii) IATA will update the Master List of Approved IOSA Auditors with the change in Auditor qualification(s) reflected in the AQR.

**1.6.6** IATA reserves the right to order the nullification and re-audit of the operational discipline(s) that have been audited by an Auditor whose qualifications have not been reviewed and approved by IATA in accordance with [IPM 1.6.3](#).

**1.6.7** IATA shall have a process for maintaining the IATA Master List of Approved IOSA Auditors in order to ensure the availability of an up-to-date qualification status of each Auditor in the IOSA system. Such process shall incorporate use of the AQR in accordance with [IPM 1.6.3](#) and [1.6.4](#), and ensure the Master List is always updated in a timely manner to reflect IATA approval of changes to the list of approved IOSA Auditors for an AO as specified in [IPM 2.11.2](#).

*Note: IATA reserves the right to request and receive contact information of IOSA Auditors with the purpose of contacting them directly in regards to matters related to the IOSA Program. AOs will be included in relevant correspondence with the IOSA Auditors.*

### **Auditor Qualifications Currency**

**1.6.8** IATA shall, in accordance with [2.12.9](#) have a process for maintaining a record of the status of the currency of Auditor qualifications as specified in provisions contained in [3.15](#), [3.16](#) and [3.17](#), applicable to each Auditor on the IATA Master List of Approved IOSA Auditors.

### **Auditor Currency Database**

**1.6.9** IATA shall have a process to provide each AO with the Auditor Currency Database (specific to the AO) once during each calendar year.

## **1.7 Standards Management**

**1.7.1** IATA shall have a process for the effective management of all standards contained in the IOSA Standards Manual (ISM) to ensure IOSA is responsive to and meets the needs of IATA members and the airline industry. Standards management processes shall ensure changes to IOSA standards:

- (i) are developed to maintain an up-to-date status, in accordance with:
  - (a) the IOSA Standards Change Management Process (refer to [Figure 1.3](#));
  - (b) applicable IATA governance rules;
  - (c) applicable internal procedures for the revision of the IOSA Standards Manual, and;
  - (d) [IPM 1.7](#).
- (ii) undergo review(s) by the IOSA Oversight Council (IOC), with feedback incorporated, as appropriate;
- (iii) receive a recommendation from the IOSA Standards Board (ISB);
- (iv) are published in a timely manner after final approval by the SVP is granted.

*Note: A new Edition of the ISM is normally published each year in the month of December and becomes effective for all Audits conducted on or after September 1 of the following year.*

**1.7.2** In accordance with [IPM 1.7.1](#), IATA shall ensure:

- (i) During a regular revision cycle, where a change to the ISM is required:
  - (a) a new Edition of the manual will be published and account for any applicable Temporary Revisions (TRs) issued since the previous Edition;
  - (b) the cover of the ISM will indicate the Edition number and the effectivity date, the page footer will indicate the Edition number and the effectivity date;
  - (c) a new Edition of the ISM becomes effective no earlier than the first day of the fifth month following the month of publication.

- (ii) When a rapid change to the ISM is required, a Temporary Revision (TR) will be issued and will indicate:
  - (a) a unique reference number linking it to the appropriate Edition;
  - (b) an ISM reference number associated to the content requiring change;
  - (c) a date of issue and effectivity.

### **1.7.3** Intentionally Left Open.

**1.7.4** IATA shall ensure technical specifications contained in the ISARPs are primarily derived from ICAO Annexes and IATA publications. Other accepted industry reference sources may include EASA, FAA and other relevant regulations as well as standards. IATA shall ensure technical specifications contained in the ISARPs that are derived from both EASA and FAA regulations are structured to reflect the less stringent requirement found in the two regulations.

**1.7.5** Applicable ISO standards should serve as a guiding principle for the development of the IOSA specifications.

**1.7.6** IATA should ensure the creation of any new IOSA standards (including the upgrade of existing recommended practices), when such new standards contain specifications that are not derived from the ICAO Annexes, are supported by a formal safety risk assessment (SRA).

**1.7.7** IATA shall ensure technical specifications contained in the ISARPs are, upon request from an appropriate industry source, subjected to a special review in accordance with the IOSA Standards Special Review Process. (refer to [Figure 1.4](#)).

### **1.7.8** Intentionally Left Open.

**1.7.9** IATA shall have a process for the management of activities and membership of the IOSA Standards Technical Groups in accordance with IATA Governance Rules.

**1.7.10** Membership of the IOSA Standards Board as specified in [1.7.1](#) (iii) shall consist of the IATA Director, Audit Programs, the IOC Chairperson and IOC Vice-Chairperson.

**1.7.11** IATA shall have processes for coordinating output from the IOSA Standards Board (ISB) as part of the IOSA Standards Change Management Process.

## **1.8 Information and Data Management**

**1.8.1** IATA shall utilize an audit software, for the purpose of audit recording and report production for the IOSA Audits. IATA shall be responsible for:

- (i) continuing development of the electronic system;
- (ii) updating form templates housed within the system;
- (iii) revising documents and checklists within the system;
- (iv) training and registering AOs and Auditors in the use of the system.

**1.8.2** IATA shall manage the IOSA Database, including rules and procedures that ensure the security, confidentiality and data integrity of IAR information contained within the system.

## **1.9 Registration Management and Options**

**1.9.1** IATA shall have a process for the management of the IOSA Registry in accordance with applicable provisions in [IPM 7](#), which shall address, as a minimum, registration:

- (i) allocation;
- (ii) initiation;
- (iii) renewal;
- (iv) reinstatement;
- (v) suspension;
- (vi) annotations;
- (vii) removal.

**1.9.2** IATA shall have a process to allocate Audits in accordance with [IPM 7.11](#).

**1.9.3** IATA shall evaluate and determine the validity of a claim of extenuating circumstances submitted in accordance with [IPM 7.5.6](#), to ensure:

- (i) The applicable Operator and AO are consulted when making a final decision as to the validity of a claim of extenuating circumstances;
- (ii) A claim of extenuating circumstances is only granted by the SVP OSS.

**1.9.4** IATA shall review, and approve or reject a request for:

- (i) operational exclusions in accordance with [IPM 7.1.5](#) and [IPM 7.1.6](#);
- (ii) aircraft and/or fleet exemptions in accordance with [IPM 7.1.9](#) and [IPM 7.1.10](#).

**1.9.5** IATA shall review and approve or reject a request for the usage of interim corrective action in the acceptance of a Corrective Action Plan (CAP) in accordance with [IPM 7.5.12](#) and [8.10.3](#).

**1.9.6** IATA shall make an annotation on the IOSA Registry and/or to notify Interested Parties, as applicable, in accordance with [IPM 7.7.7](#).

## **1.10 Documentation Management**

**1.10.1** IATA shall have processes for the management and control of documents that comprise the IOSA Documentation System as specified in the Introduction to this manual. Such processes shall ensure IOSA documents are easily identifiable with legible content, and there are defined controls and/or protocols for:

- (i) approval prior to issue;
- (ii) review and revision;
- (iii) archiving of previous versions;
- (iv) identification of change and revision status of current editions;
- (v) user notification for issuance of temporary revisions and new editions;
- (vi) ready availability of current editions for applicable users;

- (vii) identification and distribution control for documents of external origin;
- (viii) identification of documents that are obsolete.

## ***Legal Documents***

**1.10.2** IATA shall use appropriate legal resources and expertise to ensure contractual documents associated with IOSA are reviewed and maintained as necessary for fulfilment of IOSA program needs. Such contractual documents include, but are not limited to:

- (i) the IOSA Audit Agreement;
- (ii) the IOSA Accreditation Agreement;
- (iii) the ETO Accreditation Agreement, and;
- (iv) various non-disclosure agreements.

**1.10.3** IATA shall produce and distribute the Audit Agreement template as well as other required legal documents associated with the IOSA program to appropriate parties on a timely basis. Additionally, IATA shall communicate changes to the Audit Agreement to appropriate parties a minimum of fifteen (15) calendar days prior to such changes becoming effective.

## ***IAR***

**1.10.4** IATA shall have a process for receipt and acceptance of the final IAR from an AO, upon completion of the IAR's QC cycle. Such process shall ensure:

- (i) the AO receives confirmation of receipt of the final IAR by IATA;
- (ii) the IAR is entered into the IOSA Database, replacing the previous report;
- (iii) minimum the previous two (2) reports are retained, as applicable;
- (iv) the IOSA Registry is updated accordingly.

**1.10.5** IATA shall have a process to address requests for access to an IAR in accordance with provisions contained in [IPM 9.9](#).

## **1.11 Records Management**

**1.11.1** IATA shall have a process for management and control of records associated with the IOSA program, which ensures records are legible, easily identifiable, and retrievable. The process shall define the following controls:

- (i) Identification;
- (ii) Storage;
- (iii) Protection;
- (iv) Security;
- (v) Backup (electronic records only);
- (vi) Retrieval;
- (vii) Retention time;
- (viii) As applicable, disposal, deletion or archiving.

## 1.12 Training Management

### ***IOSA Auditor Training (IAT)***

**1.12.1** IATA shall approve all IAT Instructors based on an evaluation of performance. IATA shall evaluate the performance of IAT Instructors:

- (i) As the final step in the qualification process as the basis for initial approval;
- (ii) Once every two years as described in [IPM 5.13.3](#);
- (iii) At any time, at the discretion of IATA, as part of the IATA commitment for continual improvement of the IOSA program.

**1.12.2** IATA shall have a process for the revision of the IAT course in coordination with ETOs, to ensure training objectives are met and course content and delivery is consistent with provisions contained in IOSA documentation.

**1.12.3** IATA shall prepare and forward IAT course certificates, as appropriate, directly to the ETO (for subsequent issuance to trainees) following the completion of each IAT course. IAT course certificates will only be issued once proof of payment for that candidate has been provided to IATA, in accordance with [IPM 5.18.3](#).

**1.12.4** Intentionally Left Open.

**1.12.5** Intentionally Left Open.

**1.12.6** Intentionally Left Open.

### ***AO Quality Control Manager Training***

**1.12.7** IATA shall have a process to ensure individuals appointed as the Quality Control Manager, responsible for the IAR quality control process within each AO, are provided with training appropriate for the position, as specified in [IPM 2.6.4](#).

### ***IOSA Standards Familiarization***

**1.12.8** IATA shall schedule and deliver, when deemed necessary, an IOSA Standards Familiarization session as a means to inform IOSA Auditors of changes and/or interpretation of specifications contained in the IOSA Standards and Recommended Practices (ISARPs).

## 1.13 Communication and Marketing

**1.13.1** IATA shall have a process for the issuance of AO Alerts, which serve as the formal means for notifying AOs of urgent IOSA program issues that require immediate reference and/or action by the AO. The information in an AO Alert shall remain valid until superseded or cancelled by IATA.

**1.13.2** IATA shall have a process for the issuance of AO Bulletins, which serve as the formal means for communicating information to AOs about IOSA program issues that require attention by the AO. The information in an AO Bulletin shall remain valid until cancelled by IATA.

**1.13.3** IATA shall have a process for maintaining applicable password-restricted IOSA web pages for the purpose of posting information, documents, references, and other material relevant to the IOSA program. A restricted website shall be made available for use by designated individuals from each AO, ETO and members of the IOC.

**1.13.4** IATA shall respond to an AO and/or IOSA Operator that seeks written authority for the issuance of any communication releases or marketing material in accordance with [IPM 7.10.1](#).

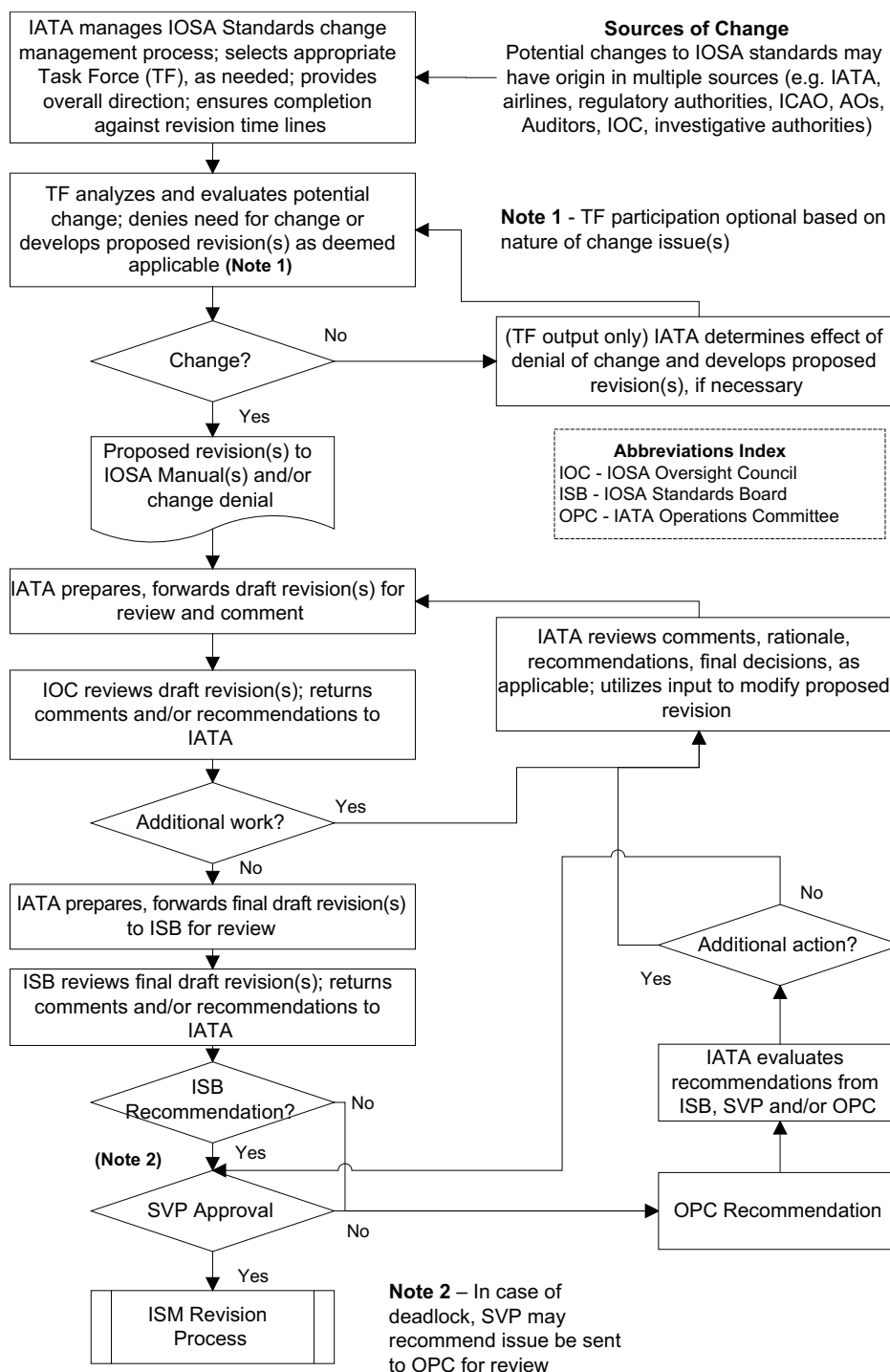
**1.13.5** IATA shall provide official responses to media inquiries and/or requests pertaining to a major accident involving an IOSA Operator.

### **1.14 IOC Administration**

**1.14.1** IATA shall ensure administration of the IOSA Oversight Council (IOC), to include:

- (i) coordinating and communicating with the IOC membership;
- (ii) scheduling and arranging IOC meetings;
- (iii) producing reports, meeting minutes and other documents associated with IOC activities.

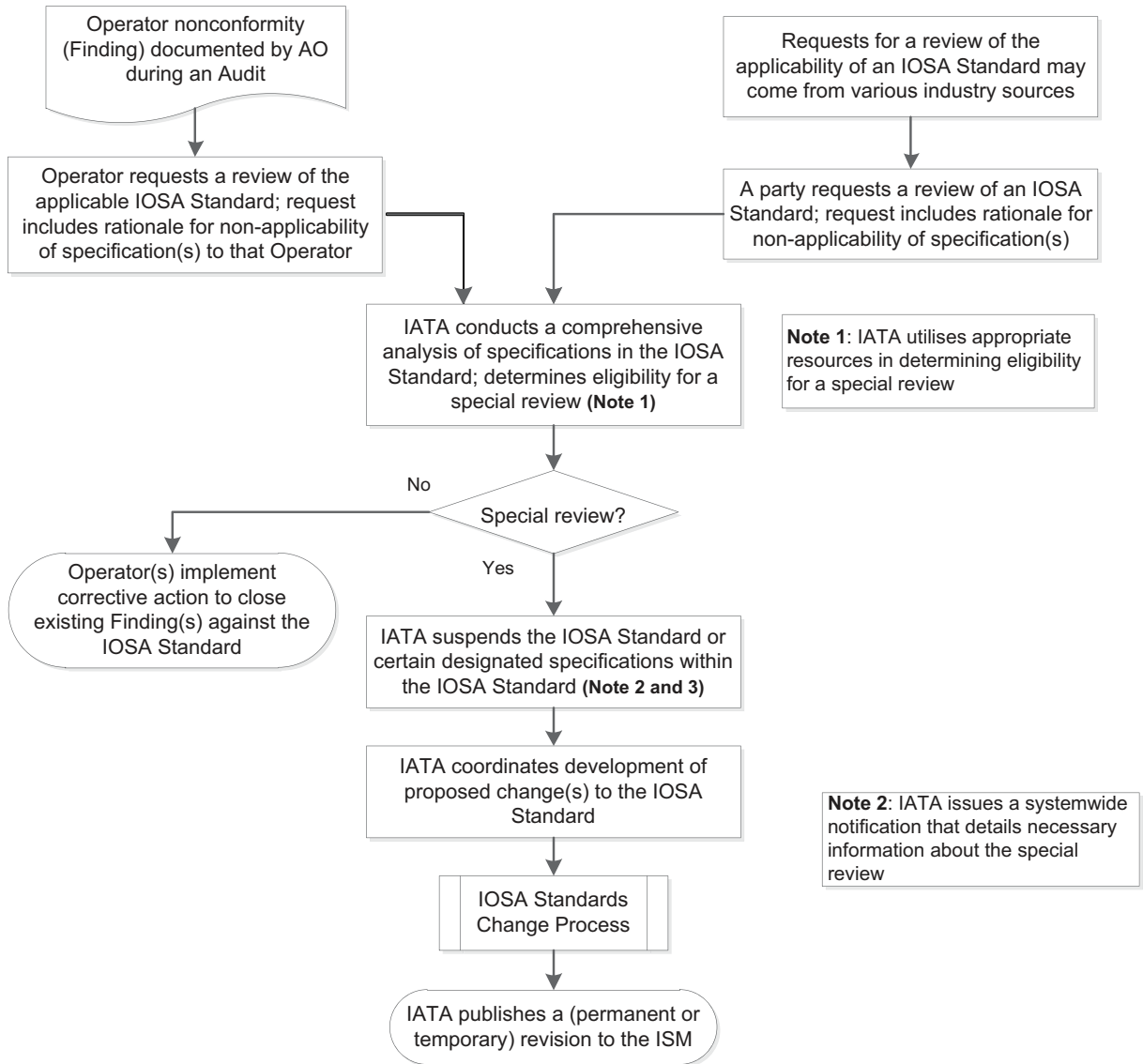
**Figure 1.3 IOSA Standards Change Management Process Flow**



**Note 3** – New IOSA standards (including the upgrade of existing recommended practices), when such new standards contain specifications that are not derived from the ICAO Annexes, should be supported by a formal safety risk assessment (SRA) in accordance with IPM 1.7.6.

**Note 4** – The above process flow also applies to Temporary Revisions to the ISM in accordance with IPM 1.7.2.

**Figure 1.4 IOSA Standards Special Review Process Flow**



**Note 3**

Refer to IPM 8.12.5 for the treatment of an open Finding against a Standard or specification that has been suspended.

## 1.15 Accreditation Management

**1.15.1** If required, in the event, of the termination of accreditation as per [IPM 2.14](#) and/or [IPM 2.15](#), IATA shall re-allocate the pending and incomplete Audit tasks to other AOs for Audit completion.

## Section 2 AO Accreditation

### Purpose

Accreditation of an Audit Organization (AO) is the process used by IATA to regulate and control the conduct of Audits and to ensure the necessary level of IATA Operational Safety Audit (IOSA) program quality and standardization. This section of the IOSA Program Manual (IPM) sets out standards that specify the conditions of the accreditation process and the requirements for an AO to achieve and maintain accreditation.

### 2.1 Accreditation General

**2.1.1** A candidate for accreditation as an AO shall be in conformity with applicable provisions in this IPM in order to become accredited. A description of the accreditation process flow is depicted in [Figure 2.1](#).

**2.1.2** Formal and final approval of AO accreditation shall be made by IATA.

**2.1.3** The culmination of the accreditation process shall result in the following:

- (i) execution of an IOSA Accreditation Agreement made between the candidate for accreditation and IATA;
- (ii) payment of an accreditation fee by the candidate to IATA;
- (iii) accreditation of the candidate as an AO.

**2.1.4** Once accredited, an AO shall fulfil those representations and warranties as set out in the IOSA Accreditation Agreement (hereinafter known as “the Agreement”).

**2.1.5** An AO shall be subject to ongoing quality assurance review and on-site or remote monitoring activities by IATA during a term of accreditation. Such activities shall include, but not be limited to:

- (i) audits of its headquarters operations;
- (ii) evaluations of its on-site Audit process;
- (iii) quality reviews of its IOSA Audit Reports (IAR);
- (iv) application of monitoring programs.

**2.1.6** An AO accreditation review, with the potential for accreditation termination in accordance with [IPM 2.14.1](#), shall be conducted annually, or at any time should an AO, without limitation, either:

- (i) experience financial difficulties, significant management turnover, or transfer of company ownership; or
- (ii) be the subject of sustained industry reports of unprofessional practices or performance deficiencies; or
- (iii) fail to comply with any applicable laws in any jurisdictions in which the AO conducts business; or
- (iv) breach the Agreement; or
- (v) fail to pay accreditation or other related fees; or

- (vi) fail to meet an acceptable level of Audit production; or
- (vii) fail to meet an acceptable level of Audit quality, to include IAR production; or
- (viii) demonstrate, as determined by IATA, a significant decline in quality assurance, quality control processes, and/or IOSA Auditor Performance; or
- (ix) fail to demonstrate continued conformity with applicable provisions in this IPM; or
- (x) experience other circumstances or conditions, or engage in practices determined by IATA to be potentially detrimental to the integrity or quality of the IOSA program.

**2.1.7** Notwithstanding [IPM 2.1.8](#), the Agreement made between IATA and an AO may be terminated and the accreditation status of the relevant AO thereby revoked either:

- (i) under certain circumstances as set out in the Agreement, or
- (ii) on the basis of a decision made by the IATA Senior Vice President of Operations, Safety & Security (SVP OSS).

**2.1.8** The provisions of this IPM are, together with the provisions of the IOSA Standards Manual (ISM) and guidance from the IOSA Audit Handbook (IAH), and unless otherwise provided, incorporated by reference in the Agreement and, in the event of any inconsistency between the terms of this IPM and the Agreement, the Agreement shall prevail to the extent of the inconsistency.

## 2.2 Accreditation Requirements

**2.2.1** At the discretion of IATA, a candidate for accreditation as an AO shall submit the IOSA Accreditation Application Form to IATA, accompanied by a non-refundable application fee.

**2.2.2** A candidate for accreditation as an AO shall provide to IATA, without limitation:

- (i) a certificate of incorporation, or similar documentation, that evidences its status as a legal entity in good standing;
- (ii) other relevant incorporation documents, in addition to those specified in i), if any;
- (iii) documents evidencing company shareholders, ownership, and governance structure(s);
- (iv) annual reports, if any, for the preceding three (3) years;
- (v) audited financial statements and accounts for the preceding three (3) years or, should audited financial statements not be available, a bank guarantee for a value instructed by IATA;
- (vi) corporate organization chart, including a list of employees, reporting structure, and roles and responsibilities of personnel;
- (vii) documents related to any actual, or potential, legal proceedings;
- (viii) statement of corporate values and mission statement, if any;
- (ix) a copy of certificates of its insurance evidencing all current policies of insurance and its ability to meet the insurance and indemnity requirements as set out in the Agreement;
- (x) evidence (e.g. a curriculum vitae [CV]) that management personnel and staff have the professional experience and knowledge appropriate for the management of an audit program under IOSA;

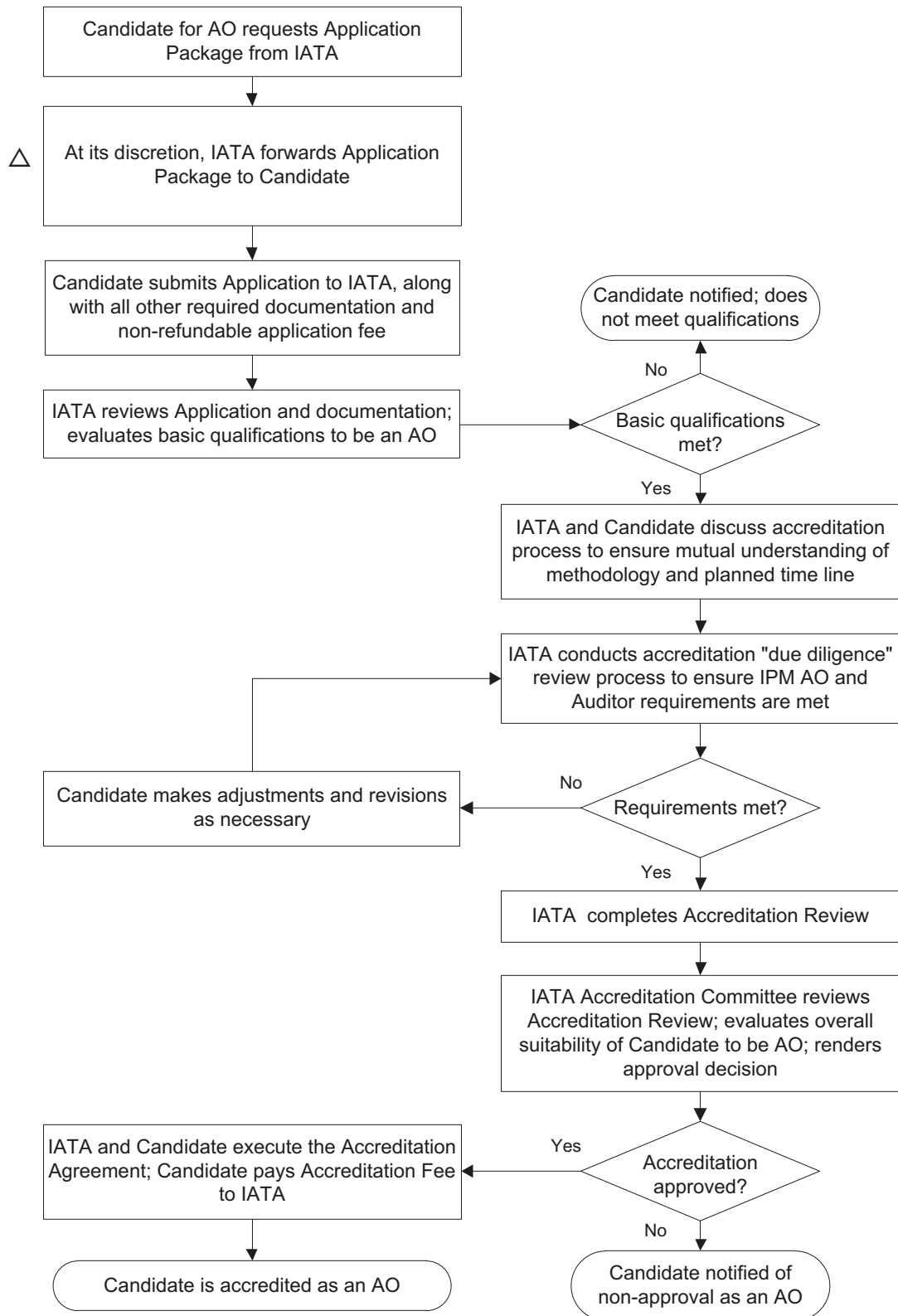


- (xi) a list of business references, including audit clients and/or customers;
- (xii) other information and documentation as set out in the Agreement and this IPM, or as requested by the SVP OSS.

**2.2.3** A candidate for accreditation as an AO shall:

- (i) make available for review and evaluation by IATA its facilities, personnel, equipment and any other resources that would be associated with the administration or implementation of IOSA;
- (ii) provide for review and approval by IATA all administrative and operational documentation pertaining to IOSA, to include manuals, handbooks, checklists, curricula, syllabi and/or any other documents that contain or make reference to relevant programs, systems, policies, processes and procedures;
- (iii) provide for review by IATA a completed curriculum vitae (CV) for each individual included in the proposed initial group of IOSA Auditors;
- (iv) if requested by IATA for the purpose of a personal interview in accordance with [IPM 1.6.1](#), make available each proposed initial IOSA Auditor selected for interview at a mutually agreeable time and location.

**Figure 2.1 AO Accreditation Process Flow**



## **2.3 Evaluation and Monitoring**

**2.3.1** As part of the IATA quality assurance program, an AO shall agree:

- (i) with appropriate coordination, to periodic on-site evaluations by IATA of Audits being conducted;
- (ii) to periodic review by IATA of all documentation and records associated with the conduct of Audits under IOSA;
- (iii) with prior notice, to periodic access by IATA to personnel, facilities, equipment and other areas associated with the organizational administration and conduct of Audits under IOSA;
- (iv) to periodic oversight by IATA of its IOSA Auditor training program, to include review of training records and evaluation of training classes.

**2.3.2** An AO shall have processes for elimination of the causes of nonconformities identified by the IATA QA program and related to the IOSA management system. Processes shall define requirements for:

- (i) reviewing nonconformities;
- (ii) determining the root cause(s) of nonconformities;
- (iii) identifying and following up corrective action as necessary;
- (iv) evaluating the corrective actions for effectiveness.



## **2.4 Conflict of Interest**

**2.4.1** An AO shall not be allowed:

- (i) to conduct an Audit on an Operator for whom the AO, or an entity affiliated with or commissioned by the AO, has provided consulting services within the operational scope of IOSA within the previous two years;
- (ii) to conduct an Audit on an Operator to which consulting services specified in i) have been provided, that consisted of:
  - (a) training, workshops or other consultancy based services that are related to operations within the operational scope of the IOSA program;
  - (b) assistance in conforming to the IOSA Standards and Recommended Practices (ISARPs).
- (iii) to conduct an Audit of the operations of its own organization, or those operations of any Group Company;
- (iv) to conduct an Audit on an Operator if, in the opinion of IATA, that AO has an interest in the outcome of that Audit, the existence of such an interest to be determined by IATA at its sole discretion.
- (v) provide consulting services related to operations within the operational scope of IOSA while being engaged in the Audit closure of the Operator.

*Notes:*

1. *An AO shall disclose to IATA such documents or information as IATA deems necessary in order to make a determination for the conflict of interest.*
2. *The operational scope of IOSA referred to in 2.4.1 i) shall be defined as follows: any content or material relating to the content of ISM or the IAH which is provided as training courses or material, or as content of consultancy services.*
3. *As IAT/IPV are based on specific training content controlled by IATA, an IAT/IPV presented to an airline before an Audit will not be subject to conflict of interest rules.*

**2.4.2** An Auditor on the List of Approved IOSA Auditors for an AO, or an auditor under evaluation for approval as an IOSA Auditor, shall not be allowed to:

- (i) conduct an Audit of an Operator for which such Auditor is either:
  - (a) an employee; or
  - (b) a provider of services; or
  - (c) on the List of Approved IOSA Auditors of an AO affiliated with that Operator;
- (ii) participate in the Audit of an Operator for whom he or she has provided consulting services related to operations within the operational scope of IOSA within the past two years;
- (iii) participate in the Audit of an Operator by whom he or she was employed within the past two years;
- (iv) participate in an Audit if either or both of the following circumstances exist:
  - (a) the Auditor has direct or indirect financial interest in the audited Operator, and/or;
  - (b) the Auditor has family members affiliated with the audited Operator, with such family members defined as parent, sibling, child, spouse, grandparent, or grandchild.
- (v) provide consulting services related to operations within the operational scope of IOSA while being engaged in the Audit closure of the Operator.

*Notes:*

1. *An Auditor shall disclose to IATA such documents or information as IATA deems necessary in order to make a determination for the conflict of interest.*
2. *The operational scope of IOSA referred to in 2.4.2 (ii) shall be defined as follows: any content or material relating to the content of ISM or IAH which is provided as training courses or material, or as content of consultancy services.*
3. *As IAT/IPV are based on specific training content controlled by IATA, an Auditor that has presented IAT/IPV to an airline before an audit will not be subject to the above conflict of interest rules.*

**2.4.3** An AO shall, as soon as reasonably practicable, assess whether there is, or might appear to be, a conflict of interest for any reason arising from a proposed or ongoing Audit under IOSA and, if applicable, then proactively disclose, in writing, such actual or potential conflict to IATA for determination and confirmation. Any information disclosed will be held by IATA in the strictest confidence. An AO shall not be allowed to conduct the proposed Audit unless and until a confirmation has been issued by IATA.

**2.4.4** In circumstances where an AO fails to assess whether there is, or might be, an actual or potential conflict of interest and to proactively disclose such conflict to IATA for determination, IATA reserves the right to issue a determination if, in the view of IATA, there is sufficient information, including, without limitation, publicly available information or industry knowledge, for it to issue such a determination. IATA shall inform the AO as soon as reasonably practicable of its decision to issue a determination; the AO shall not be allowed to conduct the proposed Audit unless and until a determination has been issued by IATA.

**2.4.5** Without prejudice to any right or remedy that may arise or accrue from the Agreement or the Audit Agreement, an Audit that has been conducted prior to a determination by IATA pursuant to [IPM 2.4.3](#) and [IPM 2.4.4](#) shall be null and void, and IATA reserves the right to refuse to register an Operator on the IOSA Registry.

**2.4.6** Failure of an AO to comply with the provisions of this [IPM 2.4](#) shall be regarded as a material breach of the Agreement.

## 2.5 General Requirements

**2.5.1** An AO shall ensure:

- (i) as a minimum, one principal manager, as designated by the AO, attends all biannual AO meetings arranged by IATA;
- (ii) as a minimum, one principal representative, as designated by the AO, attends one AO/IOC meeting in each calendar year;
- (iii) as a minimum, one principal manager, as designated by the AO, participates in AO conference calls, which are arranged by IATA;
- (iv) in the event of a major accident involving an IOSA Operator, media inquiries and/or requests pertaining to that accident are referred to IATA;
- (v) compliance with and/or implementation of appropriate action in response to AO Alerts and AO Bulletins issued by IATA.

**2.5.2** AOs shall receive written authority from IATA prior to the issuance of any verbal statements or written material designed to promote IOSA registration for the purpose of commercial or competitive gain. This includes the usage of the IOSA word and logo on the AO's promotional company documents or any other type of promotional material or medium.

*Note: When used, the word and logo shall not be portrayed in such a way suggesting that IATA favors a specific product or service of an AO.*

## 2.6 Organization and Management

**2.6.1** An AO shall have an organization and management system that supports all operations associated with the IOSA program. Such system shall include:

- (i) an Accountable Executive;
- (ii) defined lines of managerial authority and responsibilities;
- (iii) documented policies, processes and procedures;
- (iv) provision of appropriate resources, to include personnel, equipment and facilities.

**2.6.2** An AO shall have one or more designated individuals within its organization that are assigned individual responsibility for:

- (i) the quality assurance program;
- (ii) continual improvement of all aspects of the IOSA program;
- (iii) administration of the IAR quality control process.

**2.6.3** An AO shall maintain a current listing of the key individuals within its organization that are associated with the Audit program to include, for each individual listed, a general description of individual areas of responsibility and contact information. An updated and current listing shall be provided to IATA within thirty (30) calendar days following any revision to information contained therein.

### ***QC Manager - Prerequisites, Responsibilities, Training, Evaluation***

**2.6.4** As part of the development of the IOSA Quality Assurance program, IATA requires a robust Quality Control process to be in place in each Audit Organization, with the IATA Quality Department acting in a surveillance and review role. A key component of this process will be the required nomination and appointment of a responsible QC Manager as per [IPM 2.6.2](#), to be trained as per [IPM 2.6.9](#).

**2.6.5** The appointed QC Manager shall ensure the AO's QC process functions effectively and delivers audit reports of acceptable quality to IATA and the aviation industry, as specified in [IPM 9.2.1](#).

**2.6.6** The prerequisites for the position of QC Manager shall include:

- (i) a broad background and good working knowledge of airline operations in at least two of the IOSA operational disciplines;
- (ii) airline Quality and/or Safety experience and knowledge of aviation-related auditing techniques;
- (iii) thorough knowledge of IOSA standards, program requirements and their applicability;
- (iv) a clear understanding of the accurate and detailed evidence reporting required of high-level audit report production;
- (v) the ability to consistently produce reports that meet IOSA quality requirements;
- (vi) the ability to analyze and provide effective feedback from the QC process to auditors and to IATA;
- (vii) a working knowledge of the audit software;
- (viii) fluent oral and written communication skills in English.



**2.6.7** The QC Manager roles and responsibilities shall include:

- (i) having responsibility and accountability for IAR production, in accordance with ISM, IPM, IAH, AO Alerts/Bulletins and Program Quality requirements, including:
  - (a) structuring the QC process for IOSA reports;
  - (b) ensuring that a complete QC review of all IARs is carried out in a standardized manner;

- (c) ensuring that published deadlines for report delivery as per [IPM 8.13.1](#) are met;
- (d) ensuring that published deadlines for QC processes are met.
- (ii) development and maintaining of QC procedures and documentation support structures for auditors;
- (iii) Monitoring and administering the AO's QC process;
- (iv) providing Corrective Actions as required by IATA QC;
- (v) monitoring AO and auditor quality performance and provide feedback to the auditors by means of:
  - (a) analyzing gaps in the internal QC process and auditor QC performance;
  - (b) analyzing the IATA AO quarterly performance report;
  - (c) identifying weaknesses in internal processes, repetitive errors, trends related to specific ISARPs misinterpreted by auditors, and auditor behavior or techniques;
  - (d) identifying any training needs, providing internal QC training or any other action necessary to ensure and improve the IAR quality.
- (vi) having the authority to take immediate and appropriate actions to address and correct problems arising from the QC process related to auditor assessments and/or evidence reporting, audit process or control procedures within the AO, or AO QC performance concerns raised by IATA.

**2.6.8** The AO shall submit a Curriculum Vitae (CV) for the candidate for the QC Manager position at least two months before attending a scheduled QC Manager Training. IATA shall then:

- (i) review the submitted CV, to verify conformance with [IPM 2.6.6](#) and [IPM 2.6.7](#) requirements;
- (ii) if applicable, send the approval for the candidate's attendance at the QC Manager Training within 15 calendar days after reception of the candidate's CV. After completion of the QC Manager Training, the final approval will be granted and the QC Manager will be listed on the official QC Managers list monitored by IATA (see [IPM 2.6.12](#)).

**2.6.9** Each new AO QC Manager will undergo appropriate training by IATA, based on IOSA program knowledge and experience, to ensure the structuring of effective and consistent AO QC processes, for the delivery of acceptable level of quality of IARs. Training content shall include:

- (i) IOSA QC theory and QC techniques (e.g. Documentation; QC and Registration processes);
- (ii) feedback on overall AO QC Performance (e.g. effective QC process within AOs; AO Overall Performance and analysis of QC problems, errors);
- (iii) feedback on AO Individual QC Performance;

- (iv) audit software-related QC tools and enhancements;

*Notes:*

1. *Before attending the QC Manager Training, the AO shall ensure that the candidate has already been introduced to the AO's internal QC procedures and processes as well as to IATA's QC processes.*
2. *Although the QC Manager Training is targeted for AO QC Managers, this training can also be attended by QC Managers who are already approved, AO QC Team members, AO Management, IOSA Lead Auditors or/and IOSA Auditors without prior authorization, but only upon notification of attendance to IATA.*

**2.6.10** After the AO's QC Manager candidate has completed the QC Manager Training, the AO shall send a formal notification of the official nomination of the new QC Manager to IATA, including the date from which the appointment becomes effective.



**2.6.11** If, for reasons beyond the AO's control, the responsible QC Manager's position becomes vacant, the AO shall immediately inform IATA and outline the interim delegation and measures that were taken to ensure the continuity of the quality control process, until a new QC Manager has been appointed and trained.



**2.6.12** Intentionally left open.

**2.6.13** IATA will provide the AOs with a QC Performance Summary (Statistical Analysis and Performance Results) twice per year. A full list of all QC nonconformities for the period under analysis will be provided to each AO.



**2.6.14** The AO's QC performance shall be continuously monitored by the IATA OSS QA Department and the results from these evaluations shall be published monthly through the AO Extranet site. The AO's QC performance, among other factors, shall be used for the AO's evaluation during the annual AO re-accreditation review, comparing the specific AO's QC performance against the published Key Performance Indicators (KPIs).

## 2.7 Quality Assurance and Quality Control

**2.7.1** An AO shall have a Quality Assurance program that, as a minimum, includes the monitoring and internal auditing of the following, every calendar year:

- (i) internal processes and procedures;
- (ii) quality assurance;
- (iii) quality control;
- (iv) auditor training and qualification;
- (v) auditor performance monitoring;
- (vi) AO-internal review program.

**2.7.2** Intentionally Left Open.

**2.7.3** An AO shall have a Quality Assurance program, applicable to the Audit conduct and IOSA Auditor performance. Such program shall provide for:

- (i) identification of non-conformities and program weaknesses;
- (ii) development of measures that address non-conformities and eliminate recurrence;
- (iii) implementation of corrective action;
- (iv) measurement of the effectiveness of corrective action;
- (v) analysis and evaluation of further action, as appropriate.

**2.7.4** An AO shall have an annual internal review program that strives to achieve continual improvement of the Audit program through implementation of action determined from analysis and evaluation of information from a combination of the following sources, as applicable:

- (i) internal control and surveillance system;
- (ii) feedback from IATA;
- (iii) AO Meetings;
- (iv) complaints and testimonials;
- (v) questionnaires and surveys;
- (vi) communication with other relevant outside entities.

**2.7.5** An AO shall have a Quality Assurance program that includes an annual management review for the continued improvement of the AO's Quality Assurance program, including but not limited to:

- (i) audits results (internal, external or third party audits);
- (ii) implementation, follow up and effectiveness of corrective actions;
- (iii) AO quality control performance;
- (iv) IOSA Auditor performance monitoring;
- (v) AO meetings;
- (vi) complaints and testimonials;
- (vii) questionnaires and surveys;
- (viii) change management;
- (ix) communication with other relevant outside entities.

**2.7.6** An AO shall have a process to monitor each of their own IOSA auditor's performance in accordance with the criteria defined by the IATA Auditor Quality Performance Program (AQPP) and take appropriate action(s) as per the AQPP requirements.

## **2.8 Facilities and Resources**

**2.8.1** An AO shall have the availability of human resources as follows:

- (i) specialist personnel to satisfy computer and information technology needs;
- (ii) qualified auditors to ensure full coverage of Audits;
- (iii) quality assurance personnel to provide operational oversight;
- (iv) support personnel for administration and production.

**2.8.2** An AO shall have facilities that meet the following minimum requirements:

- (i) adequate dedicated fixed or modular office space;
- (ii) one conference room suitable for conducting meetings;
- (iii) dedicated space suitable for the secure retention of documents and records;
- (iv) space suitable for business and computer equipment, as applicable.

**2.8.3** An AO shall have business equipment that meets the following minimum requirements:

- (i) dedicated office furniture for the use of management and administrative personnel;
- (ii) network computer equipment, including firewall and electronic backup capabilities, sufficient to support information technology needs.



**2.8.4** The AO shall ensure that any IT system used for the storage and/or exchange of information and data with IATA, Operators, and the Auditors has adequate security measures in place to avoid any unauthorized access to such information and data. This includes preventing the sharing of usernames or passwords in accordance with IATA's password policy, as communicated in relevant IOSA manuals.

## **2.9 Documentation System**

**2.9.1** An AO shall document its systems, policies, programs, processes, procedures, methods, or means, and such documentation shall include a description of the requirement and a clear assignment of responsibility for implementation.

**2.9.2** An AO shall have an operations manual (or equivalent document) that defines specific responsibilities within the organization and provides published policies, processes, procedures and other guidance applicable to the management, administration, implementation and oversight of its IOSA operations.

**2.9.3** An AO shall have procedures for reviewing, revising, updating, maintaining and distributing manuals relevant to its IOSA operations in a timely manner.

**2.9.4** An AO shall have procedures that ensure, when a new edition of the IPM has been published by IATA, its operations manual (or equivalent document) as specified in [IPM 2.9.2](#) is revised accordingly, and such revision is completed prior to the end of the third month following the month the IPM revision was published.

**2.9.5** An AO shall have a process that ensures, whenever the operations manual (or equivalent document) is revised in accordance with [IPM 2.9.3](#), a list of relevant cross-references is produced and sent to IATA. Such cross-references shall provide a comparison that shows the revised operations manual (or equivalent document) includes all requirements contained in the current edition of the IPM.

**2.9.6** An AO shall have a distribution process that ensures Auditors and other personnel associated with its IOSA operations have ready access to:

- (i) current editions of relevant IOSA documents;
- (ii) applicable areas of the audit software.

**2.9.7** An AO shall have a process that ensures Auditors are supplied with, and have at their disposal, current documents for use during an Audit, to include:

- (i) relevant sections of the IOSA Standards Manual (ISM);
- (ii) relevant IOSA Checklists;
- (iii) IATA Reference Manual for Audit Programs (IRM);
- (iv) IATA Audit Handbook (IAH);
- (v) applicable AO Alerts and AO Bulletins.

## **2.10 Records System**

**2.10.1** An AO shall have a records system with defined procedures, resources and controls for the identification, storage, protection, security, retrieval, retention and disposal of all records associated with its IOSA program.

**2.10.2** If an AO uses an electronic records system, the AO shall have a means to ensure a scheduled generation of separate back up files for IOSA records.

## **2.11 Auditor Administration**

**2.11.1** An AO shall have processes to ensure IOSA Auditors are selected and meet applicable provisions in accordance with IPM:

- (i) [Section 3](#), for qualification and experience requirements;
- (ii) [Section 4](#), for training requirements.

**2.11.2** An AO that seeks to add a previously approved IOSA Auditor to its list of approved IOSA Auditors (a “shared” Auditor) shall have processes to ensure such Auditor is currently qualified and is approved by IATA in accordance with provisions contained in [IPM 3.17](#).

**2.11.3** An AO shall have an auditor familiarization program that is designed to ensure an Auditor that is new to the organization fully understands the AO's administrative and operational policies and procedures. Such program shall be completed by every new Auditor prior such Auditor conducting an Audit for the AO.

**2.11.4** An AO shall have a process to ensure an Auditor Qualification Record (AQR) is submitted to IATA for approval prior to making any changes to its list of approved IOSA Auditors, to include:

- (i) the addition of a new Auditor who requires initial approval as an Auditor;
- (ii) the addition of a new Auditor who has been previously approved and is currently qualified as an Auditor;
- (iii) the removal of an existing Auditor;
- (iv) the upgrade a Lead Auditor or Evaluator;
- (v) the addition or removal of an operational or ORG Audit discipline for an existing Auditor;
- (vi) any change to the qualification status of an existing Auditor for any reason.

*Notes:*

1. *In case of an Auditor removal, the AO shall provide reasons for such removal.*
2. *IATA provides approval or rejection of an AQR submitted by an AO and gives the reasons for any rejection to the AO who submitted the AQR.*

**2.11.5** An AO shall have a process for maintaining an up-to-date list of approved IOSA Auditors, and for maintaining a current qualifications file for each individual Auditor. The Auditor qualifications file shall include:

- (i) an up-to-date curriculum vitae that is updated and replaced minimum every three (3) years;
- (ii) licenses, certificates, diplomas, as applicable;
- (iii) additional documented evidence that supports fulfilment of qualification prerequisites in accordance with [IPM Section 3](#);
- (iv) copies of approved AQRs for each change in Auditor qualification.

**2.11.6** An AO shall have processes for communicating with IOSA Auditors and distributing current and relevant information in a timely manner.

**2.11.7** If an AO, in the conduct of an Audit, uses an auditor who has not completed the appropriate qualification process or has not been approved by IATA in accordance with applicable provisions in [IPM Section 3](#), such AO shall be required to re-accomplish, at its own cost, any part of the Audit conducted by an unqualified or unapproved auditor.

**2.11.8** Upon request, an AO shall provide IATA with contact information of IOSA Auditors in accordance with [IPM 1.6.7](#).



**2.11.9** An AO shall process all auditor personal information, for the purpose of the auditors' management and participation in an IATA audit program, in accordance with applicable data protection laws and IATA's Audit Programs' Privacy Policy.

## 2.12 Notifications and Submissions

### 2.12.1 An AO shall :

- (i) provide written notifications to IATA as specified in applicable provisions in this IPM. Acceptable methods for such written notifications include email, fax, or other method(s), as agreed to by IATA;
- (ii) submit an executed Audit Agreement (between the AO and Operator) to IATA a minimum of thirty (30) calendar days prior to the scheduled commencement date of the on-site phase of an Audit (Opening Meeting). Such executed Audit Agreement shall be submitted in triplicate and set out the commercial arrangements and all other terms, conditions and restrictions associated with the relevant Audit (including Verification Audits in accordance with [IPM 7.7.5](#)). The Audit Agreement shall include an option for the Operator to receive an IPV and the costs for such optional IPV shall be negotiated between the Operator and the AO;
- (iii) to submit, along with the Audit Agreement as specified in ii) above, a Request For Proposal (RFP) Summary Sheet, or equivalent summary, to IATA, that specifies costs associated with the Audit, to include, as a minimum:
  - (a) variable costs (travel, accommodations, per diem, translator/interpreter, on-site supplies and services, other miscellaneous costs);
  - (b) total cost;

**2.12.2** An AO shall proactively disclose to IATA whether any Audit-related consulting services, referred to in [IPM 2.4.1 i](#)), form part of their business operation. By making such information available, IATA can make an appropriate determination. Any information disclosed will be held by IATA in the strictest confidence.

### 2.12.3 An AO shall submit a request for IATA's approval for:

- (i) operational exclusions in accordance with [IPM 7.1.5](#), [IPM 7.1.6](#) and [IPM 7.1.7](#). Such request shall include the operator's risk assessment of not conforming to applicable IOSA Standards in accordance with [IPM 6.2.4](#) and be submitted as soon as it becomes known to the AO that a registration with exclusions will be required for a specific Operator;
- (ii) the acceptance of interim corrective action in accordance with [IPM 8.10.3](#) and [8.10.4](#). Such a request shall be submitted as soon as it becomes known to the AO, but before submission of the IAR, that interim corrective action will be necessary to close a finding of an Operator for an IOSA registration renewal Audit.

*Note: As soon as it becomes known to the AO that aircraft and/or fleet exemption is required and the Operator did not submit such request in accordance with [6.2.2](#), the AO shall inform the operator accordingly.*

**2.12.4** An AO shall, upon renewal of any required insurance policy as set out in the IOSA Agreement, submit a copy of each certificate evidencing insurance renewal to IATA within seven (7) calendar days following receipt of the certificate by the AO.

**2.12.5** An AO shall have a process for the submission of a claim of extenuating circumstances to IATA for approval, as specified in [IPM 7.5.6](#), when applicable during the registration renewal process.

**2.12.6** An AO shall ensure a request is submitted and written authority is received from IATA, prior to the AO issuing any verbal statements or written material designed to promote the IOSA program for commercial or competitive gain.

**2.12.7** The AO shall notify IATA, and the Operator, immediately if it has been determined that the Operator will not, or can not, meet IOSA standards within a time frame necessary to attain or maintain IOSA registration.

### **Audit Funnel**

**2.12.8** An AO shall have a process to submit a weekly IOSA Audit Funnel to IATA prior to the close of business every Friday. Such submission shall provide IATA with:

- (i) an overview of the operators that are scheduled for a future Audit;
- (ii) information to plan on-site Audit evaluations of the AOs;
- (iii) tracking of Audit progress.

### **Auditor Currency Database**

**2.12.9** An AO shall have a process to review and revise the Auditor Currency Database:

- (i) that is provided by IATA in accordance with [IPM 1.6.9](#), and then submit such Database complete with updated Auditor currency information to IATA no more than four (4) weeks after having received the Database from IATA. Failure to submit a revised Database shall result in rejection of any AQR submitted to IATA for approval; and
- (ii) to address any changes to the currency of Auditors that occur during the submission cycle as described in i) above and inform IATA as soon as possible.

**2.12.10** An AO shall ensure a curriculum vitae (CV) incorporated into a standardized template and the Auditor Prerequisite Record (APR), are submitted to IATA concurrent with the AQR for approval of all new Auditors being added to the List of Approved Auditors for that AO.

*Note: Auditor CVs shall be retained in confidence by IATA for the purpose of providing verification to the FAA that IOSA Auditors meet the qualification requirements specified in the U.S. Department of Transportation and FAA Code-share Safety Guidelines.*

**2.12.11** An AO that plans to conduct audits of U.S. operators shall have a process to ensure FLT Auditors (Auditors qualified to audit in the Flight Operations discipline) are nominated to conduct line flight observations from the aircraft flight deck, in accordance with [IPM 8.7.10](#), during the Audit of a U.S. Operator. Such process shall include submission of the name(s) of the nominated FLT auditor(s) to IATA, along with associated information as required. Nominated FLT auditors receive continuous security vetting by the U.S. Transport Security Administration (TSA) as part of the FAA process for granting the authorization for FLT Auditors to have access to the aircraft flight deck.

## **2.13 Accreditation Renewal**

**2.13.1** The accreditation of an AO shall be reviewed by IATA on an annual basis, and renewal or non-renewal of such accreditation each year shall be based on a determination by IATA, based on its review, that the AO has:

- (i) fulfilled representations and warranties as set out in the Agreement;
- (ii) maintained an acceptable level of production and quality of Audits;
- (iii) demonstrated continued conformity with applicable provisions in this IPM.

**2.13.2** The subsequent term of renewed accreditation for an AO shall be maximum one year, and such renewed accreditation shall become effective upon execution of a new Accreditation Agreement by the AO and IATA.

**2.13.3** The AO shall provide IATA with completed organization and operational data (as per IATA relevant form(s)), not later than sixty (60) days prior to the accreditation expiry date.

## **2.14 Accreditation Termination**

**2.14.1** The accreditation of an AO shall be terminated by IATA prior to the expiry date of the Agreement for verified program deficiencies that include, but are not limited to, one or more of the following:

- (i) a breach of terms of the Agreement;
- (ii) a failure to conform to provisions of this IPM;
- (iii) an unacceptable level of Audit production and/or quality;
- (iv) non-payment of accreditation or other related fees; and/or
- (v) non-procurement of required insurance policies;

**2.14.2** The termination of the accreditation of an AO by IATA shall include one or more steps based on the program deficiencies that exist, to include:

- (i) issuance of a warning letter from IATA to the AO;
- (ii) a recommendation for corrective action to be implemented by the AO;
- (iii) evaluation of AO activities by IATA; and/or
- (iv) a written 90-day notice of accreditation termination.

**2.14.3** IATA reserves the right to bypass the requirement in [IPM 2.14.2](#) and immediately terminate the accreditation of an AO when there are factors determined by IATA to be detrimental to the integrity or quality of the IOSA program.

## **2.15 Termination of Business**

**2.15.1** Where an Audit Organization must, for whatever reason, terminate their AO business activities and effectively close down, prior to such a closure the AO shall:

- (i) advise IATA at their earliest opportunity when such a scenario appears imminent; and
- (ii) fulfil all pre-existing IOSA Audit obligations between the AO and any affected Operator(s), to the point of IOSA Registration or Registration renewal, as part of honoring their initial agreement(s) with IATA and the Operator(s).



INTENTIONALLY LEFT BLANK

## Section 3 Auditor Qualification

### Purpose

The quality of the IATA Operational Safety Audit (IOSA) Auditor is a critical factor in ensuring each Audit is conducted in a standardized, consistent and effective manner. This section of the IOSA Program Manual (IPM) sets out qualification standards and guidance to ensure every IOSA Auditor possesses the requisite level of competence to achieve overall program standardization.

### 3.1 Categories of IOSA Auditors

**3.1.1** There are three (3) categories of approved IOSA Auditors, each based on experience, knowledge, and demonstrated skills.

- (i) *Auditor*: An experienced auditor that has completed the process for qualification as an Auditor in accordance with applicable provisions in [IPM 3.10](#), and has been formally approved by IATA to conduct Audits in a minimum of one operational discipline.
- (ii) *Lead Auditor*: An experienced Auditor that has demonstrated the competence to successfully lead an IOSA Audit Team, and has completed the process for qualification as a Lead Auditor in accordance with provisions in [IPM 3.11](#).
- (iii) *Evaluator*: An experienced Lead Auditor that has completed the process for qualification as an Evaluator in accordance with provisions in [IPM 3.12](#), and has been designated by the Audit Organization (AO) to evaluate audit activities and auditor performance.

### 3.2 Competence of IOSA Auditors

**3.2.1** Confidence in, and reliance on, the audit process depends on the competence of personnel conducting the Audit. The AO shall have the responsibility for verifying that each IOSA Auditor has been selected and approved based on the following criteria:

- (i) meets all applicable qualification prerequisites;
- (ii) possesses the appropriate personal attributes;
- (iii) speaks, reads and writes English;
- (iv) demonstrates the ability to apply knowledge and skills that are necessary to effectively conduct Audits under the IOSA program;
- (v) successfully completes all steps in the process for qualification to the appropriate category of IOSA Auditor.

### 3.3 Qualification Prerequisites for IOSA Auditor Acceptance

**3.3.1** The AO shall require a candidate for IOSA Auditor to submit the IOSA curriculum vitae (CV), which documents the candidate's professional background in terms of education, operational experience, auditor certification and/or training and audit experience.

**3.3.2** The AO shall have a process for application of due diligence in verifying that a candidate for IOSA Auditor has met the appropriate qualification prerequisites in terms of education, operational experience, auditor certification and training, and audit experience *before* the candidate can be approved as an IOSA Auditor. Such prerequisites are indicators of auditor competence and ensure that an auditor has acquired the necessary knowledge and skills to become an IOSA Auditor.

When the AO has determined that a candidate for IOSA Auditor meet the prerequisites qualification requirements, the following steps shall be completed:

- (i) submit an Auditor Prerequisite Record (APR) and a completed IOSA Auditor CV to IATA for review and approval;
- (ii) IATA will review the APR and, at its discretion, conduct an interview to verify that auditor prerequisite qualifications are in accordance with applicable provisions in [IPM 3.3](#);
- (iii) once the APR has been approved by IATA, the AO can continue with the qualification process.

*Note: The APR shall also be submitted for the Qualification Process for Auditing Additional Operational Discipline(s).*

### 3.3.3 Prerequisite Education

A candidate for IOSA Auditor shall have completed at least secondary education.

*Note: Secondary education (e.g. Grades 7 to 12) is typically the stage of a national educational system that comes after the primary or elementary stage, and is completed prior to entrance to a college, university, or similar post-secondary educational institution.*

### 3.3.4 Prerequisite Operational Experience

- (i) A candidate for IOSA Auditor shall have a minimum of:
  - (a) five (5) years of total work experience in one or more of the IOSA operational disciplines;
  - (b) two (2) years of work experience in any single IOSA operational discipline;
  - (c) one (1) year of work experience in one or more IOSA operational disciplines within the four (4)-year period immediately prior to application as a candidate for IOSA Auditor.

**3.3.5** A candidate for IOSA Auditor shall satisfy the following Auditor certification and training prerequisites:

- (i) a candidate for IOSA Auditor shall satisfy one of the following prerequisites
  - (a) possess and furnish proof of *current* certification by a recognized national or international auditor certification authority, either as a quality auditor, quality management system auditor, lead auditor, or as an aerospace experienced auditor. Auditor certification shall be based on internationally recognized auditor certification standards; or
  - (b) if not currently a certified auditor as described above, furnish documented and verifiable evidence of completion of a formal quality auditor or lead quality auditor training course conducted in a classroom format with a curriculum in accordance with [IPM 4.2.2](#). Acceptable evidence of training shall consist of a certificate of completion, confirming that the candidate has successfully completed all aspects of the course, including an examination or demonstration of proficiency;
- (ii) a candidate for IOSA Auditor shall possess and provide evidence of certification of successfully completing a formal aviation-based SMS training course from a recognized airline-related training provider (e.g. ATA, IATA, Airline, AO, Flight Safety Int'l, etc.), that

has a curriculum based on the SMS components and elements contained in the ICAO Framework for Safety Management Systems;

*Notes:*

1. *A certificate of attendance is not acceptable.*
2. *For (i) an IOSA Auditor Training certificate is not acceptable.*

### **3.3.6 Prerequisite Audit Experience**

- (i) a candidate for IOSA Auditor shall furnish to the AO documented and verifiable evidence of having conducted a minimum of four (4) aviation industry audits within the scope of IOSA in the any of the following areas:
  - (a) Operations;
  - (b) Quality management systems;
  - (c) Safety management systems;
  - (d) Regulatory compliance; or
  - (e) Operational safety.
- (ii) Such audits shall have been conducted in the aviation operational disciplines included in the scope of IOSA; a minimum of one of the audits shall have been conducted within the 24-month period immediately prior to application as an IOSA Auditor.

*Note: Each audit may comprise one or more days of auditing. Multiple days of conducting an audit shall not be considered as multiple audits. For the definition of Audit refer to the IRM.*

**3.3.7** A candidate for IOSA Auditor that provides documented evidence of audit and professional experience well in excess of the minimum specified in [IPM 3.3.6](#) may be considered for an SVP exemption from a maximum of one other qualification prerequisite contained in [IPM 3.3](#). The AO shall submit a written exemption request to IATA that shall include comprehensive professional background information supporting the request. IATA shall review and assess the request and provide its feedback. Any SVP exemption granted under this provision shall be at the sole discretion of IATA who shall make a determination based on analysis of the quality and quantity of the professional background experience of an individual candidate.

*Note: Active involvement in the IOSA program that is supported by documented evidence may be considered for an exemption from the currency requirements as specified in [IPM 3.15](#) to [IPM 3.18](#).*

**3.3.8** All candidate Auditors shall meet prerequisites contained in [IPM 3.3.1](#) to [IPM 3.3.6](#) and discipline-specific requirements in accordance with [Table 3.1](#) to [Table 3.8](#), as applicable.

**Table 3.1 Experience Prerequisites for ORG Auditors**

Auditor Experience/Training	Management Systems Experience
<ul style="list-style-type: none"> <li>Conducted a minimum of four (4) complete Audits as an IOSA Auditor;</li> </ul>	<p>Two (2) years:</p> <ul style="list-style-type: none"> <li>As an auditor conducting audits of airline management systems;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>As an airline management systems inspector of a NAA;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>In a senior management position for an airline or an organization that conducts operations for an airline.</li> </ul>

**Table 3.2 Experience Prerequisites for FLT Auditors**

Core Aviation Experience	Flight Operations Experience (see <i>Note</i> )
<ul style="list-style-type: none"> <li>Holder of an ATPL and having at least Five (5) years' experience as a pilot on transport category aircraft with MTOW above 5700 kg;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>Holder of a flight engineer license/rating and Five (5) years' experience as a flight engineer on transport category aircraft with MTOW above 5700 kg.</li> </ul> <p>All experience shall have occurred within the 10-year period immediately prior to application as an IOSA Auditor in the FLT discipline.</p>	<p>At least two (2) years:</p> <ul style="list-style-type: none"> <li>In a flight operations management position for an operator utilizing transport category aircraft;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>As a pilot flight crew instructor or evaluator (aircraft and/or simulator) on transport category aircraft;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>As an airline flight operations inspector on transport category aircraft of a NAA;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>As a flight operational quality or safety auditor for an operator utilizing transport category aircraft.</li> </ul>

Core Aviation Experience	Flight Operations Experience (see Note)
<p>Notes:</p> <ol style="list-style-type: none"> <li><i>In addition to the core aviation experience and flight operations experience above, Auditors seeking to conduct Mandatory Observations on Line Flight Operations must have the following additional experience/qualifications:</i> <ul style="list-style-type: none"> <li><i>have operated as Pilot in Command on transport category aircraft (MTOW above 5700 kg) for at least 1 year; and</i></li> <li><i>have held an ATPL (not 'frozen' ATPL).</i></li> </ul> </li> <li><i>In addition to the core aviation experience and flight operations experience above, Auditors seeking to conduct Mandatory Observations on Flight Simulator Operations must have the following additional experience/qualifications:</i> <ul style="list-style-type: none"> <li><i>Must have qualifications to conduct Mandatory Observations on Line Flight Operations</i></li> <li><i>Must have simulator operating experience as a full flight (dynamic) simulator pilot-instructor, or pilot-evaluator on transport category aircraft with MTOW above 5700 kgs in support of airline operations, or</i></li> <li><i>Must provide documented evidence of having successfully completed a formal training course on flight simulator operations in accordance with <a href="#">IPM 3.3.9</a>.</i></li> </ul> </li> </ol>	

**3.3.9** Alternatively to a qualification as a flight simulator instructor or evaluator in support of airline operations, an IOSA Flight Operations (FLT) Auditor may also qualify to conduct evaluations of flight simulator sessions by completing a formal course on full flight (dynamic) simulator operations in transport category aircraft with MTOW above 5700 kg used in airline operations. If applicable, the FLT Auditor shall provide applicable AOs with documented evidence that describes course content and certifies course completion by the FLT Auditor, and the AO shall retain such evidence in the individual Auditor's qualification file. An acceptable flight simulator familiarization course shall have a published curriculum and course content shall include:

- (i) Instruction in simulator operations;
- (ii) Practical experience in actual simulator operations;
- (iii) Demonstration of knowledge and competency in simulator operations.

**Table 3.3 Experience Prerequisites for DSP Auditors**

Operational Control and Flight Dispatch Experience
<p>At least three (3) years:</p> <ul style="list-style-type: none"> <li>As an airline flight dispatcher or flight operations officer (FOO) or any operational and/or managerial role in the airline operational control center;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>As an airline pilot flight crew member licensed by a national aviation authority (NAA);</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>As an airline flight operations inspector for a NAA.</li> </ul>

**Table 3.4 Experience Prerequisites for MNT Auditors**

Aviation Experience	Quality Experience	Audit Experience
<ul style="list-style-type: none"> <li>Five (5) years performing a function in aircraft engineering and maintenance and/or in a maintenance quality function in support of airline operations. All above experience shall have occurred within the 10-year period immediately prior to application as an IOSA Auditor in the MNT discipline.</li> </ul> <p><i>Note: Prerequisites in the Quality Experience column shall be included as part of the combined requirements in this Aviation Experience column.</i></p>	<p>Two (2) years:</p> <ul style="list-style-type: none"> <li>Performing quality assurance audits of aircraft engineering and maintenance functions in support of airline operations;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>Performing quality systems evaluations or aircraft maintenance programs in support of airline operations;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>Performing operational quality audits of foreign airlines in the area of airline engineering and maintenance functions;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>As an airline airworthiness inspector for a NAA.</li> </ul>	<ul style="list-style-type: none"> <li>Conducted four (4) audits in support of aircraft engineering and maintenance functions as described under the Quality Experience column.</li> </ul> <p><i>Note: All audits specified above shall have been conducted within the 24-month period immediately prior to application as an IOSA Auditor.</i></p> <ul style="list-style-type: none"> <li>A minimum of one such audit shall have been conducted within the 12-month period immediately prior to application as an IOSA Auditor.</li> </ul>

**Table 3.5 Experience Prerequisites for CAB Auditors**

Core Aviation Cabin Operations Experience
<p>At least two (2) years:</p> <ul style="list-style-type: none"> <li>as Airline Cabin Crew or Holder of an ATPL/CPL/Flight Engineer License or Airline flight operations inspector for an NAA.</li> </ul>

**Table 3.6 Experience Prerequisites for GRH Auditors**

Core Aviation Ground Handling Operations Experience
<p>At least two (2) years:</p> <ul style="list-style-type: none"> <li>as manager in Ground Handling Operations;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>instructor in Ground Handling Operations;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>as an Auditor in Ground Handling Operations having completed at least ten (10) audits.</li> </ul>

**Table 3.7 Experience Prerequisites for CGO Auditors**

Core Aviation Cargo Operations Experience
<p>At least two (2) years:</p> <ul style="list-style-type: none"> <li>as manager in Cargo Operations;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>instructor in Cargo Operations;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>as an Auditor in Cargo Operations having completed at least ten (10) audits.</li> </ul> <p>operational experience as manager in Cargo Operations or Instructor in Cargo Operations or Auditor in Cargo Operations.</p>



**Table 3.8 Experience Prerequisites for SEC Auditors**

Core Aviation Security Experience	Auditor Experience/Training
<ul style="list-style-type: none"> <li>General knowledge of relevant national and/or supranational aviation security regulations;</li> </ul> <p><b>and</b></p> <ul style="list-style-type: none"> <li>At least two (2) years operational experience as manager, instructor or auditor of aviation security.</li> </ul>	<p>Successful completion of the IATA SeMS Competency Test with distinction.</p>

### 3.4 Personal Attributes of IOSA Auditors

**3.4.1** The IOSA Auditor must possess certain personal attributes that contribute to the successful performance of an Audit. Such personal attributes should include the following:

- (i) ethical in conduct;
- (ii) objective, fair and impartial in applying judgement;
- (iii) selfconfident in knowledge and ability;
- (iv) honest and firm in convictions;
- (v) focused on achieving objectives;
- (vi) observant of physical surroundings and activities;
- (vii) dedicated to operating in a teamwork environment;
- (viii) open to alternative ideas or methods;
- (ix) tactful in dealing with people;
- (x) discreet in managing information;
- (xi) insightful of and adaptable to different situations;
- (xii) analytical and logical in reaching conclusions;
- (xiii) physically and mentally fit for duties as an auditor;
- (xiv) well groomed, with good personal habits and hygiene;
- (xv) effective in time management.

### 3.5 Ethical Standards for IOSA Auditors

**3.5.1** The IOSA Auditor shall always consider the potential for conflict of interest when assigned to conduct an Audit. Specifically, an Auditor shall not participate in an Audit if such Auditor has:

- (i) provided consulting services within the operational scope of IOSA to the Operator within the past two years;
- (ii) a direct or indirect financial interest in the Operator;
- (iii) family members affiliated with the Operator, with such family members defined as parent, sibling, child, spouse, grandparent, or grandchild.

*Note: The operational scope of IOSA referred to in 3.5.1 (i) above shall be defined as follows: any content or material relating to the content of ISM or IAH which is provided as training courses or material, or as content of consultancy services.*

### **3.6 Knowledge and Skills for IOSA Auditors**

#### **3.6.1** IOSA Auditors shall have a thorough knowledge of:

- (i) quality and safety audit principles, procedures, and techniques;
- (ii) the content of manuals that comprise the IOSA documentation system, including:
  - (a) this IOSA Program Manual (IPM);
  - (b) the IOSA Standards Manual (ISM);
  - (c) the IOSA Audit Handbook (IAH);
  - (d) the IATA Reference Manual for Audit Programs (IRM);
- (iii) the audit software and applicable documentation;
- (iv) typical organizational structure of airlines, including size, functions and relationships;
- (v) relevant technical areas of airline operations;
- (vi) AO Alerts and Bulletins.

#### **3.6.2** IOSA Auditors shall have a general knowledge of the following:

- (i) applicable laws, ICAO Annexes and regulatory requirements (e.g. U.S. Federal Aviation Regulations, European Union Regulations, European Aviation Safety Agency requirements (EASA) and/or other similar and comparable national/regional aviation regulations);
- (ii) airline operational business processes and related terminology;
- (iii) cultural and social customs of the countries in which they will be auditing.

#### **3.6.3** IOSA Auditors shall have effective skills in the following areas:

- (i) speaking, reading and writing English;
- (ii) writing reports;
- (iii) communicating;
- (iv) working with people;
- (v) using applicable computer programs;
- (vi) the use of the most common virtual conference and remote meeting software.



### **3.7 Additional Skills for Lead Auditors**

#### **3.7.1** Lead Auditors require additional skills in leadership that enhance the performance of the Audit Team, such as:

- (i) planning the Audit and making effective use of resources during the Audit;
- (ii) representing the Audit Team in communications with the operator;

- (iii) organizing and directing Audit Team members;
- (iv) leading the Audit Team to reach audit conclusions;
- (v) preventing and resolving problems and conflicts;
- (vi) preparing and completing the Audit reports.

### 3.8 Special Qualities for Evaluators

**3.8.1** Evaluators are designated by the AO to maintain the quality and integrity of the Audit Program through observation and evaluation of all aspects of audit operations. The AO shall base the selection of the evaluator on a history of reliability and superior performance in the following areas:

- (i) leadership and respect;
- (ii) overall technical and business knowledge;
- (iii) adherence to standards;
- (iv) ability to exercise objective judgment;
- (v) multi-task capabilities;
- (vi) dedication to operational quality.

### 3.9 Responsibilities of Auditors, Lead Auditors and Evaluators

#### 3.9.1 Responsibilities for Auditors:

- (i) ensure that all qualification and currency requirements are satisfied, as specified in [IPM 3.10](#) to [3.17](#);
- (ii) ensure that conflict of interest restrictions and requirements are satisfied, as specified in [IPM 3.5.1](#) and [IPM 5.4](#);
- (iii) ensure that the appropriate skills, knowledge and fair judgement needed for the conduct of IOSA are applied;
- (iv) ensure continued performance improvement based on output from quality assurance oversight activities, quality control processes and in relation to feedback from customers.

#### 3.9.2 Additional responsibilities for Lead Auditors:

- (i) ensure firm control of the planning, progress and completion of the audit process;
- (ii) ensure that all available resources and appropriate judgement is used to prevent or resolve any disagreements or conflicts with the Operator;
- (iii) ensure that there is open, diplomatic and professional communication with the Operator.

#### 3.9.3 Additional responsibilities for Evaluators:

- (i) ensure that all IPM standards for the competence and quality of auditors and lead auditors are met when carrying out evaluations;
- (ii) ensure that auditors and lead auditors being evaluated are applying appropriate skills, diplomacy and fair judgement during the audit process.

### 3.10 Qualification Process for Auditors



**3.10.1** As part of the *initial* accreditation process, a candidate for accreditation as an AO shall propose a group of initial auditors, each limited to qualification in a maximum of four (4) operational disciplines in addition to the ORG discipline, if applicable, for approval by IATA. The proposed initial auditors shall complete the following qualification process and be approved by IATA in order for the AO to establish its initial group of approved IOSA Auditors. Each proposed initial auditor shall:

- (i) complete the qualification steps as specified in [IPM 3.3.1](#) and [3.3.2](#);
- (ii) if approved by IATA, successfully complete the IOSA Auditor Training (IAT) course, as specified in [IPM 4.1.1](#);
- (iii) complete training by the AO in the use of the audit software and AO internal procedures, to include remote auditing procedures.

**3.10.2** Once an AO has completed initial accreditation:

- (i) only the initial group of IOSA Auditors approved in accordance with [IPM 3.10.1](#) shall be permitted to conduct Audits for the AO;
- (ii) all candidates for IOSA Auditor subsequently selected shall be required to complete the full auditor qualification process in accordance with [IPM 3.10.3](#) and [3.10.4](#);
- (iii) the initial group of IOSA Auditors may be changed provided:
  - (a) approval of such change(s) is requested and received from IATA;
  - (b) no audits have yet been conducted by the AO;
  - (c) proposed replacement initial auditors complete the qualification process and are approved by IATA in accordance with [IPM 3.10.1](#).



**3.10.3** An AO shall have a process to ensure a candidate for IOSA Auditor, selected subsequent to the initial accreditation of the AO, is limited to qualification in a maximum of four (4) operational disciplines in addition to the ORG discipline. Each such candidate for IOSA Auditor shall successfully complete the following qualification process in order to be added to the list of approved IOSA Auditors for the AO. Each candidate for IOSA Auditor shall:

- (i) complete the qualification steps as specified in [IPM 3.3.1](#) and [IPM 3.3.2](#);
- (ii) complete the IOSA Auditor Training (IAT) course as specified in [IPM 4.1.1](#);
- (iii) complete training by the AO in the use of the audit software, remote auditing procedures, and AO internal procedures;
- (iv) As applicable, complete training on any program changes introduced since the completion of the IAT;
- (v)
  - (a) observe a portion of the discipline. The portion of the Audit to be observed shall cover one (1) full day for each, FLT, MNT and ORG, as well as half a day for all other disciplines;

- (b) on the same or additional Audits, conduct auditing of the entire remainder of the operational discipline under the supervision and assessment of a qualified IOSA Auditor (including attendance in daily Audit team meetings). The IOSA Auditor conducting the supervision and assessment of the candidate auditor shall be qualified and shall have conducted at least four (4) Audits in the discipline(s) for which candidate's qualification is being sought;
- (c) complete mandatory observations while auditing under supervision and assessment (step iii) (b) above), unless it is not logistically feasible (e.g. flight and simulator observations);
- (vi) if required, receive additional training-to-proficiency and repeat step (iii) above;
- (vii) be recommended by the Auditor who supervised and assessed the candidate auditor.

**Notes:**

1. Steps of this process shall be completed in sequence (see [Figure 3.1](#)).
2. Steps (iii) to (vii) of this process shall be completed within the 12-month period immediately after the date of Auditor Prerequisite Record (APR) approval.
3. A candidate auditor undergoing qualification as specified in step (v) shall not be considered a member of the Audit team for the discipline being qualified for.

*A candidate auditor cannot be assigned in the audit software any discipline he/she is qualifying for. Any operation with the audit software will be done in the name of the auditor(s) assigned the relevant discipline(s) and under his/her direct scrutiny.*

4. The Auditor qualified in the discipline(s) will assume two main functions: 1. Supervise: Observe the trainee and coach him/her (learn on the job); 2. Assess: Observe the trainee perform on his/her own without any support. These two functions will be covered throughout the phase the candidate is conducting auditing of the entire remainder of the discipline with an even time distribution (50 per cent each). The Auditor qualified in the discipline(s) will complete the IATA form in accordance with [IPM 3.10.5](#).
5. The amount of disciplines a candidate auditor can be qualified for in the same Audit requires approval from IATA sufficiently in advance of the Audit. Such approval shall be sought at time of audit build.
6. The final responsibility for all Audit assessments remains with the auditor qualified in the discipline.
7. The qualification process shall be cancelled if the additional training-to-proficiency as specified in step (vi) is not successful.
8. The IAT in accordance with (ii) above, has a validity period of 36 months in accordance with [IPM 4.1.1](#).
9. The Audit for an initial or additional discipline qualification shall be a full onsite (Audits with reduced scope are not applicable).

**3.10.4** An auditor is limited to qualification in a maximum of four (4) operational disciplines in addition to the ORG discipline, as described in [IPM 3.10.1](#) and [3.10.3](#).

*Note: Any disciplines acquired apply to the auditor, not to the AO for which they work (e.g. if auditor moves AO, it applies to the person).*

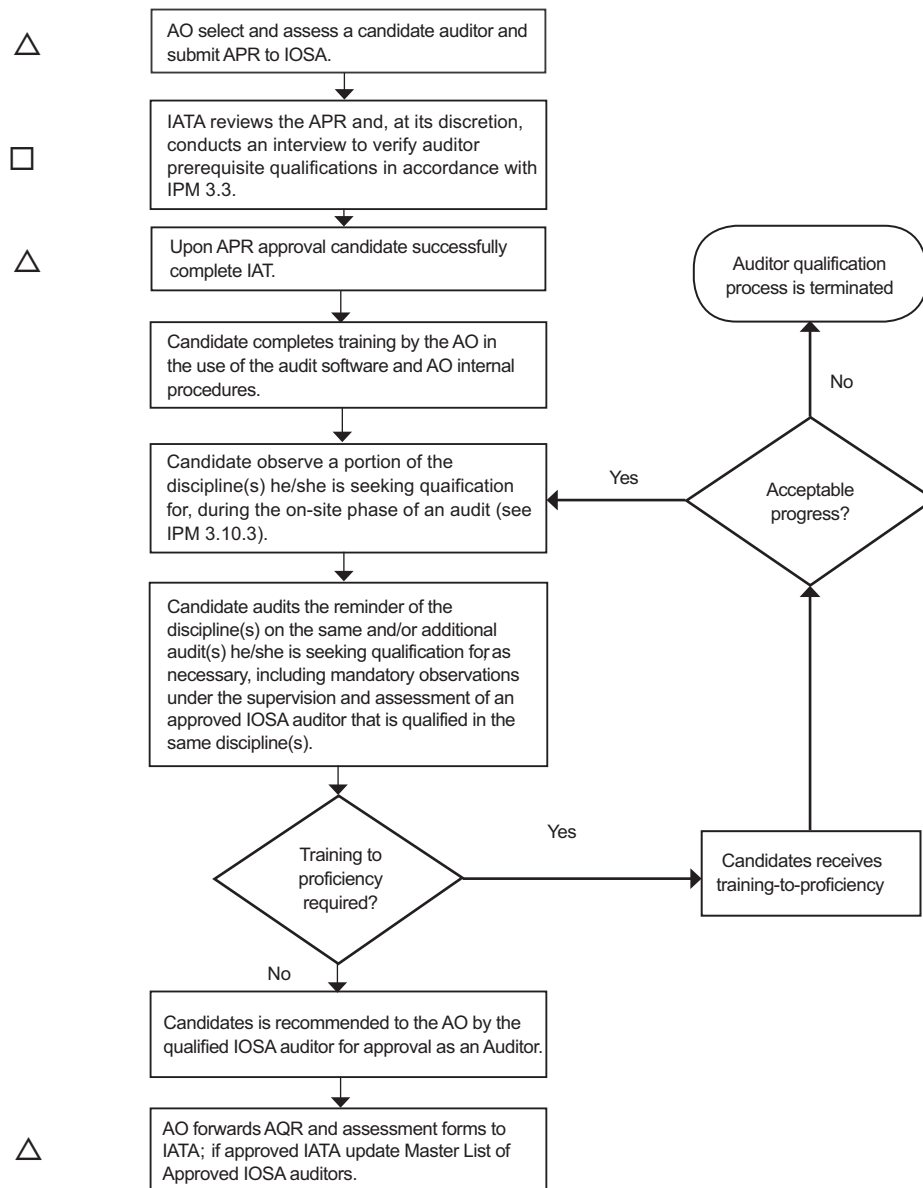
**3.10.5** When the AO has determined that a candidate for IOSA Auditor has successfully completed all applicable steps in the Auditor qualification process in accordance with [IPM 3.10.3](#), the AO shall:

- (i) submit an Auditor Qualification Record (AQR) and the complete form containing details pertaining to the qualification steps described in [IPM 3.10.3 \(iv\)](#) to IATA for review and approval;
- (ii) once the AQR has been approved by IATA, the name of the new Auditor will be entered on the Master List of Approved IOSA Auditors.

*Notes:*

1. *An Auditor shall not be planned to conduct an Audit without supervision until the AQR has been approved by IATA and the Auditor has been entered onto the IATA Master List of Approved IOSA Auditors.*
2. *An Auditor shall be used to audit only in those operational disciplines that have been approved by IATA.*

**Figure 3.1 IOSA Auditor Qualification Process Flow**



## 3.11 Qualification Process for Lead Auditors

**3.11.1** After the AO has completed the selection process based on criteria set out in [IPM 3.7](#), the AO shall ensure the selected Auditor successfully satisfies and completes each of the following steps in the qualification process for upgrade to Lead Auditor:

- (i) as a prerequisite, has conducted a minimum of six (6) complete Audits as an IOSA Auditor;
- (ii) as a prerequisite, performance as IOSA auditor is below the control limit 1 as defined in the Auditor Quality Performance Program;
- (iii) as a prerequisite, has successfully completed a formal lead auditor training course in accordance with provisions in [IPM 4.3](#);

- (iv) is recommended by a Lead Auditor based on demonstration of competencies;
- (v) conducts a minimum of one (1) complete onsite Audit acting as Lead Auditor while performance is evaluated by an Evaluator;
- (vi) is recommended for approval as a Lead Auditor by the Evaluator specified in v).

**Notes:**

1. *The Evaluator as specified in (iv) must function in the Audit Team as a productive Auditor and must be the official Lead Auditor and must sign the IOSA Audit Report.*
2. *Steps of this process shall be completed in the specified sequence within the 12-month period immediately prior to the date AQR submission.*
3. *The evaluation as specified in (v) shall, as a minimum, include all team meetings, QC activities and any other task pertaining to the lead auditor role.*

**3.11.2** When the AO has determined that an Auditor has successfully completed all steps in the Lead Auditor qualification process in accordance with [IPM 3.11.1](#), the AO shall:

- (i) submit an AQR including the completed form containing details pertaining to the qualification steps described in [IPM 3.11.1](#) to IATA for review and approval;
- (ii) once the AQR has been approved by IATA, the Master List of Approved IOSA Auditors for the AO will be updated.

*Note: An Auditor shall not be planned for use as a Lead Auditor until the AQR has been approved by IATA and the new qualification has been entered onto the IATA Master List of Approved IOSA Auditors.*

**3.11.3** Exemptions to the above Lead Auditor qualification requirements may be permitted, at the discretion of IATA, during the initial accreditation of an AO. The AO shall ensure any exceptions are requested from, coordinated with, and approved by IATA.

## 3.12 Qualification Process for Evaluators

**3.12.1** After the AO has completed the selection process based on criteria set out in [IPM 3.8](#), the AO shall ensure the selected Auditor successfully satisfies each of the following:

- (i) as a prerequisite, has conducted a minimum of three (3) complete Audits as a Lead Auditor;
- (ii) as a prerequisite, performance as IOSA auditor is below the control limit 1 as defined in the Auditor Quality Performance Program.

*Note: Audits performed under evaluation as a Lead Auditor cannot be considered for the purpose of meeting the three (3) Audits required to be qualified as an Evaluator.*

**3.12.2** When the AO has determined that the selected Auditor has satisfied all qualification requirements for an Evaluator in accordance with [IPM 3.12.1](#), the AO shall:

- (i) submit an AQR to IATA for review and approval;
- (ii) an IATA committee will conduct an interview with the selected Auditor aimed at verifying the candidate special qualities for evaluators as stated in [IPM 3.8](#) and responsibilities as stated in [IPM 3.9.3](#);
- (iii) if the AQR has been approved by IATA, the Master List of Approved IOSA Auditors for the AO will be updated.

*Note: An Auditor shall not be planned for use as an Evaluator until the AQR has been approved by IATA and the new qualification has been entered onto the IATA Master List of Approved IOSA Auditors.*

### 3.13 Conduct of Multiple Evaluations

**3.13.1** Evaluators are limited to one of the following combinations of evaluations on the same audit:

- (i) the evaluation of a Lead Auditor as per [IPM 3.11.1](#), (or a Lead Auditor re-establishing qualification, as per [IPM 3.18.4](#)), combined with the performance evaluation of one auditor, as per [IPM 3.16](#); or
- (ii) the evaluation of a Lead Auditor as per [IPM 3.11.1](#), (or a Lead Auditor re-establishing qualification, as per [IPM 3.18.4](#)), combined with the performance evaluation of one auditor, for the purpose of re-establishment of qualifications, as per [IPM 3.18.4](#); or
- (iii) performance evaluations for two auditors, as per [IPM 3.16](#).

*Note: Evaluators are expected to apply professional judgement when planning the allocation of the multiple roles of Evaluator, Lead Auditor and Auditor.*

### 3.14 Qualification Process for Auditing Additional Operational Discipline(s)



**3.14.1** The AO shall have a process to ensure an Auditor successfully completes the following qualification process and is approved by IATA to audit in an operational discipline in addition to any previously approved operational discipline(s). The AO shall ensure each Auditor that seeks approval to qualify to audit in an additional operational discipline:

- (i) as a prerequisite, demonstrates knowledge and experience in the new operational discipline being requested, in accordance with applicable provisions in [IPM 3.3.8](#);
- (ii) completes the qualification process as specified in [IPM 3.10.3 \(v\) to \(vii\)](#).

*Note: All steps related to [IPM 3.10.3 \(v\) to \(vii\)](#) above, shall also consider Notes 2. to 7. and Note 9 to those paragraphs and include the submission of an AQR and related documents in accordance with [IPM 3.10.5](#).*

*Note: If the additional discipline is in GRH and/or CGO for a qualified and current ISAGO CoPA member, [IPM 3.10.3](#) steps v to vii are not needed.*

**3.14.2** When the AO has determined that the Auditor has completed all qualification requirements for auditing in a new operational discipline in accordance with [IPM 3.14.1](#), the AO shall:

- (i) submit an Auditor Qualification Record (AQR) and the complete form containing details pertaining to the qualification steps described in [IPM 3.14.1 \(ii\)](#) to IATA for review and approval;
- (ii) once the AQR has been approved by IATA, the new operational discipline(s) will be entered to the qualifications of the Auditor on the Master List of Approved IOSA Auditors for the AO.

*Note: An Auditor shall not be used to conduct an Audit in the new operational discipline without supervision until the AQR has been approved by IATA and the new qualification has been entered onto the IATA Master List of Approved IOSA Auditors.*

### **3.15 Recurrent Training Currency**

**3.15.1** The AO shall have a process to ensure each Auditor on its list of approved IOSA Auditors completes the AO's recurrent training course during each calendar year in accordance with [IPM 4.5.1](#).

**3.15.2** An Auditor that has not satisfied recurrent training requirements specified in [IPM 3.15.1](#) shall be classified as non-current by the AO, and shall not be used by the AO to conduct an Audit until training currency has been re-established in accordance with [IPM 3.18.1](#).

### **3.16 Performance Evaluation Currency**

**3.16.1** The AO shall have a process to evaluate the performance of each Auditor on its list of approved IOSA Auditors a minimum of once during every two (2) calendar years, when an Auditor wants to re-establish Audit conduct currency as per [IPM Table 3.9](#), or when required by IATA. Performance evaluations shall have satisfactory results and shall be accomplished by an Evaluator while the Auditor is conducting a full or partial Audit.

**3.16.2** For the purpose of maintaining qualification in accordance with [IPM 3.16.1](#), the AO shall require a satisfactory performance evaluation for each Auditor:

- (i) initially during the calendar year immediately following the calendar year in which the Auditor received initial approval as an IOSA Auditor in accordance with [IPM 3.10](#);
- (ii) during each period of two (2) consecutive calendar years subsequent to the calendar year of the initial performance evaluation as specified in i).

**3.16.3** A performance evaluation associated with an upgrade to Lead Auditor, in accordance with [IPM 3.11.1](#), shall satisfy the requirement for an AO to evaluate the performance of an Auditor as specified in [IPM 3.16.1](#).

**3.16.4** An Auditor that has not satisfied the requirement for a performance evaluation as specified in [IPM 3.16.1](#) and [3.16.2](#) shall be classified as non-current by the AO and shall not be used by the AO to conduct an Audit until currency has been re-established in accordance with [IPM 3.18.2](#).

**3.16.5** The AO shall use evaluation forms provided by IATA for the evaluation process in accordance with [IPM 3.16](#).

### **3.17 Audit Conduct Currency**



**3.17.1** The AO shall have a process to ensure each Auditor on its Master List of approved IOSA Auditors conducts a minimum of two (2) Audits under IOSA during each calendar year.



**3.17.2** The AO shall have a process to ensure each Lead Auditor on its Master List of approved IOSA Auditors conducts a minimum of one (1) Audit as Lead Auditor during each calendar year. Such Audit shall satisfy the requirement for the conduct of one of the two (2) Audits under IOSA during each calendar year as specified in [IPM 3.17.1](#).

**3.17.3** For the purpose of maintaining qualification in accordance with [IPM 3.17.1](#) and [3.17.2](#), the AO shall ensure the Auditor conducts a minimum of two (2) audits, as specified in [IPM 3.17.1](#):

- (i) during the calendar year immediately following the calendar year in which an Auditor received initial approval as an IOSA Auditor in accordance with [IPM 3.10](#);
- (ii) during each calendar year subsequent to the calendar year specified in i).

**3.17.4** Intentionally Left Open.



**3.17.5** The AO shall have a process to ensure each Auditor on its list of approved IOSA Auditors, conducts an Audit of the discipline(s) for which they are approved, during every period of two (2) consecutive calendar years.

**3.17.6** For the purpose of maintaining currency in accordance with [IPM 3.17.5](#), the first period of two (2) consecutive calendar years commences the calendar year immediately following the calendar year in which the Auditor was approved to audit in the additional operational discipline.

## 3.18 Re-Establishment of Qualifications

**3.18.1** An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet recurrent training currency requirements as specified in [IPM 3.15.1](#) shall re-establish qualification for an AO by completing the recurrent training course that is currently effective for that AO.

**3.18.2** An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet performance evaluation currency requirements as specified in [IPM 3.16.1](#) shall re-establish qualification for an AO by receiving a satisfactory performance evaluation by an Evaluator from the AO while conducting a complete on-site Audit.

**3.18.3** Intentionally Left Open.

**3.18.4** An Auditor or a Lead Auditor, whose qualification has become non-current for failure to meet Audit conduct currency requirements as specified in [IPM 3.17.1](#), [IPM 3.17.2](#) and/or [IPM 3.17.5](#), shall re-establish qualification as an IOSA Auditor as specified in [IPM Table 3.9](#).



**Table 3.9 Audit Conduct Re-Establishment**

Rules for Re-establishing Audit Conduct or Discipline-specific Currency			
Type of Currency	Within a Period of One (1) Calendar Year from the Date of Becoming Non-current	Within the Second Calendar Year Following the Date of Becoming Non-current	Starting From the Third Calendar Year Following the Date of Becoming Non-current
For Auditors in accordance with <a href="#">IPM 3.17.1</a> (two Audits per calendar year)	<ul style="list-style-type: none"> <li>For Auditors in accordance with <a href="#">IPM 3.17.1</a>, re-establish qualification as an IOSA Auditor by receiving satisfactory performance evaluation by an Evaluator, while conducting a complete on-site Audit as an Auditor.</li> </ul> <p><i>Note: During this re-qualification audit the auditor will be acting as an active member of the audit team.</i></p>	<ul style="list-style-type: none"> <li>The Auditor will also lose discipline specific currency as per <a href="#">IPM 3.17.5</a>. For this reason, the Auditor shall complete steps in <a href="#">IPM 3.10.3 (iv)</a> to <a href="#">IPM 3.10.3 (vi)</a> (including Notes 3, 4 and 5) for each discipline the Auditor is seeking re-qualification.</li> </ul> <p><i>Note: The final re-responsibility for all assessments remains with the Auditor qualified in the discipline.</i></p>	<ul style="list-style-type: none"> <li>Complete all steps in <a href="#">IPM 3.10.3</a>.</li> </ul>

Rules for Re-establishing Audit Conduct or Discipline-specific Currency			
Type of Currency	Within a Period of One (1) Calendar Year from the Date of Becoming Non-current	Within the Second Calendar Year Following the Date of Becoming Non-current	Starting From the Third Calendar Year Following the Date of Becoming Non-current
For Lead Auditors in accordance with <a href="#">IPM 3.17.2</a> (one Audit as Lead Auditor per calendar year)	<ul style="list-style-type: none"> <li>For Lead Auditors in accordance with <a href="#">IPM 3.17.2</a>, re-establish qualification as an IOSA Auditor by receiving satisfactory performance evaluation by an Evaluator, while conducting a complete Audit as a Lead Auditor, as specified <a href="#">IPM 3.11.1 (iv) and (vi)</a>, including Notes 1 and 3.</li> </ul>		
For Auditors in accordance with <a href="#">IPM 3.17.5</a> (entire discipline every two calendar years while maintaining at least one discipline)	<ul style="list-style-type: none"> <li>For Auditors in accordance with <a href="#">IPM 3.17.5</a>, complete steps in <a href="#">IPM 3.10.3 (iv) to IPM 3.10.3 (vi)</a> (including Notes 3, 4 and 5).</li> </ul> <p><i>Note: The final responsibility for all assessments remains with the Auditor qualified in the discipline.</i></p>		
For Auditors in accordance with <a href="#">IPM 3.17.5</a> (loss of all disciplines)	<ul style="list-style-type: none"> <li>Complete steps in <a href="#">IPM 3.10.3 (iv) to IPM 3.10.3 (vi)</a> (including Notes 3, 4 and 5) for each discipline(s) the Auditor is seeking re-qualification.</li> </ul> <p><i>Note: The final responsibility for all assessments remains with the Auditor qualified in the discipline.</i></p>	<ul style="list-style-type: none"> <li>Complete all steps in <a href="#">IPM 3.10.3</a>.</li> </ul>	
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>Upon completion of the above steps, the AO shall submit an Auditor Qualification Record (AQR) and related forms to IATA for review and approval.</li> <li>Once the AQR has been approved by IATA, the Auditor status will be updated on the Master List of approved IOSA Auditors for the AO.</li> <li>An Auditor shall not be planned for use as a member of the Audit team for the respective discipline, the entire Audit or as a Lead Auditor, as applicable, until the AQR has been approved by IATA and the Auditor status has been updated onto the IATA Master List of Approved IOSA Auditors.</li> </ol>			

## 3.18.5 Intentionally Left Open.

### 3.19 Auditor Transfer or Sharing

**3.19.1** If an auditor, in any categories as defined in [IPM 3.1.1](#), transfers from one AO to another (e.g. whether on his/her own initiative or because the original AO has been terminated as per [IPM 2.1](#)) or wants to work for more than one AO (Auditor sharing), he/she shall be permitted to be added to the list of approved IOSA Auditors of an AO within the same category after such AO has complied with applicable specifications and restrictions contained in [IPM 3.19.2](#).

*Note: As long as an auditor meets the currency requirements as per [IPM 3.15](#), [3.16](#) and [3.17](#) even if he/she has been removed from the MAL of an AO, because the qualifications stay with the auditor and not with the AO, he/she is still eligible for a transfer.*

**3.19.2** An AO seeking to add an Auditor to its list of approved IOSA Auditors as specified in [IPM 3.19.1](#) shall have processes to ensure:

- (i) the Auditor has completed initial qualification and approval as an IOSA Auditor in accordance with provisions contained in [IPM 3.10](#);
- (ii) the qualifications of the Auditor are current in accordance with provisions contained in [IPM 3.15](#), [3.16](#) and [3.17](#);
- (iii) If the qualifications of the Auditor are not current, the Auditor shall re-establish qualification with the new AO in accordance with requirements in [IPM 3.18](#);
- (iv) the Auditor completes a familiarization program as specified in [IPM 2.11.3](#);
- (v) an AQR is submitted to IATA for approval;
- (vi) once the AQR has been approved by IATA, the Auditor is entered on the list of approved IOSA Auditors for the AO;

*Note: An Auditor shall not be planned to conduct an Audit without supervision until the AQR has been approved by IATA and the Auditor has been entered onto the IATA Master List of Approved IOSA Auditors.*

### 3.20 Intentionally Left Open

### 3.21 Suspension and Removal of IOSA Auditors

**3.21.1** At its discretion, IATA may suspend an approved IOSA Auditor from the IATA Master List of Approved IOSA Auditors for a defined period of time. Circumstances that could lead to an IOSA Auditor's suspension include:

- (i) invalidation of an Audit in accordance with applicable provisions in [IPM 1.5.2](#);
- (ii) the IOSA Auditor's demonstrated inability to adhere to personal attributes, ethical standards and/or to demonstrate knowledge and skills, additional skills for Lead Auditors and/or special qualities for Evaluators in accordance with [IPM 3.4](#) to [IPM 3.8](#);
- (iii) the IOSA Auditor's demonstrated inability to assume responsibilities in accordance with [IPM 3.9](#);
- (iv) the IOSA Auditor's failure to attend or participate in applicable IATA trainings in accordance with [IPM 4.5.5](#) or other Program-related matters;
- (v) the IOSA Auditor's failure to meet performance requirements as defined by the IATA Quality Assurance Program and/or Performance Monitoring Programs;

- (vi) gross assessment errors discovered in past and/or current IOSA Audit results; and
- (vii) other cases which lead to IATA's decision to suspend an IOSA Auditor.

*Notes:*

1. *The AO is responsible for the timely re-arrangement of planned or pending Audit activities which were assigned to the suspended Auditor.*
2. *Depending on the change of circumstances, IATA may lift the suspension of the IOSA Auditor through written notice to the AO.*
3. *An Auditor that has been suspended shall be considered non-current for all AOs. That Auditor shall not be used by any AO until the suspension period is expired or lifted and such Auditor receives a satisfactory performance evaluation by an Evaluator, as specified in the "Auditor Performance Program" Manual [Section 6](#) "Measurement and Actions".*

**3.21.2** At its discretion, IATA may remove an approved IOSA Auditor from the IATA Master List of Approved IOSA Auditors. Circumstances that could lead to an IOSA Auditor's removal from the IATA Master List of Approved IOSA Auditors include:

- (i) the suspension of an IOSA Auditor in accordance with [IPM 3.21.1](#); and/or
- (ii) other cases which lead to IATA's decision to remove an IOSA Auditor from the IATA Master List of Approved IOSA Auditors.

*Notes:*

1. *The AO is responsible for the timely re-arrangement of planned or pending Audit activities which were assigned to the removed Auditor.*
2. *An IOSA Auditor that was removed from the IATA Master List of Approved IOSA Auditors, will not be allowed to re-qualify as an IOSA Auditor.*



INTENTIONALLY LEFT BLANK

## Section 4 Auditor Training

### Purpose

A high level of competency among IATA Operational Safety Audit (IOSA) Auditors is essential in ensuring a credible and meaningful Audit under IOSA. It is therefore necessary to establish an IOSA Auditor training program that ensures each IOSA Auditor attains, and maintains, a requisite level of standardization and competency. This section of the IOSA Program Manual (IPM) supports achievement of IOSA program goals, and sets out standards and guidance for the content and presentation of IOSA training activities.

### 4.1 IOSA Auditor Training (IAT)

**4.1.1** Each candidate for an IOSA Auditor shall successfully complete the IOSA Auditor Training (IAT) course, and such course completion shall remain valid for a period of thirty-six (36) months as a means to satisfy IAT requirements as specified in [IPM 3.10](#).

**4.1.2** IAT attendance shall be arranged and scheduled by an Audit Organization (AO), and shall be conducted by an IATA Endorsed Training Organization (ETO) in accordance with applicable provisions in [IPM Section 5](#).

**4.1.3** The AO shall record the successful completion of IAT by each listed IOSA Auditor, and such records shall be retained by the AO in each Auditor's qualification file.

### 4.2 Prerequisite Auditor Training

**4.2.1** Each candidate for training as an IOSA Auditor shall have successfully completed a formal quality auditor training course in accordance with [IPM 3.3.5](#).

**4.2.2** An acceptable prerequisite quality auditor training course curriculum shall include, but not be limited to, instruction and evaluation or demonstration of proficiency in a minimum of the following areas:

- (i) Auditor professional conduct and responsibilities;
- (ii) Planning and preparation for an audit;
- (iii) Audit principles, procedures and techniques that an auditor may select and apply as appropriate to ensure audits are conducted in a consistent and systematic manner;
- (iv) Management system and reference documents that enable an auditor to comprehend the scope of an audit and apply audit standards;
- (v) Methods and techniques used by an auditor for effectively gathering evidence and other data necessary in determining conformance with standards;
- (vi) Determination of root cause analysis, corrective action, and preparation of the audit report.

**4.2.3** The AO shall record and retain acceptable documented evidence of prerequisite auditor training in accordance with [IPM 3.3.5](#), and such records shall be retained by the AO in each Auditor's qualification file.

## 4.3 Prerequisite Lead Auditor Training

**4.3.1** Each candidate for IOSA Lead Auditor shall have successfully completed a formal lead auditor training course.

**4.3.2** An acceptable prerequisite lead auditor course curriculum shall include, but not be limited to, instruction and evaluation in the following or similar subject areas:

- (i) Role of the lead auditor;
- (ii) Audit Program rules and options (i.e. Interim Corrective Action, Active Implementation, Audit of Affiliated Operators, Suspended Provisions or Specifications);
- (iii) Audit ethics and conduct;
- (iv) Audit planning and preparation, personnel management;
- (v) Team building;
- (vi) Review of the IOSA Audit Plan;
- (vii) Review of the previous IAR;
- (viii) Familiarization with the operational profile and categorization of aircraft as per the IAH, prior to and on-site;
- (ix) Time management;
- (x) Methods of effective communication;
- (xi) Preparation and conduct of the Opening Meeting;
- (xii) Preparation and conduct of daily briefing (internal and with the Operator);
- (xiii) Resource management;
- (xiv) Conflict management;
- (xv) Audit Termination;
- (xvi) Overview of all activities related to auditors initial, additional, and/or re-qualification;
- (xvii) Internal and external communication;
- (xviii) Coordination and preparation of on-site preliminary audit report in the Audit Software;
- (xix) Preparation and conduct of the Closing Meeting;
- (xx) Audit follow-up activities including the completion of the Audit Summary as part of the IAR.

**4.3.3** The AO shall record and retain acceptable documented evidence of successful completion of formal lead auditor training, including specific course identification, date and location, by each listed IOSA Lead Auditor, in accordance with [IPM 3.11.1](#). Such records shall be retained by the AO in each auditor's qualifications file.

## **4.4 Intentionally Left Open**

## **4.5 Auditor Recurrent Training**

**4.5.1** The AO shall have a process for developing and conducting a recurrent training course for delivery every calendar year to ensure each Auditor on its approved list of IOSA Auditors maintains a current qualification in accordance with [IPM 4.5.2](#). Such process shall include the development of training objectives, course curriculum, and method(s) of presentation.

**4.5.2** An IOSA Auditor shall successfully complete recurrent training at least once during each calendar year, commencing during the calendar year immediately following the year in which the AQR was approved. An Auditor employed by more than one AO in accordance with [IPM 3.17](#), shall complete the recurrent training course, of each AO for which the Auditor is employed once during each calendar year.

**4.5.3** The AO shall ensure the recurrent training curriculum is designed to provide information that updates and refreshes auditor knowledge with regard to IOSA program changes, issues, and program feedback provided by IATA. The course content shall, as a minimum, include the following:

- (i) IOSA program changes;
- (ii) IOSA system issues;
- (iii) IOSA program standardization;
- (iv) Specific discipline critical ISARP review;
- (v) AO Alerts and Bulletins;
- (vi) Documentation;
- (vii) Audit software;
- (viii) Audit principles and techniques;
- (ix) AO Quality Assurance, and Quality Control issues and Auditor's performance monitoring;
- (x) Non-routine audit procedures;
- (xi) Audit contingency plan;
- (xii) Administrative issues;
- (xiii) Time management;
- (xiv) On-site IOSA Audit Report (IAR) production;
- (xv) Other system and local issues, as appropriate (e.g. IOSA Audit experience, program development, and other sources of program information and/or feedback);
- (xvi) AO-specific changes and issues.

**4.5.4** The AO shall submit their recurrent training plans and training material to IATA for approval as a minimum, four weeks prior to the planned recurrent training event(s).

**4.5.5** IATA may, at its discretion, produce training content that is mandatory for the Auditor recurrent training. Such training:

- (i) shall be delivered, either by the AO or directly by IATA via means of classroom training, webinars or any combination thereof; and
- (ii) is mandatory to IOSA Auditors as identified by IATA. Failing to attend such training represents a circumstance that could lead to an IOSA Auditor's suspension in accordance with [IPM 3.21.1](#).

**4.5.6** The AO shall include a recurrent training test with a passing mark of 80%. Any auditor failing to pass the recurrent training shall not be used for auditing and be subject to additional actions by the AO to ensure that the auditor meets the minimum competence requirements. The AO shall have a process to record the successful completion of annual recurrent training for each approved IOSA Auditor, and such records shall be retained by the AO in each Auditor's qualifications file for a period of five (5) years.

## **Section 5 ETO Accreditation**

### **Purpose**

Accreditation of an Endorsed Training Organization (ETO) is the process used by IATA to regulate and control the delivery of the IOSA Auditor Training (IAT) course. This section of the IPM sets out standards, applicable to an ETO, that ensure the IAT course is delivered in a standardized manner that achieves IOSA program objectives for Auditor standardization and quality.

### **5.1 Accreditation General**



**5.1.1** Consideration for accreditation as an ETO shall be limited to only those organizations that are currently accredited as an Audit Organization (AO) under the IOSA program and, as determined solely by IATA, have consistently met the IATA Key Performance Indicator requirements that are specified in the AO/ETO PMP - Performance Monitoring Program.

**5.1.2** A candidate for accreditation as an ETO shall be in conformity with applicable provisions in this IPM in order to become accredited as an ETO. A description of the accreditation process flow is depicted in [Figure 5.1](#).

**5.1.3** Formal and final approval of the accreditation of an ETO shall be made by IATA; such approval shall be noted and recorded by the IOSA Oversight Council (IOC).

**5.1.4** The culmination of the accreditation process shall result in the following:

- (i) execution of an agreement (the “ETO Accreditation Agreement”) made between the candidate and IATA;
- (ii) payment of an accreditation fee by the candidate to IATA;
- (iii) accreditation of the candidate as an ETO.

**5.1.6** An ETO shall be subject to ongoing quality assurance review and monitoring by IATA during the term of accreditation.

**5.1.7** A review of accreditation status may be initiated by IATA should an ETO, without limitation:

- (i) experience financial difficulties, significant management turnover, or transfer of company ownership;
- (ii) be the subject of sustained industry reports of unprofessional practices or performance deficiencies;
- (iii) fail to comply with any applicable laws in any jurisdictions in which the ETO conducts business;
- (iv) breach the ETO Accreditation Agreement;
- (v) fail to pay accreditation or other related fees;
- (vi) fail to meet an acceptable level of quality in delivery of the IAT course;
- (vii) have not met the IATA Key Performance Indicator requirements that are specified in the AO/ETO PMP - Performance Monitoring Program;



- (viii) experience other circumstances or situations deemed by IATA to be potentially detrimental to or jeopardize the reputation of IOSA.

**5.1.8** Notwithstanding [IPM 5.1.7](#), the ETO Accreditation Agreement may be terminated, and the accreditation status of that ETO thereby lost, in certain circumstances as set out in the ETO Accreditation Agreement.

**5.1.9** Accreditation of an ETO shall be terminated, as applicable:

- (i) should an ETO fail to deliver the IOSA Auditor Training (IAT) course; and/or
- (ii) for program deficiencies as specified in [IPM 5.22](#).

**5.1.10** The provisions of this IPM are, unless otherwise provided, incorporated by reference in the ETO Accreditation Agreement and, in the event of any inconsistency between the terms of this IPM and the ETO Accreditation Agreement, the ETO Accreditation Agreement shall prevail to the extent of the inconsistency.

**5.1.11** An ETO shall fulfil the representations and warranties as set out in the ETO Accreditation Agreement.

## 5.2 Accreditation Requirements

**5.2.1** A candidate for accreditation as an ETO shall submit the IOSA ETO Application form to IATA, accompanied by a specified non-refundable application fee.

**5.2.2** A candidate for accreditation as an ETO shall provide the following documentation to IATA without limitation:

- (i) certificate of incorporation or similar documentation that evidences its status as a legal entity in good standing;
- (ii) other relevant incorporation documents in addition to those specified in i), if any;
- (iii) documents evidencing company shareholders, ownership and governance structure(s);
- (iv) annual financial reports (if any) for the preceding two (2) years;
- (v) audited financial statements and accounts, if any, for the preceding two (2) years;
- (vi) corporate organization chart, including a list of employees, reporting structure and job description;
- (vii) documents related to any actual or potential legal proceedings;
- (viii) statement of corporate values and mission statement (if any);
- (ix) other information and documentation as set out in the ETO Accreditation Agreement.

**5.2.3** A candidate for accreditation as an ETO shall provide to IATA, without limitation:

- (i) a copy of certificates of its insurance evidencing all current policies of insurance and its ability to meet the insurance and indemnity requirements as set out in the ETO Accreditation Agreement;
- (ii) evidence that the management and staff have the appropriate background and knowledge to successfully deliver the IAT course;
- (iii) a list of five (5) business references, including training clients and/or customers engaged in similar fields of operational auditing, training, aviation safety or aviation operations.

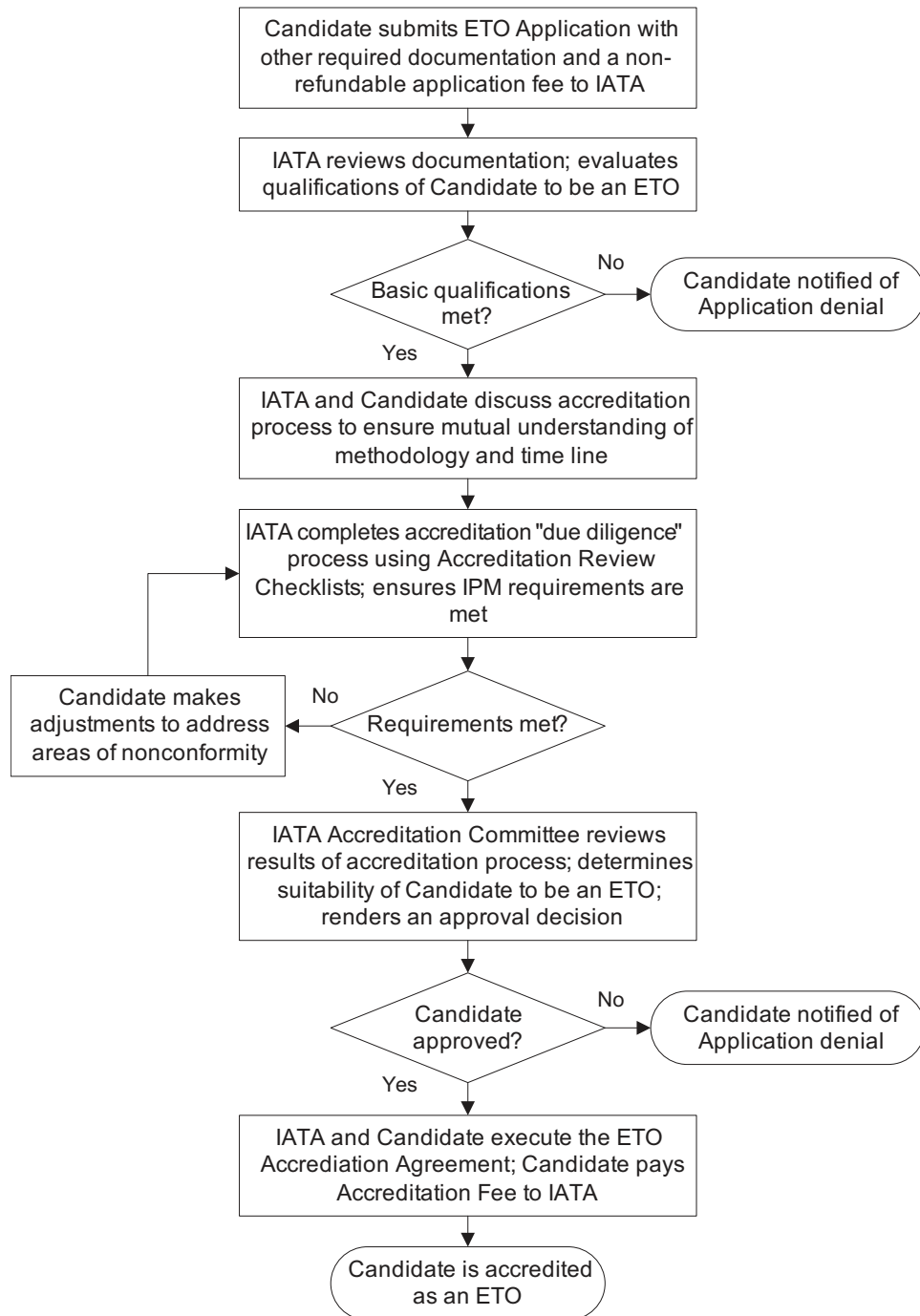
**5.2.4** A candidate for accreditation as an ETO shall provide, for review and evaluation by IATA, its administration and operations, to include personnel, facilities, equipment and other resources associated with producing and/or presenting the IAT course.

**5.2.5** A candidate for accreditation as an ETO shall provide, for review and approval by IATA, all administrative and operational documentation pertaining to IOSA, including manuals, handbooks, checklists, curricula, syllabi, and other documents that make reference to programs, systems, policies, processes and procedures, personnel, facilities and equipment.

**5.2.6** A candidate for accreditation as an ETO shall provide a completed curriculum vitae (CV) for each instructor proposed to conduct the IAT course.

**5.2.7** A candidate for accreditation as an ETO shall ensure each instructor proposed to conduct the IAT course is made available for a personal interview by IATA.

**Figure 5.1 ETO Accreditation Process Flow**



### **5.3 Observation and Monitoring**



**5.3.1** As part of the ongoing IOSA quality assurance review and on-site or remote monitoring program, an ETO, with appropriate coordination, shall agree to periodic:

- (i) evaluations by selected and trained IATA observers of training being conducted;
- (ii) reviews by IATA of all documentation and records associated with delivery of the IAT course;
- (iii) access by IATA, with prior notice, to personnel, facilities, equipment and other areas associated with the organizational administration and delivery of the IAT course;
- (iv) observations by representatives of parties approved by IATA.

### **5.4 Conflict of Interest**

**5.4.1** To preclude conflict of interest between its dual functions as an AO and ETO, an ETO shall have a business plan that ensures an allocation of training resources that incorporate the following:

- (i) a business plan and objectives that are independent and separate from the AO function;
- (ii) appointment of instructors who are impartial and objective and represent only the ETO when conducting IAT courses.

**5.4.2** An ETO shall have a process to ensure its function as an AO in no way conflicts or interferes with the scheduling or delivery of IAT courses. An ETO shall ensure the availability of sufficient resources to meet the requirements for IAT, to include:

- (i) instructors;
- (ii) management and administrative personnel;
- (iii) facilities;
- (iv) equipment;
- (v) any other resources required for the delivery of IAT.

**5.4.3** An ETO shall have a process to disclose a potential conflict of interest to IATA.

### **5.5 General Requirements**

**5.5.1** An ETO shall have processes to ensure:

- (i) as a minimum, one principal manager, designated by the ETO, attends all ETO Meetings arranged by IATA;
- (ii) as a minimum, one principal manager, designated by the ETO, and the ETO instructors, participate in ETO conference calls, which are arranged by IATA as determined by program requirements;
- (iii) compliance with and/or implementation of appropriate action in response to ETO Alerts and ETO Bulletins issued by IATA.



## **5.6 Organization and Management**

**5.6.1** An ETO shall have an organization and management system that supports effective delivery of the IAT course, including:

- (i) an Accountable Executive;
- (ii) clearly defined lines of managerial authority and responsibilities;
- (iii) documented administrative and operational policies, processes and procedures;
- (iv) provision of adequate resources including support staff, equipment and facilities;
- (v) managerial control, including oversight and quality assurance.

**5.6.2** An ETO shall maintain a current listing of key individuals within its organization associated with the IOSA program, to include associated contact information. A current listing shall be provided to IATA within thirty (30) calendar days following any revision to information contained therein.

## **5.7 Quality Assurance**

**5.7.1** An ETO shall have a quality assurance program that includes internal auditing to ensure all standards associated with IAT administration, documentation and course delivery are being met by the organization.

**5.7.2** An ETO shall appoint an official within its organization who has responsibility for the quality assurance program.

**5.7.3** An ETO shall have processes for providing control and surveillance of IAT Instructor performance to ensure objectivity, impartiality, standardization and overall adherence to IAT course standards.

## **5.8 Facilities and Resources**

**5.8.1** An ETO shall have sufficient human resources to effectively satisfy the following needs:

- (i) management and administration;
- (ii) computer and information technology support;
- (iii) IAT course presentation instruction;
- (iv) ongoing course development.



**5.8.2** The IAT course can be administered both, in virtual classroom mode or onsite. If the course is provided onsite, an ETO shall have access to suitable facilities and sufficient equipment to support the delivery of the course, which, as a minimum, shall include the following:

- (i) availability of air conditioned and well lit classroom space that will comfortably accommodate trainees over a five-day course;
  - (a) offering minimum two square metres per trainee, but not less than 20 square metres; and
  - (b) a screen used for presentations with a diagonal not less than 1/3 of the farthest trainee seating position in the room.
- (ii) work tables or desks and ergonomic chairs;

- (iii) data/overhead projector(s) and projector screen(s) and audio-video equipment;
- (iv) vertical writing media (flip charts, chalkboards, whiteboards, etc.).

**5.8.3** An ETO shall have business facilities and equipment that meets the following minimum requirements:

- (i) adequate fixed or modular office space, including conference area;
- (ii) dedicated office furniture for use by management and administrative personnel;
- (iii) network computer equipment, including internet facilities, firewall and electronic backup capabilities sufficient to support information technology needs;
- (iv) dedicated space and cabinets suitable for the secure retention of documents and records.

## **5.9 Documentation System**

**5.9.1** A stated requirement in this IPM for a system, policy, program, process, procedure, method or means shall mean that the stated requirement is documented by an ETO and such documentation shall include a description of the requirement and a clear assignment of responsibility for implementation.

**5.9.2** An ETO shall have a training manual, or equivalent document, that defines specific responsibilities within the organization and provides published policies, processes, procedures and other guidance applicable to the management, administration, conduct and oversight of the IAT course.

**5.9.3** An ETO shall have procedures to ensure that any manuals or documents relevant to IAT course content are valid and current.

**5.9.4** An ETO shall have a distribution process that ensures IAT instructors and other personnel associated with delivery of the IAT course have ready access to current editions of relevant IATA manuals and documents.

## **5.10 Records System**

**5.10.1** An ETO shall have a records system with defined procedures, resources and controls for the identification, storage, protection, security, retrieval, retention and disposal of all records associated with the IAT course.

**5.10.2** If an ETO uses an electronic records system, the ETO shall have a means to ensure a scheduled generation of separate back up files for records associated with IAT.

## **5.11 Instructor Qualification Prerequisites**

**5.11.1** An ETO shall have a selection process that ensures candidates for an IAT Instructor submit documented evidence to the ETO that verifies their professional background in terms of education, auditor certification or training, operational experience, audit experience and instructor experience. An approved IOSA Auditor that is a candidate for an IAT Instructor shall submit to the ETO:

- (i) a curriculum vitae (CV);
- (ii) certificates and/or documents that support information contained in the CV;
- (iii) evidence that shows the candidate is qualified and current as a IOSA Lead Auditor;
- (iv) evidence that shows the candidate has conducted a minimum of four (4) complete Audits under IOSA within the previous 12-month period, and is qualified as a Lead Auditor.

**5.11.2** An ETO shall have a selection process to ensure that, in addition to prerequisites set out in [IPM 5.11.1](#), candidates for IAT Instructor have a minimum of two (2) years experience as an instructor within the five (5) years prior to the date of consideration under the selection process. Such experience shall have been as an instructor delivering training in one of the following areas:

- (i) airline operational disciplines within the scope of IOSA;
- (ii) quality and/or operational auditing;
- (iii) SMS.

**5.11.3** An ETO shall have a process to ensure that at the time of Instructor Qualification Record (IQR) submission the IAT instructor candidate performance as IOSA auditor is below the control limit 1 as defined in the Auditor Quality Performance.

## **5.12 Instructor Initial Qualification and Approval**

**5.12.1** As part of the *initial* accreditation process, a candidate for accreditation as an ETO shall submit a list of proposed IAT Instructors to IATA. Proposed instructors shall accomplish each of the following qualification steps in order to establish the initial group of IAT Instructor(s) for the new ETO:

- (i) submit a curriculum vitae (CV) and personal references to the candidate ETO;
- (ii) meet Instructor Qualification Prerequisites in accordance with provisions contained in [IPM 5.11](#);
- (iii) at the discretion of IATA, complete a personal interview to verify the proposed instructor meets IPM prerequisites as specified in ii);
- (iv) conduct a portion of one (1) IAT course while under an acceptance evaluation by an IATA representative;
- (v) be approved by IATA as an initial IAT instructor.

**5.12.2** Only those IAT Instructor(s) accepted under the initial accreditation process in accordance with [IPM 5.11.1](#) shall be permitted to conduct the IAT course for a newly accredited ETO.

**5.12.3** An ETO shall have a process to ensure candidates for IAT Instructor selected subsequent to initial accreditation complete the following qualification process in order to become an approved IAT Instructor:

- (i) submit a completed curriculum vitae (CV) and personal references to the candidate ETO, as applicable;
- (ii) meet Instructor Qualification Prerequisites in accordance with provisions contained in [IPM 5.11](#);
- (iii) observe a minimum of one (1) complete IAT course, conducted by an approved IAT Instructor;
- (iv) conduct a minimum of one (1) complete IAT course, under the supervision of an approved IAT Instructor, or; conduct a portion of one IAT course (a minimum of three (3) days, to include day five (5) of the course) under the supervision of an approved IAT Instructor;
- (v) if required, receive additional training-to-proficiency during the qualification process;
- (vi) successfully pass a performance evaluation by an IATA representative;
- (vii) be accepted by IATA as an IAT Instructor.

*Notes:*

1. *Steps of this process shall be completed in sequence.*
2. *The performance evaluation will consist of a review of the course administration (preparation, execution and follow up) and a demonstration of skills through a training simulation session.*
3. *An instructor shall not be planned to conduct an IAT course without the supervision of an approved IAT instructor until approved by IATA.*

### **5.13 Instructor Continuing Qualification**

**5.13.1** An IAT Instructor shall maintain an IOSA Lead Auditor qualification while conducting IAT courses.

**5.13.2** An IAT Instructor shall conduct at least one (1) complete IAT course per calendar year (may be completed over multiple IATs).

**5.13.3** Intentionally open

**5.13.4** An IAT instructor that has not satisfied requirements set out in [IPM 5.13.1](#) and [5.13.2](#) shall no longer be considered qualified, and shall not be used by an ETO to deliver an IAT course.

**5.13.5** An instructor who has lost qualification by failing to meet the requirements set out in [IPM 5.13.1](#) and/or [5.13.2](#) shall re-establish approval as an IAT Instructor by satisfying either one of the following, as applicable:

- (i) conducting or observing a complete Audit in accordance with [IPM 5.13.1](#);
- (ii) conducting a portion of a complete IAT course with a minimum of three (3) days, to include day five of the course, under the evaluation of a qualified Instructor and be recommended to IATA;

### **5.14 Instructor Administration**

**5.14.1** An ETO shall have a process for forwarding amended information to IATA whenever the status of an IAT instructor has changed.

**5.14.2** An ETO shall have a process for maintaining the training and qualification records of IAT instructors. An IAT instructor qualification file shall, as a minimum, include the following:

- (i) up-to-date curriculum vitae (CV);
- (ii) licenses, certificates, diplomas, as applicable;
- (iii) documented evidence that supports competence and acceptance qualification prerequisites in accordance with provisions contained in [IPM 5.11](#);
- (iv) records of completion of initial and continuing qualification requirements.

**5.14.3** An ETO shall have a process for communicating with and distributing current and relevant information to IAT instructors.

## **5.15 IAT Course Administration**

**5.15.1** An ETO shall have procedures for delivery of the IAT course in accordance with guidance provided by IATA, to include the following:

- (i) course coordination and logistics;
- (ii) course scheduling;
- (iii) advanced assessment of course attendance in accordance with [IPM 5.15.2](#);
- (iv) assignment of instructor(s), including a contingency reserve;
- (v) registration of trainees;
- (vi) arrangements for suitable equipment and, as applicable, facilities as set out in [IPM 5.8.2](#);
- (vii) communication of pre-course notifications and information;
- (viii) provision of course materials;
- (ix) facilitation of travel and accommodations, as applicable;
- (x) invoicing and fee collection;
- (xi) communication of post-course information, including course results.

**5.15.2** An ETO shall have a process for making an advanced assessment of IAT course attendance prior to the scheduled start date of a scheduled course. The ETO shall:

- (i) determine if a sufficient number of trainees are planning to attend the course;
- (ii) if planned attendance appears to be insufficient, coordinate with IATA in making a determination whether a scheduled course should be cancelled or not;
- (iii) if planned attendance is sufficient, submit a list of trainees planning to attend the scheduled course to IATA, to include name and organization for each trainee;
- (iv) notify all affected parties immediately if a course is cancelled.

**5.15.3** An ETO shall have a process to ensure the current IOSA documentation is used for each IAT course, to include:

- (i) IAT syllabus/course materials;
- (ii) IOSA Program Manual (IPM);
- (iii) IOSA Standards Manual (ISM);
- (iv) IOSA Audit Handbook (IAH);
- (v) IOSA Checklists (including line and simulator observation checklists);
- (vi) a sample IOSA Report (IAR);
- (vii) IATA Reference Manual for Audit Programs (IRM);
- (viii) Instructor guidelines and exams.

**5.15.4** IATA shall revise and continually improve the IAT course, in coordination with the ETOs, to ensure training objectives are met and course delivery is consistent with provisions contained in applicable IOSA documentation. Any modifications to IAT training material will be done by IATA. Minor changes to the course content will be communicated to the ETOs whereas major changes will be subject to review and comment by the ETOs before finalization.

**5.15.5** An ETO shall have a process to ensure completed IOSA Auditor Training Feedback forms are:

- (i) returned from all trainees and instructors (as applicable), remain confidential; and
- (ii) forwarded to IATA.

## **5.16 IAT Course Curriculum**

**5.16.1** The IAT course is designed to familiarize an experienced aviation operational auditor with IOSA standards, Audit methodology, and documentation. IAT includes interactive training scenarios that offer trainees sufficient opportunities to practice the standardized IOSA auditing process.

**5.16.2** The IAT course curriculum shall address, but not be limited to, the following subject areas:

- (i) Introduction to the IOSA program objectives, principles, methodology and techniques;
- (ii) IOSA terminology;
- (iii) Legal aspects;
- (iv) IOSA manuals, including IPM, ISM, IAH and IRM;
- (v) Interpersonal Auditor skills;
- (vi) Interpretation of IOSA Standards and Recommended Practices (ISARPs) and application during and audit;
- (vii) The application of repeated ORG ISARPs and interlinked ISARPs;
- (viii) Audit evidences: Sampling, reviewing, examining and observing;
- (ix) Auditor Actions;
- (x) Auditing outsourced operational functions;
- (xi) Mandatory Observations;
- (xii) Auditing SMS;
- (xiii) IOSA Audit process and logistics;
- (xiv) Program Options;

## **5.17 Written Examination Administration**

**5.17.1** An ETO shall have procedures for administration of the written examination at the completion of the IAT course to measure the knowledge gained by each trainee.

**5.17.2** The ETO shall grade the written examination for each trainee and shall not declare completion of IAT until a trainee has achieved a passing grade. To successfully pass the written examination, the candidate shall achieve a grade of 80% or higher.

**5.17.3** A candidate that does not meet the requirement of [IPM 5.17.2](#) during the first written examination shall be afforded up to forty-five (45) calendar days to review training course material. At that time they shall be permitted one (1) additional opportunity for a second written examination. There will be a mandatory minimum waiting period of fourteen (14) calendar days before the second examination can be attempted. The second attempt can be written at the nearest IATA office (list of offices on IATA website) or it will be provided electronically through IATA. The method selected will be at the discretion of the candidate. IATA will inform the candidate and respective ETO about exam re-take results in a timely manner.

**5.17.4** A candidate's second unsuccessful attempt at the written examination shall result in the requirement to repeat the IAT course in its entirety, including successful completion of the final written examination.

*Note: The ETO can release a letter of attendance to those trainees that failed the exam.*

**5.17.5** The ETO shall forward IAT written examinations and results to IATA; appropriate certificates shall then be forwarded directly to the ETO by IATA (for subsequent issuance to each trainee). IATA will only issue the certificates once proof of payment for the candidate has been received.

## **5.18 Fees Administration**

**5.18.1** An ETO shall have a process for collection of all trainee fees prior to the delivery of an IAT course.

**5.18.2** An ETO shall have a process for the disbursement of funds owed to IATA in accordance with a schedule set forth by IATA.

**5.18.3** An ETO shall have a process for providing proof of payment for every candidate completing the IAT course to IATA.

## **5.19 Continual Improvement**

**5.19.1** An ETO shall have a program that strives to achieve continual improvement of IAT course delivery through implementation of action determined from analysis and evaluation of information from a combination of the following sources, as applicable:

- (i) Internal control and surveillance system;
- (ii) IOSA Auditor Training Feedback Program;
- (iii) AO/ETO/IOC Meetings;
- (iv) Questionnaires, surveys, complaints, and/or testimonials;
- (v) Communication with outside entities, including IATA, AOs, Auditors, and other ETOs.

## **5.20 Notifications and Submissions**

**5.20.1** An ETO shall have processes for providing written notifications to IATA as specified in applicable provisions in this IPM. Acceptable methods for such written notifications include email, fax or other method(s) agreed to by IATA.

## 5.21 Accreditation Renewal

**5.21.1** Renewal of the accreditation of an ETO shall be conducted on an annual basis, following an internal IATA review of the performance of the ETO. Such renewal shall be based on a determination by IATA that the ETO has:

- (i) fulfilled representations and warranties as set out in the ETO Accreditation Agreement;
- (ii) demonstrated continued conformity with applicable provisions in this IPM.

**5.21.2** The ETO shall provide IATA with completed organization and operational data (as per IATA relevant form(s)), not later than sixty (60) days prior to the accreditation expiry date.

## 5.22 Accreditation Termination

**5.22.1** The accreditation of an ETO shall be terminated by IATA prior to the expiry date of the Accreditation Agreement for program deficiencies that include, but are not limited to, one or more of the following:

- (i) a breach of terms of the ETO Accreditation Agreement;
- (ii) failure to demonstrate continued conformity with applicable provision in this IPM;
- (iii) non-payment of accreditation or other related fees;
- (iv) any factors deemed to be detrimental to the integrity or quality of the IOSA Program.

**5.22.2** The termination of the accreditation of an ETO by IATA shall include one or more steps, to include, based on the program deficiencies that exist:

- (i) issuance of a warning letter from IATA to the ETO;
- (ii) a recommendation for corrective action to be implemented by the ETO;
- (iii) observation of IAT courses conducted by the ETO;
- (iv) a written 30-day notice of accreditation termination.



INTENTIONALLY LEFT BLANK

## Section 6 The Operator's Responsibilities for IOSA Registration

### Purpose

There are a number of responsibilities that an Operator must undertake prior to and after undergoing an IOSA Audit. This section of the IPM is intended to highlight these responsibilities.

### 6.1 Pre Audit Preparation

**6.1.1** The following steps are considered essential to assist in making the IOSA Audit process a productive and seamless exercise:

- (i) download applicable IOSA manuals, IOSA Program Manual (IPM), IOSA Standards Manual (ISM) and IOSA Audit Handbook, from IATA website ([www.iata.org/iosa](http://www.iata.org/iosa)). New editions of the ISM are typically issued in April each year and are effective on the first day of the fifth month following the month of publication (1 September);
- (ii) ensure applicable company manuals, and subsequent revisions are approved and/or accepted by the regulator (as required), are assembled and made available during the Audit;
- (iii) ensure all company certificates are available (e.g. AOC, Ops specifications, etc) and all applicable aircraft meet applicable ISM requirements (refer also to [IPM 8.7.14](#));
- (iv) using the ISM, review each ISARP requirement and identify the company documentation, including sub references, which will cover the requirement (include manual revision and effective dates);
- (v) perform an initial internal audit or gap analysis, using the ISM checklists, to identify any non-conformities and verify that the internal documentation structure is adequate;
- (vi) plan the IOSA Audit in advance to have enough time to close potential internal findings.

### 6.2 IOSA Audit Planning

**6.2.1** Effective 1 January 2019, for initial registration Audits in accordance with [IPM 7.4.1](#) the Operator shall:

- (i) submit IOSA Application Form to IATA and pay Application Fee.
- (ii) notify IATA should the allocated AO be rejected by the Operator as per [IPM 7.11.5](#).
- (iii) once allocated with an AO by IATA, contact allocated AO.

*Note: The IOSA Application Form is available at [www.iata.org](http://www.iata.org).*

**6.2.2** The following steps shall be completed by an Operator in advance when planning their Audit:

- (i) for Registration renewal Audits, select an Audit Organization (AO). When selecting an AO, the Operator shall not select the AO which conducted the previous audit;
- (ii) consider an optional IOSA Preparation Visit (IPV) by the AO, for assistance with Audit preparation (refer to [IPM 8.2.7](#));
- (iii) provide the AO with operational profile information, as requested, to include the Pre-Audit Questionnaire;



- (iv) submit the AOC and Ops Spec to the AO and evaluate and inform/discuss with the AO which aircraft and/or fleet(s) could be out of the scope of IOSA, as defined in the ISM Introduction, which aircraft and/or fleet(s) may require a request for exemption in accordance with [IPM 7.1.9](#) and [IPM 7.1.10](#), or a request for operational exclusion in accordance with [IPM 7.1.5](#), [IPM 7.1.6](#) and [IPM 7.1.7](#);
- (v) provide the AO with a completed ISARP/internal documentation cross-reference list (ref [6.1.1 iv](#) above), including sub references, and any relevant operational documents, a minimum of four (4) weeks prior to the start of the Audit;
- (vi) ensure sufficient resources and logistical support are assigned during the Audit;
- (vii) ensure the AO is granted access to secure areas (e.g. security pass, ramp pass);
- (viii) liaise with the AO regarding the steps to obtain access to the audit software. The AO will then contact IATA;
- (ix) consider scheduling an IOSA Registration Renewal Audit no less than 90 days before the Registration Expiry Date;
- (x) ensure translators or interpreters are available if required;
- (xi) inform relevant service providers of the upcoming IOSA Audit sufficient time in advance, to ensure the AO has access to relevant service providers during the Audit;
- (xii) submit completed and up-to-date equipment lists to the AO minimum of two (2) weeks prior to the start of the Audit, as required by the AO and the IAH;
- (xiii) inform the AO of the type of internet access that will be provided during the on-site phase of the audit in accordance with [IPM 6.3.1 \(v\)](#).

*Note: The Audit must be performed at the operational headquarters or bases of the Operator where the majority of the relevant line personnel and management representatives are available. The Audit may not be conducted from a remote location, except for the assessment of remotely located and/or outsourced functions as specified in the IAH.*

**6.2.3** A request for exemption of aircraft and/or fleet(s) in accordance with [IPM 7.1.9](#) and [IPM 7.1.10](#) shall be submitted by the Operator's CEO or Accountable Executive, to IATA, as soon as it becomes known that aircraft and/or fleet exemptions will be required for a specific Audit, not no later than two weeks prior to the onsite Audit. The request for exemption of aircraft and/or fleet(s) shall state, as a minimum:

- (i) the rationale for the request, including the aircraft registration of all affected aircraft or the whole affected fleet and if applicable, the ISARP, audit process or operational requirements that are the subject of the request;
- (ii) that the affected aircraft and/or fleet(s) will not be utilized or returned to commercial operations for the entire duration of the new registration period without notification to IATA.

*Note: [IPM 6.2.3 \(ii\)](#) is not applicable for exemption requests in accordance with [IPM 7.1.9 \(iv\)](#).*

**6.2.4** Prior to seeking an operational exclusion, in accordance with [IPM 7.1.5](#), [IPM 7.1.6](#) and [IPM 7.1.7](#), the Operator shall provide an assessment of the risks associated with the operation that would lead to non-conformities with IOSA Standards. Such an application shall include the identification of applicable hazards and risk mitigation that will remain effective for the duration of the operational exclusion.

**6.2.5** In accordance with Schedule A of the current Audit Agreement, operators shall pay the full cost of an IOSA Audit directly to the AO.

**6.2.6** The Operator shall have the option to appeal without a stated reason the nomination of an Auditor that has been selected by the AO. In such a case, the AO shall replace the disputed Auditor prior to the start of the Audit. This right of refusal by the Operator shall apply to only one member of the Audit Team; the AO shall not be obligated to replace any other members of the team.

## 6.3 During IOSA Audit

**6.3.1** The Operator shall assist the AOs during an Audit by:

- (i) being open and honest;
- (ii) providing the AO auditors with unhindered access to facilities & personnel as required;
- (iii) ensuring the responsible operational managers & applicable staff, including managerial and non-managerial personnel as applicable, are available, when required, during the Audit;
- (iv) if required, provide translators or interpreters during the Audit.
- (v) providing reliable internet access to all IOSA auditors and at all relevant locations for the entire duration of the on-site audit, to accommodate the execution of the audit process.

*Note: In case the AO determines that a reliable internet connection in accordance with (v) is not available during the on-site audit phase, the AO might arrange alternative access to internet at the cost of the operator or terminate the audit in accordance with [IPM 8.9.1](#), if needed.*

## 6.4 Audit Follow-up

**6.4.1** Upon receipt of the Corrective Action Records (CAR)(s) from the AO, the Operator shall provide the AO with a comprehensive Corrective Action Plan (CAP) in the English language, to address each finding and/or observation within the time frame outlined in [IPM 8.7.13](#). The CAP shall include the Root Cause Analysis (RCA) and the Planned Corrective Action, as per [IPM 8.10.2](#). Before submitting the CAP to the AO, the Operator shall verify:

- (i) that a thorough Root Cause Analysis of the problem has been carried out and a root cause identified;
- (ii) that the planned corrective actions contain all details needed;
- (iii) that proper English spelling and grammar has been used;
- (iv) the completeness of all required areas of the CAP.

**6.4.2** The Operator shall keep the AO informed of the progress of implementation of corrective action(s) and provide full evidence and description(s) of corrective actions (e.g. documentation), clear descriptions of what changes were made and detailed evidence of implementation.

**6.4.3** The Operator shall enter root cause(s) and planned and final corrective actions(s) into the audit software.

**6.4.4** For a registration renewal Audit, the Operator shall inform the AO as soon as the need for a Interim Corrective Action is identified. Delayed requests for ICA can be grounds for denial of such requests.

### 6.5 Registration

**6.5.1** Following an Audit, the declaration of Audit closure by the AO is not the final step in the registration process. The IOSA Audit Report (IAR) must then be:

- (i) quality control checked by the AO;
- (ii) quality control checked, reviewed and then released by IATA.

**6.5.2** The Operator will be registered only after the process in [IPM 6.5.1](#) is completed.

### 6.6 Quality Control

**6.6.1** QC is dependent on a close working relationship between IATA, the AO, and the Operator, and is performed to ensure that the final IOSA Audit Reports (IARs) are all of a high standard, with error-free content.

**6.6.2** The Operator shall provide the AO with any information requested during the QC process, in a timely manner.

### 6.7 Registration Maintenance

**6.7.1** During the two (2) year registration period the Operator shall:

- (i) continuously monitor the conformity with IOSA standards via internal audits;
- (ii) inform IATA in case of any significant changes to the organization (e.g. operational or management, fleet changes, ownership changes, mergers, etc.) in accordance with [IPM 7.7](#);
- (iii) continuously monitor the IOSA website for the purpose of identifying Program-relevant changes and publications, including revisions to manuals as well as relevant alerts and bulletins in accordance with [IPM 1.3.2 \(i\)](#);
- (iv) as needed, actively communicate with the AO and provide any documents or evidence that the AO requests.

**6.7.2** Operators are required to report circumstances and conditions that significantly affect, or have the potential to significantly affect the management system and/or operations in accordance with [IPM 7.7.1](#) and within the time frames provided therein. Operators that did not report applicable circumstances in accordance with [IPM 7.7.1](#) to IATA on time, increase the likelihood of a Verification Audit in accordance with [IPM 7.7.4 \(ii\)](#).

## 6.8 Merge, Takeover or Acquisition of an Operator

**6.8.1** Operators planning a merge, takeover or any commercial arrangement which will result in a change to the AOC(s) or Operations Specification(s) shall provide the following information to IATA:

- (i) a description of the merge or takeover process for all involved operators on the IOSA Registry or undergoing IOSA, with specific details of the transfer of responsibilities to, from or between the Operators involved;
- (ii) specific dates for the transfer(s), issue, merging or revocation of all affected AOC(s) or Operating Specification(s), including effectivity dates, in accordance with [IPM 7.7.1](#);
- (iii) time lines for the transfer or merging of all operational functions and responsibilities and names of all new or revised operating entities.



INTENTIONALLY LEFT BLANK

## Section 7 IOSA Registration

### Purpose

The IATA Operational Safety Audit (IOSA) registration process is the formal method used by IATA to determine the operational fitness of an airline organization to be registered as an IOSA Operator on the IOSA Registry. The scope of the Audit is defined in the Introduction of the IOSA Standards Manual (ISM), under Part 4, “Applicability of ISARPs”. This section of the IOSA Program Manual (IPM) sets out standards for the IOSA registration process.

### 7.1 IOSA Registry

**7.1.1** The IOSA Registry is established and maintained by IATA for the purpose of providing an official listing of airline organizations that have achieved and are currently maintaining status as an IOSA Operator.

**7.1.2** To qualify for potential registration as an IOSA Operator, an airline organization shall conduct operations within the audit scope of the IOSA program. Membership in IATA is not a prerequisite for IOSA Registration.

**7.1.3** To be registered as an IOSA Operator, an airline organization shall have been audited by an accredited Audit Organization (AO), and shall have demonstrated operational fitness through conformity with IOSA standards.

#### *Auditing Fleets*

**7.1.4** A key IOSA program objective is to provide audits that clearly demonstrate the level of conformity with ISARPs for all aircraft within an operator's fleet(s). Therefore, the AO shall assess the entire fleet of each applicable aircraft type for conformity with ISARPs that specify aircraft equipment or operations.

**Exception:** Where an IOSA standard or recommended practice contains a conditional phrase that limits applicability to aircraft that are used to conduct a specific or unique type of operation (e.g. international flights, long-range overwater flights, passenger flights), the AO shall assess:

- (i) only those aircraft that are identified to conduct the type of operation specified; and
- (ii) the operator's process that ensures the identified aircraft are used to conduct the specified operation. Should exceptional local circumstances create difficulties in applying this objective, the AO shall contact IATA before the Audit for a joint assessment of the situation and options available.

#### *Operational Exclusions*

**7.1.5** IATA, at its discretion, may approve operational exclusions, whereby:

- (i) such exclusions identify defined segments of operations that are planned to be audited and will not conform to IOSA standards or that were audited and found not to be in conformity with IOSA standards;
- (ii) requests for such operational exclusions must be submitted by the AO in accordance with [IPM 2.12.3 \(i\)](#) and must include the Operator's risk assessment in accordance with [IPM 6.2.4](#).

**7.1.6** Segments of operations eligible for exclusion from the registration of an IOSA Operator in accordance with [IPM 7.1.5](#) shall be readily distinguishable from those operations that have been audited and found to be in conformity with IOSA standards. Operational exclusions shall be limited to:

- (i) specific route segments;
- (ii) other areas of operations that can be clearly and unmistakably defined and identified.

*Note: In accordance with IATA Board of Governors Decision 69 from BG/190, aircraft and/or fleets cannot be subject to exclusions anymore. Aircraft and/or fleets that cannot be upgraded to meet IOSA requirements are not permissible for either exclusions or exemptions from the IOSA process.*

**7.1.7** Operational exclusions as specified in [IPM 7.1.5](#) and [7.1.6](#) shall be:

- (i) requested by the AO in accordance with [IPM 2.12.3](#);
- (ii) approved at the discretion of IATA in accordance with [IPM 1.9.4](#);

**7.1.8** Operational exclusions as specified in [IPM 7.1.5](#) and [7.1.6](#) shall be removed only after:

- (i) the Operator's reporting of the operational changes in regards to the operational exclusions in accordance with [IPM 7.7.2](#) to IATA, and a subsequent Verification Audit of the defined operational segments that had been excluded; or
- (ii) a subsequent initial registration Audit in accordance with [IPM 7.4](#) or a subsequent registration renewal Audit in accordance with [IPM 7.5](#) has been conducted.

## **Aircraft And/Or Fleet Exemptions**

**7.1.9** IATA, at its discretion, may approve the exemption of an operator's aircraft and/or fleet(s) from the Audit process, or part thereof. Such exemption shall identify aircraft and/or fleet(s) that are within the IOSA Audit scope but cannot be included in the Audit process, or part thereof. Typical reasons for aircraft and/or fleet exemptions include, but are not limited to:

- (i) aircraft and/or fleet(s) which are grounded and in the process of being phased out from the Operator's AOC during the Audit;
- (ii) aircraft and/or fleet(s) which are in the process of being phased in, but not yet being operated during the Audit;
- (iii) aircraft and/or fleet(s) which are grounded and in long-term storage during the Audit.
- (iv) aircraft and/or fleet(s) which have incorporated an Airworthiness Directive issued by the State of Registry as a direct result of an Airworthiness Directive issued by the State of Manufacture/State of Design, which results or may result in a nonconformity with IOSA provisions, or part thereof.

**7.1.10** Aircraft and/or fleet exemptions as specified in [IPM 7.1.9](#) shall be:

- (i) requested by the Operator's CEO or Accountable Executive in accordance with [IPM 6.2.3](#);
- (ii) approved at the sole discretion of IATA in accordance with [IPM 1.9.4](#);
- (iii) identified in the IAR, for each aircraft registration, in accordance with the IAH.

**7.1.11** Aircraft and/or fleet exemptions as specified in [IPM 7.1.9](#) and [7.1.10](#) shall have such exemption(s) removed only after:

- (i) the Operator's reporting of the operational changes in regards to the exempted aircraft and/or fleets in accordance with [IPM 7.7.2](#) to IATA, and a subsequent Verification Audit of the affected aircraft and/or fleet(s) in accordance with [IPM 7.7.5](#); or
- (ii) a subsequent initial registration Audit in accordance with [IPM 7.4](#) or a subsequent registration renewal Audit in accordance with [IPM 7.5](#) has been conducted.



**7.1.12** Any aircraft within the scope of IOSA, which has been exempted and subsequently becomes operational while an Audit is still open, may be subject to a re-visit in accordance with [IPM 7.7.6](#).

## 7.2 Audit Expiration

**7.2.1** An Audit for initial registration shall have a limited period of validity and shall expire as an instrument for IOSA registration at 23:59 local time, at the location where the on-site portion of the Audit was conducted, on the date exactly sixteen (16) consecutive months following the date of the on-site closing meeting, notwithstanding any delayed adjournment of such meeting in accordance with [IPM 8.7.12](#) or extenuating circumstances in accordance with [IPM 7.5.9 \(i\)](#) (see [Figure 7.1](#)).

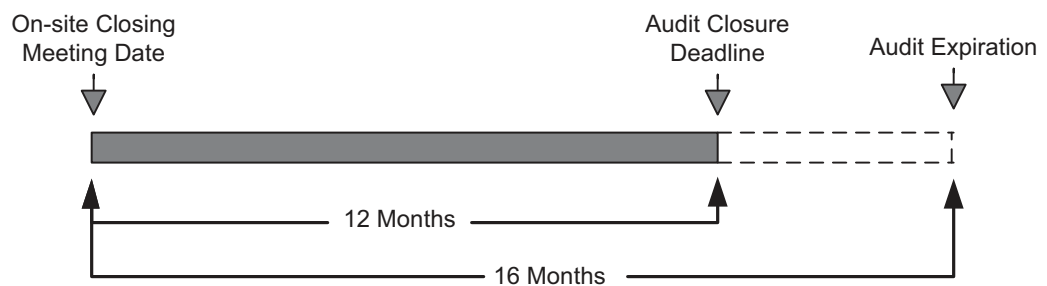


Should corrective action in accordance with the accepted Corrective Action Plan (CAP) not be implemented by the Operator, verified by the AO, and the IAR released by IATA prior to the above expiry dates, the Audit becomes invalid as a means for the Operator to be added or reinstated to the IOSA Registry.

*Note: The IAR must be submitted to IATA at least 15 calendar days before audit expiration to allow sufficient time for quality checks.*

**Figure 7.1 Initial Registration Audit Expiration**

### Initial Registration



**7.2.2** An Audit for a renewal of an existing registration shall have a limited period of validity and shall expire as an instrument for IOSA registration at 23:59 local time, at the location where the on-site portion of the Audit was conducted, on the date exactly one hundred twenty (120) consecutive days following the date of registration expiry, notwithstanding any delayed adjournment of such meeting in accordance with [IPM 8.7.12](#) (see [Figure 7.2](#)).

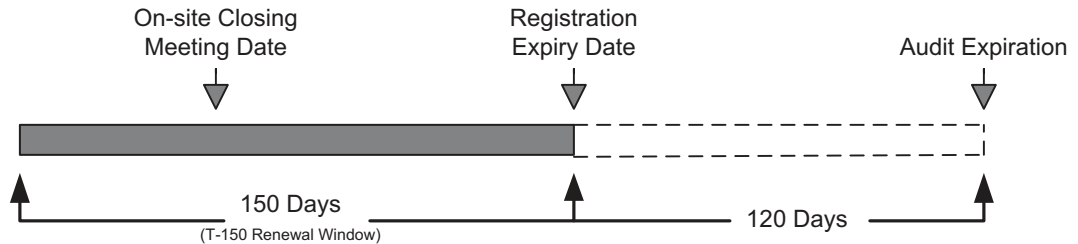


Should corrective action in accordance with the accepted Corrective Action Plan (CAP) not be implemented by the Operator, verified by the AO, and the IAR released by IATA prior to the above expiry dates, the Audit becomes invalid as a means for the Operator to renew the IOSA Registration.

*Note: The IAR must be submitted to IATA at least 15 calendar days before audit expiration to allow sufficient time for quality checks.*

**Figure 7.2 Registration Renewal Audit Expiration**

## Renewal Registration



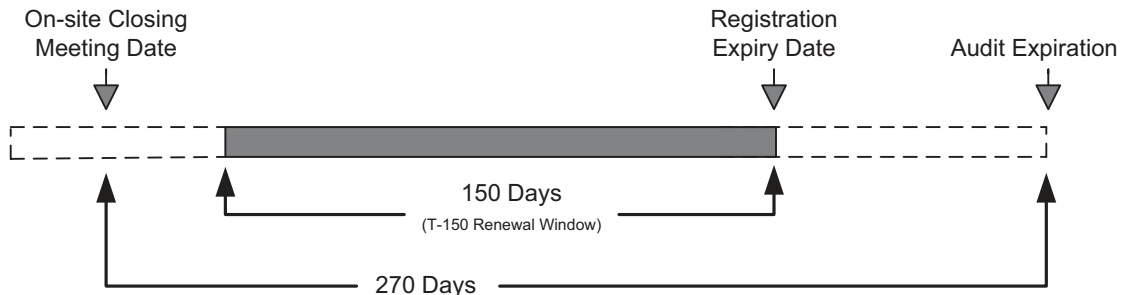
**7.2.3** An Audit for a renewal of an existing registration in accordance with [IPM 7.5.4](#) shall have a limited period of validity and shall expire as an instrument for IOSA registration at 23:59 local time, at the location where the on-site portion of the Audit was conducted, on the date exactly two hundred seventy (270) consecutive days following the date of the on-site closing meeting, notwithstanding any delayed adjournment of such meeting in accordance with [IPM 8.7.12](#) (see [Figure 7.3](#)).

Should corrective action in accordance with the accepted Corrective Action Plan (CAP) not be implemented by the Operator, verified by the AO, and the IAR released by IATA prior to the above expiry dates, the Audit becomes invalid as a means for the Operator to renew registration or to be reinstated to the IOSA Registry.

*Note: The IAR must be submitted to IATA at least 15 calendar days before audit expiration to allow sufficient time for quality checks.*

**Figure 7.3 Registration Renewal Audit Expiration**

## Early Renewal Registration Audit (before T-150)



**7.2.4** A Verification Audit in accordance with [IPM 7.7.5](#) shall have a limited period of validity and shall expire as an instrument for IOSA registration at 23:59 local time, at the location where the on-site portion of the Audit was conducted, on the date exactly one hundred twenty (120) consecutive days following the deadline date determined by the SVP, OSS specified in [IPM 7.7.5 \(v\)](#), notwithstanding any delayed adjournment of such meeting in accordance with [IPM 8.7.12](#) (see [Figure 7.4](#)).

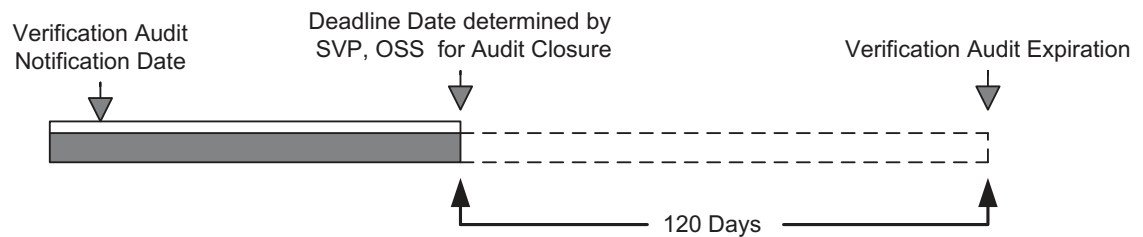
Should corrective action in accordance with the accepted Corrective Action Plan (CAP) not be implemented by the Operator, verified by the AO, and the IAR released by IATA prior to the above

expiry dates, the Audit becomes invalid as a means for the Operator to renew registration or to be reinstated to the IOSA Registry.

*Note: The IAR must be submitted to IATA at least 15 calendar days before audit expiration to allow sufficient time for quality checks.*

## Figure 7.4 Verification Audit Expiration

### Verification Audit



## 7.3 Registration Period

**7.3.1** The IOSA registration period shall be twenty four (24) months and, if not successfully renewed, expire at 23:59 local time on the expiry date at the location of the Operator as specified on the AOC.

## 7.4 Initial Registration

**7.4.1** An Operator shall only be added to the IOSA Registry after all findings, if any, have been closed through full implementation of corrective action in accordance with the accepted CAP and:

- (i) such implementation has been verified by the AO in accordance with provisions contained in [IPM 8.12](#);
- (ii) the AO has declared audit closure to the Operator in accordance with [IPM 8.13.1](#);
- (iii) the IOSA Audit Report (IAR) quality control processes have been completed in accordance with applicable provisions contained in [IPM 9.2](#), and, if applicable, been amended accordingly (see [Figure 7.7](#)).

**7.4.2** For initial registration of an IOSA Operator, the period of registration shall expire exactly twenty-four (24) consecutive months following the date of the on-site closing meeting. The exact time of such expiry shall be 23:59 local time on the expiry date at the location of the Operator as specified on the AOC (see [Figure 7.5](#)).

## 7.5 Registration Renewal

**7.5.1** An Operator that is currently registered as an IOSA Operator shall remain on the Registry and have such registration renewed when all findings, if any, resulting from a renewal Audit, have been closed in accordance with applicable provisions contained in [IPM 8.12](#) (see [Figure 7.6](#)).

**7.5.2** Except as provided in [IPM 7.5.5](#), the period of renewed registration for a current IOSA Operator shall become effective on the date that the current IOSA registration expires, and such renewed registration shall expire exactly twenty-four (24) consecutive months following the current expiry date. The exact time of such expiry shall be 23:59 local time on the expiry date at the location of the Operator as specified on the AOC.

## 7.5.3 For renewal of a current IOSA registration in accordance with [IPM 7.5.1](#) and [7.5.2](#):

- (i) the closing meeting of the on-site portion of the renewal Audit process shall not take place more than 150 calendar days prior to the expiry date of the Operator's current registration, in order to maintain the same registration anniversary;
- (ii) Audit closure notification and the IAR should be provided to IATA on the same date, no less than 15 calendar days prior to the current registration expiry date (refer to [IPM 8.13.3](#));
- (iii) if the IAR is submitted less than 15 days before the registration expiry date, completion of the QC process *may not be possible within the remaining time frame*. In such case, the registration expiry date for the Operator will only be updated once the required QC and final release process by IATA are complete and an annotation will be made to the Operator's registry in accordance with [Table 7.1](#).
- (iv) the Operator shall be removed from the IOSA Registry if a renewal Audit either:
  - (a) has not been conducted prior to the expiry date of the current registration; or
  - (b) has been conducted, but Audit Closure has not been achieved by the expiry date of the current registration, unless extenuating circumstances have been claimed and verified by IATA in accordance with [IPM 7.5.6](#) (see [Figure 7.9](#)).

### Notes:

1. [Figure 7.6](#), [Figure 7.8](#) Note 2 and [IPM 8.12.2 \(ii\)](#) contain statements advising that the Operator will be removed from the registry if Audit Closure is not achieved by the current registration expiry date. These statements should not be interpreted as an option to submit the IAR less than 30 days before the registration expiry date.

## 7.5.4 For renewal of a current IOSA registration, the Operator shall have the option to conclude the on-site portion of the Audit including the on-site closing meeting process *more than* 150 calendar days prior to the expiry date of the Operator's current registration; however, under such circumstances:

- (i) Audit Closure shall be achieved within 150 calendar days following the date of the on-site closing meeting;
- (ii) the Operator shall be removed from the IOSA Registry if Audit Closure is not achieved within 150 calendar days following the date of the on-site closing meeting, even if the previous IOSA Registration was still valid, unless extenuating circumstances have been claimed and verified by IATA in accordance with [IPM 7.5.6](#).

**Note:** The AO shall notify IATA as soon as it becomes certain that an early registration renewal Audit will take place.

## 7.5.5 In the case of a registration renewal Audit concluded *more than* 150 calendar days prior to the expiry date of the Operator's current registration, the period of renewed registration shall become effective 150 calendar days following the date of the on-site closing meeting and expire exactly twenty-four (24) consecutive months following that date. The exact time of such expiry shall be 23:59 local time on the expiry date at the location of the Operator as specified on the AOC.

### **Extenuating Circumstances**

**7.5.6** When it becomes known during the process that Audit Closure will not be achieved as specified in [IPM 7.4.1](#), [IPM 7.5.3](#) or [7.5.4](#), as applicable, a claim of extenuating circumstances may be submitted to IATA by the Operator or the AO. The validity of a claim of extenuating circumstances shall be determined by IATA, based on the history and background of the particular Audit process, uncompleted Audit activities, the status of open Findings and the prospects for Audit closure. (See [Figure 7.9](#))

*Note: For the definition of extenuating circumstances, refer to the IATA Reference Manual for Audit Programs.*

**7.5.7** Mandatory Observations of line flights and simulator sessions in accordance with [IPM 8.7.10](#) that have been scheduled in conjunction with the on-site portion of an Audit, but subsequently do not occur, shall be eligible for consideration under a claim of extenuating circumstances.

**7.5.8** In the event of a claim of extenuating circumstances during the registration renewal process, the Operator shall remain on the IOSA Registry until such claim can be evaluated by IATA.

**7.5.9** Should a claim of extenuating circumstances be validated by IATA, a revised deadline date shall be communicated by IATA to the Operator and the AO, that specifies when the Audit shall be closed and the IAR released by IATA. The revised deadline date shall be indicated on the IOSA Registry through an annotation in accordance with [Table 7.1](#), and:

- (i) for initial registration Audits in accordance with [IPM 7.4](#), the revised deadline date shall not exceed one hundred and twenty (120) calendar days from deadline date specified in [IPM 8.10.2 \(i\)](#);
- (ii) for registration renewal Audits in accordance with [IPM 7.5.3 \(vi\)](#), the revised deadline date shall not exceed one hundred and twenty (120) calendar days from the registration expiry date;
- (iii) for early registration renewal Audits in accordance with [IPM 7.5.4](#), the revised deadline date shall not exceed one hundred and twenty (120) calendar days from the deadline date in accordance with [IPM 7.5.4 \(i\)](#).
- (iv) for Verification Audits in accordance with [IPM 7.7.5](#), the revised deadline date shall not exceed one hundred and twenty (120) calendar days from the original deadline date for the Audit closure as communicated to the Operator.

#### **Notes:**

1. *If Audit closure and IAR release have not been achieved prior to the revised deadline date, the Operator shall be removed from the IOSA Registry.*
2. *The IAR must be submitted to IATA at least 15 calendar days before expiry of the extenuating circumstances deadline to allow sufficient time for IAR release.*

**7.5.10** A decision by IATA that a claim of extenuating circumstances is not valid shall result in the Operator being removed from the IOSA Registry, subject to the possible implementation of the IOSA Dispute Resolution process in accordance with [IPM 7.8.2](#).

**7.5.11** An IOSA Operator that has been removed from the Registry in accordance with *applicable* provisions contained in this [IPM 7.5](#) shall be subject to the possibility of reinstatement in accordance with provisions contained in [IPM 7.9](#).

## **Interim Corrective Action**

**7.5.12** A request for approval of interim corrective action shall be submitted to IATA by the AO in accordance with [IPM 2.12.3](#), as soon as it becomes known during or after an Audit, but before the submission of the IAR, that interim corrective action will be necessary to permit the closure of a finding of an Operator undergoing an IOSA registration renewal or verification Audit. The validity of a request for interim corrective action shall be determined by IATA based on the specification(s) contained in the relevant IOSA Standard, the prospects that implementation of permanent corrective action by the Operator to replace the interim corrective action will occur within the time period specified in [IPM 7.5.13](#), and eligibility criteria contained in IPM 8.10.6. No action related to the registration of the Operator shall be taken by IATA until a decision has been made on the request for Interim Corrective Action.

### **Notes:**

1. *In the case of Audits for which a claim of extenuating circumstances was validated by IATA in accordance with [IPM 7.5.9](#), a request for approval of interim corrective action is not possible.*
2. *Interim corrective actions are not allowed for the purpose of initial registration.*
3. *A request for Interim Corrective Action shall be made as soon as it becomes evident that Interim Corrective Action may be needed. Delays in making the request may lead to a denial of such a request.*

**7.5.13** In the event a request for interim corrective action is approved by IATA in accordance with [IPM 7.5.12](#), the Operator shall remain on the IOSA Registry and implement permanent corrective action to replace the interim corrective action. The registration with Interim Corrective Action is subject to the following conditions:

- (i) The registration of the Operator shall become provisional and a corresponding annotation shall be made to the Operator's registration in accordance with [Table 7.1](#).
- (ii) Permanent corrective action shall be implemented by the Operator, verified by the AO, and approved by IATA within a maximum time period of one hundred and twenty (120) days following the dates below:
  - (a) For registration renewal Audits in accordance with [IPM 7.5.3 \(vi\)](#), maximum 120 calendar days from the expiry date of the current registration;
  - (b) for early registration renewal Audits in accordance with [IPM 7.5.4](#), maximum 120 calendar days from the deadline date in accordance with [IPM 7.5.4 \(i\)](#);
  - (c) for Verification Audits in accordance with [IPM 7.7.5](#), maximum 120 calendar days from the original deadline date for the Audit closure as communicated to the Operator.
- (iii) The Operator shall be removed from the registry, if permanent corrective action is not implemented, verified and approved within the timelines above.

### **Notes:**

1. *In the case of Audits of affiliated Operators as specified in [IPM 1.5.4](#), the 120 calendar day period for the implementation and validation of a permanent corrective action shall commence following the expiry date of the Operator that performs the function related to the nonconformity being closed in accordance with [IPM 7.5.12](#).*
2. *Final corrective actions must be submitted to IATA at least 15 calendar days before expiry of the ICA deadline to allow sufficient time for quality checks.*

### **Transfer of Registration**

- **7.5.14** An IOSA Operator may submit a request for the transfer of the current registration to a new AOC for IATA's consideration. A request can be made provided one or more of the following conditions are fulfilled:
- (i) The new AOC is established with the majority of the organization, assets, policies, and operational procedures of the current AOC;
  - (ii) There is a high degree of commonality between the existing and new AOC;
  - (iii) The new AOC was the result of an administrative change in the corporate register, or there was a change of name of the company.
- **7.5.15** A review for a request for a transfer of registration may result in the temporary suspension of a registration, until the circumstances of the current and new AOC have been verified to the satisfaction of IATA. A request for a transfer of registration may result in a Verification Audit of the new AOC. The lifting of a temporary suspension of a transferred registration may be subject to the successful closure of a Verification Audit.

## **7.6 Registration Harmonization**

**7.6.1** In cases where there is a significant functional commonality of the operations of two or more operators, it shall be possible for such operators to realize long term audit efficiencies through a harmonization of registration periods. Such harmonization shall be established and maintained through audits conducted concurrently on each of the affected operators.

**7.6.2** Concurrent Audits of currently registered IOSA Operators, for the purpose of establishing harmonized registration periods in accordance with [IPM 7.6.1](#), shall be:

- (i) scheduled to ensure the registration period of any of the affected operators never exceeds 24 months as specified in [IPM 7.3.1](#);
- (ii) conducted during the 150-day period as specified in [IPM 7.5.3](#), as applicable, prior to the *first* registration expiry date of any of the affected operators.

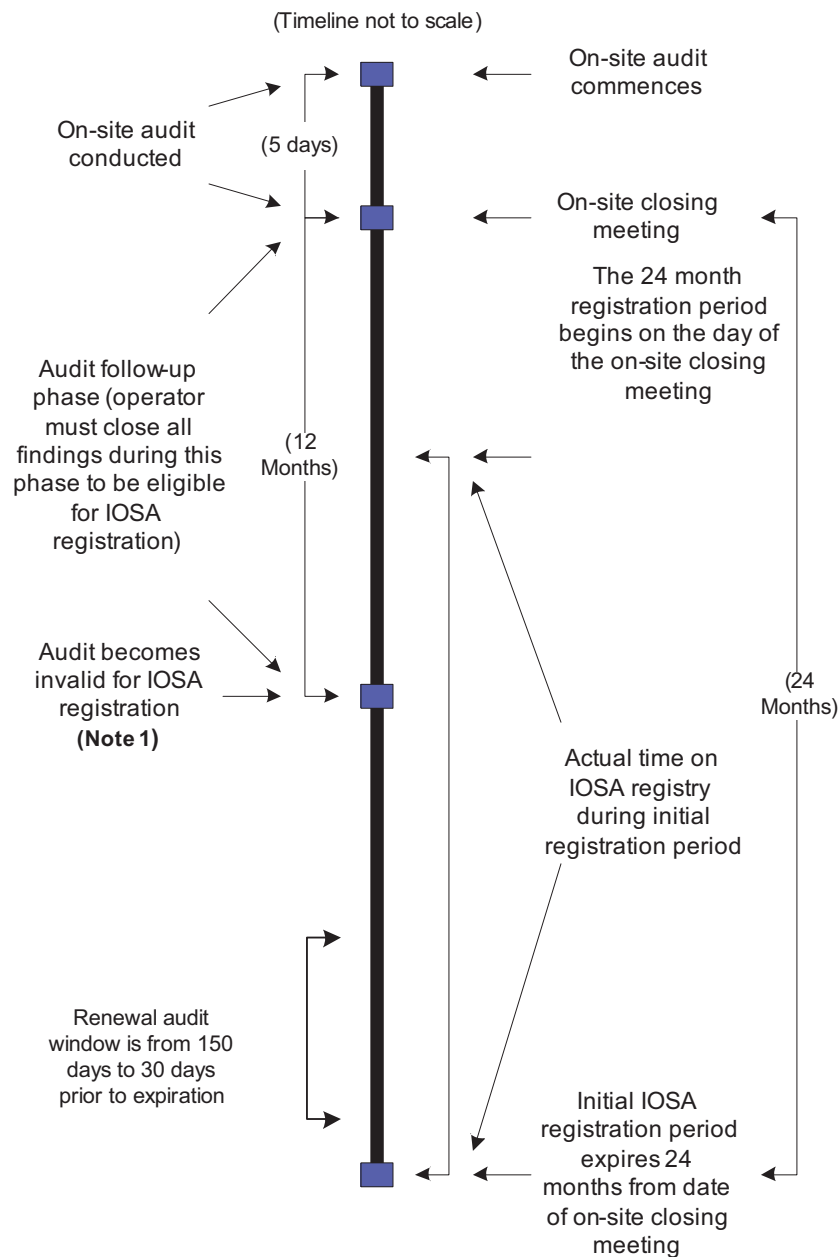
*Note: The establishment of harmonized registration periods will always result in the current registration period of one (or more) of the affected operators being reduced to less than 24 months.*

**7.6.3** When concurrent Audits of currently registered IOSA Operators are conducted for the purpose of registration harmonization in accordance with [IPM 7.6.1](#):

- △
- (i) Audit closure for each Audit shall be achieved no more than 150 calendar days following the date of the on-site closing meeting, or within a time frame that permits the IAR to be submitted to IATA by the AO no less than 15 calendar days prior to the *first* registration expiry date of any of the affected operators, whichever is the shorter time period;
  - (ii) the registration period of each of the affected operators (i.e. harmonized registration periods) shall all be effective on the *first* registration expiry date of any of the affected operators.

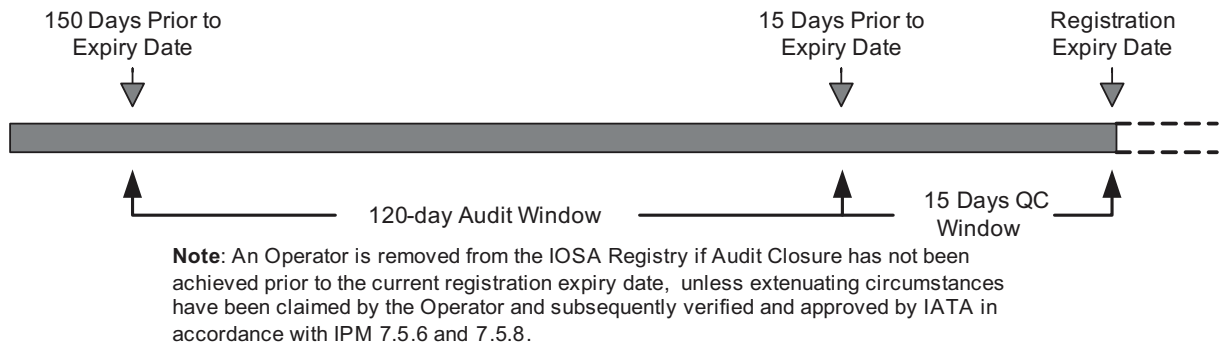
*Note: Findings not closed by the first registration expiry date of any of the affected operators will result in removal of the affected Operator from the IOSA Registry unless a claim of extenuating circumstances is verified by IATA in accordance with [IPM 7.5.6](#).*

**Figure 7.5 Initial IOSA Registration**



**Note 1:** An Operator is not eligible for IOSA registration if all findings have not been closed prior to 12-month audit invalidation date

**Figure 7.6 IOSA Registration Renewal**



## 7.7 Reporting Responsibility

**7.7.1** An Operator shall report to IATA any circumstances or conditions that significantly affect, or have the potential to significantly affect, the management system and/or operations of the Operator. Such report shall provide all details of a particular circumstance or condition and shall be forwarded to IATA immediately, but not more than seven (7) calendar days after the circumstance or condition becomes known to the Operator. Reports shall be sent to [iosa@iata.org](mailto:iosa@iata.org). Reportable circumstances or conditions, applicable to the IOSA Operator, shall include, but not be limited to any of the following:

- (i) cessation of operations;
- (ii) Air Operator Certificate (AOC) changes, such as:
  - (a) suspensions;
  - (b) revocation; or
  - (c) restrictions;
- (iii) changes to fleets/operations as follows:
  - (a) the addition of aircraft type(s) not being operated during the last IOSA Audit;
  - (b) commencement of any special operations that were not conducted during the last IOSA Audit (e.g. EDTO, etc.).
- (iv) measures imposed by a regulatory authority, such as;
  - (a) sanctions;
  - (b) refused authorizations or approvals; or
  - (c) bans and suspensions.
- (v) an event involving the operation of an aircraft that meets the criteria of a Serious Incident or an Accident as defined in ICAO Annex 13, Chapter 1, even if such event took place with an aircraft out of the scope of IOSA; or
- (vi) any takeover, merger, consolidation or other significant change to the management or operating structure of the organization; or

- (vii) financial difficulties, to include major and repeated deferrals of financial obligations, applications for protection from creditors or pending insolvency proceedings; or



- (viii) any other circumstance where IATA has requested additional information from the Operator.

**7.7.2** A registered IOSA Operator with exclusions as specified in [IPM 7.1.5](#) and [7.1.6](#), shall report to IATA within twenty (20) calendar days of completion, any operational changes directly relevant to such exclusions, to include, but not limited to, change(s) in the status of one or more of the following:

- (i) operations over excluded routes; or
- (ii) any other excluded area(s) of operations.



**7.7.3** The IATA Senior Vice President, Operations, Safety & Security (SVP, OSS) shall be notified when necessary and when circumstances or conditions relevant to an IOSA Operator (as specified in [IPM 7.7.1](#) or [7.7.2](#)) are known to IATA, whether reported by the Operator or from sources other than the Operator.

*Note: An Operator that did not report applicable circumstances in accordance with [IPM 7.7.1](#) to IATA on time, increases the likelihood of a Verification Audit in accordance with [IPM 7.7.4 \(ii\)](#).*



**7.7.4** IATA shall, once notified in accordance with [IPM 7.7.1](#), or once it has become aware of any situation which may require further clarification:

- (i) if needed, require the Operator to complete IATA's "Self Evaluation" Form, and return it to IATA within ten (10) calendar days from the date of receipt;
- (ii) consider the nature of circumstances and/or conditions and make a determination, in consultation with the Operator, as to the continuation, temporary suspension or provisional registration of the IOSA registration or removal of the Operator from the IOSA Registry or the conduct of a Verification Audit in accordance with [IPM 7.7.5](#). In case of temporary suspension or provisional registration, an annotation will be added on the IOSA Registry for the Operator in accordance with [Table 7.1](#).

*Note: The Airline Self Evaluation Form for reporting circumstances or conditions as per [IPM 7.7](#) can be found at: [www.iata.org/whatwedo/safety/audit/iosa/Pages/index.aspx](http://www.iata.org/whatwedo/safety/audit/iosa/Pages/index.aspx) and shall be sent to [iosa@iata.org](mailto:iosa@iata.org)*

### **Verification Audit and Re-Visit**



**7.7.5** At the discretion of the SVP, OSS, at any time in consideration of an Operator's operational circumstances outlined in [IPM 7.7](#), a Verification Audit may be required to ensure continuing conformity with the IPM and ISM. This Audit may be applied in conjunction with a registration suspension or provisional registration, as a way to determine if any subsequent action is required (i.e. Registry retention or removal).

- (i) The Verification Audit will be carried out by an AO selected by the SVP, OSS. Relevant criteria such as, but not limited to potential conflicts of interest of the AO, the AO's ability to conduct the Verification Audit within the required timeframe will be considered in the process to select an AO.
- (ii) At its discretion, IATA will specify the time period within which the Verification Audit must be conducted.

- (iii) The Operator shall have the discretion to opt for a registration renewal Audit in accordance with [IPM 7.5](#), instead of a Verification Audit within the time period specified above. In such case, the SVP OSS shall determine the AO in accordance with [IPM 7.7.5\(i\)](#) above.
- (iv) Depending on the circumstances, a full Audit may not always be necessary. The Audit scope shall be determined on a case-by-case basis, to be in-line with the desired purpose and goal of the Audit. IATA shall determine the auditor days to conduct the on-site phase of the Audit in accordance with [IPM 8.2.15](#) and shall define Focus Areas for the Audit as needed.
- (v) The closure period of any findings shall be limited to 90 days (maximum) following the closing meeting of the Verification Audit, unless the Operator has opted for a Registration Renewal Audit. The SVP, OSS reserves the right to adjust the closure period depending on the circumstances. In case not all findings are closed within the prescribed closure period, the Operator will be removed from the registry in accordance with [IPM 7.8](#).
- (vi) The cost of the Verification Audit shall be borne by the Operator.
- (vii) An annotation in accordance with [Table 7.1](#) shall be placed on the IOSA Registry for the Operator as soon as the Operator has been notified by IATA.
- (viii) The AO selected to perform the Verification Audit shall plan and conduct the Audit in accordance with the IAH, ISM and IPM (see [IPM 8.2.14](#)).
- (ix) An Operator shall be removed from the registry if the Verification Audit has not been conducted within the period specified in [IPM 7.7.5 \(ii\)](#).
- (x) Should the assignment of a Verification Audit coincide with the regular Renewal Audit window, the Audit Closure deadline may be extended beyond the current Registration Expiry Date, but shall not be more than 150 days following the Closing Meeting.



**7.7.6** At the discretion of the SVP, OSS, alternatively to a Verification Audit in accordance with [IPM 7.7.5](#), a re-visit or additional verification by the AO may be required, to ensure continuing conformity with the IPM. Such re-visit or additional verification shall:

- (i) only be possible if reported circumstances and/or conditions requiring a Verification Audit, re-visit or additional verification occur *before* the Audit closure of an initial registration Audit in accordance with [IPM 7.4](#) or a registration renewal Audit in accordance with [IPM 7.5](#);
- (ii) be conducted and be embedded in the Audit process and the Audit shall be closed in accordance with [IPM 7.4](#) or [IPM 7.5](#), as applicable;
- (iii) be planned and performed by the AO in accordance with [IPM 8](#), the IAH and ISM;
- (iv) findings and observations resulting from the re-visit or additional verification shall be closed in accordance with [IPM 8](#);
- (v) be coordinated between the AO and the Operator in accordance with the current Audit Agreement in place; and
- (vi) be at the cost of the operator.

*Note: The additional verification may be performed by the AO by requesting evidence from the Operator without an onsite re-visit, provided IATA has authorized the use of this method.*

## Registration Suspension

**7.7.7** An Operator shall be suspended from the IOSA Registry, if a situation has been identified which renders an Operator temporarily ineligible for the IOSA registry. An annotation in accordance with [Table 7.1](#) shall be added to the registry stating that the Operator is suspended until further notice. Situations that can lead to a suspension include, but are not limited to the following:

- (i) temporary suspension of an AOC by the Authority;
- (ii) temporary cessation of operations;
- (iii) any other situation which leads to a temporary inability of an Operator to meet eligibility requirements or to conform to the IOSA standards.

**7.7.8** The suspension of an Operator shall be lifted once the Operator has demonstrated to the satisfaction of IATA, that all eligibility requirements are fulfilled again. IATA reserves the right to require a Verification Audit prior to lifting a suspension. An Operator may be suspended for a maximum of six (6) months, after which time the Operator will be removed permanently.

## Registry Annotations

**7.7.9** IATA shall make annotations to the IOSA Registry as specified in [Table 7.1](#):

- (i) as a result of conditions and/or circumstances contained in [IPM 7.5.8](#), [IPM 7.5.13](#), [IPM 7.7.4](#), [IPM 7.7.5](#); or
- (ii) if an IOSA Operator is involved in dispute resolution in accordance with [IPM 7.8.2](#) and [IPM 11](#) that could affect IOSA registration;
- (iii) at its own discretion, for circumstances that have been identified through other means, and which justify an annotation in the interest of the IOSA program.

**Table 7.1 Registry Annotations**

	Reason	Annotation	Description
1	Extenuating Circumstances	"Due to extenuating circumstances, XXX will remain on the IOSA Registry until dd mmm yyyy."	Describes revised deadline to close all findings as a result of validated extenuating circumstances in accordance with <a href="#">IPM 7.5.8</a> .
2	Provisional registration	"Registration is provisional until further notice."	Describes provisional registration status of the Operator as a result of circumstances identified as specified in <a href="#">IPM 7.7.4</a> , <a href="#">7.7.7 (iii)</a> , or if an IOSA Operator is involved in dispute resolution in accordance with <a href="#">IPM 11</a> that could affect IOSA registration. During this period, the Operator enjoys full registration status. The annotation only indicates that the registration is provisional due to circumstances pending verification.
3	Registration suspension	"Registration has been suspended until further notice."	Describes the temporary suspension of an IOSA registration as a result of circumstances identified as specified in <a href="#">IPM 7.7</a> . During the period of suspension, the operator does not enjoy registration status. Upon removal of the temporary suspension, the Operator's registration will continue until its expiry.

	Reason	Annotation	Description
4	Verification Audit	"The Operator is undergoing a Verification Audit."	Describes the status of an Operator that is undergoing a Verification Audit in accordance with <a href="#">IPM 7.7.5</a> . During the period a Verification Audit is planned, performed or closed, the Operator enjoys full registration status. The statement will be removed from the Registry as soon as the Verification Audit is closed in accordance with Program rules.
5	Audit Report QC	"The IOSA Audit Report is pending quality control and necessary approvals."	Describes the status when an Operator's Audit has been declared closed by the AO, however the IAR QC and approval process has not been completed yet. This could be the case when the IAR has not been submitted to IATA prior to the registration expiry date, or if QC processes take more than average time to complete. In case of a renewal Audit, as described in <a href="#">IPM 7.5.3 (viii)</a> , the registration expiry date will not be updated until the required QC and final release process are complete. This annotation serves the purpose of informing that the IAR is pending QC and release.
6	Interim Corrective Action as per <a href="#">IPM 7.5.13</a>	"Registration is provisional due to Interim Corrective Actions"	Describes the status when the IAR contains one or more approved Interim Corrective Action(s). The annotation will remain as long as the Interim Corrective Action is active.
7	Early renewal in lieu of Verification Audit	"The Operator is undergoing an early renewal Audit in lieu of a Verification Audit."	Describes the status when a Verification Audit has been requested for an Operator and the Operator has decided to complete a full scope Audit as an early renewal Audit instead, in accordance with <a href="#">IPM 7.7.5 (iii)</a> .
8	Dispute resolution	"The Operator is involved in the Dispute Resolution process."	Describes the status when an Operator is involved in the Dispute Resolution process in accordance with <a href="#">IPM 11</a> . During this process, IATA may freeze the Operator's process described in <a href="#">IPM 7.4</a> , <a href="#">IPM 7.5</a> and <a href="#">IPM 7.2</a> , in accordance with <a href="#">IPM 11.2.4</a> .
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>Annotations to the Registry will be removed as a result of changes to the Operator's status and in accordance with this IPM.</li> <li>Multiples annotations are possible depending on the individual case. For example, if a registration is provisional and a verification audit has been planned, both annotations will be added.</li> </ol>			

## 7.8 Registration Removal

**7.8.1** An IOSA Operator shall be removed from the IOSA Registry in accordance with either:

- (i) applicable provisions contained in [IPM 7.5](#); or
- (ii) [IPM 7.7.4](#) or [IPM 7.7.5](#) when a determination of removal has been made by IATA;
- (iii) [IPM 7.7.8](#), if an Operator has been suspended for six (6) months;
- (iv) for failure to comply with IOSA Audit Agreement, Schedule A, Item 3 “Special Conditions”, the payment of the Audit Fixed Fees two weeks after the closing meeting of the on-site Audit.

**7.8.2** Should there be a defined disagreement associated with removal from the IOSA Registry between a registered IOSA Operator and either IATA and/or an AO, IATA shall not take any action to remove an Operator from the IOSA Registry until the appropriate IOSA Dispute Resolution process as described in [IPM Section 11](#) has been completed.

## 7.9 Registration Reinstatement

**7.9.1** An IOSA Operator that:

- △ (i) has been removed from the Registry in accordance with [IPM 7.5.3 \(vii\)\(b\)](#) shall be reinstated to the Registry once the AO has declared Audit closure, IATA QC has been completed and the IAR has been released within one hundred and twenty (120) calendar days following the registration expiry date;
- △ (ii) has been removed from the Registry in accordance with [IPM 7.7.5 \(v\)](#) shall be reinstated to the Registry once the AO has declared Audit closure, IATA QC has been completed and the IAR has been released within 120 calendar days following the deadline date of the VA;
- (iii) has been removed from the Registry in accordance with [IPM 7.5.3 \(vii\)\(a\)](#) or [IPM 7.7.5 \(ix\)](#) shall undergo an initial registration Audit in accordance with [IPM 7.4](#) leading to a new registration;
- △ (iv) has been removed from the Registry in accordance with [IPM 7.5.4 \(ii\)](#) shall be reinstated to the Registry once the AO has declared Audit closure, IATA QC has been completed and the IAR has been released within one hundred and twenty (120) calendar days following the deadline date in accordance with [IPM 7.5.4 \(i\)](#). The period of renewed registration shall be determined in accordance with [IPM 7.5.4 \(ii\)](#);
- (v) has been removed from the Registry in accordance with [IPM 7.5.9](#) shall undergo an initial registration Audit in accordance with [IPM 7.4](#) leading to a new registration;
- (vi) has been removed from the Registry in accordance with [Note 2 in IPM 7.5.13](#) shall undergo an initial registration Audit in accordance with [IPM 7.4](#) leading to a new registration.

**7.9.2** The registration of an Operator shall be reinstated only upon completion of the IAR Quality Control and approval process.

**7.9.3** Intentionally Left Open.

**7.9.4** An IOSA Operator that has been removed from the Registry in accordance with [IPM 7.8](#) may be required to undergo a full or partial Audit, as determined by IATA, to demonstrate operational conformity in accordance with [IPM 7.1.3](#) in order to regain registration as an IOSA Operator. Such Audit shall be performed by an AO designated by IATA.

## 7.10 IOSA Brand Promotion

**7.10.1** An IOSA Operator shall request and receive written authority from IATA prior to the issuance of any verbal statements or written material designed to promote IOSA registration for the purpose of commercial or competitive gain. Included would be any statements or material that use the IATA name, display the IATA logo and/or make reference to the Audit under IOSA, IOSA Standards and Recommended Practices (ISARPs), the IOSA Registry, or IOSA registration. Examples include, but are not limited to:

- (i) verbal or written media releases;
- (ii) media conferences and/or public statements;
- (iii) television, radio or printed media advertising;
- (iv) business cards, stickers or letterheads;
- (v) websites, email headers or footers;
- (vi) signs, notices, billboards or similar public displays;
- (vii) markings or decals on an aircraft or on aircraft equipment or components;
- (viii) markings, writing or decals on customer service material or items; or
- (ix) brochures, magazines, newsletters or other printed material.

### Notes:

1. *Use of the IATA logo by an IOSA Operator is strictly prohibited unless such Operator is a member of IATA*
2. *Use of the IOSA logo is prohibited. Exceptions may be made for press releases or other temporary publications, for which cases prior approval from IATA is required.*

**7.10.2** In accordance with the Audit Agreement, IATA reserves the right to correct any statement made, released or published by an operator that has been audited under IOSA or is on the IOSA Registry when such statement has been determined by IATA to be incorrect and/or misleading. If applicable, expenses associated with any such correction(s) shall be reimbursed to IATA by the audited Operator.

## 7.11 Allocation of Initial Registration Audits (Effective for Initial Registration Audits Conducted as of January 2019)



**7.11.1** Effective 1 January 2019, Initial Registration Audits as per [IPM 7.4.1](#) shall be subject to allocation by IATA to AOs, except in cases where the initial audit of an Operator is performed as an audit of an affiliated Operator in accordance with [IPM 8.2.6](#).

**7.11.2** IATA shall perform the allocation among the AOs in accordance with [IPM 7.11.1](#) on a rotational basis and take into consideration factors, including but not limited to conflict of interest, consecutive audits, sanctions, etc.

**7.11.3** IATA, at its discretion, may temporarily remove an AO from the allocation in accordance with [IPM 7.11.1](#).

**7.11.4** AO shall have the right to reject an allocated audit. In such case, AO shall not be allocated an Audit until the next allocation.



*Note: In case the AO's rejection is due to conflict of interest in accordance with [IPM 2.4](#), consecutive audits in accordance with [IPM 8.2.20](#), economic sanctions, and/or security concerns (based on official information such as governmental travel warnings), the AO shall be allocated the next available audit.*

**7.11.5** The candidate operator shall have the right to reject the AO chosen by IATA once. In such case, the next AO in the rotation shall be allocated the Audit in question, while the rejected AO shall be allocated the next Audit that becomes available.

**Figure 7.7 Initial IOSA Registration, Process Flowchart**

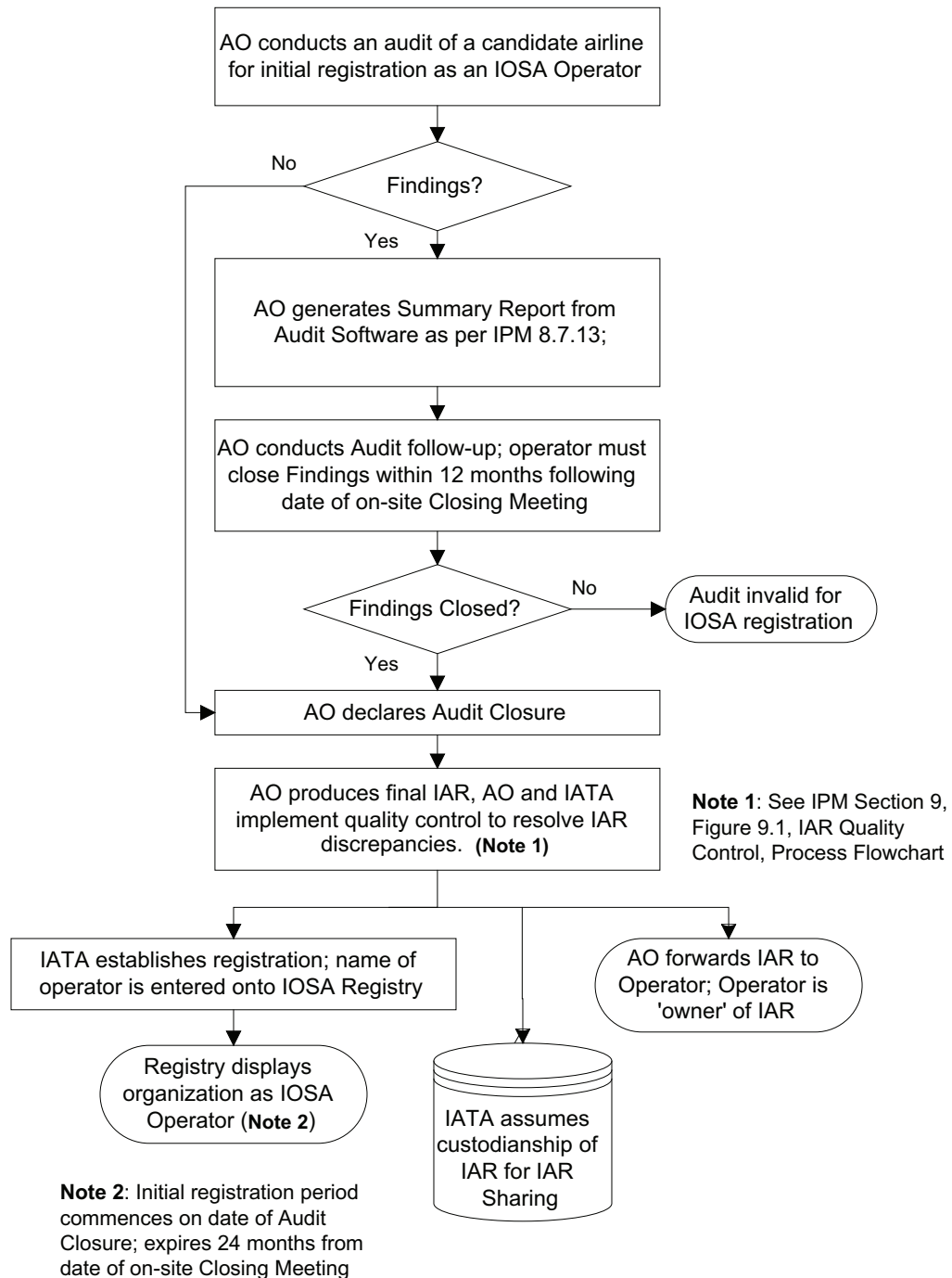
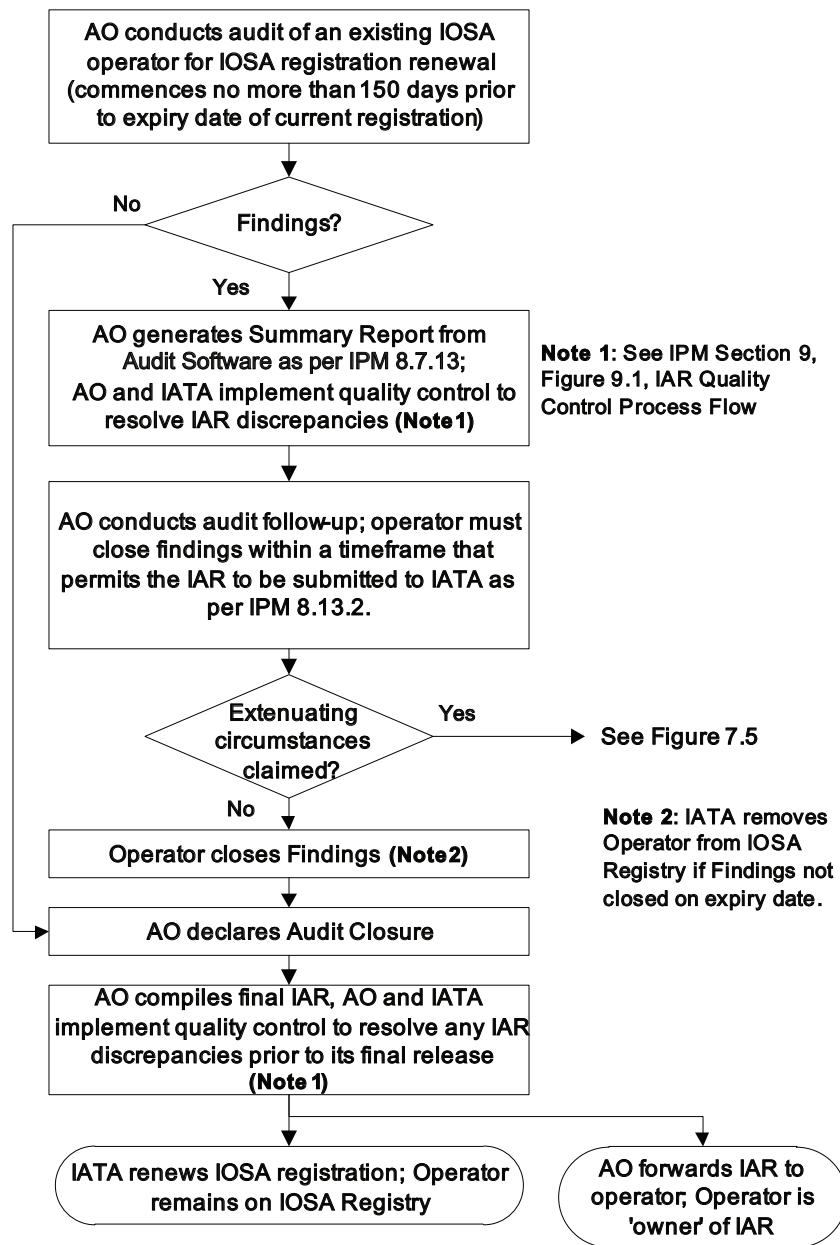
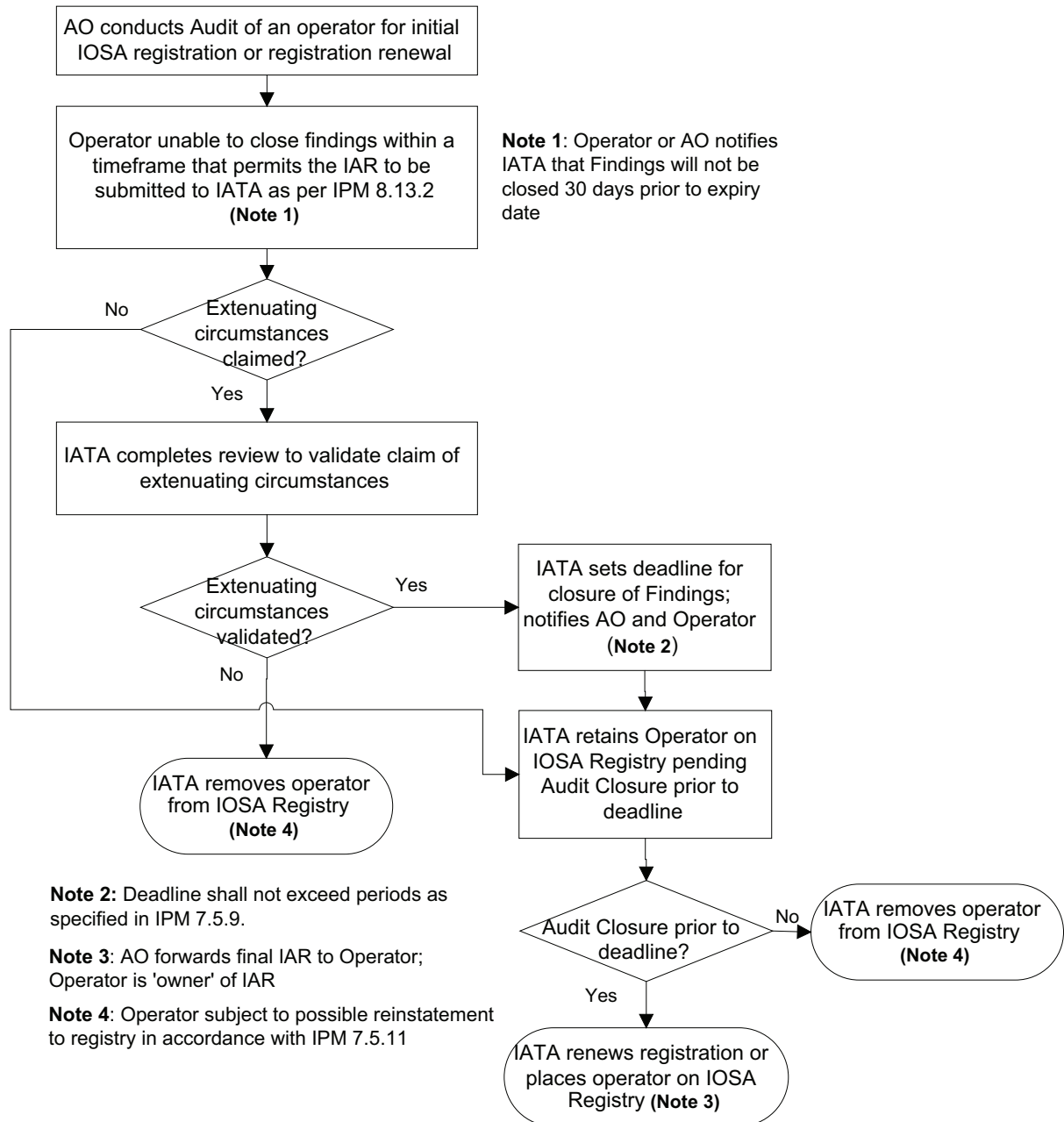


Figure 7.8 IOSA Registration Renewal, Process Flowchart



**Figure 7.9 Consideration of Extenuating Circumstances, Process Flowchart**





INTENTIONALLY LEFT BLANK

## **Section 8      Audit Program**

### **Purpose**

The Audit Program is the documented system, including policies, processes and procedures for implementation of an Audit under the IATA Operational Safety Audit (IOSA). This section of the IOSA Program Manual (IPM) sets out standards that provide the basis for an effective Audit Program.

### **8.1      Organization and Management**

**8.1.1**    The Audit Organization (AO) shall ensure the organization and management system specified in [IPM 2.6.1](#), clearly delineates authorities and responsibilities related to all aspects of the Audit program.

**8.1.2**    The AO shall have policies, processes and procedures to ensure effective implementation, control and standardization of the Audit program, in accordance with requirements contained in the IOSA Documentation System, including:

- (i)    planning an Audit;
- (ii)   selecting and assembling an Audit Team;
- (iii)   preparing for an Audit;
- (iv)   providing resources and logistical support;
- (v)    conducting an Audit;
- (vi)   terminating an Audit;
- (vii)   accepting a Corrective Action Plan (CAP);
- (viii) conducting Audit follow-up;
- (ix)   closing Findings;
- (x)    closing an Audit;
- (xi)   Auditor performance.

### **8.2      Audit Planning**

**8.2.1**    The AO shall have a planning process designed to ensure the Audit is conducted in an efficient and standardized manner. This process shall ensure the Audit objectives, which are establishing an Operator's level of conformity with all ISARPs, are achieved. The process shall ensure planning for each Audit takes into account, as a minimum:

- (i)    Audit scope and objectives;
- (ii)   Identification of the ISM Edition to be used for the audit;
- (iii)   Execution of the IOSA Audit Agreement;
- (iv)   status of the IOSA registration of the Operator;
- (v)    AO and auditor conflict of interest;

- (vi) the organization to be audited;
- (vii) Audit location(s);
- (viii) activities to be audited;
- (ix) availability of resources;
- (x) logistical requirements;
- (xi) cultural issues;
- (xii) language issues;
- (xiii) the candidate's eligibility to undergo an IOSA audit for audits allocated to the AO in accordance with [IPM 7.11](#).

*Note: The Audit must be performed at the operational headquarter or bases of the operator and may not be performed from a remote location, except for the assessment of remotely located and/or outsourced functions as specified in the IAH.*

**8.2.2** The AO shall have a process to enter into an agreement (the “Audit Agreement”) whenever an Audit is to be contracted (to include Verification Audits in accordance with [IPM 7.7.5](#)), which shall be made between IATA, the AO and the Operator (referred to as the “auditee”). The provisions of this IPM are, together with the provisions of the IOSA Standards Manual (ISM) and guidance from the IOSA Audit Handbook (IAH), and unless otherwise provided, incorporated by reference in the Audit Agreement and, in the event of any inconsistency between the terms of this IPM and the Audit Agreement, the Audit Agreement shall prevail to the extent of the inconsistency.

**8.2.3** The AO shall have a process to coordinate with the Operator to ensure the Audit Information portion of the IOSA Audit Summary specifies the edition of the ISM to be used as the basis for the Audit.

**8.2.4** The AO shall have a process to ensure the Operator is supplied with an executed Audit Agreement prior to the scheduled start date of the on-site phase of an Audit (opening meeting).

**8.2.5** The AO shall have a process to ensure an Audit of a single Operator is planned for a minimum usage of thirty (30) auditor days, which includes:

- (i) Twenty five (25) auditor days for the conduct of the on-site phase of the Audit;
- (ii) Three (3) auditor days for Audit preparation;
- (iii) Two (2) auditor days for Audit follow-up.

**Notes:**

1. *Any planned usage of less than 30 auditor days for an Audit shall require written approval from IATA.*
2. *If necessary, the AO may increase the auditor days for the on-site or follow-up phases of the Audit in accordance with the executed Audit Agreement.*

**8.2.6** The AO shall have a process for scheduling and conducting Audits of one or more affiliated Operators that have a significant level of shared operational functions. Such process shall be in accordance with the IAH, utilize the IATA form for the Audit of affiliated Operators and ensure the AO:



- (i) schedules the Audits to be conducted either:
  - (a) sequentially (one immediately after the other); or
  - (b) simultaneously (both at the same time).
- (ii) provides applicable notifications and submissions to IATA as in accordance with [IPM 1.5.4](#) and [IPM 2.12](#) and not after the submission of an executed Audit Agreement in accordance with [IPM 2.12.1](#);
- (iii) provides an advanced written notification to IATA for approval a minimum of four (4) weeks before the planned start of the first Audit, and such notification contains details specific to the Audits, to include:
  - (a) the total number of Auditor days to conduct the Audit;
  - (b) the number of line (FLT and CAB) and simulator observations;
  - (c) a description of the relationship and operational functions shared between/among the affiliated Operators.
- (iv) provides an overview in the Executive Summary of the IAR that describes the:
  - (a) shared operational functions of the affiliated Operators;
  - (b) time frame in which the Audits were conducted.

*Note: IATA reserves the right to request the AO to provide additional auditing as specified in [IPM 1.5.4](#).*

**8.2.7** The AO shall have a process for conducting an IOSA Preparation Visit (IPV), which is a preliminary activity at the operator's discretion that would be accomplished only upon mutual agreement between AO and Operator in advance of the on-site assessment phase of the Audit. An IPV shall provide guidance that will assist the Operator in preparing itself for an Audit, and shall not include any activities with respect to the operations of the Operator that could be construed as a conflict of interest associated with consulting services as set out in [IPM 2.4](#). The AOs shall use the IATA standard presentation for all IPVs, structured to provide the operator with the understanding of:

- (i) IOSA concepts, including terminology, documentation and Audit objectives;
- (ii) the complete Audit process from initial preparation through IOSA registration;
- (iii) the ISM and the emphasis on management and control of operations, particularly with respect to outsourced functions;
- (iv) techniques for conducting self-preparation activities (e.g. the operator performing their own gap analysis via internal audit information).

The duration of an IPV shall be limited to one working day by one person, conducted by a qualified auditor or a person very familiar with the IOSA Program. The person conducting the IPV may participate in the audit of the Operator, if suitably qualified.

*Note: An IPV is not a mandatory requirement of the IOSA program. It is intended as an opportunity for the AO to guide the operator through the expectations of an IOSA audit. An IPV being used to perform pre-audit activities would be a clear conflict of interest. An IPV being used to perform other types of pre-audit activities not related to audit preparation would be a clear conflict of interest.*

**8.2.8** In accordance with [IPM 2.4](#), an AO shall not conduct an audit on an Operator for which it has provided any form of consultancy that is within the operational scope of IOSA, within the previous two years.

*Note: The operational scope of IOSA referred to in [8.2.8](#) above shall be defined as follows. Any content or material relating to the content of ISM, IAH which is provided as training courses or material, or as content of consultancy services.*

**8.2.9** The AO shall have a process to communicate and coordinate with the Operator sufficiently in advance of the Audit to identify those Mandatory Observations listed in the IAH.

**8.2.10** If authorization from the local aviation authority is required for access to the flight deck jump seat for the observation(s) of flight deck operations during a line flight in accordance with requirements in the IAH, the AO shall have a process to ensure the name of the individual FLT Auditor that will conduct such observation(s) is provided to the Operator no less than 30 calendar days prior to beginning of the on-site assessment phase of the Audit.

**8.2.11** The AO shall provide the Operator with the names of the members of the Audit Team that have been selected in accordance with provisions contained in [IPM 8.3](#).

**8.2.12** Once the scheduled audit process has begun, an AO shall have a process to notify IATA immediately should there be any significant changes to the scheduled activities associated with that Audit.

**8.2.13** In the case of an Audit for the renewal of an IOSA registration, the planning process of the AO shall ensure the Audit is scheduled such that:

- (i) the on-site closing meeting does not take place more than 150 calendar days prior to the expiry date of the Operator's current registration:
- (ii) under normal circumstances, the IAR should be submitted to IATA no less than 15 calendar days prior to the expiry date of the current registration.

**8.2.14** The AO shall ensure that Verification Audits in accordance with [IPM 7.7.5](#) are:

- (i) implemented in accordance with [IPM 8.1.2](#);
- (ii) conducted in accordance with [IPM 2.12.1](#) and [IPM 8.2.2](#);
- (iii) conducted with changes to the Audit scope as described in [IPM 7.7.5](#);

**8.2.15** As a result of a determined Verification Audit or re-visit in accordance with [IPM 7.7.5](#) or [IPM 7.7.6](#), the AO shall have a process to provide IATA with the following upon request:

- (i) a list of identified ISARPs to be included in the Verification Audit in accordance with the determined Audit scope and purpose; and
- (ii) an estimate of the auditor days as a result of the determined Audit disciplines.

**8.2.16** The AO shall ensure that re-visits, in accordance with [IPM 7.7.6](#), are:

- (i) performed in accordance with [IPM 8.1.2](#);
- (ii) conducted under audit agreements that are already in place in accordance with [IPM 2.12.1](#) and [IPM 8.2.2](#).

**8.2.17** When planning an IOSA Audit in accordance with [IPM 8.2](#), the AO shall ensure:

- (i) an Audit is not planned if the on-site phase of the Audit or a portion of it as specified in [IPM 8.2.5 \(i\)](#) cannot take place at the operator's headquarters; and
- (ii) IATA is notified within twenty-four hours of the moment when it becomes known to the AO during the audit planning phase that the on-site phase cannot take place as specified in (i).

**8.2.18** The AO shall ensure that the assigned twenty-five (25) on-site auditor-days in accordance with [IPM 8.2.5](#) shall not be used for the conduct of IAR QC activities. The AO and the Audit Team shall ensure that the prescribed minimum of twenty-five (25) auditor-days are utilized for the following activities:

- (i) Conduct of the opening meeting;
- (ii) the assessment of all ISARPs by utilizing the Auditor Actions and recording of the assessment in the audit software;
- (iii) the performance of all applicable mandatory observations utilizing the checklists provided by IATA; and
- (iv) the preparation and conduct of the closing meeting. The preparation of the closing meeting needs to be limited to essential coordination and administration tasks.

**8.2.19** The AO shall:

- (i) plan auditing activities until as late as possible on the last day of the audit;
- (ii) hold the on-site closing meeting as close as possible to the Close of Business of the Operator; and
- (iii) ensure that on-site QC activity must not form part of the auditing schedule of the auditors.

**8.2.20** When conducting an Audit, the AO shall ensure that it has not conducted the previous Audit of that Operator, even in such a scenario where the Operator may have not closed that previous Audit. AO shall ensure that no Auditor who has participated in the previous Audit of the Operator (e.g. an Auditor working for more AOs) is part of the team that will perform the upcoming audit.



**8.2.21** The AO shall ensure that the Audit is planned for a week where the Operator has active flight operations. Any audit taking place during a time period without active flight operations will require IATA's approval. Such approval shall be requested even if all audit activities can be completed within officially published deadlines.

## 8.3 Selecting and Assembling Audit Teams

**8.3.1** The AO shall have a process to ensure an Audit Team comprises only fully qualified Auditors that are on its list of approved IOSA Auditors.

**8.3.2** The AO shall have a program for auditor training during an Audit, which permits a trainee to participate in the conduct of an Audit only when under the direct supervision or observation of a fully qualified and approved IOSA Auditor, Lead Auditor, or Evaluator. The responsibility for development of findings and observations shall always be that of the qualified IOSA Auditor.

**8.3.3** The AO shall have a process to permit an individual to observe the on-site activities of an Audit Team; however, the presence of such an observer shall be coordinated in advance with the Operator and other relevant parties, as applicable.

**8.3.4** The AO shall ensure the process for selection of Audit Team members takes into account:

- (i) Audit scope and objectives;
- (ii) auditor potential conflict of interest;
- (iii) size of the organization to be audited;
- (iv) location(s) and activities to be audited;
- (v) previous audit history of the organization to be audited, if known;
- (vi) cultural environment(s) and language(s) spoken;
- (vii) requirements for specialized operational and/or audit skills;
- (viii) appropriate blend of auditor experience levels.

**8.3.5** The AO shall have a process for designating a Lead Auditor for each Audit that takes into account considerations in [IPM 8.3.4](#), and also considers the total experience and competency of Audit Team members.

**8.3.6** The AO shall ensure that an Audit Team comprises, as a minimum, two current FLT Auditors, in order to complete the audit of the FLT section over a minimum of five on-site auditor-days (mandatory observations excluded). This provision is not applicable for audits of affiliated Operators in accordance with [IPM 8.2.6](#) or Verification Audits with reduced scope in the FLT section in accordance with [IPM 7.7.5](#).

**8.3.7** The AO shall ensure that no Auditor who has participated in the previous Audit of the Operator (e.g. an Auditor working for more AOs) is part of the team that will perform the upcoming audit.

## 8.4 Audit Preparation

**8.4.1** Once an Audit is planned, the AO shall have a process for establishing communication with the Operator to identify and coordinate logistical and operational needs associated with implementation of the Audit.

**8.4.2** The AO shall have a process to request access to previous IOSA Audit Reports (IARs) from IATA in accordance with [IPM 9.9.5](#), when preparing to audit an organization that is currently a registered IOSA Operator.

**8.4.3** The AO shall have a process for preparing an audit plan detailing all requirements necessary for a successful Audit. Such audit plan shall address:

- (i) Audit scope and objectives;
- (ii) general audit methodology, including audit report and follow-up;
- (iii) identification of ISARPs not applicable to the Audit, including Standards suspended for special review, if any (refer to [Figure 1.4](#));

- (iv) dates and locations for the Audit and associated activities, considering relevant outsourced functions and their locations and bases, as applicable;
- (v) roles and responsibilities of the Audit Team;
- (vi) identification of trainees and/or observers that may accompany the Audit Team;
- (vii) key points of contact of AO and Operator;
- (viii) working arrangements with representatives of Operator;
- (ix) resource and location requirements;
- (x) logistical requirements and arrangements;
- (xi) cultural issues;
- (xii) any need for translators or interpreters;
- (xiii) operations with the potential for being excluded from the registration of the Operator;
- (xiv) other requirements, as necessary.

**8.4.4** To enhance preparation for an Audit, the AO shall have a process to ensure that each Auditor in the Audit Team invests at least one half day preparation time for the Audit. The Lead Auditor shall invest at least one (1) full day for preparation. The preparation shall include a review of relevant information and documentation from the Operator as far in advance of the Audit as possible, including but not limited to:

- (i) the Operator's Air Operator Certificate and all applicable Operations Specifications;
- (ii) relevant operational documents;
- (iii) completed and submitted equipment tables and pre-audit questionnaire in accordance with IAH and [IPM 6.2.2 \(iii\) and \(xii\)](#);
- (iv) the previous IARs if applicable;
- (v) the regulatory environment of the Operator;
- (vi) any significant operational or management changes occurred since the last Audit;
- (vii) the identification of outsourced functions;
- (viii) potential regulatory sanctions and/or safety concerns;
- (ix) any other relevant information.

**8.4.5** The AO shall ensure each Auditor in the Audit Team completes a pre-assessment of applicable Standards and Recommended Practices prior to the on-site Audit in accordance with requirements in the IAH. Such pre-assessment shall be recorded in the Audit Software prior to the on-site Audit.

**8.4.6** To assist the Audit Team in assessing IOSA documentation requirements, thus enhancing audit efficiency and reducing audit time, the AO shall coordinate with the Operator for provision of a detailed list of references from its own documentation system that correspond to ISARPs as described in [IPM 6.2.2 \(v\)](#).

**8.4.7** The AO shall evaluate the language capabilities of the personnel employed by the Operator. Based on a determination of the language spoken, as well as the language used in some or all operational documentation, the AO shall ensure the on-site availability of an appropriate complement of competent and objective translators and/or interpreters.

**8.4.8** The AO shall have a process to assemble the full Audit Team prior to the Opening Meeting of the Audit for the purpose of preparing team members to conduct the Audit in a coordinated and efficient manner. Such a process shall include a preparatory meeting of the full Audit Team to:

- ☐ (i) review the audit plan;
- ☐ (ii) review latest AO and IOSA Program documentation updates and changes;
- (iii) discuss roles and responsibilities;
- (iv) coordinate a strategy and procedures for effective teamwork during the Audit;
- ☐ (v) review most common errors and trends affecting the assessment of ISARPs (QA/QC);
- (vi) ensure a contingency plan is in place.

*Note: If the Audit is planned to take place in different locations, the assembling of the full Audit Team may be substituted with a verbal briefing of each team member by the Lead Auditor.*

## 8.5 Providing Resources and Logistical Support

**8.5.1** In addition to having the capability for provision of its own resources to support the Audit team, the AO shall have a process that ensures communication with the Operator in sufficient time prior to an audit to identify and coordinate the availability of all on-site resources and facilities necessary for implementation of the Audit.

**8.5.2** The AO shall provide necessary logistical support for the Audit Team, including arrangements for scheduling, communication, travel, lodging, financial, medical and any other support necessary to ensure efficient and successful audit implementation. In particular, the AO shall ensure travel arrangements are such that Auditors arrive on site in a fit state for duty.

**8.5.3** The AO shall provide an official identification badge for each member of the Audit Team and further ensure each team member:

- (i) is in possession of an identification badge;
- (ii) displays the identification badge at all times when conducting the on-site assessment phase of the Audit.

*Note: If the Operator provides or requires its own identification badges, this provision is not applicable.*

**8.5.4** The AO shall have a process to ensure each member of the Audit Team is supplied with and always has the required IOSA documents at his or her immediate disposal during the conduct of an Audit. Each member of the Audit Team shall possess:

- (i) current and applicable sections of the ISM relevant to the specific operational area(s) to be audited;
- (ii) current and applicable IOSA checklists relevant to the specific operational area(s) to be audited;
- (iii) current and applicable versions of all other relevant IOSA documents.

## 8.6 Opening Meeting

**8.6.1** The AO shall have a process for the conduct of a formal opening meeting with the Operator's management team at the beginning of the on-site assessment phase of the Audit. The spokesperson for the Audit Team shall be the designated Lead Auditor. The opening meeting shall have attendance recorded, and be conducted in accordance with requirements specified in the IAH.

## 8.7 Conducting the Audit

**8.7.1** The AO shall ensure Auditors:

- (i) correctly use the IOSA checklist and are proficient in completing the checklist in accordance with procedures and guidance contained in the IAH;
- (ii) apply effective methods for gathering of objective evidence during an Audit, to include proficiency in interviewing, reviewing documentation, observing activities and noting operational conditions;
- (iii) establish conformity based on the degree to which the Operator has documented and implemented specifications contained in the ISARPs;
- (iv) understand the need and are competent to conduct Mandatory Observations during every Audit as specified in the IAH;
- (v) identify all outsourced functions and assess conformity with associated ISARPs by determining the level of documentation and implementation in accordance with the IAH. For assessing the level of conformity associated with outsourcing, and to complement the verification of oversight of the Operator over outsourced functions, relevant external service providers should be accessed to the extent possible and/or feasible.
- (vi) are aware of Focus Areas identified by IATA and Auditors include these Focus Areas and corresponding audit instructions. An Operator shall be informed about the Focus Area as soon as it becomes known to the AO.

*Note: The Auditors shall ensure that applicable staff is interviewed during the assessment of each ISARP. Such staff shall include responsible managerial and non-managerial personnel representing various functions that are addressed during the assessments. Refer to [IPM 6.3.1 \(ii\)](#).*

**8.7.2** The AO shall ensure that:

- (i) only the current official English language version of the ISM and/or IOSA checklists are used by the Audit Team as the basis for the final determination of conformity or nonconformity with ISARPs during the conduct of an Audit;
- △ (ii) the Audit Team enters all applicable and relevant information concurrently into the audit software during the onsite portion of the Audit between the Opening and Closing meeting; and
- (iii) the Audit results, to include, as a minimum, the IOSA Checklist and the IOSA Audit Summary are completed in the audit software by the end of the Audit closing meeting date and exceptionally within three calendar days thereafter.

*Notes:*

1. *Versions of the ISM or IOSA checklists that have been translated into another language are subject to misinterpretation and therefore are considered unofficial reference documents for the purpose of determining audit conclusions.*

2. *The IOSA checklists contained within the audit software are part of the IAR, and shall be considered as the official working documents for an Audit.*
3. *If an ISM, IPM, or IAH, including Temporary Revisions thereof, becomes effective after the date of the onsite opening meeting, but before the closing meeting, the version of each manual which was valid at the time of the Opening Meeting shall be used.*

**8.7.3** The AO shall ensure there are regular, scheduled and frequent meetings of the Audit Team during an Audit to exchange information and assess progress of the Audit. Such meetings shall focus on the development of findings and observations, including assessment of specific areas of real or potential nonconformity identified to date and the need to gather additional objective evidence to substantiate the development of findings and/or observations.

**8.7.4** The AO shall ensure the establishment of formal lines of communication between the Audit Team and representatives of the Operator, which will permit effective communication among all concerned parties during an Audit.

**8.7.5** The AO shall ensure the Operator is appropriately informed when any of the following exist:

- (i) a finding or observation is verified;
- (ii) there is objective evidence indicating a potential finding or observation;
- (iii) Audit objectives are not attainable.

**8.7.6** The AO shall ensure findings and observations are:

- (i) generated against a specific IOSA Standard or Recommended Practice;
- (ii) based on factual evidence discovered during the Audit;
- (iii) discussed with the Operator during the Audit in an attempt to achieve agreement;
- (iv) if necessary, discussed with the Lead Auditor and Audit Team members;
- (v) documented along with supporting factual evidence on the IOSA checklist.

**8.7.7** The AO shall have a process for the application and documentation of Active Implementation (AI) in accordance with guidance contained in the IAH. Such process shall ensure the application of AI is used to achieve conformity only with specifically designated IOSA provisions and includes a detailed implementation action plan (IAP) of the Operator.

**8.7.8** If the Operator utilized one or more Active Implementation (AI) options during the previous Audit(s), the AO shall have a process to:

- (i) identify those in the IAR, in accordance with [IPM 8.4.2](#);
- (ii) assess their continuity and, if applicable, apply and document AI in accordance with [IPM 8.7.7](#).

**8.7.9** Once the on-site assessment phase of the Audit has started, the AO shall ensure the assessment of the Operator continues uninterrupted until Audit completion, except:

- (i) when a Audit activity must be completed in accordance with [IPM 8.7.12](#);
- (ii) the Audit is terminated in accordance with provisions contained in [IPM 8.9](#).

*Note: Uninterrupted means there are no official working days at the location where the Audit is conducted, without any on-site auditing taking place.*

**8.7.10** The AO shall ensure at least one of each of the Mandatory Observations as specified in the IAH are accomplished during each Audit. The AO has the option to perform more than one of each of the Mandatory Observations based on its own sampling policy. The AO shall identify outsourced functions and, by accessing relevant external service providers, assess the MOs in accordance with the IAH. Only when operational functions have been outsourced and, in applicable cases, a conventional assessment of the third party providing the service cannot be accomplished, the Auditor will verify that the Operator is carrying out adequate oversight of the outsourced functions, to ensure conformity with IOSA standards.



*Note: Mandatory Observations may be exempted as outlined in the IAH.*

**8.7.11** When performing the mandatory observations as listed in the IAH, the AO shall make use of the published IOSA Observation Checklists. A record of the completed checklists does not need to be kept. The checklists are intended to serve as an aid during the observations.

**8.7.12** When an audit activity has not been completed during the on-site assessment phase of the Audit, the closing meeting shall be conducted but not adjourned on site.

- (i) under such circumstances, the Lead Auditor shall notify the Operator that the closing meeting will not be adjourned until all mandatory audit activities have been completed, at which time the meeting will resume and be adjourned via teleconference with only selected individuals participating. If applicable, potential participants in a teleconference meeting should be identified during the on-site closing meeting.
- (ii) such delayed adjournment of the closing meeting shall have no effect on the Audit validity period as specified in [IPM 7.2.1](#), which is based on the date of the closing meeting held at the end of the on-site phase of the Audit.

**8.7.13** The AO shall have a process, using the audit software, for Audits to:

- (i) prepare and issue a preliminary summary of any finding and/or observation to the Operator at the closing meeting or immediately following the date of adjournment; and
- (ii) create applicable Corrective Action Record(s) (CAR), which will be made available to the Operator within the week following the date of the closing meeting.

**8.7.14** For any applicable ISARPs that reference aircraft certification, the IOSA Auditor shall take the Type Certification application date of the exact variant of the aircraft that is being operated as listed on the Operator's AOC.

## **8.8 Closing Meeting**

**8.8.1** The AO shall ensure the on-site assessment phase of the Audit is concluded with a formal closing meeting with the Operator's management team. The spokesperson for the Audit Team shall be the designated IOSA Lead Auditor. The closing meeting shall have attendance recorded, and be conducted in accordance with requirements specified in the IAH.

**8.8.2** The Lead Auditor shall ensure the Operator understands that findings and observations presented in a "Summary of Findings and Observations" during the on-site closing meeting:

- (i) shall not be revised or withdrawn, except in accordance with [IPM 8.12.5](#) or IAR quality control processes in accordance with [IPM 9.2](#) and [IPM 1.2.12](#);
- (ii) are to be used by the Operator to begin development of the Corrective Action Plan (CAP);
- (iii) may not represent the total number of findings and observations; changes may be made, as identified during application of the IAR quality control processes.

**8.8.3** The designated Lead Auditor shall ensure the Operator understands the following:

- (i) the Operator and the AO will make every effort to reach agreement on a CAP in accordance with provisions contained in [IPM 8.10](#);
- (ii) Audit closure will not be declared until corrective action in accordance with the accepted CAP has been implemented by the Operator and verified by the AO in accordance with provisions contained in [8.12](#).

## 8.9 Terminating an Audit

**8.9.1** The AO shall have a process to terminate an Audit if the Audit Team or AO makes an objective determination that any one of the following conditions exist:

- (i) the Operator is attempting to exert obvious and undue influence on the Audit Team;
- (ii) the Operator is raising unacceptable barriers that significantly limit or inhibit the ability of the Audit Team to discover factual evidence;
- (iii) a conflict of interest as specified in [IPM 2.4](#), becomes evident;
- (iv) there is a significant breach of the Audit Agreement; or
- (v) Audit objectives are not attainable; or
- (vi) no reliable internet access is provided to all auditors and no alternative arrangements could be made.

**8.9.2** When terminating an Audit in accordance with [IPM 8.9.1](#), the AO shall ensure:

- (i) IATA and the operator are advised of a potential Audit termination and related consequences in writing as soon as reasonably practicable; and
- (ii) IATA and the operator are notified in writing within twenty four (24) hours of such termination action.

## 8.10 Corrective Action Plan (CAP)

**8.10.1** The AO shall have a process to review and reach agreement with the Operator on an acceptable CAP within forty-five (45) calendar days of the on-site closing meeting in accordance with applicable provisions contained in [IPM 8.8](#). The CAP shall comprise an acceptable overall proposal by the Operator to implement corrective action to close all findings and/or observations as documented on each CAR. Implementation of corrective action to close an observation is optional for the Operator.

**8.10.2** An acceptable CAP shall ensure:

- (i) for initial IOSA registration, project closure of all findings plus Audit Closure no later than twelve consecutive (12) months following the date of the on-site closing meeting;
- (ii) for renewal of an existing IOSA registration or Verification Audit, project Audit Closure within a period of time as specified in [IPM 7.5.3](#), [7.5.4](#) or [7.7.5](#), as applicable;
- (iii) the inclusion of proposed implementation of comprehensive and permanent corrective action;

- (iv) the Root Cause Analysis (RCA) and the Planned Corrective Action address each finding and/or observation;
- (v) upon receipt from the operator, to be reviewed by the AO to ensure all information was properly uploaded to the audit software, and is ready for retrieval.

*Note: For AO review, refer to IAH 2.8.12.*

### **Interim Corrective Action (ICA)**

**8.10.3** Under unique circumstances, an acceptable CAP may, for renewal of an existing IOSA Registration or for Verification Audits, include implementation of interim corrective action. Interim corrective action shall be considered an exception to [IPM 8.10.2](#) as a means for providing resolution of a Finding on a temporary basis.

**8.10.4** Interim Corrective Action will be reviewed by IATA in accordance with [IPM 2.12.3](#) under the following conditions:

- (i) the AO has reviewed the Operator's request prior to submission of the ICA request to IATA;
- (ii) the AO has deemed the proposed ICA and evidence as acceptable;
- (iii) the AO has submitted a formal request for ICA to IATA, confirming the acceptability of the ICA.

**8.10.5** In a case where the AO has received approval to include interim corrective action in an accepted CAP in accordance with [IPM 8.10.3](#), the AO shall:

- (i) record the Interim Corrective Action in the CAR.
- (ii) provide for continued audit follow-up to verify the implementation by the Operator of permanent corrective action to replace the interim corrective action within a maximum period of 120 calendar days following the expiry date of the current registration.
- (iii) notify IATA in writing within seven (7) calendar days following the date the AO has verified the implementation of permanent corrective action to replace interim corrective action. Such notification shall ensure approval of the permanent corrective action by IATA can be accomplished within a maximum of 120 days following the deadlines specified in [IPM 7.5.13](#) (ii).

**8.10.6** The following eligibility requirements are applicable to Interim Corrective Actions and shall be fulfilled by the Operator:

- (i) the Operator must have undergone a Registration Renewal Audit or a Verification Audit;
- (ii) the request must have been made as soon as it has become known to the Operator that ICA is required;
- (iii) the request to the AO must contain sufficient evidence to provide reasonable assurance that permanent corrective action will be completed within the maximum allowable timeline of 120 days;
- (iv) the ISARP(s), associated with non-conformities for which an ICA is requested, must have changed since the last audit performed on the Operator and/or the Operator has experienced significant operational changes associated with such ISARP in the six (6) months prior to the current expiration date;

- (v) necessary corrective actions must require services and/or participation from external entities such as external training providers or subcontracted service providers;
- (vi) a request for ICA shall be accompanied by a risk assessment conducted by the Operator, confirming an acceptable level of risk for the Operator for the duration of the ICA validity.

*Note: Significant operational changes as referred to in (iv) include new aircraft types, at least 20 percent increase in the total number of aircraft operated, or new special authorizations.*

### 8.11 Conducting Audit Follow-up

**8.11.1** For a period of twelve (12) consecutive months following the date of the on-site Audit closing meeting, as provided in the Audit Agreement, the AO shall be responsible for applicable audit follow-up activity, including verification that the Operator has implemented all comprehensive and permanent corrective action in accordance with the accepted CAP as specified in [IPM 8.10.2](#).

**8.11.2** The AO shall be responsible for verifying that corrective action in accordance with the accepted CAP has been implemented by the Operator. The following shall apply:

- (i) the exact method of such verification by the AO is in accordance with IAH guidance issued by IATA; and
- (ii) the verification of the corrective action and CAR closure is done by an auditor qualified in the operational discipline associated with the Finding or Observation, or the Lead Auditor of the Audit Team that conducted the Audit.

**8.11.3** The AO shall document in the Corrective Action Report (CAR):

- (i) a description of the method used for verification of corrective action implementation;
- (ii) the justification for the use of the method described in i) above;
- (iii) a description of the evidence that provides proof corrective action has been implemented.

*Note: The AO must ensure that during the entire follow-up phase, the corrective action progress must be continuously recorded in the audit software.*

### 8.12 Closing Findings/Observations

**8.12.1** The AO shall have a process for declaring a Finding/Observation closed after the implementation of comprehensive and permanent corrective action has been verified in accordance with [IPM 8.11.1](#) and [8.11.2](#).

**8.12.2** Should Audit Closure not be achieved within required timelines, the Audit shall become invalid as a means for the Operator to be added to the IOSA Registry, or renew an existing IOSA registration:

- (i) for initial IOSA registration:

an Operator shall not be added to the IOSA Registry until all findings have been closed, and the IAR quality control processes have been completed. Audit Closure shall be accomplished within twelve (12) months from the date of the onsite closing meeting;

- (ii) for renewal of an existing IOSA registration:

an Operator shall be removed from the IOSA Registry if Audit Closure has not been achieved prior to the expiry date of the current IOSA registration, unless extenuating circumstances are determined to exist in accordance with applicable provisions in [IPM 7.5](#) and [7.9](#).



**8.12.3** For renewal Audits, the AO may require closure of the Audit Findings by the Operator up to a maximum of fifteen (15) days earlier than the scheduled dates stated in [IPM 8.13.3](#).

#### ***Effect of ISM Revisions***

**8.12.4** The AO shall have a process to address findings/observations that have not yet been closed by the Operator when an associated IOSA Standard or Recommended Practice is changed as a result of a published revision to the ISM. When a new Edition or Temporary Revision of the ISM is published, the following apply to existing open findings and/or observations if an associated:

- (i) standard or recommended practice is *eliminated*, the finding or observation record remains and is closed by the AO by insertion of a standard phrase that refers to this [IPM 8.12.4](#), thereby relieving the Operator of the obligation to implement corrective action;
- (ii) standard or recommended practice is *revised*, and the Operator is *in conformity* with the revised provision, or the revised provision is no longer applicable to the Operator, the finding or observation record remains and is closed by the AO by insertion of a standard phrase that refers to this [IPM 8.12.4](#), thereby relieving the Operator of the obligation to implement corrective action;
- (iii) standard or recommended practice is *revised*, and the Operator is *not in conformity* with the revised provision, the Operator has the option to close the Finding or Observation through implementation of corrective action to satisfy either the old or new (revised) provision;
- (iv) recommended practice is upgraded to a standard, the Operator has no obligation to implement corrective action to close an observation;
- (v) standard or recommended practice is *revised*, and the revised specification becomes applicable to the Operator, the Operator has the option either to close the Finding or Observation through implementation of corrective action, or to remain with the original assessment as “Not applicable” by insertion of a standard phrase that refers to this [IPM 8.12.4](#).

#### ***Effect of a Standards Special Review***

**8.12.5** The AO shall have a process to address a Finding that has not yet been closed by an Operator when the IOSA Standard associated with that Finding, or a specification within that IOSA standard, is suspended in accordance with the IOSA Standards Special Review Process (refer to IPM Section 1, [Figure 1.4](#)). An existing open Finding associated with such suspension is addressed as follows:

- (i) if an Operator has an open Finding against an IOSA standard that is suspended, the Finding is withdrawn and the standard becomes not applicable (N/A) for that Audit; a description of such withdrawal is documented in the IAR;
- (ii) if an Operator has an open Finding against an IOSA standard solely as a result of non-conformity with suspended specifications within that standard, the Finding is withdrawn and the standard becomes not applicable (N/A) for that Audit; a description of such withdrawal is documented in the IAR;

- (iii) if an Operator has an open Finding against an IOSA standard solely as a result of non-conformity with non-suspended specifications within that standard, the Finding is closed when the Operator is in conformity with all non-suspended specifications; a description of such closure is documented in the IAR;
- (iv) if an Operator has an open Finding against an IOSA standard as a result of non-conformity with a combination of non-suspended *and* suspended specifications within that standard, the Finding is closed when the Operator is in conformity with all non-suspended specifications; a description of such closure is documented in the IAR.

### 8.13 Closing an Audit

**8.13.1** The AO shall have a process to:

- (i) declare Audit Closure on a specific date, once:
  - (a) all Findings have been addressed by the Operator through implementation of corrective action(s) in accordance with an accepted CAP, as specified in [IPM 8.10.2](#).
  - (b) implementation of all corrective actions has been verified by the AO.
  - (c) internal QC processes are complete.
- (ii) issue an Audit closure notice to the Operator, that shall include language to inform the Operator that, although the Audit has been declared closed, the Audit is not valid for initial registration, registration renewal or registration reinstatement as applicable, until the IAR quality control processes by IATA have been completed and the IAR has been released by IATA.

#### ***IAR Submission Deadlines***

**8.13.2** The AO shall ensure that IARs are submitted to IATA within 15 calendar days of closure and verification of all corrective actions in accordance with [IPM 8.13.1 \(i\) \(b\)](#).

*Note: The AO can request an extension on specific IARs due to workload and/or prioritization.*

**8.13.3** The AO should ensure that the IAR is submitted to IATA 15 calendar days prior to the current expiration date for a Registration Renewal Audit.

**8.13.4** The AO shall ensure that the IAR is submitted to IATA not later than 15 calendar days prior to the final deadlines for Extenuating Circumstances in accordance with [IPM 7.5.9](#), Interim Corrective Actions in accordance with [IPM 7.5.13](#) and Registration Re-instatements in accordance with [IPM 7.9.1](#). Submission of the IAR less than 15 calendar days prior to those deadlines may result in the IAR and the Audit to become invalid.

**8.13.5** The AO shall ensure IATA is updated about the status of the audit closure and estimated IAR submission date in cases where submission requirements as specified in [IPM 8.13.2–8.13.4](#) cannot be fulfilled.

## Section 9 IOSA Audit Report (IAR)

### Purpose

Sharing of audits is a fundamental element of IATA Operational Safety Audit (IOSA), which requires effective control of the IOSA Audit Report (IAR), as well as other documents and associated information resulting from the audit process. This section of the IOSA Program Manual (IPM) sets out standards for the management and control of the IAR and other critical information and data to ensure a level of quality, security and confidentiality necessary to support and facilitate audit sharing.

### 9.1 IOSA Audit Report (IAR)

**9.1.1** The IAR is the official record of an Audit conducted on an Operator by an Audit Organization (AO) in accordance with IOSA standards. Essential information and the results of an Audit are documented in the IAR, which comprises the following documents:

- (i) IOSA Audit Summary (IAS);
- (ii) Information Sources (IS);
- (iii) IOSA Checklist;
- (iv) Corrective Action Report (CAR);
- (v) if applicable, Active Implementation Record (AIR).

**9.1.2** The IAR is used by an Interested Party for the purpose of Audit Sharing in accordance with provisions contained in [IPM Section 10](#).

**9.1.3** The AO shall have a process to ensure the IAR is completed and submitted in accordance with the IPM and IAH.

**9.1.4** The AO shall have a process to make the final IAR available to the Operator once it is released by IATA.

### 9.2 Quality Control of the IAR

**9.2.1** The AO shall have an IAR quality control process, the implementation of which ensures all documents comprising the IAR as specified in [IPM 9.1.1](#) are completed accurately and in accordance with procedures contained in the IOSA Audit Handbook and other guidance issued by IATA. The IAR quality control process conducted by the AO shall ensure, as a minimum:

- (i) details of the Audit are accurately described;
- (ii) documents comprising the IAR contain all required information and signatures;
- (iii) checklists are completed and all items are appropriately addressed;
- (iv) information is documented in the English language in a manner understandable to any reader of the report;
- (v) checklist items of conformity have documented, traceable references from operational manuals;
- (vi) checklist items of nonconformity (findings and observations) have documented supporting factual evidence;

- (vii) checklist items of non-applicability (N/A) have a documented explanation;
- (viii) if applicable, the application of Active Implementation (AI) is correctly documented;
- (ix) closure of findings in each CAR includes an accurate description and justification of the method(s) used by the AO to verify implementation of corrective action, to include interim corrective action, if applicable.

**9.2.2** The AO shall ensure the IAR quality control process, as specified in [IPM 9.2.1](#), has been completed prior to:

- (i) issuance of an IAR to the Operator;
- (ii) submission of an IAR to IATA, for further quality control.

**9.2.3** The AO shall have a process to address Audit issues and amend an IAR as necessary to resolve discrepancies that have been identified during the IAR quality control processes conducted by either the AO or IATA. The AO may be required to conduct further assessment of the operations of an Operator in order to resolve discrepancies involving an omission, error or misapplication of an IOSA checklist provision by the Audit Team during the original on-site Audit.

## 9.3 Intentionally Left Open

## 9.4 IAR Security

**9.4.1** The AO shall have a process in agreement with IATA that ensures:

- (i) secure transfer of an IAR (or any document that is part of the IAR) from the AO to IATA or to the Operator;
- (ii) a confirmation of receipt is provided to the AO when IATA has received an IAR that was transferred using the audit management software in accordance with i).

## 9.5 IAR Ownership

**9.5.1** Once the final version of the IAR has been issued to the Operator the IAR shall become the sole and exclusive property of the Operator in accordance with provisions in the IOSA Audit Agreement.

**9.5.2** The Operator shall maintain the confidentiality of the IAR and its contents, and not permit the IAR, or a copy of the IAR, to be provided to, or released to, any other entity or party, except as follows:

- (i) a copy of the IAR may be provided to relevant regulatory authorities in compliance with applicable law(s) of the State of the Operator;
- (ii) a copy of the IAR may be relinquished as part of legal proceedings in compliance with applicable laws;
- (iii) a copy of the IAR provided or relinquished in accordance with i) or ii) shall require notification to IATA.

**9.5.3** At the discretion of the Operator, the IAR, or information contained therein, may be viewed by or verbally shared with another party on an informal basis under the following conditions:

- (i) such viewing or sharing shall not be used for the purpose of audit sharing under IOSA, nor shall such viewing or sharing be used as a mechanism for bypassing the provisions of the official IAR access process specified in [IPM 9.9](#);
- (ii) neither the IAR nor a copy of the IAR shall be furnished to any other party; the IAR and any copies shall remain on the property of, and in the physical possession of, the Operator.

## 9.6 IAR Custodianship

**9.6.1** IATA shall be the official custodian of all IARs and shall have a database (the IOSA Database) that shall be the system repository for the IARs from every Audit conducted under IOSA.

**9.6.2** The Operator that owns an IAR, as specified in [IPM 9.5.1](#), shall be the sole determiner and provider of authorization for access to the IAR from the IOSA Database.

## 9.7 IAR Retention

**9.7.1** The AO shall have processes to:

- (i) retain a copy of the IAR in its own records for two (2) years after the completion of an Audit;
- (ii) ensure the confidentiality and security of the report;
- (iii) preclude release of the IAR, or a copy of the IAR, to any other entity or party, except the Operator.

**9.7.2** The AO shall ensure all unofficial working documents that are not part of the IAR as specified in [IPM 9.1.1](#) (e.g. working checklists, field notes, manuals, electronic working files) are disposed of when the QC processes conducted by IATA and the AO are complete and the IAR is finalized.

**9.7.3** In cases when the Operator has not been able to successfully close findings within the specified maximum time frame specified in [IPM Section 8](#), the AO shall retain the information and data associated with the Audit for a minimum of 30 calendar days beyond the nominal closure deadline.

**9.7.4** Once received by IATA, the final IAR shall be loaded into the secure IOSA Database and retained with the IARs from the previous two Audits of the Operator.

## 9.8 IOSA Database

**9.8.1** IATA shall establish the IOSA Database for the purpose of retaining, analyzing and providing access to IARs resulting from Audits conducted under IOSA.

**9.8.2** The IOSA Database shall be the sole source of official access to an IAR in conformity with provisions contained in [IPM 9.5](#) and [9.9](#); the Operator shall be the sole determiner and provider of authorization for official access to an IAR.

**9.8.3** The IOSA Database shall be managed by IATA in a manner that ensures the security, confidentiality and integrity of information contained in IARs.

**9.8.4** Any analysis of IOSA data by IATA shall always be accomplished in conformity with provisions contained in [IPM 9.10](#).

## 9.9 IAR Access

**9.9.1** An interested party seeking access to an IAR shall submit a request to IATA in writing or electronically as offered by IATA, and such request shall include the specific reason for requesting access to the IAR.

**9.9.2** IATA shall not provide IAR access to an interested party unless authorization for such access has been granted by the Operator that owns the IAR, as specified in [IPM 9.6.2](#).

**9.9.3** IATA shall not provide IAR access to an interested party that is subject to laws or other legal provisions that could potentially either:

- (i) result in the public release or public disclosure of the IAR; or
- (ii) otherwise compromise the security and confidentiality of the IAR.

**9.9.4** IATA shall not provide IAR access to an interested party unless such party has entered into a non-disclosure agreement with IATA that specifies the binding conditions associated with having access to an IAR.

**9.9.5** IATA shall have a process to provide IAR access, including access to archived IARs, to entities other than an interested party as specified in [IPM 9.9.1](#). Such process shall ensure:

- (i) access to the IAR(s) by the requestor is authorized by IATA;
- (ii) the purpose and conditions of the use of the IAR(s) are authorized by IATA;
- (iii) if applicable, information contained in the IAR(s) is de-identified by IATA;
- (iv) such access is authorized by the Operator that owns the IAR(s).

*Note: Entities addressed in this provision include:*

- (a) *an AO, for the purpose of conducting a subsequent Audit of the Operator that owns the IAR(s), provided that the AO and Operator have already signed an Audit Agreement for that subsequent audit;*
- (b) *IATA, for the purpose of analyzing safety data.*

**9.9.6** IATA shall have a process to provide IAR access to regulatory authorities. The process shall ensure IATA provides access to the IAR(s) to the requestor subject to:

- (i) specification of the reason for the request by the requestor;
- (ii) authorization from the Operator that owns the IAR(s).

## 9.10 IOSA Data Analysis

**9.10.1** IATA at its discretion may conduct analyses of IARs contained in the IOSA database as a function of its responsibility for IOSA program management and promotion of industry safety. Analyses of IARs shall be accomplished for the purpose of monitoring, among other things:

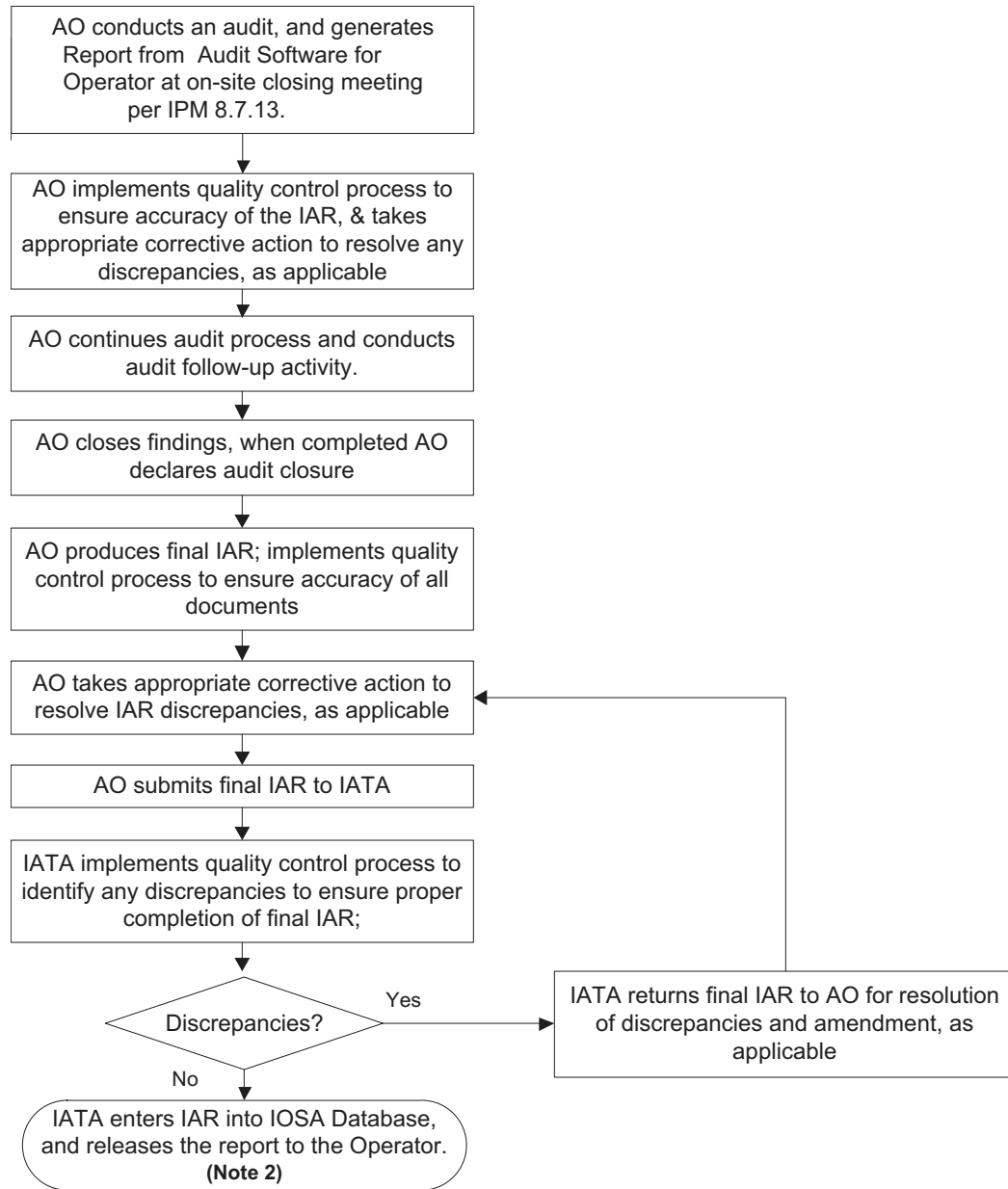
- (i) industry conformity with IOSA standards and recommended practices (ISARPs) for statistical safety reporting;
- (ii) industry conformity with recommended practices in determining consideration for upgrade to a standard;
- (iii) IAR content to evaluate AO and Auditor performance and standardization;
- (iv) other IOSA program areas as necessary for quality assurance.

**9.10.2** The following restrictions shall apply to all data derived from analyses of IARs conducted by IATA:

- (i) data shall be quantitative and results shall be of a statistical nature only;
- (ii) analytical results shall always be de-identified; the name of a specific Operator shall never be included or revealed;
- (iii) analytical data shall never be structured, arrayed or arranged in a manner such that a specific IAR, Operator or AO could be identified.

**9.10.3** Any proposed future use of information from IARs in the IOSA Database for purposes other than those contained in [IPM 9.10.1](#), such as analyses conducted as part of the IATA Global Aviation Data Management (GADM) safety research, shall be in conformity with restrictions contained in [IPM 9.10.2](#).

**Figure 9.1 IOSA Quality Control, Process Flowchart**



**Note 2:** Operator is eligible for registration or re-registration as an IOSA Operator, refer to IPM Section 7.

## **Section 10      Audit Sharing**

### **Purpose**

One goal of IATA Operational Safety Audit (IOSA) is to eliminate the redundancy of operational audits within the airline industry and concurrently to provide an effectively managed and controlled system for the sharing of audits. The IOSA Audit Report (IAR), which is retained in a central IOSA Database that is managed by IATA, provides the comprehensive information necessary to allow Interested Parties to participate in IOSA audit sharing. This section of the IOSA Program Manual (IPM) sets out the standards associated with audit sharing.

### **10.1      Description**

**10.1.1**      IOSA audit sharing is a process whereby an interested party uses the Audit of an Operator conducted by a third party under IOSA to satisfy its need for:

- (i)      an audit of that same Operator;
- (ii)      detailed information about the operations of that same Operator. (See [Figure 10.1](#))

### **10.2      The Interested Party**

**10.2.1**      An interested party that seeks to share an Audit under IOSA shall gain access to the IAR in accordance with provisions contained in [IPM 9.9](#).

**10.2.2**      An interested party uses the audit sharing process to achieve its own unique objective(s); therefore any operational, commercial or business decision(s) based on audit sharing shall always be the full responsibility of the interested party (e.g. a decision to enter into a code share agreement with an IOSA Operator).

**10.2.3**      An interested party shall understand that, when it shares an Audit of an Operator under IOSA to satisfy its own need for an audit of that Operator, it bears all responsibilities as if the interested party had conducted its own audit of that Operator.

**10.2.4**      An interested party shall understand that, when it shares an Audit of an Operator under IOSA, it bears the responsibility for providing its own ongoing monitoring of the operations of the audited Operator.

**10.2.5**      An interested party shall understand that the IAR, while designed to provide comprehensive information about an Audit, may not always resolve all needs. In such cases, an interested party may be required to seek clarification or additional information through direct communication with the IOSA Operator.

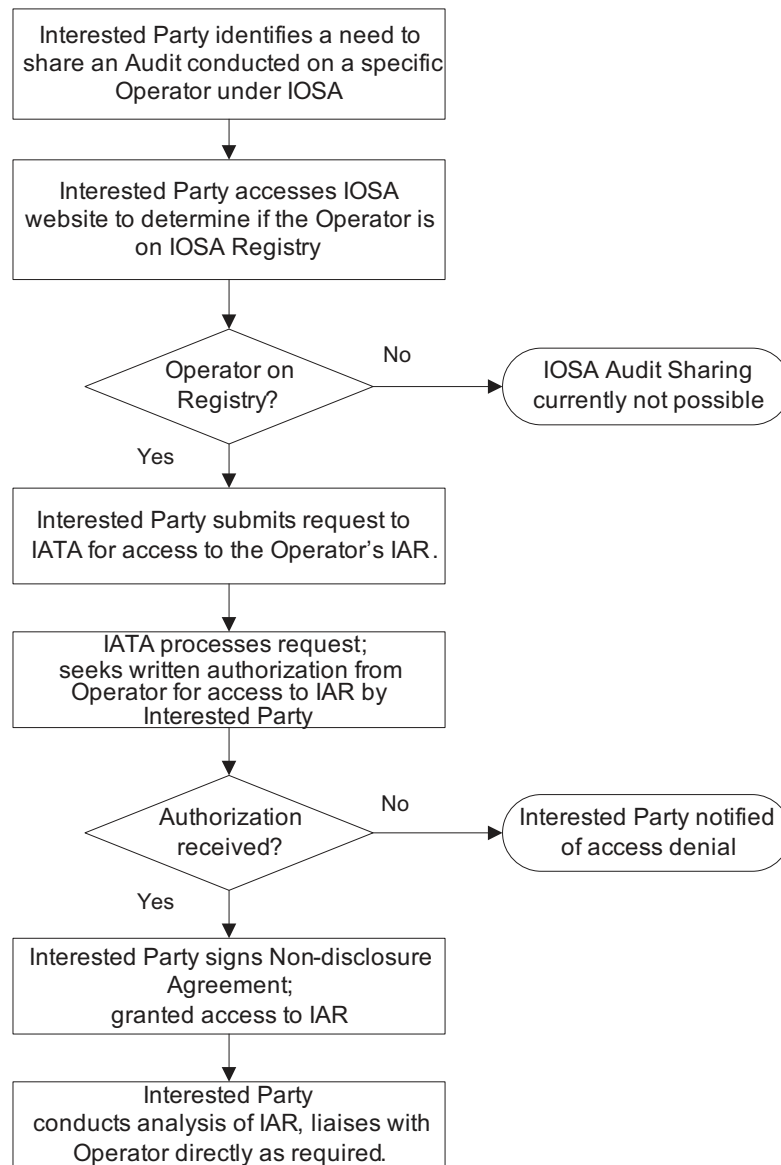
### **10.3      IATA**

**10.3.1**      IATA is the official custodian of IARs in the IOSA database and shall provide controlled IAR access to an interested party in accordance with provisions contained in [IPM 9.9](#).

### **10.4      The Operator**

**10.4.1**      The IAR is the sole and exclusive property of the IOSA Operator and access to an IAR shall be granted to an interested party by IATA only after the Operator that owns the IAR has specifically authorized such access in accordance with applicable provisions contained in [IPM Section 9](#).

**Figure 10.1 IOSA Audit Sharing Process Flow**



## Section 11      **Dispute Resolution**

### **Purpose**

This section of the IOSA Program Manual (IPM) sets out standards for resolution procedures to be followed whenever a dispute arises between an operator and an AO (referred to as the “Auditee”) (see [Figure 11.1](#)).

### **11.1      Applicability**

**11.1.1**      The dispute resolution procedures in this section shall be applied when specific dispute resolution mechanisms and/or consultative procedures contained in other provisions in this IPM have been exhausted.

### **11.2      Dispute Resolution between AO and Operator**

**11.2.1**      Before a party (AO or Operator) seeks to initiate any external resolution in relation to a dispute, such initiating party shall follow the escalation procedure as set out below:

- (i)      the initiating party shall notify the other relevant parties in writing (the “Notification”), setting out the reasons for dissatisfaction and/or disagreement (the “issue”);
- (ii)      the representatives of all parties involved shall conference (including but not limited teleconference call) to discuss the issue;
- (iii)      if the representatives cannot resolve the issue within thirty (30) calendar days of the Notification as specified in i), each representative shall notify their respective superiors;
- (iv)      the superiors of all parties shall then conference and attempt to resolve the issue.

#### *Notes:*

1.      *The primary IATA point of contact for the dispute resolution process shall be the Director, Audit Programs.*
2.      *IATA shall act impartially to facilitate the dispute resolution process between the AO and the operator.*
3.      *Any potential cost occurred in the dispute resolution process shall be borne by the AO and/or the operator.*

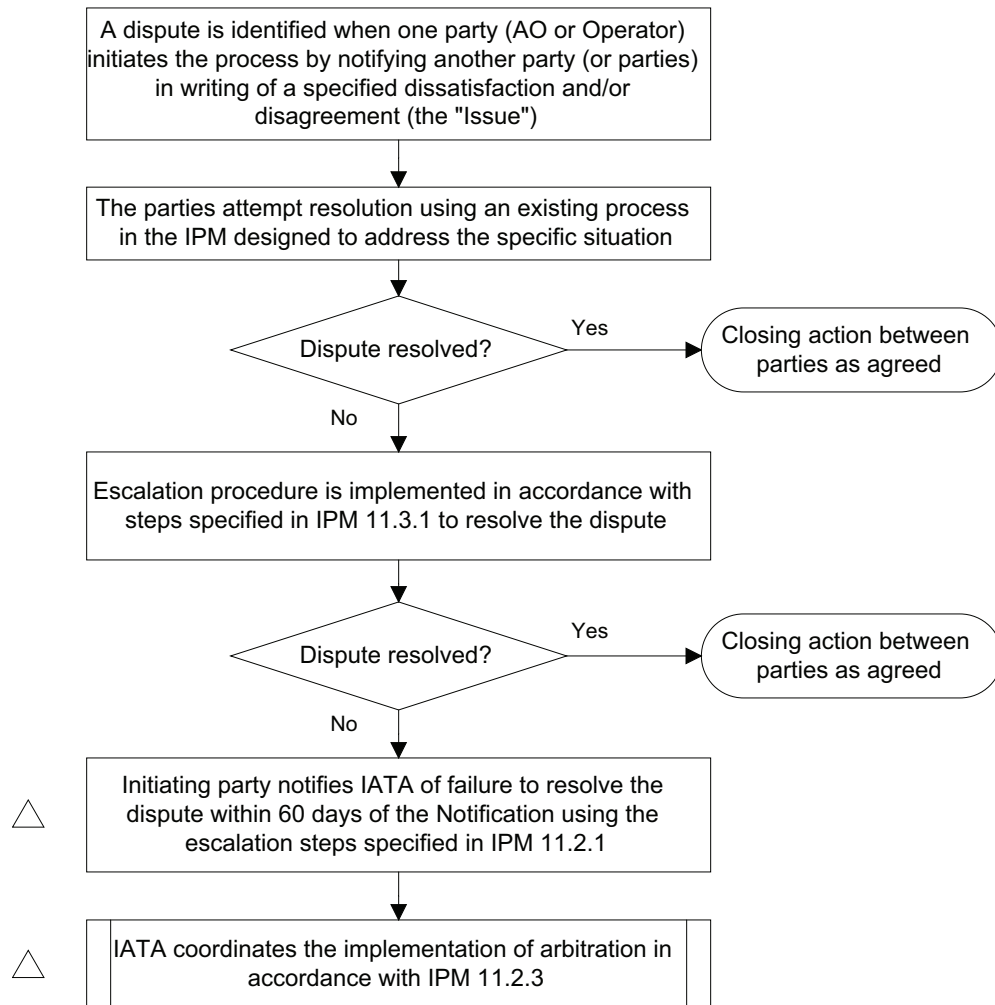
**11.2.2**      For the purposes of this subsection, the representatives of each party shall be the persons named in the notice provisions of the Accreditation Agreement and/or the Audit Agreement, as the case may be.

**11.2.3**      Any dispute not resolved through implementation of the steps specified in [IPM 11.2.1](#) within sixty (60) calendar days of the date of Notification will be exclusively and finally settled by arbitration under the Rules of Conciliation and Arbitration of the International Chamber of Commerce.

**11.2.4**      In accordance with [IPM 11.2.1](#), IATA, at its discretion, may freeze the process described in [IPM 7.4](#), [IPM 7.5](#) and [IPM 7.2](#) and resume the same process, after applicable criteria are satisfied and the agreed conditions for a resolution are met. The change in Audit closure and other applicable deadlines shall not exceed the periods as defined in this IPM.

**11.2.5** IATA shall make annotations to the IOSA Registry in accordance with [IPM 7.7.7](#) and [Table 7.1](#) if an IOSA Operator is involved in dispute resolution in accordance with [IPM 11](#) that could affect IOSA registration.

**Figure 11.1 IOSA Dispute Resolution, Process Flowchart**



**IOSA Program Manual Operational Safety Audit**

ISBN 978-92-9264-455-0

International Air Transport Association

Customer service: [www.iata.org/cs](http://www.iata.org/cs)

+1 800 716 6326

[iata.org/publishing](http://iata.org/publishing)



Printed in Canada