



# IOSA Program Manual (IPM)

## Operational Safety Audit

Effective April 2012

**5<sup>th</sup>** | Edition





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## **Operational Safety Audit**

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## NOTICE

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## 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.

Standards contained in this manual were initially developed during the years 2002–2003 by taskforces as part of the IOSA developmental project. When establishing the membership of the IOSA task forces, IATA selected industry safety and quality experts from organizations around the world, including airlines, regulatory agencies, and various other entities possessing operational audit expertise. Special care was 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 when required, based on stakeholder input, practical experience, and the latest consensus in operational quality management principles.

## 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. Operators that will be audited under IOSA;
3. Endorsed Training Organizations (ETOs), that will provide IOSA Auditor Training; and
4. International Air Transport Association (IATA), who are the stewards of the IOSA Program.



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## Introduction

### 1) Purpose

- (a) The IOSA Program Manual (IPM) is published in order to make the complete body of standards that govern all aspects of the 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.
- (b) 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.
- (c) Additionally, these standards 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 version 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);
- (iii) IATA Reference Manual for Audit Programs (IRM).

Supporting documents such as AO Alerts and AO 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. They are written in “international” English, using the Merriam-Webster dictionary (refer to M-W website at: <http://www.merriam-webster.com>).

### 5) Software Platforms

The IATA standard software platform for IOSA program:

- (a) documentation development and delivery, is the Microsoft Windows Office® suite of software applications.  
*Note: Any document automation using macros (e.g. within MS Word® or MS Excel®) may not perform as originally designed when using any other type of software.*
- (b) audit report management, is the central database from Q5 Systems® known as the Q5AIMS Audit and Inspection Management System.

### 6) Manual Revision - Regular & Temporary

- (a) IATA will publish revisions to this IPM to ensure the content remains current and meets the needs of the IOSA Program.
- (b) During a regular revision cycle, where a detailed change to the IPM is required:
  - (i) a change to the IPM will always result in a new Edition of the manual, and incorporate previously issued Temporary Revisions (TRs) since the previous Edition.
  - (ii) the cover of the IPM will indicate the Edition number and its effectivity date, while the footer of the pages within will indicate the Edition number and the published date.
  - (iii) a revision to the IPM becomes effective on the first day of the fourth month following the month the revision is published (e.g. a revision published in December 2010 is effective April 2011).
- (c) During a short revision cycle, where 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 signature and date of the approving authority.

### 7) Manual Approval Cycle

- (a) IATA will internally draft any required changes, in consultation with applicable parties, if necessary.
- (b) A comment period will allow for external (e.g. AOs, IOC) feedback:
  - (i) For a regular revision cycle - three (3) weeks;
  - (ii) For a TR cycle - an expedited three (3) days;
- (c) An internal review of feedback and incorporation of final changes will occur;
- (d) A final approval period:
  - (i) For a regular revision cycle - two (2) weeks with IATA senior management;
  - (ii) For a TR cycle - an expedited two (2) days;
- (e) The Senior VP of SO&I is the final approving authority for this manual or TR.

### 8) Content Changes

A new edition will be accompanied by a Description of Changes table that will highlight *only* the significant changes made. It is incumbent on the reader to review every Section in detail to familiarize themselves with the detailed changes.

## 9) Conflicting Information

- (a) Manuals within the IOSA documentation system are not revised concurrently, thus creating the possibility of conflicting information in different manuals.
- (b) In the case of conflicting information in different IOSA manuals, the information contained in the manual with the most recent revision date can be presumed to be valid.

## 10) IOSA Documents and Forms

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

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

- (a) 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).
- (b) Where text within the IPM is *italicized* followed by an asterisk (\*), this indicates that the italicized word is defined (e.g. *corrective action\**), and the reader is encouraged to refer to the IRM.

## 12) Exemptions

The IATA Senior Vice-President (SVP), Safety Operations and Infrastructure, reserves the right to allow exemption(s), taking into account all circumstances, and is responsible for authorizing any such exemption(s).

## 13) IOSA Authority

The IOSA Program operates under the authority of Annual General Meeting Resolutions pertaining to IOSA.

## Description of Changes

The following table provides a brief description of the significant changes contained in Section 1 of IPM Ed 5.

Description of Changes	
Area Changed	Description of Change
Page 1-12:	
1.7.3	Rewording of text.
1.7.4	New provision incorporating the IOSA Standards Special Review process with the IOSA Change Management process.
1.7.5	New provision associating the Correlation of specifications with data from industry accidents and incidents with the IOSA Change Management process.
1.7.6	Renumbering of existing provision.
1.7.7	Renumbering of existing provision.
1.7.8	Incorporation of the IPM ED 4 Temporary Revision 1 provision.
Page 1-17:	Text changes and additions to Figure 1.3.
Page 1-18	Text changes to Figure 1.3.
Page 1-19	Figure 1.5, a new flow Chart: "IOSA Standards Accident-Incident Correlation Process Flow".

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



### Glossary of New Symbols to Designate IPM Changes

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

## Section 1 IOSA Program Management

### Purpose

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 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. 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, Program Implementation/Auditing);
- (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](#)).

**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.

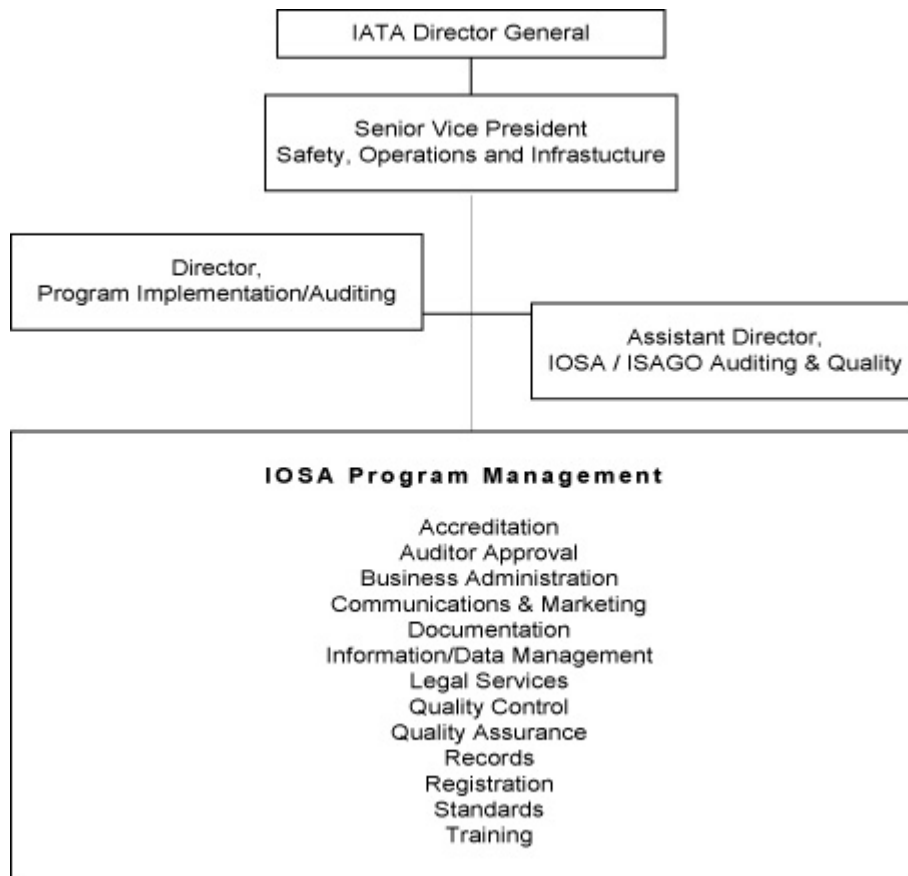
**1.1.4** Intentionally left open

**1.1.5** 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.

**1.1.6** IATA shall have a process to 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.

- 1.1.7 IATA shall have a quality manual that, as a minimum describes:
- (i) the scope of the management system;
  - (ii) quality policy and objectives;
  - (iii) references for system processes and procedures;
  - (iv) the interaction among processes in the management system.

**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 IOSA 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 scope and frequency of quality assurance oversight processes, as well as processes for planning, implementation and follow-up, shall be defined and published in program documentation.

**1.2.3** The IOSA QA program shall include processes for identification and elimination of the causes of nonconformities identified within the IOSA program management system. Processes shall define requirements for:

- (i) reviewing nonconformities;
- (ii) determining the root cause(s) of nonconformities;
- (iii) recommending and coordinating [corrective action](#) as necessary;
- (iv) monitoring and recording the effectiveness of corrective actions.

**1.2.4** The IOSA 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 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 IOSA Audit process;
- (iii) implementation of the 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);
- (viii) implementation of quality assurance.

**1.2.5** The IOSA QA program shall include oversight of each Endorsed Training Organization (ETO) to ensure ongoing compliance with IPM requirements. Such oversight shall include headquarters audits and training evaluations conducted on a periodic basis, with a focus on compliance 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 quality assurance.

**1.2.6** IATA shall appoint an appropriately qualified individual as Assistant Director, who shall have overall responsibility for implementation of the IOSA QA program, and report directly to the IATA Senior Vice President of Safety, Operations and Infrastructure (SVP SO&I).

**1.2.7** The SVP SO&I shall delegate authority and assign specific responsibilities to the Assistant Director 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.

**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 recommended to IATA;
- (ii) conducted operational audits of air operators;
- (iii) completed the IAT course;
- (iv) completed relevant special training conducted by IATA.

**1.2.9** Intentionally left open

**1.2.10** Intentionally left open

## **Monitoring Programs**

**1.2.11** IATA shall have, as part of the QA program, processes that provide for ongoing surveillance of registered IOSA Operators for the purpose of monitoring: ongoing conformity with IOSA standards;

- (i) consistency of Audit performance by AOs;
- (ii) IOSA program quality and integrity.

**1.2.12** Intentionally left open.

**1.2.13** Intentionally left open.

## **IAR Quality Control**

**1.2.14** 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:

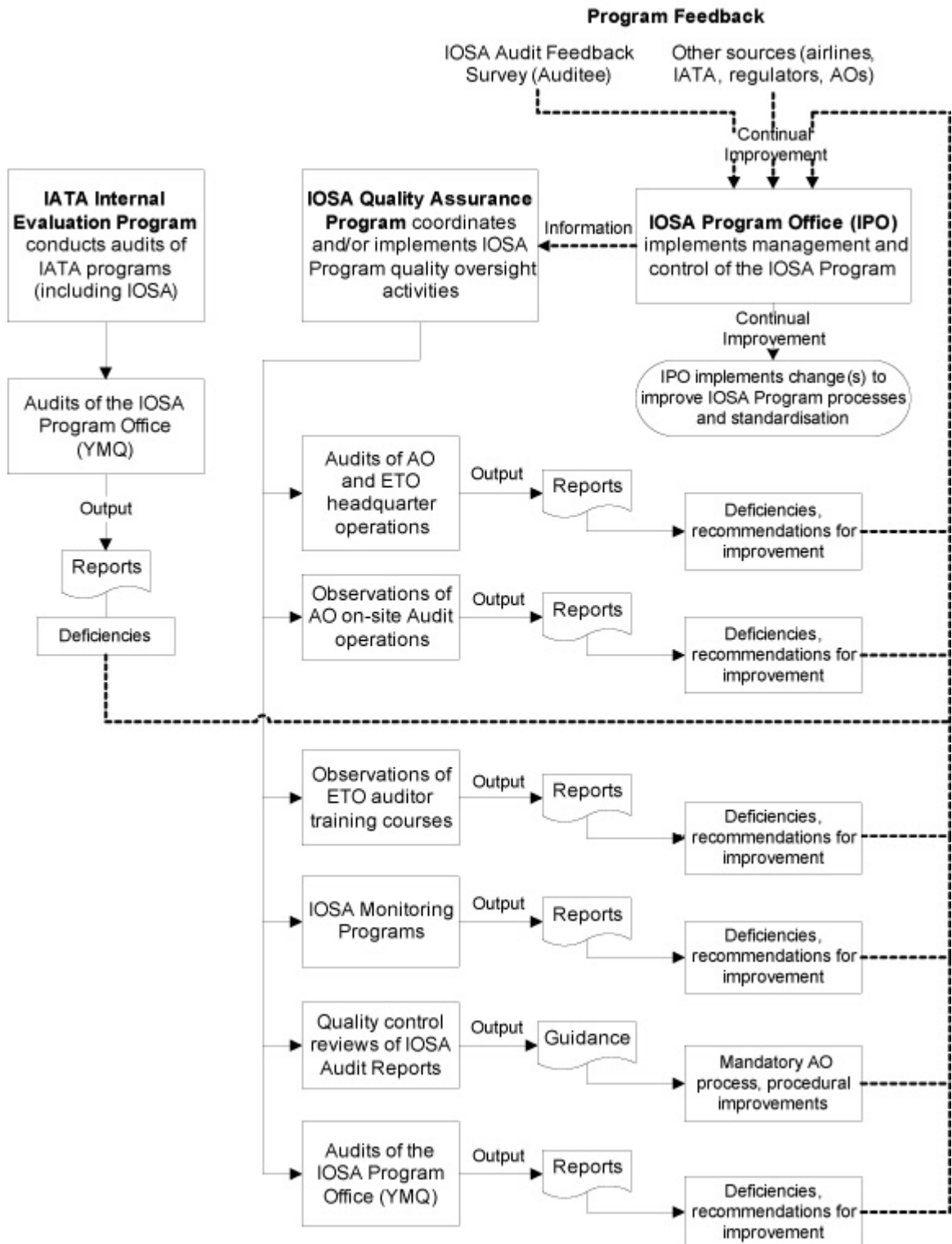
- (i) details of the [Audit](#) are accurately described;
- (ii) documents comprising the IAR contain all required information and signatures;
- (iii) checklists are completed and all items are appropriately addressed;
- (iv) information is documented in the English language, and in a manner understandable to any reader of the report;
- (v) checklist items of conformity have documented supporting references from operational manuals;
- (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, on-site corrections are properly documented on the Onsite Correction (OSC) record;
- (ix) if applicable, the application of Active Implementation (AI) is correctly documented;
- (x) 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, if applicable, interim corrective action.

**1.2.15** 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 1.2.14](#) are conveyed to the AO that conducted the Audit for subsequent resolution, revision and re-issuance, as applicable.

**1.2.16** IATA shall have a process for the incremental payment to AOs, based on the fees in accordance with the Audit Agreement. Payment (for audits of members or non-members) will be made by IATA directly to the AO in three (3) installments:

- (i) the first to be made upon signature of the Audit Agreement;
- (ii) the second to be made upon issuance of the Audit Report (AR), in accordance with relevant IPM provisions; and
- (iii) the third to be made only after all QC checks of the IAR have been satisfactorily completed and approved by IATA Senior Management.

Figure 1.2 IOSA Quality Assurance Program (Functional Overview)



## 1.3 Customer Relations

**1.3.1** IATA shall have processes for ensuring internal and external customers are identified, and general customer expectations are met on a continuing basis. Such processes shall ensure implementation of periodic surveys (or other effective means for gathering feedback) for the purpose of defining customer expectations, revealing levels of satisfaction, and identifying ways to improve overall service.

**1.3.2** IATA shall have processes for ensuring effective verbal and written communication with all customers, and for further ensuring customers:

- (i) are provided with information and data in a manner that is both expected and timely;
- (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;
- (v) fax.

## 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 compliance with the Accreditation Agreement;
- (ii) meets required managerial, financial, insurance and other performance standards;
- (iii) is in compliance 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 compliance with the ETO Agreement;
- (ii) meets required managerial, financial and other performance standards;
- (iii) is in compliance 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, to include, but not be limited to:

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

## **1.5 Audit Administration**

### ***AO Selection Monitoring***

**1.5.1** IATA shall have a process to monitor AO selection for each Audit to ensure operators are restricted from using the same AO for the conduct of more than two (2) consecutive Audits conducted after 01 January 2008.

## ***Audit Invalidation***

**1.5.2** IATA shall have a process to declare an Audit invalid under justifiable circumstances as determined by IATA. 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 have a process to provide a newly accredited AO with an [Audit Funnel](#) template, which shall be used by such AO to provide a weekly Audit status report to IATA in accordance with [IPM 2.12.5](#).

## ***Audits of Affiliated Operators***

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

- (i) a written planning notification is received from the AO a minimum of four (4) weeks before the proposed start of the first Audit as specified in [IPM 8.2.6](#);
- (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 have a policy for addressing the merger of air operators when such merger includes one or more IOSA Operators. Such policy shall provide for:

- (i) Monitoring of the merger to identify changes to the AOC of the IOSA Operator(s) that would affect IOSA registration;
- (ii) If such changes are identified coordinate to ensure an Audit of the affected IOSA Operator(s) is conducted within a period of 150 days following the validity date of the new AOC;

## 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 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 have a process for addressing 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)***

**1.6.3** IATA, at its sole discretion, shall have a process for a competent person 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;
- (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 correctness of all information contained in the AQR through completion of the AO Acceptance Statement.

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

- (i) if submitted with the AQR, a review of the Personal Data File (PDF) and/or 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 shall have a process to order 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](#).

## ***Master List of Approved IOSA Auditors***

**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](#).

## ***Auditor Qualifications Currency***

**1.6.8** IATA shall have a process for maintaining an up-to-date record of the status of the currency of Auditor qualifications as specified in provisions contained in [IPM 3.13](#), [3.14](#), [3.15](#) and [3.16](#), 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) three times during each calendar year in the months of April, August and December.

## **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) and the IPM to ensure IOSA is responsive to and meets the needs of IATA members and the airline industry. Standards management processes shall be managed by IATA and shall ensure IOSA standards:

- (i) are developed and maintained to be up-to-date;
- (ii) undergo thorough review(s) by the IOSA Oversight Committee (IOC), with individual feedback incorporated, as appropriate;
- (iii) receive final approval from the IOSA Standards Board (ISB);
- (iv) are published in a timely manner after final approval is granted.

**1.7.2** IATA shall appoint an individual, with the appropriate level of technical expertise and audit experience, as responsible for IOSA standards. This individual shall be afforded sufficient authority, support, information and resources to effectively manage program standards.

**1.7.3** IATA shall have processes for the management of changes to the IOSA Standards. ([Figure 1.3](#))

**1.7.4** IATA shall ensure the management of changes to the IOSA Standards includes a process for a special review of specifications in the IOSA standards when warranted [Figure 1.4](#)

**1.7.5** IATA shall ensure the management of changes to the IOSA Standards includes a process for the correlation of specifications in the IOSA Standards with investigative data from industry accidents and incidents. [Figure 1.5](#)

**1.7.6** IATA shall have a process to maintain a record of Findings that have been withdrawn in accordance with [IPM 8.12.4](#).

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

**1.7.8** The IOSA Standards Board shall consist of the Director, Program Implementation/Auditing, the Assistant Director Quality and the IOC Chairman.

## 1.8 Information and Data Management

**1.8.1** IATA shall have process for management of the web-based Q5 Audit and Inspection Management System (Q5AIMS), for the purpose of:

- (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 have a process for management of 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

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

- (i) initiation;
- (ii) renewal;
- (iii) reinstatement;
- (iv) removal.

**1.9.2** IATA shall have a process to provide a notification of registration renewal to a registered IOSA Operator at a point approximately seven (7) months prior to the expiration date of the current registration.

**1.9.3** IATA shall have an audit review process to evaluate and determine the validity of a claim of extenuating circumstances submitted in accordance with [IPM 7.5.6](#). Such process shall 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 SO&I.

**1.9.4** IATA shall have a process for the review and approval or non-approval of a request for a registration with exclusions in accordance with [IPM 7.1.4](#) to [7.1.6](#).

**1.9.5** IATA shall have a process for the review and approval or non-approval of a request for inclusion 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 have a process to make an annotation on the IOSA Registry and/or to notify Interested Parties, as applicable, in accordance with [IPM 7.8.3](#).

## 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 versions;
- (v) user notification for issuance of temporary and normal revisions;
- (vi) ready availability of current versions 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, the [IOSA Audit Agreement](#), the [IOSA Accreditation Agreement](#), the [ETO Accreditation Agreement](#), and various non-disclosure agreements.

**1.10.3** IATA shall have procedures for producing and distributing 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) the previous two (2) reports are retained in an archive file;
- (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 have a process for approving all IAT Instructors based on an evaluation of performance while conducting the IAT course. IATA shall evaluate the performance of IAT Instructors:

- (i) As the final step in the qualification process as the basis for initial approval;
- (ii) 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 development and 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** Intentionally left open.

**1.12.4** IATA shall have a process for the development and revision of a bank of questions (known as the “Q-book”) that will be used for the IAT written examinations.

**1.12.5** IATA shall have a process for the selection of questions from the Q-book that will comprise each written examination, and then provide the ETO with the specific written examination for administration.

**1.12.6** IATA shall have a process to prepare and forward IAT course certificates, as appropriate, directly to the ETO (for subsequent issuance to trainees) following the completion of each IAT course.

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

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

## ***IOSA Standards Familiarization***

**1.12.8** IATA shall have a process to schedule and deliver 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 and members of the IOC.

**1.13.4** IATA shall have a process to 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](#).

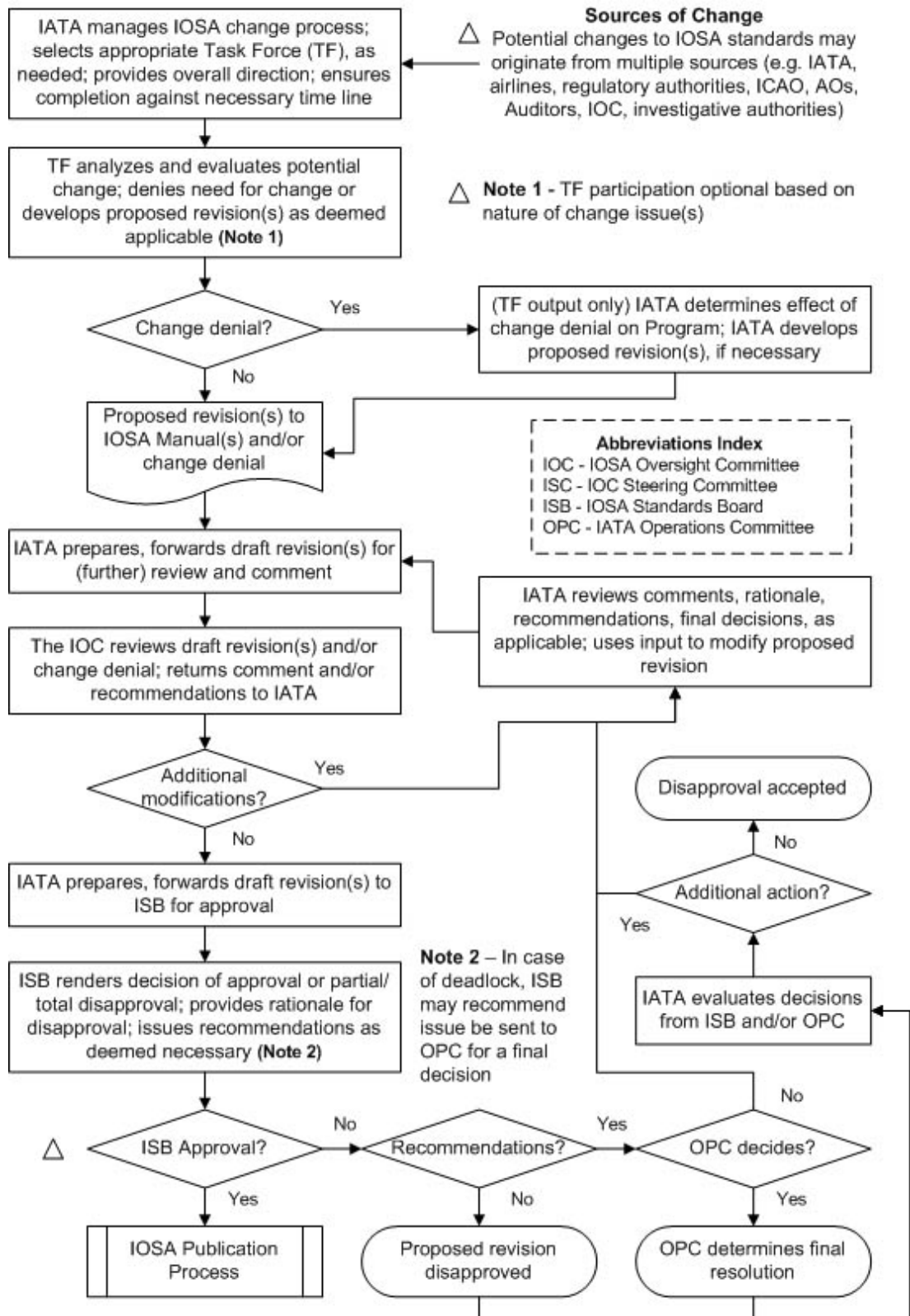
**1.13.5** IATA shall have a process to provide official responses to media inquiries and/or requests pertaining to a major accident involving an IOSA Operator.

## **1.14 IOC Administration**

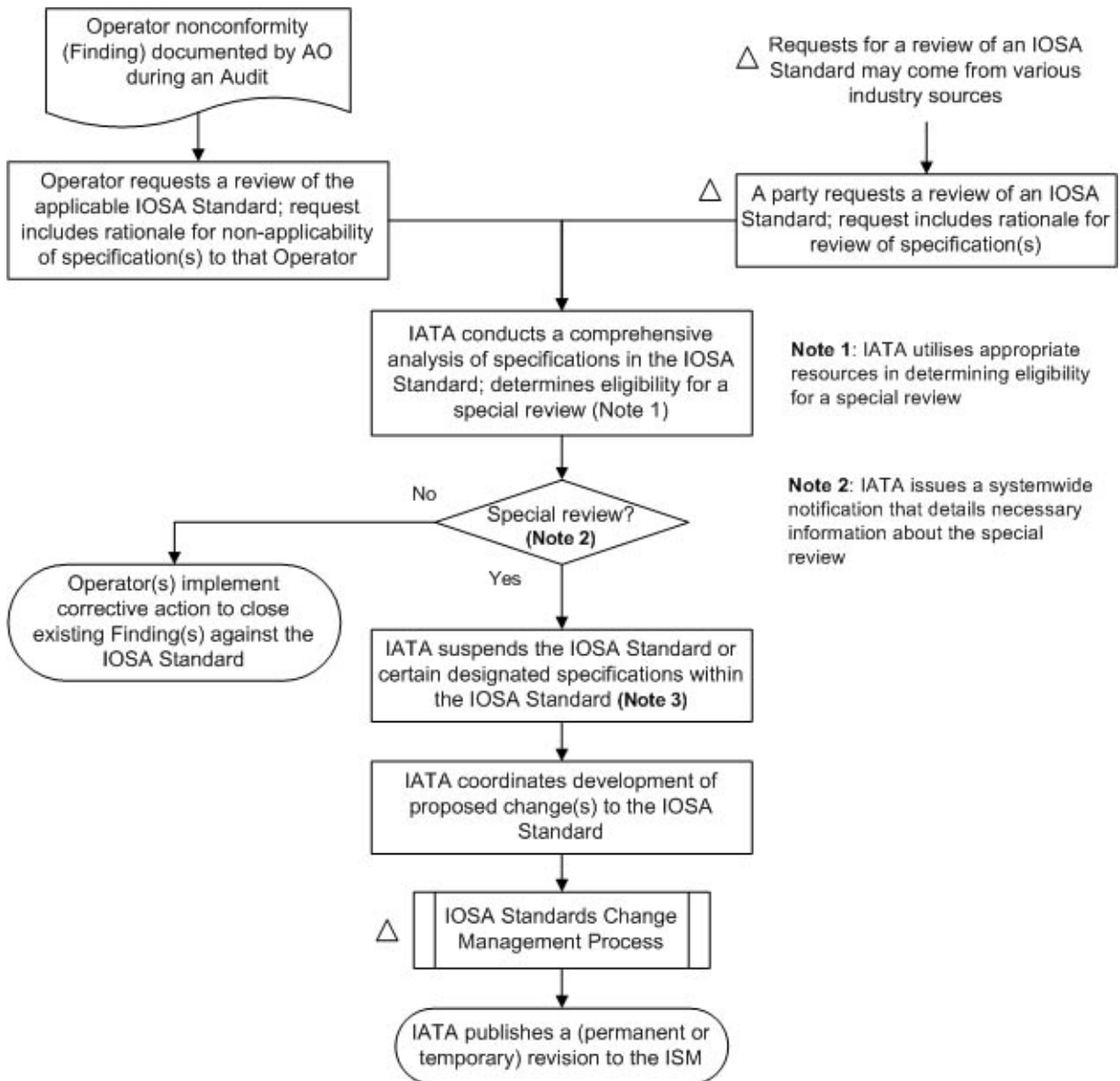
**1.14.1** IATA shall have processes for the administration of the [IOSA Oversight Committee \(IOC\)](#), to include:

- (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**



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



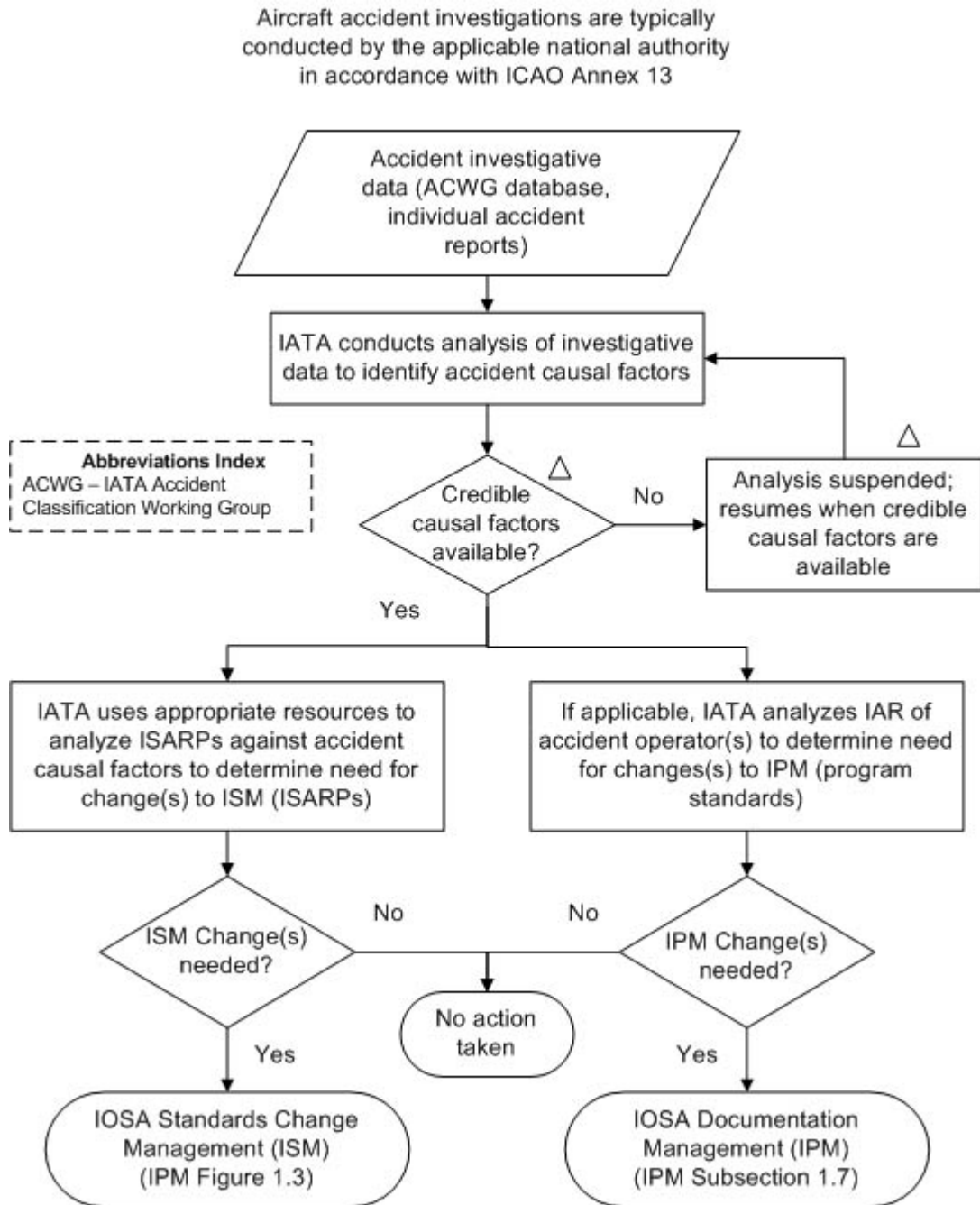
**Note 1:** IATA utilises appropriate resources in determining eligibility for a special review

**Note 2:** IATA issues a systemwide notification that details necessary information about the special review

**Note 3**

- When an IOSA Standard, or any specification within a Standard, is suspended, such Standard or specification is not applicable (N/A) for an Audit during the suspension.
- When a specification within a Standard is under suspension during the time of an Audit, conformity with all non-suspended specifications within that standard is required.
- △ ▪ Refer to IPM 8.12.4 for the treatment of an open Finding against a Standard or specification that has been suspended.

**Figure 1.5 IOSA Standards Accident-Incident Correlation Process Flow**



## 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 IOSA program quality and standardization. This section of the 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 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 and/or quality control processes; 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 Safety, Operations and Infrastructure (SVP SO&I).

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

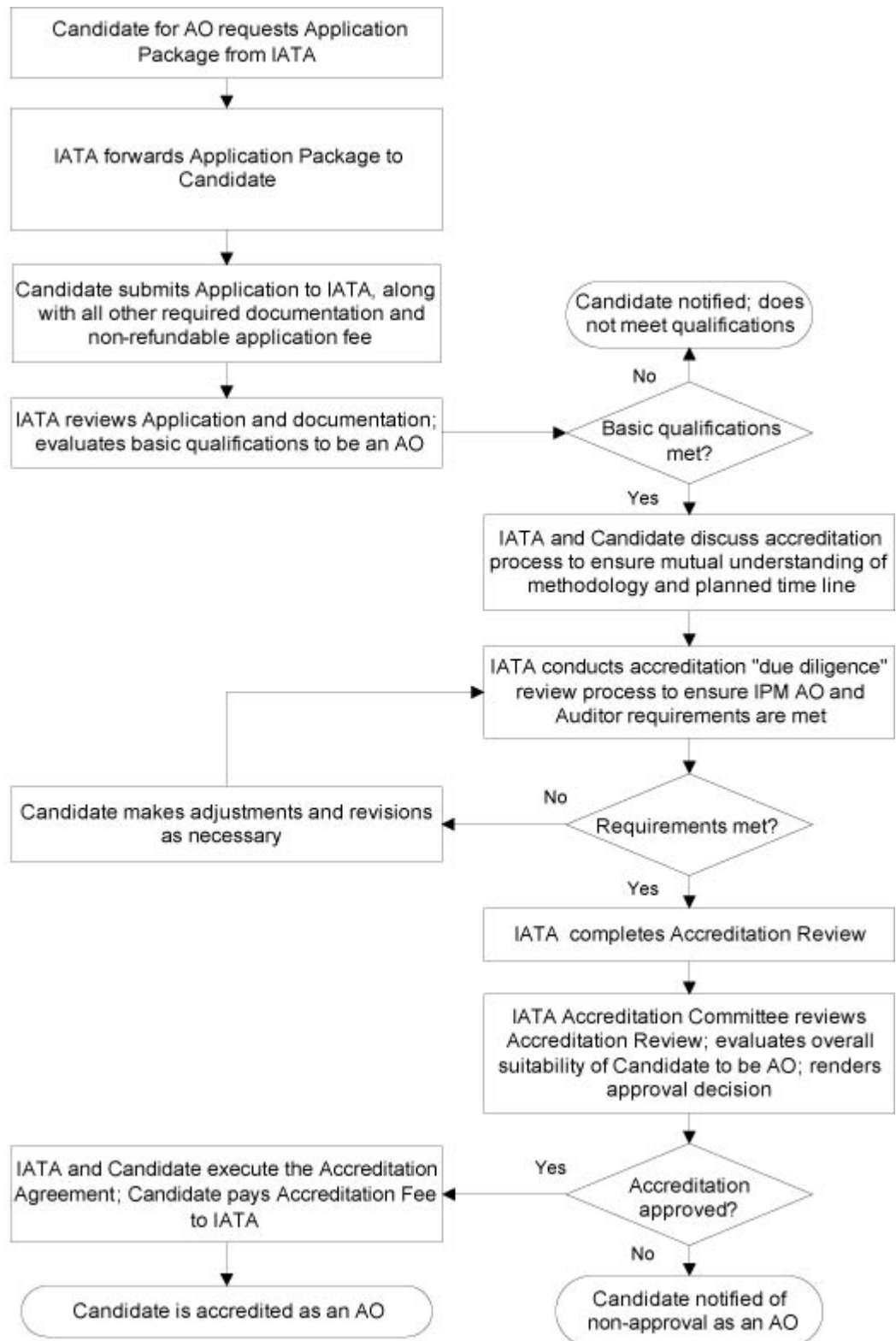
**2.2.2** A candidate for accreditation as an AO shall provide to IATA, without limitation:

- (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, if applicable;
- (vi) corporate organization chart, including a list of employees and reporting structure;
- (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 SO&I.

**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 IOSA Auditor Personal Data File and 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 IOSA 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.

## 2.4 Conflict of Interest

**2.4.1** An AO shall not be allowed to conduct an [Audit](#):

- (i) 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) on an Operator to which consulting services specified in i) have been provided, that consisted of:
  - (a) training that related to operations within the operational scope of the IOSA program;
  - (b) assistance in conforming to the IOSA Standards and Recommended Practices (ISARPs). Refer to related [IPM 8.2.7](#), IPV process.
- (iii) of the operations of its own organization, or those operations of any [Group Company](#);
- (iv) 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 complete discretion.

*Note: For this purpose, an AO shall disclose to IATA such documents or information as IATA deems necessary in order to make a determination.*

**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 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.

**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 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 have processes to 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 periodically 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** An AO shall not use the IATA logo for its own commercial purposes, and such logo shall not appear or be displayed on the AO's website(s), company documents, or any type of promotional material unless prior written approval has been obtained from IATA.

## 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 seven (7) calendar days following any revision to information contained therein.

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

**2.6.4** As a 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 QA Department acting in a surveillance and review role. A key component of this process will be the required nomination of a responsible QC Manager to be appointed, per [IPM 2.6.2](#), and used by the AO and trained per [IPM 2.6.8](#).

**2.6.5** The QC Manager position shall ensure the effectiveness of the AO's QC process, and the delivery of audit reports of acceptable quality to IATA and aviation industry as specified in [IPM 9.2.1](#). The AO shall submit the name and resume of the QC Manager candidate to IATA for review of their overall experience and background, and acceptance.

**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 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 to IOSA quality requirements;
- (vi) the ability to analyse and provide effective feedback from the QC process to auditors and to IATA;
- (vii) a working knowledge of the Q5AIMS software platform;
- (viii) fluent oral and written communication skills in English.

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

- (i) responsibility and accountability for IAR production, in accordance with IPM, IAH 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 and QC processes are met;
- (ii) development of QC procedures and documentation support structures for auditors; Monitoring and administering QC process and;
- (iii) provide Corrective Actions as required by IATA QC;
- (iv) monitor AO and auditor quality performance and provide feedback to the auditors by means of:
  - (a) analysis of the gaps in the internal QC process and auditor QC performance,
  - (b) identification of weaknesses in internal processes, repetitive errors and auditor behavior or techniques:
  - (c) identification of any training needs, or any other action necessary to ensure IAR quality,
- (v) have the authority to take immediate appropriate action 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.

**2.6.8** IATA will provide each new AO QC Manager with appropriate training 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) Q5AIMS;

**2.6.9** 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.

**2.6.10** The QC Manager's performance shall be evaluated, based on their AO's QC performance. The results will be evaluated during the annual AO re-accreditation review, using the published Key Performance Requirements (KPRs), that shall be included in the AO contract as one of the evaluation criteria for AO re-accreditation.

## **2.7 Quality Assurance and Quality Control**

**2.7.1** An AO shall have a Quality Assurance program that includes internal auditing and quality control to ensure:

- (i) conformance with all standards applicable to the administration, documentation, and production of IOSA Audit Reports;
- (ii) conformance with all standards applicable to the administration, documentation, and operations of its IOSA program;
- (iii) evaluation of feedback and implementation of associated action for continual improvement of all aspects of its IOSA program.

**2.7.2** Intentionally left open.

**2.7.3** An AO shall have a system for surveillance and control of the Audit program. Such system shall include defined processes and procedures that are applicable to the conduct of the Audit and performance of the IOSA Auditors, and 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 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.

## **2.8 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.

## 2.9 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 version 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 fourth 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 version 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 versions of relevant IOSA documents;
- (ii) applicable areas of the Q5 Audit and Inspection Management System (Q5AIMS).

**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) Operational Feedback Notices (OFN);
- (vi) 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 of an existing Auditor to Lead Auditor or to Evaluator;
- (v) the addition or removal of an operational audit discipline for an existing Auditor;
- (vi) the approval of an ORG Auditor in accordance with [IPM 2.11.8](#);
- (vii) any change to the qualification status of an existing Auditor for any reason.

*Note: IATA at its sole discretion provides approval or rejection of an AQR submitted by an AO.*

**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) a completed IOSA Auditor Personal Data File;
- (ii) an up-to-date curriculum vitae;

- (iii) licenses, certificates, diplomas, as applicable;
- (iv) additional documented evidence that supports fulfilment of qualification prerequisites in accordance with [IPM Section 3](#);
- (v) 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.

### ***ORG Auditor Approval***

**2.11.8** An AO shall have a process to ensure *new* and *existing* Auditors designated by the AO to audit the ORG discipline (ORG Auditors) meet qualification and training prerequisites specified in [IPM 3.3.10](#).

**2.11.9** To permit AOs to gain IATA approval or re-approval of designated ORG Auditors, after ensuring such Auditors meet training and qualification prerequisites in accordance with [IPM 2.11.8](#), on or after 1 January 2011 the following shall apply:

- (i) new ORG Auditors shall meet qualification and training prerequisites specified in [IPM 3.3.10](#), and be approved by IATA prior to conducting an Audit.
- (ii) existing ORG Auditors shall meet qualification and training prerequisites specified in [IPM 3.3.10](#), and be re-approved by IATA prior to conducting an Audit.
- (iii) existing ORG Auditors that have not met qualification and training prerequisites as specified in ii) shall have their ORG qualification removed on the IATA Master List of Approved IOSA Auditors and the list of approved IOSA Auditor for the AO.
- (iv) auditors that have had their ORG qualification removed as specified in iii) shall be treated as a new ORG Auditor as specified in i) to re-gain such qualification.

**2.11.10** An AO shall submit an AQR to IATA in accordance with [IPM 2.11.4](#) in order to gain approvals or re-approvals for ORG Auditors as specified in [IPM 2.11.9](#).

*Note: An AQR template will be available for use by AOs in gaining IATA approval for ORG Auditors.*

## **2.12 Notifications and Submissions**

**2.12.1** An AO shall have a process:

- (i) 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), as agreed to by IATA;
- (ii) to 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;

- (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;
  - (c) IOSA Preparatory Visit (IPV) costs (if necessary);
  - (d) re-visit costs (if necessary).

**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** Intentionally left open.

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

### ***Audit Funnel***

**2.12.5** 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***

**2.12.6** An AO shall have a process to review and revise the Auditor Currency Database 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 seven (7) days 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.

**2.12.7** An AO shall have processes to submit a formal letter to IATA to request approval from IATA for:

- (i) a registration with exclusions in accordance with [IPM 7.1.4](#), [7.1.5](#) and [7.1.6](#). Such request shall be submitted as soon as it becomes known to the AO that, for a specific Operator, a registration with exclusions will be required.
- (ii) the acceptance of interim corrective action in accordance with [IPM 8.10.3](#) and [8.10.4](#). Such request shall be submitted as soon as it becomes known to the AO that interim corrective action will be necessary in order to accept the Corrective Action Plan (CAP) of an Operator being audited for the renewal of IOSA registration.

**2.12.8** An AO shall have a process to ensure an Auditor Personal Data File and a curriculum vitae (CV), each incorporated into a standardized template, 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.*

**2.12.9** An AO that plans to conduct audits of U.S. operators shall have a process to ensure a maximum of three 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 8.7.5](#), 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 specified in the IAH. 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.

**2.12.10** 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.

**2.12.11** An AO shall have a policy and/or a process to ensure a request is submitted and written authority is received from IATA, in accordance with [IPM 7.10.1](#), prior to the AO issuing any verbal statements or written material designed to promote the IOSA program for commercial or competitive gain.

**2.12.12** 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 timeframe necessary to attain or maintain IOSA registration.

### 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 one year, and such renewed accreditation shall become effective upon execution of a new Accreditation Agreement by the AO and IATA.

### 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;
- (v) non-procurement of required insurance policies; and/or
- (vi) any factors deemed to be detrimental to the integrity or quality of the IOSA program.

**2.14.2** The process for 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 process specified 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).



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## Section 3 Auditor Qualification

### Purpose

The quality of the IOSA Auditor is a critical factor in ensuring each Audit is conducted in a standardized and consistent manner. This section of the 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 skill.

- (i) *Auditor*: An experienced auditor that has completed the process for qualification as an Auditor in accordance with applicable provisions in [IPM 3.9](#), 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 3.10](#).
- (iii) *Evaluator*: An experienced Lead Auditor that has completed the process for qualification as an Evaluator in accordance with provisions in [IPM 3.11](#), and has been designated by the 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 determining 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) demonstrates the ability to apply knowledge and skills that are necessary to effectively conduct Audits under the IOSA program;
- (iv) 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 evidence, including a curriculum vitae (CV) and a completed IOSA Auditor Personal Data File (PDF), 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.

*Note: To verify that the Auditor candidate has met applicable prerequisites, IATA reserves the right, at any time and at its sole discretion, to:*

1. *cross-check applicable records (e.g. PDF, CV, certificates) against information contained in an AQR;*
2. *take appropriate action (up to and including removal) where it is deemed that the applicable prerequisites have not been met.*

### 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 aviation operational disciplines listed in ii);
  - (b) two (2) years of work experience in any single aviation operational discipline listed in ii);
  - (c) one (1) year of work experience in one or more of the aviation operational disciplines listed in ii) within the 24-month period immediately prior to application as a candidate for IOSA Auditor.
- (ii) The following constitute acceptable aviation operational disciplines to satisfy work experience prerequisites as specified in i):
  - (a) Airline pilot flight crew member licensed by a national aviation authority (NAA);
  - (b) Airline or military flight crew member, transport category aircraft;
  - (c) Aircraft maintenance engineer/technician licensed or approved by an NAA;
  - (d) Airline flight operations or airworthiness inspector for an NAA;
  - (e) [Airline flight dispatcher](#) or [flight operations officer \(FOO\)](#);
  - (f) Airline instructor in the area(s) of flight operations, aircraft systems, flight dispatch, cabin operations, ground operations (including load control), cargo operations and/or aviation security;
  - (g) Airline cabin crew member;
  - (h) Airline load control or weight and balance specialist;
  - (i) Airline cargo and/or dangerous goods specialist;
  - (j) Aviation security specialist;
  - (k) Airline quality assurance auditor;
  - (l) Supervisory personnel that have operational experience within the past 5 years, in any of the above disciplines; or

- (m) Aviation safety or aviation quality management professional, who has documented experience in any of the operational disciplines as listed in a) to l) above.
- (iii) Flight Operations (FLT) Auditors shall meet special prerequisites for operational work experience as specified in [IPM 3.3.8](#).
- (iv) Engineering and Maintenance (MNT) Auditors shall meet special prerequisites for operational work experience as specified in [IPM 3.3.9](#).
- (v) Organization and Management System (ORG) Auditors shall meet special prerequisites for work experience as specified in [IPM 3.3.10](#).
- (vi) Operational Control and Flight Dispatch (DSP) Auditors shall meet special prerequisites for operational work experience as specified in [IPM 3.3.11](#).
- (vii) Cabin Operations (CAB) Auditors shall meet a minimum of one of the following prerequisites specified in ii):
  - (a) [Airline cabin crew member](#); or
  - (b) Airline pilot flight crew member licensed by a national aviation authority (NAA); or
  - (c) Airline flight operations inspector for an NAA.

### 3.3.5 Prerequisite Auditor Certification and Training

- (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.

*Note: A certificate of attendance 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 12-month period immediately prior to application as an IOSA Auditor.

### 3.3.7 Exemption for Highly Experienced Auditors

- (i) A candidate for IOSA Auditor that provides documented evidence of audit experience well in excess of the minimum specified in [IPM 3.3.6](#) may be considered for an exemption from a maximum of one other qualification prerequisite contained in [IPM 3.3](#), but shall *not* be granted an exemption from audit experience prerequisites specified in [IPM 3.3.5](#).
- (ii) Any 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.
- (iii) The AO shall submit a written request to IATA (to consider an exemption for an individual candidate) that shall include comprehensive professional background information, including a documented record of audits conducted.
- (iv) A candidate for Auditor in the disciplines of Flight Operations (FLT), Engineering and Maintenance (MNT), Organization & Management System (ORG), or Operational Control & Flight Dispatch (DSP), shall not be granted an exemption from prerequisites specified in [IPM 3.3.8](#), [3.3.9](#), [3.3.10](#), and [3.3.11](#) respectively, including the special experience prerequisites contained in [Tables 3.1](#), [3.2](#), [3.3](#), and [3.4](#).
- (v) A prerequisite that specifies “recency of experience” may be considered for exemption in the context of a candidate’s professional background experience.

### 3.3.8 Special Prerequisites for Flight Operations (FLT) Auditors

A candidate for FLT Auditor shall meet all prerequisites contained in [IPM 3.3.3](#) and [3.3.5](#), as well as special experience prerequisites contained in [Table 3.1](#).

### 3.3.9 Special Prerequisites for Engineering and Maintenance (MNT) Auditors

A candidate for MNT Auditor shall meet all prerequisites contained in [IPM 3.3.3](#) and [3.3.5](#), as well as special experience prerequisites contained in [Table 3.2](#).

### 3.3.10 Special Prerequisites for Organization and Management System (ORG) Auditors

- (i) A candidate for ORG Auditor shall:
  - (a) meet all prerequisites contained in [IPM 3.3.3](#) and [3.3.5](#);
  - (b) meet special experience prerequisites contained in [Table 3.3](#);
  - (c) complete the IOSA Standards Familiarization session, delivered by IATA or an IATA-trained AO representative, in accordance with [IPM 1.12.8](#).

### 3.3.11 Special Prerequisites for Operational Control and Flight Dispatch (DSP) Auditors

A candidate for DSP Auditor shall meet all prerequisites contained in [IPM 3.3.3](#) and [3.3.5](#), as well as special experience prerequisites contained in [Table 3.4](#).

**Table 3.1 Minimum Experience Prerequisites for FLT Auditors**

Operational/Audit Experience	Core Aviation Experience	Flight Operations Experience (see Note)
<ul style="list-style-type: none"> <li>• Operational experience in accordance with <a href="#">IPM 3.3.4</a>;</li> <li style="text-align: center;"><b>or</b></li> <li>• Audit experience in accordance with <a href="#">IPM 3.3.6</a>.</li> </ul>	<p>Three (3) years of line operations as:</p> <ul style="list-style-type: none"> <li>• A pilot flight crew member for an airline;</li> <li style="text-align: center;"><b>or</b></li> <li>• A flight crew member in transport category aircraft.</li> </ul>	<p>Two (2) years:</p> <ul style="list-style-type: none"> <li>• In a flight operations management position for an airline;</li> <li style="text-align: center;"><b>or</b></li> <li>• As a pilot flight crew instructor (aircraft and/or simulator) for an airline;</li> <li style="text-align: center;"><b>or</b></li> <li>• As a pilot flight crew evaluator (aircraft and/or simulator) for an airline;</li> <li style="text-align: center;"><b>or</b></li> <li>• As an airline flight operations inspector for an NAA;</li> <li style="text-align: center;"><b>or</b></li> <li>• As an operational quality or safety auditor for an airline.</li> </ul>
<p><i>Note: In order to be qualified to conduct assessments of flight simulator sessions, a FLT Auditor shall meet one (1) of the following prerequisites:</i></p> <ul style="list-style-type: none"> <li>• <i>Have simulator operation experience as a flight simulator instructor, or evaluator in support of airline operations; or</i></li> <li>• <i>Provide documented evidence of having completed a formal training course on flight simulator operations in accordance with <a href="#">IPM 4.6.1</a>.</i></li> </ul>		

**Table 3.2 Minimum 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.</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 style="text-align: center;"><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 style="text-align: center;"><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 style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• As an airline airworthiness inspector for an 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 3.3 Minimum Experience Prerequisites for ORG Auditors**

Operational/Audit Experience	Auditor Experience/Training	Management Systems Experience
<ul style="list-style-type: none"> <li>• Operational experience in accordance with <a href="#">IPM 3.3.4</a>;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• Audit experience in accordance with <a href="#">IPM 3.3.6</a>.</li> </ul>	<ul style="list-style-type: none"> <li>• Qualified as IOSA Lead Auditor in accordance with <a href="#">IPM 3.10</a>;</li> </ul> <p style="text-align: center;"><b>and</b></p> <ul style="list-style-type: none"> <li>• Completion (with certificate) of 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.</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 style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• As an airline management systems inspector for an NAA;</li> </ul> <p style="text-align: center;"><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 3.4 Minimum Experience Prerequisites for DSP Auditors**

Operational/Audit Experience	Familiarization Training	Operational Control and Flight Dispatch Experience
<ul style="list-style-type: none"> <li>• Operational experience in accordance with <a href="#">IPM 3.3.4</a>;</li> <li style="text-align: center;"><b>or</b></li> <li>• Audit experience in accordance with <a href="#">IPM 3.3.6</a>.</li> </ul>	<ul style="list-style-type: none"> <li>• Completion of the IATA Operational Control and Flight Dispatch (DSP) Auditor Familiarization program.</li> </ul>	Three (3) years: <ul style="list-style-type: none"> <li>• As an <a href="#">airline flight dispatcher</a> or <a href="#">flight operations officer (FOO)</a>;</li> <li style="text-align: center;"><b>or</b></li> <li>• As an airline pilot flight crew member licensed by a national aviation authority (NAA);</li> <li style="text-align: center;"><b>or</b></li> <li>• As an airline flight operations inspector for an NAA.</li> </ul>

### 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 may include the following:

- (i) ethical in conduct;
- (ii) objective, fair and impartial in applying judgement;
- (iii) self confident 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.

### 3.5 Ethical Standards for IOSA Auditors

**3.5.1** The IOSA Auditor shall always be aware of 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.

### 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) manuals that comprise the IOSA documentation system, including this IPM, the IOSA Standards Manual (ISM), the IOSA Audit Handbook (IAH), and the IATA Reference Manual for Audit Programs (IRM);
- (iii) typical organizational structure of airlines, including size, functions and relationships;
- (iv) relevant technical areas of airline operations.

**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, Joint Aviation Authority Requirements, and/or other similar and comparable national/regional aviation regulations);
- (ii) airline 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 computer programs.

### 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 client and 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 Qualification Process for Auditors

**3.9.1** 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, 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) submit a completed IOSA Auditor Personal Data File (PDF) and a curriculum vitae (CV) to the AO;
- (ii) at the discretion of IATA, complete a personal interview by IATA to verify that auditor prerequisite qualifications are in accordance with applicable provisions in [IPM 3.3](#);
- (iii) if approved by IATA, complete the IOSA Auditor Training (IAT) course as specified in [IPM 4.1.1](#).

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

- (i) only the initial group of IOSA Auditors approved in accordance with [IPM 3.9.1](#) 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 3.9.3](#) and [3.9.4](#);
- (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 3.9.1](#).

**3.9.3** 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. 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 IOSA Auditor Training (IAT) course as specified in [IPM 4.1.1](#);
- (ii) Complete training by the AO in the use of the Q5 Audit and Inspection Management System (Q5AIMS);
- (iii) Observe a minimum of one (1) full day of the on-site Audit, in the discipline(s) for which the auditor is seeking qualification;
- (iv) Conduct auditing, in the operational disciplines for which the candidate is qualifying, during a minimum of one (1) full day of the on-site Audit for each discipline, under the supervision of an approved IOSA Auditor qualified in the discipline(s) requested;
- (v) If required, receive additional training-to-proficiency during the qualification process;
- (vi) Conduct one (1) full Audit in each discipline(s) for which the auditor is seeking qualification, while the auditor's performance is assessed by an Evaluator;
- (vii) Be recommended to the AO for approval as an Auditor by the Evaluator specified in vi).

**Notes:**

1. *Steps of this process shall be completed in sequence (see [Figure 3.1](#))*
2. *All steps of this process, except i), shall be completed within the 12-month period immediately prior to the date of AQR submission.*
3. *Exceptions to the sequence of steps may be permitted at the discretion of IATA.*
4. *Steps iii) and iv) may be accomplished during the same Audit; step vi) shall be accomplished during a subsequent and different Audit.*
5. *In satisfying step vi) of this initial qualification process, the Evaluator conducting the evaluation of the Auditor for initial qualification shall not conduct any other evaluations during the Audit.*
6. *An Auditor candidate undergoing qualification as specified in steps iii), iv) and/or v) shall not be considered a member of the Audit team.*
7. *An Auditor candidate undergoing a final evaluation as specified in step vi) shall be considered a member of the Audit Team*
8. *A full Audit in Step vi) means the candidate Auditor must be present on-site from the opening to closing meeting.*

**3.9.4** Effective with the publication of this IPM Ed4, where an auditor is limited to qualification in a maximum of four (4) operational disciplines total (not cumulative) as described in [IPM 3.9.1](#) and [3.9.3](#):

- (i) there is no retroactive application of this requirement, meaning existing auditors with more than 4 disciplines will be permitted to retain the other discipline(s) already acquired (i.e. they will be “grandfathered”);

- (ii) auditors seeking additional disciplines (the 5th or more):
  - (a) Prior to the effectivity date of this IPM Ed4, will only be honored where a list of auditors that were already in the process of acquiring a discipline is provided to, and accepted by, IATA;
  - (b) as of Jan 1, 2011, auditors will be limited to no more than four (4) disciplines total.

*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).*

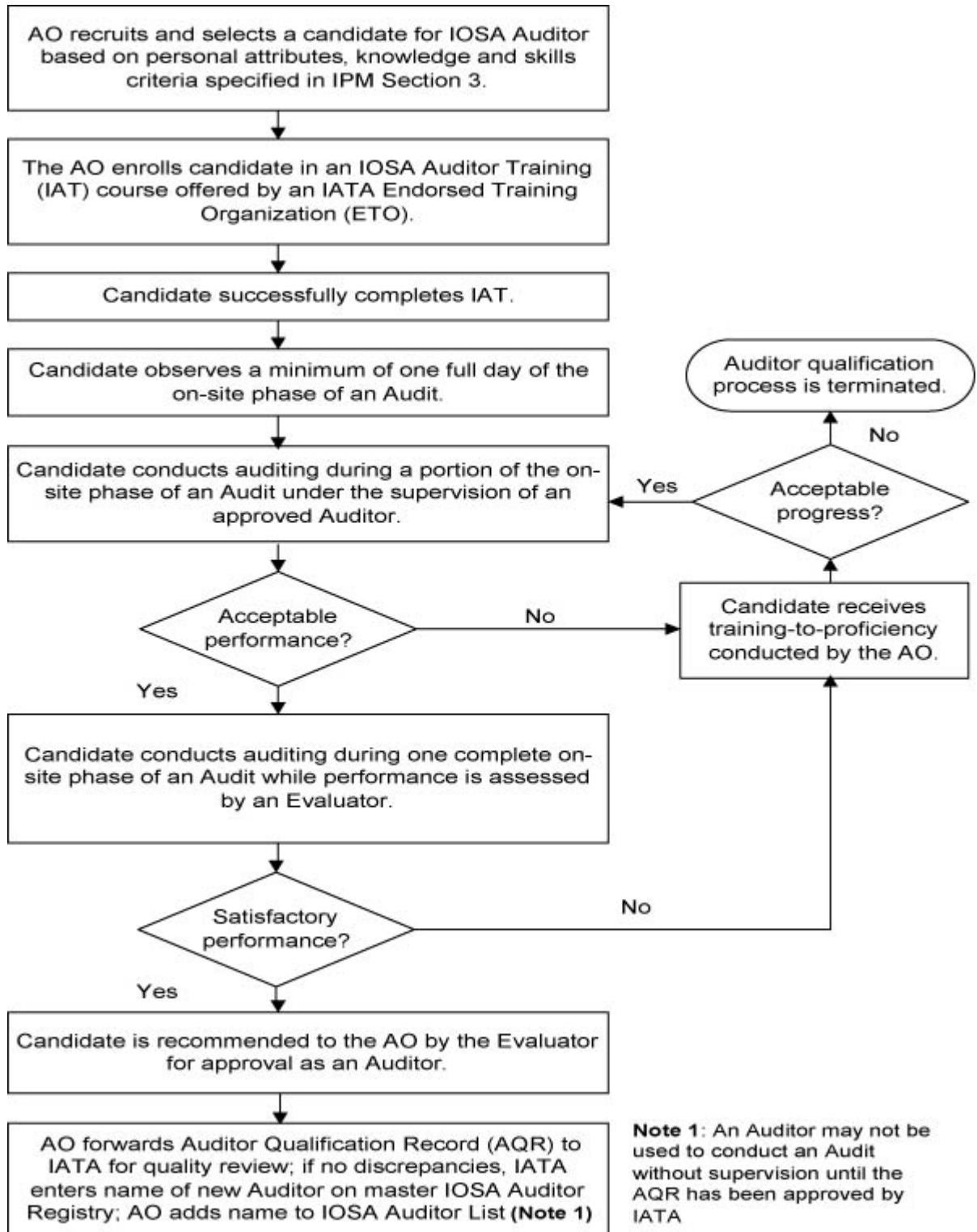
**3.9.5** When the AO has determined that a candidate for IOSA Auditor has successfully completed all applicable steps in the Auditor qualification process in accordance with [IPM 3.9.3](#), the AO shall:

- (i) immediately submit an Auditor Qualification Record (AQR) to IATA for review and approval;
- (ii) once the AQR has been approved by IATA, enter the name of the new Auditor on the list of approved IOSA Auditors for the AO.

**Notes:**

1. *An Auditor shall not be used 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**



### 3.10 Qualification Process for Lead Auditors

**3.10.1** 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 or completes each of the following steps in the qualification process for upgrade to Lead Auditor:

- (i) as a prerequisite, has conducted a minimum of four (4) complete Audits as an Auditor;
- (ii) as a prerequisite, has successfully completed a formal lead auditor training course in accordance with provisions in [IPM 4.3](#);
- (iii) is recommended by a Lead Auditor based on demonstration of competencies;
- (iv) conducts a minimum of one (1) complete Audit acting as Lead Auditor while performance is evaluated by an Evaluator;
- (v) is recommended for approval as a Lead Auditor by the Evaluator specified in iv).

*Notes:*

1. *The Evaluator as specified in iv):*
  - (a) *may function on the Audit Team as a productive Auditor, but shall not conduct any other evaluations during the Audit;*
  - (b) *is the official Lead Auditor for the team 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.*

**3.10.2** When the AO has determined that an Auditor has successfully completed all steps in the Lead Auditor qualification process in accordance with [IPM 3.10.1](#), the AO shall:

- (i) submit an AQR to IATA for review and approval;
- (ii) once the AQR has been approved by IATA, enter the name of the new Lead Auditor on the list of approved IOSA Auditors for the AO.

*Note: An Auditor shall not be used 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.*

**3.10.3** Exceptions 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.

### 3.11 Qualification Process for Evaluators

**3.11.1** After the AO has completed the selection process based on criteria set out in [IPM 3.8](#), the AO shall ensure the selected Auditor has conducted a minimum of three (3) complete Audits as a Lead Auditor.

**3.11.2** When the AO has determined that the selected Auditor has satisfied all qualification requirements for an Evaluator in accordance with [IPM 3.11.1](#), the AO shall:

- (i) submit an AQR to IATA for review and approval;
- (ii) once the AQR has been approved by IATA, enter the name of the new Evaluator on the list of approved IOSA Auditors for the AO.

*Note: An Auditor shall not be used 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.*

**3.11.3** Exceptions to the above Evaluator 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 Auditing an Additional Operational Discipline**

**3.12.1** The AO shall have a process to ensure an Auditor successfully completes the following qualification process and is approved by IATA in order to audit in an operational discipline that is 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, consistent with documented standards by the AO;
- (ii) for the Flight Operations discipline, meets special prerequisites for FLT Auditors as specified in [IPM 3.3.8](#);
- (iii) for the Engineering and Maintenance discipline, meets special prerequisites for MNT Auditors as specified in [IPM 3.3.9](#);
- (iv) for the Organization and Management Systems discipline, meets special prerequisites for ORG Auditors as specified in [IPM 3.3.10](#);
- (v) for the Operational Control and Flight Dispatch discipline, meets special prerequisites for DSP Auditors as specified in [IPM 3.3.11](#);
- (vi) for the Cabin Operations discipline, meets prerequisites for CAB Auditors as specified in [IPM 3.3.4](#) vii);
- (vii) observes the complete audit of the one (1) new operational discipline during a minimum of one (1) Audit;
- (viii) is observed conducting the one (1) new operational discipline during a minimum of one (1) Audit; the observer shall be an Auditor qualified in the applicable operational discipline;
- (ix) is recommended to IATA for approval, to audit in the new operational discipline by the qualified Auditor who conducted the observation as specified in viii) above.

**Notes:**

1. *Steps v) and vi) shall not be accomplished during the same Audit.*
2. *All steps of this process shall be completed in the specified sequence within the 12-month period immediately prior to the date of AQR submission.*
3. *An auditor can only qualify for one (1) new discipline per Audit.*
4. *The final responsibility for all assessments remains with the qualified auditor.*

**3.12.2** When the AO has determined that the Auditor has completed all qualification requirements for auditing in a new operational discipline in accordance with [IPM 3.12.1](#), the AO shall:

- (i) submit an AQR to IATA for review and approval;
- (ii) once the AQR has been approved by IATA, enter the new operational discipline(s) to the qualifications of the Auditor on the 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.*

### 3.13 Recurrent Training Currency

**3.13.1** 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](#).

**3.13.2** An Auditor that has not satisfied recurrent training requirements specified in [IPM 3.13.1](#) 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 3.16.1](#).

### 3.14 Performance Evaluation Currency

**3.14.1** 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. Performance evaluations shall have satisfactory results and shall be accomplished by an Evaluator while the Auditor is conducting a full or partial Audit.

**3.14.2** For the purpose of maintaining qualification in accordance with [IPM 3.14.1](#), 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 3.9](#);
- (ii) during each period of two (2) consecutive calendar years subsequent to the calendar year of the initial performance evaluation as specified in i).

**3.14.3** A performance evaluation associated with an upgrade to Lead Auditor, in accordance with [IPM 3.10.1](#), shall satisfy the requirement for an AO to evaluate the performance of an Auditor as specified in [IPM 3.14.1](#).

**3.14.4** An Auditor that has not satisfied the requirement for a performance evaluation as specified in [IPM 3.14.1](#) and [3.14.2](#) 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 3.16.2](#).

### 3.15 Audit Conduct Currency

**3.15.1** The AO shall have a process to ensure each Auditor on its list of approved IOSA Auditors conducts a minimum of two (2) audits during each calendar year; a minimum of one (1) such audit shall be a full Audit (5 days onsite) under IOSA.

**3.15.2** The AO shall have a process to ensure each Lead Auditor on its list of approved IOSA Auditors conducts a minimum of one (1) full Audit as Lead Auditor during each calendar year. Such Audit shall satisfy the requirement for the conduct of one (1) full Audit under IOSA during each calendar year as specified in [IPM 3.15.1](#).

**3.15.3** For the purpose of maintaining qualification in accordance with [IPM 3.15.1](#) and [3.15.2](#), the AO shall ensure the Auditor conducts a minimum of two (2) audits, as specified in [IPM 3.15.1](#):

- (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 3.9](#);
- (ii) during each calendar year subsequent to the calendar year specified in i).

**3.15.4** An Auditor that has not satisfied audit conduct requirements in accordance with [IPM 3.15.1](#) and [3.15.2](#) shall be considered non-current as an IOSA Auditor and/or Lead Auditor, as applicable, for all AOs. Such Auditor shall not be used by any AO to conduct an Audit or, if applicable, used as a Lead Auditor until audit currency has been re-established in accordance with [IPM 3.16.3](#).

**3.15.5** The AO shall have a process to ensure each Auditor on its list of approved IOSA Auditors, conducts an audit of each complete discipline (e.g. FLT 1, 2, 3, 4) for which they are approved, during every period of two (2) consecutive calendar years.

**3.15.6** For the purpose of maintaining qualification in accordance with [IPM 3.15.5](#), 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.

### 3.16 Re-establishment of Qualifications

**3.16.1** An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet recurrent training currency requirements as specified in [IPM 3.13.1](#) shall re-establish qualification for an AO by completing the recurrent training course that is currently effective for that AO.

**3.16.2** An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet performance evaluation currency requirements as specified in [IPM 3.14.1](#) 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.

**3.16.3** An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet audit conduct currency requirements as specified in [IPM 3.15.1](#) and/or [3.15.2](#), shall 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 or, if applicable, a Lead Auditor.

*Note: An Evaluator shall not be permitted to conduct an evaluation of an Auditor, or a Lead Auditor, re-establishing qualification in accordance with [IPM 3.16.3](#), and also conduct an evaluation of an Auditor undergoing initial qualification in accordance with [IPM 3.9.3](#), during the same Audit.*

**3.16.4** An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet audit conduct currency requirements as specified in [IPM 3.15.1](#) and/or [3.15.2](#), and who fails to re-establish qualification within a period of one (1) year from the date of becoming non-current, shall re-establish qualification as an IOSA Auditor by:

- (i) conducting a complete on-site Audit as an Auditor or, if applicable, a Lead Auditor in the operational discipline(s) for which they are to be re-qualified for, under the supervision of a fully qualified IOSA Auditor;
- (ii) receiving a satisfactory performance evaluation by an Evaluator while conducting a complete on-site Audit as an Auditor or, if applicable, a Lead Auditor in the operational discipline(s) for which they are to be re-qualified for.

Notes:

1. *An Evaluator shall not be permitted to conduct an evaluation of an Auditor re-establishing qualification in accordance with IPM 3.16.4 ii), and also conduct an evaluation of an Auditor undergoing initial qualification in accordance with IPM 3.9.3, during the same Audit.*
2. *Steps i) and ii) can be conducted for an Auditor during the same Audit, but not for a Lead Auditor.*

**3.16.5** An Auditor whose qualification has become non-current for failure to meet audit conduct currency requirements as specified in IPM 3.15.1 and/or 3.15.2, and who fails to re-establish qualification within a period of two (2) years from the date of becoming non-current, shall:

- (i) for failure to maintain currency as an IOSA Auditor as specified in IPM 3.15.1, re-establish qualification as an IOSA Auditor by completing the full qualification process contained in IPM 3.9.3, to include completion of the IOSA Auditor Training (IAT) course;
- (ii) for failure to maintain currency as a Lead Auditor as specified in IPM 3.15.2, re-establish qualification as a Lead Auditor by completing the full qualification process contained in IPM 3.10.1, to include completion of a formal lead auditor training course.

**3.16.6** An Auditor whose qualification has become non-current for failure to meet audit conduct currency requirements as specified in IPM 3.15.5 shall re-establish qualification by conducting an Audit of each complete discipline (e.g. FLT 1, 2, 3, 4) for which the Auditor is to be re-qualified under the observation of an Auditor that is fully qualified in the applicable operational discipline(s).

**3.16.7** An Auditor whose qualification has become non-current for failure to meet audit conduct currency requirements as specified in IPM 3.15.5, and who fails to re-establish qualification within a period of two (2) or more years from the date of becoming non-current, shall re-establish qualification by completing the full qualification process contained in IPM 3.12.1.

## 3.17 Auditor Sharing

**3.17.1** An Auditor that has previously achieved initial approval is currently qualified as an IOSA Auditor shall be permitted to be added to the list of approved IOSA Auditors of an AO (a shared Auditor) after such AO has complied with applicable specifications and restrictions contained in IPM 3.17.2.

**3.17.2** An AO seeking to add a shared Auditor to its list of approved IOSA Auditors as specified in IPM 3.17.1 shall have processes to ensure:

- (i) the shared Auditor has completed initial qualification and approval as an IOSA Auditor in accordance with provisions contained in IPM 3.9;
- (ii) the qualifications of the shared Auditor are current in accordance with provisions contained in IPM 3.13, 3.14 and 3.15;
- (iii) the shared Auditor completes a familiarization program as specified in IPM 2.11.2
- (iv) the shared Auditor either:
  - (a) Has conducted a minimum of three (3) complete Audits as an approved IOSA Auditor, or
  - (b) Completes the qualification process specified in IPM 3.17.3.
- (v) an AQR is submitted to IATA for approval;
- (vi) once the AQR has been approved by IATA, the shared Auditor is entered on the list of approved IOSA Auditors for the AO;

- (vii) if the shared Auditor has not previously been approved as a Lead Auditor, the shared Auditor completes a minimum of two (2) complete Audits in the category of Auditor as defined in [IPM 3.1.1](#) before any consideration is given for upgrade to Lead Auditor.

*Note: An Auditor shall not be used 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.*

**3.17.3** If an AO seeks to add a shared Auditor to its list of approved IOSA Auditors in accordance with [IPM 3.17.2](#), and such shared Auditor has not conducted a minimum of three (3) complete Audits as an approved IOSA Auditor, the AO shall have a qualification process to ensure the shared Auditor:

- (i) conducts one (1) complete Audit under the supervision of an approved IOSA Auditor, and such Audit is conducted in the operational disciplines for which the shared Auditor is to be approved;
- (ii) if required, receives additional training-to-proficiency;
- (iii) conducts one (1) complete Audit while performance is evaluated by an Evaluator;
- (iv) is recommended to the AO for approval as an Auditor by the Evaluator specified in iii).

*Notes:*

1. *This provision addresses shared auditors that achieved approval as part of another AO's initial accreditation process (IPM 3.9.1, 3.9.2) without ever having completed the full qualification process (IPM 3.9.3, 3.9.4).*
2. *Step i) may be accomplished during the same Audit; step iii) shall be accomplished during a subsequent and different Audit.*
3. *In satisfying step iii) of this initial qualification process, the Evaluator conducting the evaluation of the shared Auditor shall not conduct any other evaluations during the Audit.*
4. *A shared Auditor undergoing qualification as specified in step i) shall not be considered a member of the Audit team.*
5. *A shared Auditor undergoing an evaluation as specified in step iii) shall be considered a member of the Audit Team.*
6. *A full Audit in Step iii) means the shared Auditor must be present on-site from the opening meeting to the closing meeting.*

**3.17.4** If an AO seeks to add a shared Auditor to its list of approved IOSA Auditors in accordance with [IPM 3.17.2](#), and such shared Auditor has been previously qualified and approved as a Lead Auditor, the AO shall have processes to ensure:

- (i) the shared Auditor has completed initial qualification and approval as a Lead Auditor in accordance with provisions contained in [IPM 3.10](#);
- (ii) the shared Auditor either:
  - (a) has conducted a minimum of two (2) complete Audits as a Lead Auditor, or
  - (b) completes the qualification process specified in [IPM 3.17.5](#).
- (iii) an AQR is submitted to IATA for approval;

- (iv) once the AQR has been approved by IATA, the shared Auditor is entered on the list of approved IOSA Auditors for the AO as a Lead Auditor.

*Note: An Auditor shall not be used 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.*

**3.17.5** If an AO seeks to add a shared Auditor to its list of approved IOSA Auditors in accordance with [IPM 3.17.4](#), and such shared Auditor has not conducted a minimum of two (2) complete Audits as a Lead Auditor, the AO shall have a qualification process to ensure the shared Auditor:

- (i) conducts a minimum of one (1) complete Audit as Lead Auditor while performance is evaluated by an Evaluator;
- (ii) is recommended to the AO for approval as a Lead Auditor by the Evaluator specified in i).



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## **Section 4 Auditor Training**

### **Purpose**

A high level of competency among 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 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 IOSA Auditor shall successfully complete the IOSA Auditor Training (IAT) course, and such course completion shall remain valid for a period of twenty-four (24) months as a means to satisfy IAT requirements as specified in [IPM 3.9](#).

**4.1.2** IAT attendance shall be arranged and scheduled by an 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 IAT shall have a current auditor certification or 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 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 ethics and conduct;
- (iii) Audit planning, including logistics and personnel management;
- (iv) Team building;
- (v) Methods of effective communication;
- (vi) Conducting effective meetings;
- (vii) Audit report preparation;
- (viii) Audit follow-up.

**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 3.10.1](#). 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 the recurrent training course of the AO once during each calendar year, commencing during the calendar year immediately following the year in which the IAT course was completed. 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 systemic and local issues, as well as any program feedback provided by IATA. Typical course content shall, as a minimum, include and/or address the following:

- (i) IOSA system issues;
- (ii) IOSA program standardization;
- (iii) AO Alerts and Bulletins;
- (iv) Documentation;
- (v) Q5AIMS;

- (vi) Regulatory issues;
- (vii) Audit principles and techniques;
- (viii) Administrative issues;
- (ix) On-site IOSA Audit Report (IAR) production and quality control;
- (x) Other system and local issues, as appropriate (e.g. IOSA audit experience, program development, quality assurance activities, quality control of IARs and other sources of program information and/or feedback).

#### **4.5.4** Intentionally left open

**4.5.5** IATA may, at its sole discretion, produce a training module that is mandatory for inclusion in the Auditor recurrent training course of all AOs for a specified calendar year.

**4.5.6** 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.

## **4.6 Flight Simulator Operations Training**

**4.6.1** An IOSA Flight Operations (FLT) Auditor may qualify to conduct evaluations of flight simulator sessions by completing a formal course on flight simulator operations in accordance with specifications in [IPM Table 3.1](#). 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.



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## 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 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 Requirements that are specified in the IOSA Audit Organizations and Endorsed Training Organizations Quality Performance Program Manual.

**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 Committee (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.

**5.1.5** Once accredited, an ETO shall fulfil those representations and warranties as set out in the ETO Accreditation Agreement.

**5.1.6** An ETO shall be subject to ongoing quality assurance review and monitoring by IATA during a 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) 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 made between IATA and an ETO 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 cease 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 those 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 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 and reporting structure;
- (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 training, aviation safety, aviation operations, or operational auditing.

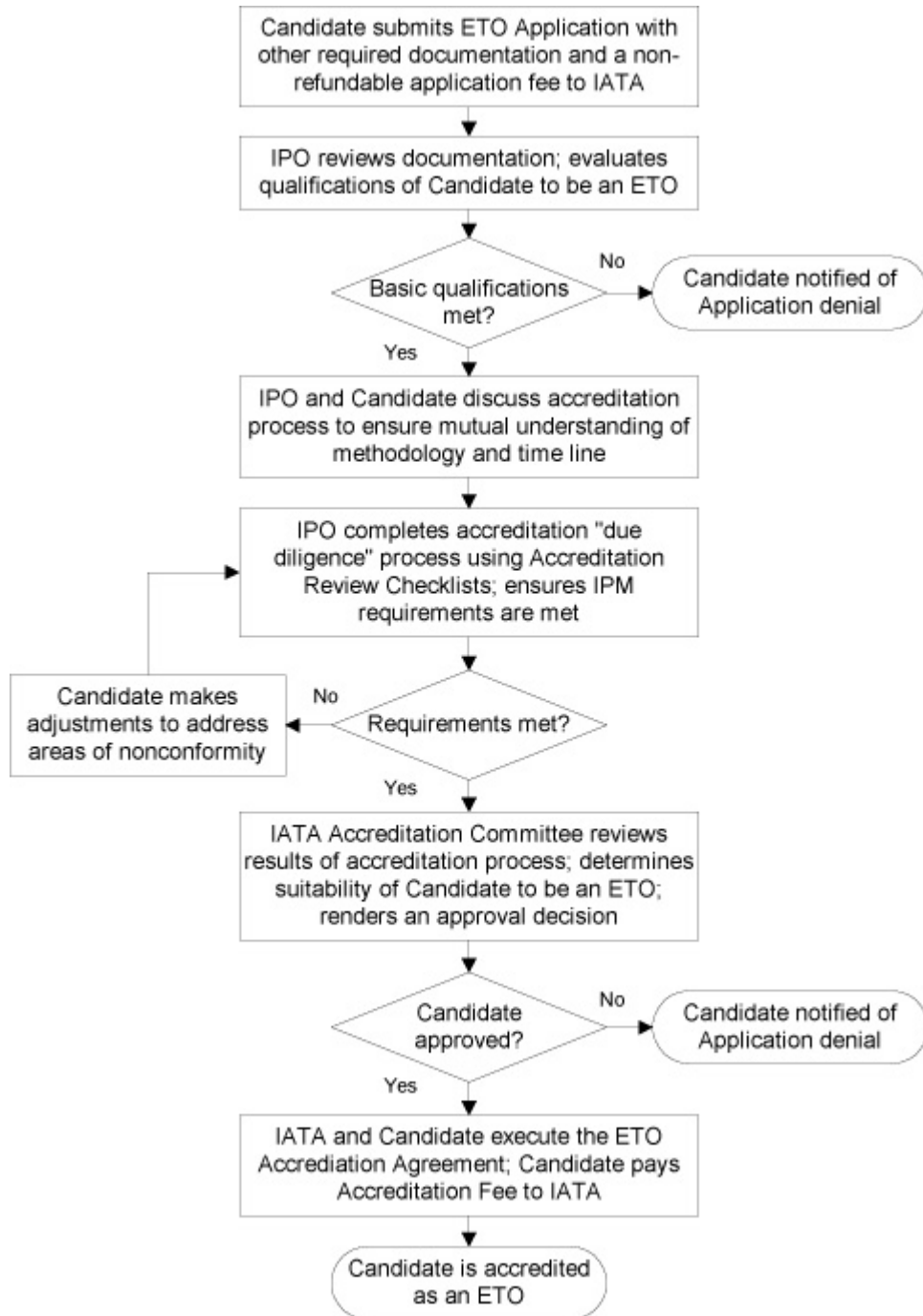
**5.2.4** A candidate for accreditation as an ETO shall provide, for review and evaluation by IATA, its administration and operations, to include personnel, facilities, equipment and other resources associated with producing and/or presenting the IAT course.

**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 IAT Instructor Data File and 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 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** An ETO, to preclude conflict of interest between its dual functions as an AO and ETO, shall have a business plan that ensures an allocation of training resources that incorporate the following: a business plan and objectives that are independent and separate from the AO function;

- (i) non-solicitation of auditors attending IAT courses;
- (ii) appointment of instructors who are impartial and objective 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) training program developers;
- (iii) management and administrative personnel;
- (iv) facilities;
- (v) equipment;
- (vi) 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 as soon as practicable.

### **5.5 General Requirements**

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

- (i) as a minimum, one principal manager, as designated by the ETO, attends all ETO Meetings arranged by IATA;
- (ii) as a minimum, one principal manager, as designated by the ETO, participates in ETO conference calls, which are arranged periodically by IATA;
- (iii) compliance with and/or implementation of appropriate action in response to AO Alerts and AO 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 seven (7) 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 and continual improvement of the IAT 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 instruction;
- (iv) ongoing course development.

**5.8.2** An ETO shall have suitable facilities and sufficient equipment to support the delivery of IAT courses, which, as a minimum, shall include the following:

- (i) ready availability of air conditioned and well lit classroom space that will comfortably accommodate twenty (20) trainees over a five-day course;
- (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 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 for reviewing, revising, updating, maintaining and distributing manuals relevant to the IAT course in a timely manner. Procedures shall ensure applicable documents are reviewed and amended, as appropriate, whenever the IPM is revised.

**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 versions of relevant IOSA documents.

**5.9.5** An ETO shall have a process that ensures IAT instructors are supplied with, and have at their disposal, current documents for use during delivery of the IAT course.

## 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. A candidate for IAT Instructor shall submit to the ETO:

- (i) for a candidate that is an approved IOSA Auditor:
  - (a) a curriculum vitae (CV);
  - (b) certificates and/or documents that support information contained in the CV;
  - (c) evidence that shows the candidate meets the qualification prerequisites for IOSA Lead Auditor as specified in [IPM 3.10.1](#);

- (d) 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 an Auditor in the ORG discipline.
- (ii) for a candidate that is not an approved IOSA Auditor, a CV and a completed IOSA Instructor Data File.

**5.11.2** An ETO shall have a selection process that ensures, in addition to prerequisites set out in [IPM 5.10.1](#), 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.

### 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 completed IAT Instructor Data File, curriculum vitae (CV) and personal references to the candidate ETO, as applicable;
- (ii) meet Instructor Qualification Prerequisites in accordance with provisions contained in [IPM 5.10](#);
- (iii) at the discretion of IATA, complete a personal interview by IATA 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 accepted 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 IAT Instructor Data File, curriculum vitae (CV) and personal references to the candidate ETO, as applicable;
- (ii) meet Instructor Qualification Prerequisites in accordance with provisions contained in [IPM 5.10](#);
- (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; conduct a portion of one IAT course under the supervision of an approved IAT Instructor;
- (v) if required, receive additional training-to-proficiency during the qualification process;

- (vi) conduct a portion of one IAT course while under an acceptance evaluation by an IATA representative; conduct one complete IAT course, a portion of which is under the observation and evaluation of an IATA representative;
- (vii) be accepted by IATA as an IAT Instructor.

*Notes:*

1. *Steps of this process shall be completed in sequence*
2. *An instructor shall not be used to conduct an IAT course without the supervision of an approved IAT instructor until accepted by IATA.*

**5.12.4** A candidate for IAT Instructor who has conducted a minimum of three (3) Audits as a Lead Auditor shall be required to complete the qualification process in accordance with [IPM 5.12.1](#) or [5.12.3](#), as applicable, except such candidate shall not be required to conduct a minimum of one (1) IAT course under the supervision of an approved IAT Instructor.

## 5.13 Instructor Continuing Qualification

**5.13.1** An IAT Instructor shall conduct or observe a complete Audit under IOSA a minimum of once during each period of two (2) consecutive calendar years in order to maintain continuing approval as an IAT Instructor.

**5.13.2** An IAT Instructor shall complete performance evaluations with satisfactory results in order to maintain continuing approval as an IAT Instructor. Performance evaluations, which evaluate the ability of an instructor to effectively impart correct information to trainees and to deliver training in accordance with the IAT course syllabus, shall be conducted by IATA a minimum of once during each period of two (2) consecutive calendar years while the instructor is conducting an IAT course.

**5.13.3** 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 IAT.

**5.13.4** 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 or both of the following, as applicable:

- (i) conducting or observing a complete Audit in accordance with [IPM 5.13.1](#);
- (ii) completing a performance evaluation in accordance with [IPM 5.13.2](#).

## 5.14 Instructor Administration

**5.14.1** An ETO shall have a process for forwarding amended information to IATA in a timely manner 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) completed IAT Instructor Data File;
- (ii) up-to-date curriculum vitae (CV);
- (iii) licenses, certificates, diplomas, as applicable;
- (iv) additional documented evidence that supports competence and acceptance qualification prerequisites in accordance with provisions contained in [IPM 5.11](#);
- (v) 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 in a timely manner.

### 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) verification of trainee background and capabilities in accordance with [IPM 5.15.3](#);
- (vii) arrangements for suitable facilities and equipment as set out in [IPM 5.8.2](#);
- (viii) communication of pre-course notifications and information;
- (ix) provision of course materials;
- (x) facilitation of travel and accommodations, as applicable;
- (xi) invoicing and fee collection;
- (xii) 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, which shall be completed a minimum of twenty (20) calendar days 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 is insufficient, ensure coordination with IATA in making a determination whether a scheduled course should be cancelled;
- (iii) if planned attendance is sufficient, submit a list of trainees planning to attend the scheduled course, to include name and organization for each trainee;
- (iv) notify all affected parties should a course be cancelled.

**5.15.3** An ETO shall evaluate the operational and auditing background of individuals that have requested to attend an IAT course, but are not candidates for IOSA Auditor under the sponsorship of an AO (e.g. representatives of regulatory authorities, private individuals). Based on its evaluation, the ETO shall determine whether an individual is sufficiently experienced to attend the IAT course and, when attendance is denied, notify the individual directly. IATA reserves the right to determine whether an individual is permitted to attend an IAT course.

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

- (i) IAT syllabus;
- (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) IOSA Question Book (Q-Book);
- (vii) a sample IOSA Report (IAR);
- (viii) IATA Reference Manual for Audit Programs (IRM).

**5.15.5** An ETO shall have a process for revision and continual improvement of the IAT course, in coordination with IATA, to ensure training objectives are met and course delivery is consistent with provisions contained in applicable IOSA documentation.

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

- (i) returned from all trainees and remain confidential;
- (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, as well as provide knowledge in additional subjects that are closely associated with IOSA. 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, and IAH;
- (v) IOSA audit process and logistics;
- (vi) Auditor competence;
- (vii) Intercultural awareness;
- (viii) Interpretation of IOSA Standards and Recommended Practices (ISARPs) and application during an Audit;
- (ix) Determination of conformity with ISARPs;
- (x) Documentation requirements;
- (xi) Introduction to the Q5 Audit and Inspection Management System (Q5AIMS);
- (xii) Use of the IOSA Checklist;
- (xiii) IOSA report production and quality control.

## 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. The questions contained in any specific IAT written examination shall be selected by IATA and then provided to the ETO for administration.

**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 for IOSA Auditor 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 thirty (30) calendar days to review training course material. At that time they shall be permitted one (1) additional opportunity for a second written examination, in the presence of an approved IAT instructor, consisting of a different set of questions.

**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.

**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).

## 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.

## 5.19 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.

**5.19.2** IATA shall have a process for providing the ETO with IOSA program issues that may indicate the need for enhanced or special emphasis during the IAT course. Such issues shall be provided on a regular basis and shall be derived from IOSA Audit experience, program development, quality assurance activities, quality control of IARs and other sources of program information and/or feedback. Additionally, IATA may, at its sole discretion, request a training module that is mandatory for inclusion in the IAT course.

## **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 ETO performance. 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.

## **5.22 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 process for 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.



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## Section 6 Airline Responsibilities for IOSA Registration

### Purpose

One goal of IOSA is to facilitate the airlines' understanding of seeking IOSA registration. There are a number of pre-registration responsibilities that must be undertaken, prior to undergoing an initial IOSA audit. This new section of the IPM is intended to highlight some of those responsibilities.

### 6.1 Pre Audit Preparation

**6.1.1** Being well prepared in advance will make the IOSA Audit process a productive and seamless exercise. In preparation:

- (i) download applicable IOSA manuals (IPM, ISM) from IATA website ([www.iata.org/iosa](http://www.iata.org/iosa));
- (ii) ensure applicable company manuals, and subsequent revisions are approved by the regulator (as required), and assembled and made available during the audit;
- (iii) from the ISM, against each ISARP, become familiar with company documentation in order to indicate where the company documentation, including sub references, applies to cover the requirement (include manual revision and effective dates). In most cases the selected AO will provide a spreadsheet in advance to be completed prior to the audit;
- (iv) perform an initial internal audit or gap analysis, using the ISM checklists, to identify any non-compliances and verify that internal documentation is in fact adequate;
- (v) plan the IOSA audit in advance to have enough time to close potential internal findings;
- (vi) ensure all company certificates are available (e.g. AOC, Ops specifications, etc).

### 6.2 IOSA Audit Planning

**6.2.1** The following steps shall be considered by an Operator in advance when planning their audit:

- (i) select an Audit Organization (AO);
- (ii) consider an optional IOSA Pre-Audit Visit (IPV) by the AO, to identify any system gaps (ref to [IPM 8.2.7](#));
- (iii) provide AO with operational profile information, as requested, to aid in the planning of mandatory operational assessments;
- (iv) evaluate and inform/discuss with AO what fleet(s) may not comply with the IOSA standards and might be possible to consider as "out of scope" or "excluded";
- (v) provide the AO with a completed ISARP/internal documentation cross-reference list (ref 6.1.1 iii) above), as a minimum four (4) weeks prior to the start of the audit;
- (vi) ensure sufficient resources and logistical support are assigned during the audit;
- (vii) ensure AO is granted access to secure areas (e.g. security pass, ramp pass).
- (viii) liaise with AO regarding the steps to obtain access to Q5AIMS database. The AO will then contact IATA.

**6.2.2** In accordance with Schedule A of the current Member Audit Agreement, IATA member airlines shall pay, directly to IATA, the full cost of an IOSA audit. The Non-Member Audit Agreement payment model remains unchanged. Subsequent payment of the “Audit Fixed Fee” (for audits of members or non-members) will then be made by IATA directly to the AO as per [IPM 1.2.16](#).

## 6.3 During IOSA Audit

**6.3.1** The following will assist the AOs during an Audit, where the Operator may:

- (i) be open and honest;
- (ii) provide the AO auditors with access to facilities & personnel as required;
- (iii) ensure the responsible operational managers & applicable staff are available, when required, during the audit;
- (iv) ensure that English speaking personnel are available during the audit.

## 6.4 Audit Follow-up

**6.4.1** Upon receipt of the CAR(s) from the AO, the Operator shall provide to the AO a Corrective Action Plan (CAP) to address each finding and/or observation that includes the Root Cause Analysis (RCA) and the Planned Corrective Action, as per [IPM 8.8.4](#):

- (i) in the case of a finding or observation - conduct a thorough RCA to identify the root cause of the problem, and a detailed planned corrective action;
- (ii) before submitting the CAP to the AO, verify:
  - (a) that all corrective actions address all aspects of i) above;
  - (b) that proper English spelling and grammar has been used;
  - (c) the completeness of all required areas of the CAP.
  - (d) submit a comprehensive CAP, in English, as per instructions provided by the AO, and within the timeframe outlined in [IPM 8.8.5](#).

**6.4.2** Keep the AO informed with corrective action implementation progress (provide full evidence and description of corrective actions (e.g. documentation) and clear description of what changes were made, and detailed evidence of implementation.

## 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 Audit Report (IAR) must be:

- (i) quality control checked by the AO;
- (ii) quality control checked by IATA;
- (iii) reviewed, then approved by IATA senior management.

**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 role of:

- (i) the Operator is to provide the AO with any information requested during the QC process, in a timely manner;
- (ii) the AO & IATA is to ensure that their respective internal QC process is effective and performed in accordance with [IPM 9.2](#). During this period communication is ongoing between both parties;
- (iii) IATA is to ensure that all IARs can be released to an approved third party without any risk of misinterpretation, incompleteness, or inaccuracy. Any of these errors would affect the quality of the report, and may challenge the credibility or reputations of the IOSA Program, the AO, or the Operator.

**6.6.3** The overall objective of the QC process is to ensure that the IAR is operationally accurate, easily understood, and has a standard of presentation in keeping with the industry expectation of a high-level safety audit that may be subject to worldwide review and analysis.

## 6.7 Registration Maintenance

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

- (i) continuously monitor the compliance with IOSA standards via internal audits;
- (ii) inform IATA immediately in case of any significant changes to the organization (e.g. operational or management, ownership changes, mergers, etc.). Refer to [IPM 7.7](#);
- (iii) inform the AO in the case where any excluded aircraft from the previous Audit have been retired, or upgraded to comply with IOSA standards;
- (iv) actively communicate with the AO and provide any documents or evidence that the AO requests in order to coordinate commercial, operational, or regulatory arrangements predicated on Audit Sharing (e.g. code-share agreements).



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## Section 7 IOSA Registration

### Purpose

The 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. This section of the 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 the 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 assessments which clearly display the level of conformity of whole fleets in use by the Operator. Even if an ISARP contains provisions referring to "aircraft", AOs shall provide assessments for the entire fleet of that type of aircraft. Should any exceptional local circumstances create difficulties in applying this key program policy, IOSA Management must be contacted before the audit, for an assessment of the situation, and the options available.

*Note: Audit assessments relating to specific aircraft only will not be accepted and will have to be re-audited by the AO.*

#### ***Registration with Exclusions***

**7.1.5** Under certain circumstances, IATA, at its sole discretion and subject to aircraft restrictions specified in [IPM 7.1.8](#), may approve the registration of an IOSA Operator with operational exclusions, whereby such registration identifies and excludes defined segments of operations that were audited and found not to be in conformity with IOSA standards.

**7.1.6** Segments of operations eligible for exclusion from the registration of an IOSA operator in accordance with [IPM 7.1.4](#) 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 types of aircraft by entire fleet;
- (ii) specific route segments;
- (iii) other areas of operations that can be clearly and unmistakably defined and identified.

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

- (i) requested by the AO in accordance with [IPM 2.12.7](#);
- (ii) approved at the sole discretion of IATA in accordance with [IPM 1.9.4](#);
- (iii) specified on the IOSA Registry and updated to reflect subsequent operational changes relevant to IOSA registration.

**7.1.8** A registration with exclusions as specified in [IPM 7.1.5](#) and [7.1.6](#) shall have such exclusion(s) removed when the AO:

- (i) has conducted follow-up and verification that corrective action implemented by the operator has resulted in the defined segment(s) of operations, as identified in the exclusion(s), being in conformity with IOSA standards;
- (ii) has provided written notification to IATA that describes the corrective action completed by the Operator and verified by the AO in accordance with i) above.

**7.1.9** The following aircraft restrictions shall apply to the approval of operational exclusions for an IOSA Operator as specified in [IPM 7.1.5](#):

- (i) on or after 1 January 2011 - any aircraft or aircraft type that is capable of being upgraded to be in conformity with the aircraft technical specifications contained in IOSA standards, but has not yet been upgraded, shall not be permitted as an operational exclusion for an Operator on the IOSA Registry.
- (ii) on or after 1 January 2013 - any aircraft or aircraft type that is not in conformity with the aircraft technical specifications contained in IOSA standards, except aircraft that are outside the applicability scope of IOSA Standards and Recommended Practices as specified in the IOSA Standards Manual (see Introduction paragraph 3), shall not be permitted as an operational exclusion for an Operator on the IOSA Registry.

*Note: An Operator that is unable to comply with aircraft restrictions specified in [IPM 7.1.9](#) shall be removed from the IOSA Registry.*

## 7.2 Audit Expiration

**7.2.1** An Audit, whether for initial registration or 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 twelve (12) consecutive months following the date of the on-site closing meeting, notwithstanding any delayed adjournment of such meeting in accordance with [IPM 8.8.4](#). Should corrective action in accordance with the accepted Corrective Action Plan (CAP) not be implemented by the Operator and verified by the AO prior to the above expiry date, the Audit becomes invalid as a means for the Operator to be added or reinstated to the IOSA Registry.

## 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 8.10](#);
- (ii) the AO has declared [audit closure](#) in accordance with [IPM 8.13.1](#);
- (iii) the 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 7.3](#)).

**7.4.2** For initial registration of an IOSA Operator, the period of registration shall begin once IATA completes the quality control (QC) process with the AO, and 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 7.1](#)).

## 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 resulting from a renewal Audit, if any, have been closed in accordance with applicable provisions contained in [IPM 8.11](#) (see [Figure 7.2](#)).

**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) Operators are restricted from using the same AO for the conduct of more than two (2) consecutive Audits conducted after 01 January 2008. After two (2) consecutive Audits are performed by the same AO, the Operator shall use a different AO to conduct the subsequent Audit.
- (ii) the on-site portion of the renewal audit process shall commence not more than 150 calendar days prior to the expiry date of the Operator's current registration;
- (iii) Audit closure shall be achieved within a timeframe that permits the IAR to be submitted to IATA by the AO no less than 30 calendar days prior to the expiry date of the current registration (refer to [IPM 8.8](#));
- (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 7.5](#)).

**7.5.4** For renewal of a current IOSA registration, the Operator shall have the option to commence the on-site portion of the audit 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 no more than 120 calendar days following to the date of the on-site closing meeting;
- (ii) the Operator shall be removed from the IOSA Registry if audit closure has not been achieved within 120 calendar days following the date of the on-site closing meeting, unless extenuating circumstances have been claimed and verified by IATA in accordance with [IPM 7.5.6](#).

**7.5.5** In the case of a registration renewal Audit conducted *more than* 150 calendar days prior to the expiry date of the Operator's current registration, except registration renewal in accordance with [IPM 1.9](#), 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.

**7.5.6** A claim of extenuating circumstances shall be submitted to IATA by the Operator or the AO when it becomes known during the registration renewal process that audit closure will not be achieved as specified in [IPM 7.5.3](#) or [7.5.4](#), as applicable. The validity of a claim of extenuating circumstances shall be determined by IATA based on the history of the particular audit process, uncompleted audit activities, the status of open Findings and the prospects for audit closure. (See [Figure 7.5](#))

**7.5.7** Mandatory operational assessments of line flights and simulator sessions in accordance with [IPM 8.7.5](#) 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 in accordance with applicable provisions contained in this [IPM 7.5](#).

**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. Should a claim of extenuating circumstances be validated by IATA, a deadline date shall be communicated by IATA to the Operator and the AO that specifies when all findings shall be closed. Such revised deadline date shall not exceed one hundred and twenty (120) calendar days from the registration expiry date and shall be indicated on the IOSA Registry. If audit closure has *not* been achieved prior to the revised deadline date, the Operator shall be removed from the IOSA Registry.

**7.5.9** Intentionally left open

**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](#).

**7.5.12** A request for approval of interim corrective action shall be submitted to IATA by the AO in accordance with [IPM 2.12.7](#), when it becomes known during an Audit that interim corrective action will be necessary to permit acceptance of the Corrective Action Plan (CAP) of an Operator being audited for the renewal of IOSA registration. 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 and 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](#).

**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, and the AO shall verify such implementation, within a maximum of 120 calendar days following the expiry date of the current registration.

**7.5.14** In the event permanent corrective action to replace interim corrective action has not been implemented by the Operator and verified by the AO within the time period specified in [IPM 7.5.13](#), the Operator shall be removed from the IOSA Registry.

## 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 each 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 harmonisation in accordance with [IPM 7.6.1](#):

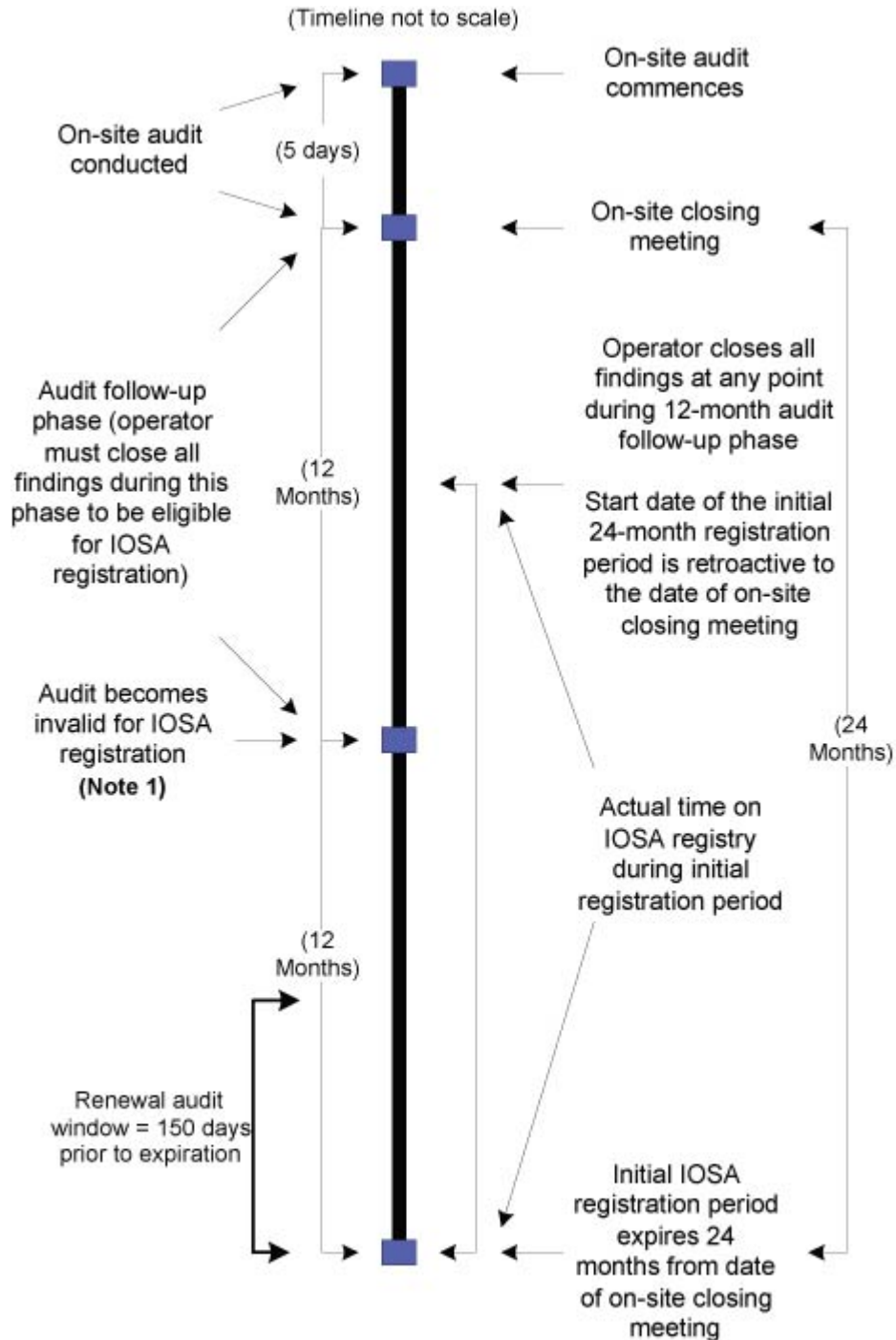
- (i) Audit closure for each Audit shall be achieved no more than 120 calendar days following to the date of the on-site closing meeting, or within a timeframe that permits the IAR to be submitted to IATA by the AO no less than 30 calendar days prior to the *first* registration expiry date of any of 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 from the IOSA Registry unless a claim of extenuating circumstances is verified by IATA in accordance with [IPM 7.5.6](#).*

**7.6.4** When concurrent Audits of Operators are conducted for the purpose of registration harmonization in accordance with [IPM 7.6.1](#), and one or more of the Operators is *not* a currently registered IOSA Operator:

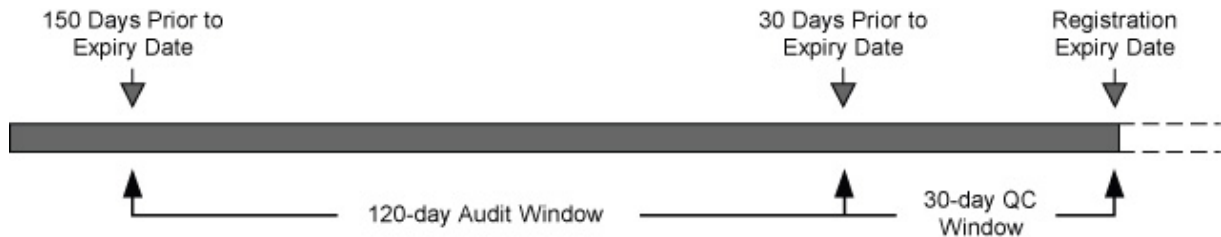
- (i) for the Operator that is *not* currently registered, the closure of findings and the establishment of IOSA registration shall be in accordance with provisions contained in [IPM 7.4](#)
- (ii) for the Operator that is currently registered, the closure of findings and the renewal of IOSA registration shall be in accordance with applicable provisions contained in [IPM 7.5](#).

**Figure 7.1 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 7.2 IOSA Registration Renewal**



**Note:** An Operator is removed from the IOSA Registry if Audit Closure has not been achieved prior to the current registration expiry date, unless extenuating circumstances have been claimed by the Operator and verified by IATA.

## 7.7 Reporting Responsibility

**7.7.1** A registered IOSA 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. 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:
  - (a) suspension;
  - (b) revocation; or
  - (c) restriction.
- (iii) changes to the fleet;
- (iv) sanctions imposed by a regulatory authority;
- (v) an event involving the operation of an aircraft that meets the criteria of an Accident as defined in ICAO Annex 13, Chapter 1; or
- (vi) any takeover, merger, consolidation, or other structural change to the organization that results in a change to the AOC (or to conditions and approvals defined within).

**7.7.2** A registered IOSA Operator with exclusions, as specified in [IPM 7.1.4](#) and [7.1.5](#), 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) equipage of excluded aircraft;
- (ii) operations over excluded routes; or
- (iii) any other excluded area(s) of operations.

**7.7.3** The IATA Senior Vice President, Safety, Operations, and Infrastructure (SVP SO&I) shall be notified immediately 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.

**7.7.4** The SVP SO&I shall, once notified in accordance with [IPM 7.7.3](#), immediately:

- (i) require the Operator to complete IATA's "Airline Self Evaluation" form, and return it to IATA within twenty (20) calendar days from 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 or temporary suspension of the IOSA registration, or removal of the Operator from the IOSA Registry. In case of temporary suspension, the IOSA Registry shall be annotated accordingly.

### **Verification Audit**

**7.7.5** At the discretion of the SVP SO&I, 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 compliance with the IPM. This audit would be applied primarily (but not always) in conjunction with a registration *suspension*, as a way to determine if any subsequent action is required (i.e. Registry retention or removal).

- (i) 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.
- (ii) This IATA-mandated verification audit will be carried out by an AO selected by the SVP SO&I.
- (iii) The closure period of any findings shall be limited to 90 days (maximum) following the closing meeting of the verification audit. The SVP SO&I reserves the right to adjust the closure period depending on the circumstances.
- (iv) The cost of such a verification audit shall be borne by the Operator.

## **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 7.7.3](#) when a determination of removal has been made by IATA.

**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 9](#) has been completed.

**7.8.3** IATA, at its sole discretion, shall make an annotation on the IOSA Registry and/or to notify Interested Parties when a registered IOSA operator either:

- (i) is under review due to significant deficiencies discovered under quality assurance monitoring in accordance with [IPM 1.2.11](#), or
- (ii) has reported circumstances and/or conditions as specified in [IPM 7.7.1](#), and such circumstances and/or conditions have been verified by IATA; or
- (iii) is involved in dispute resolution that will affect IOSA registration; or
- (iv) is removed from the IOSA Registry.

## 7.9 Registration Reinstatement

**7.9.1** An IOSA Operator that has been removed from the Registry in accordance with applicable provisions contained in [IPM 7.5](#) shall be reinstated to the Registry if the AO has declared audit closure within the twelve (12) consecutive months following the on-site closing meeting.

**7.9.2** The registration of an Operator shall be reinstated upon completion of the IAR Quality Control process, in accordance with applicable provisions contained in [IPM 9.2](#).

**7.9.3** The registration shall expire exactly twenty-four (24) consecutive months following the expiry date of the previous IOSA registration.

**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

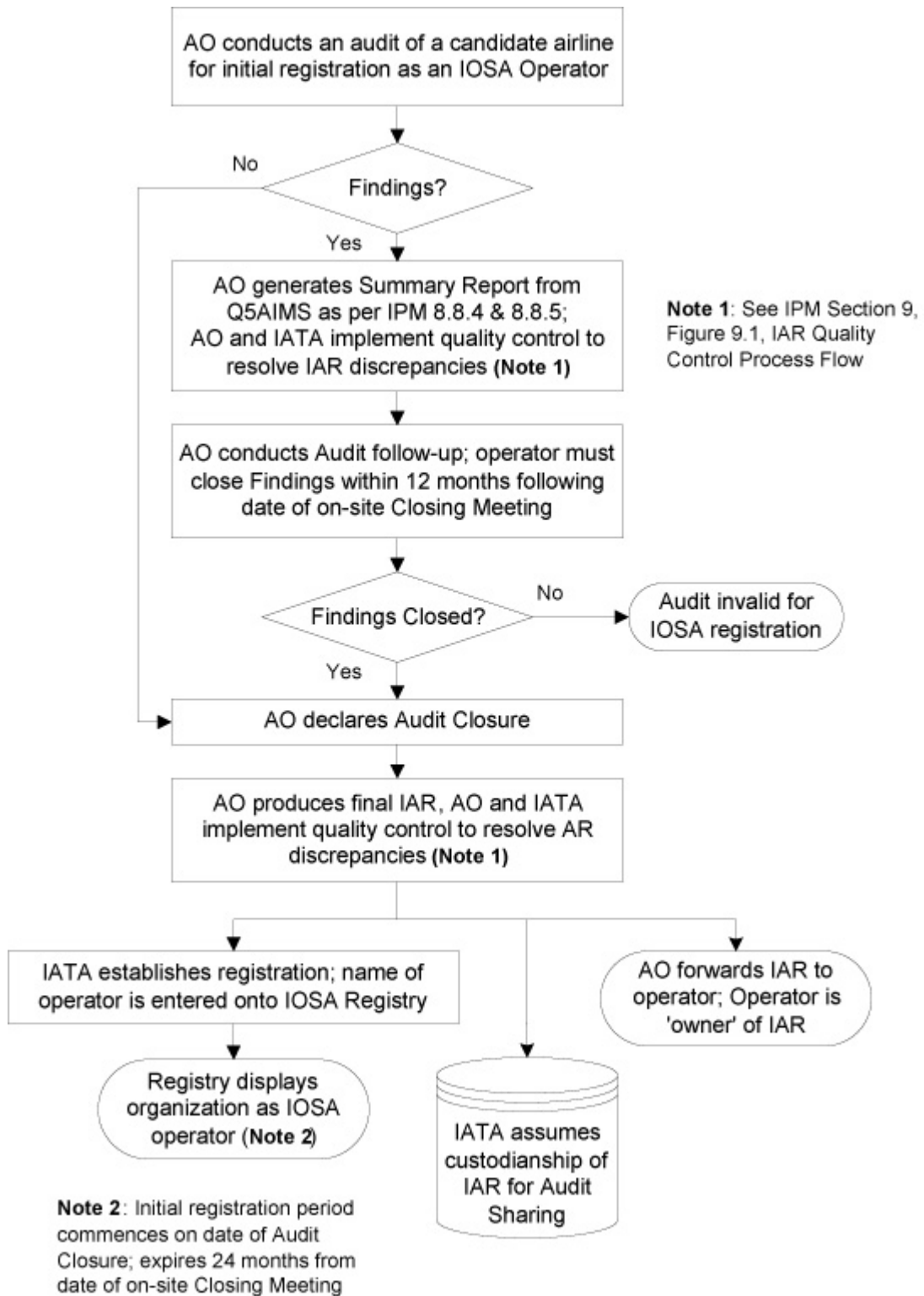
**7.10.1** An IOSA Operator shall request and receive written authority from IATA prior to the issuance of any verbal statements or written material designed to promote IOSA registration for the purpose of commercial or competitive gain. Included would be any statements or material that use the IATA 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.

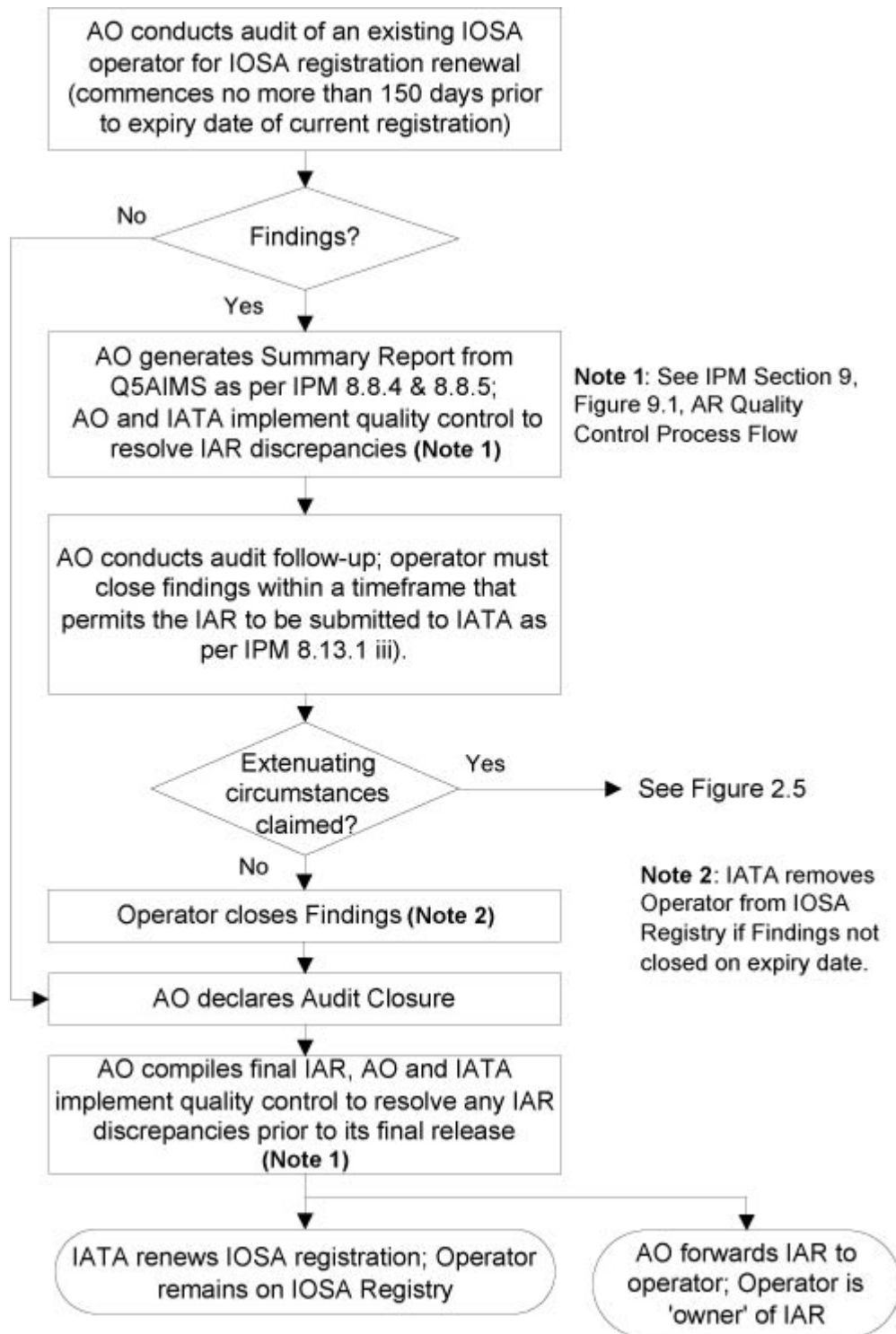
*Note: Use of the IATA logo by an IOSA Operator is strictly prohibited unless such Operator is a member of IATA.*

**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.

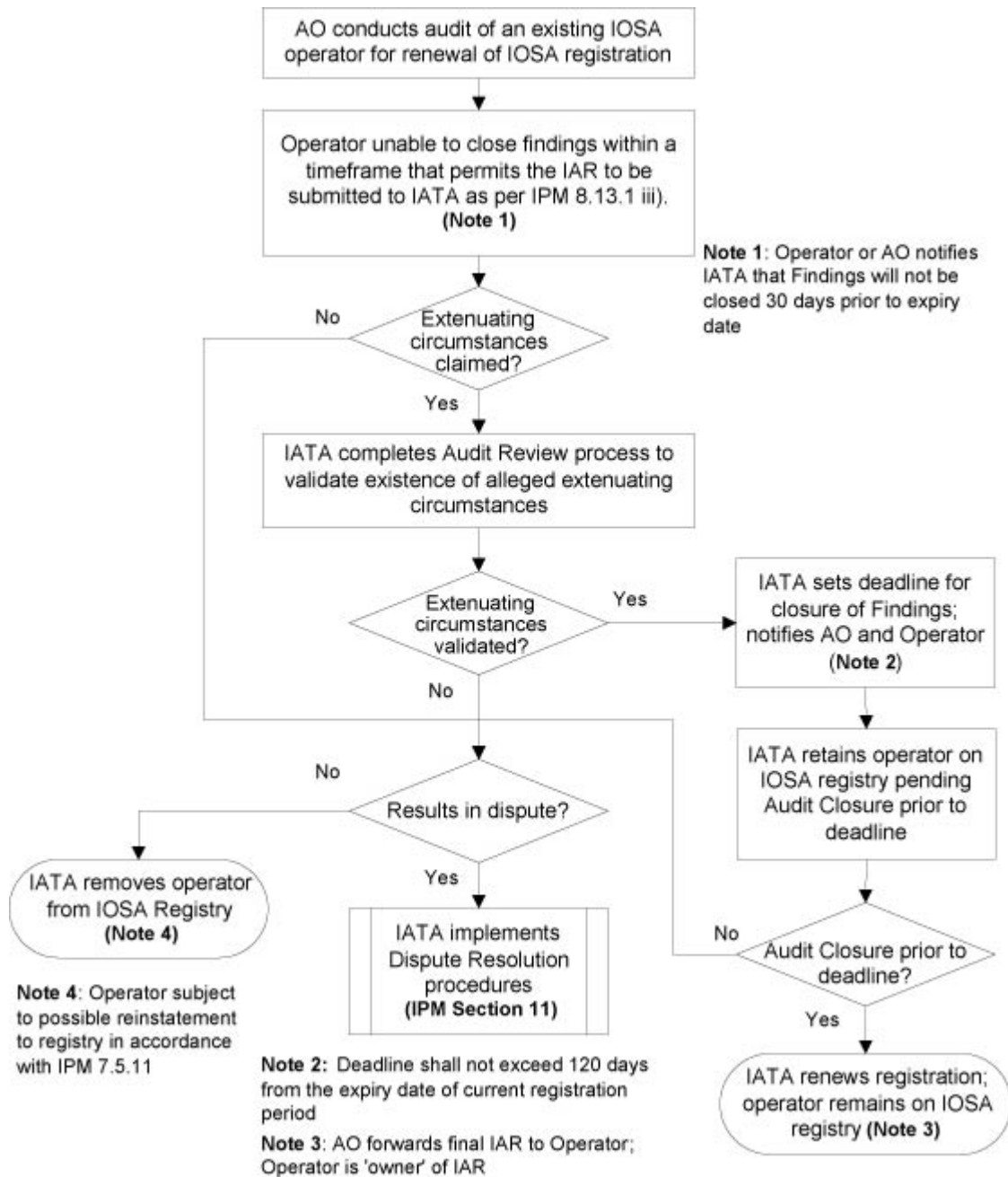
**Figure 7.3 Initial IOSA Registration, Process Flowchart**



**Figure 7.4 Renewal IOSA Registration, Process Flowchart**



**Figure 7.5 Consideration of Extenuating Circumstances, Process Flowchart**



## Section 8 Audit Program

### Purpose

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

### 8.1 Organization and Management

**8.1.1** The 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, 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, and Audit objectives are achieved. The process shall ensure planning for each Audit takes into account, as a minimum:

- (i) Audit scope and objectives;
- (ii) Execution of the IOSA Audit Agreement;
- (iii) status of the IOSA registration of the Operator;
- (iv) AO and auditor conflict of interest;
- (v) the organization to be audited;
- (vi) Audit location(s);
- (vii) activities to be audited;

- (viii) availability of resources;
- (ix) logistical requirements;
- (x) cultural issues;
- (xi) language issues.

**8.2.2** The AO shall have a process to enter into an agreement (the “Audit Agreement”) whenever an Audit is to be contracted, 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 version of the ISM to be used as the basis for the Audit. The Operator shall have the option to select the version of the ISM to be used for the Audit, which shall be either:

- (i) the version that is currently effective on the day before the on-site phase of the Audit is scheduled to begin; or
- (ii) a version that has been published (by IATA) prior to the day the on-site phase of the Audit is scheduled to begin, but has not yet become effective.

**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) Five (5) man days for preparation and IAR quality control.

*Note: Any planned usage of less than 30 auditor days for an Audit shall require written approval from IATA.*

**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 ensure the AO:

- (i) agrees to schedule and conduct such Audits only if the affiliated Operator that provides the majority of the shared operational functions is an IOSA Operator being audited for registration renewal;
- (ii) schedules the Audits to be conducted either:
  - (a) sequentially (one immediately after the other); or
  - (b) simultaneously (both at the same time).
- (iii) provides applicable notifications and submissions to IATA as specified in [IPM 2.12](#);

- (iv) 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 man 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.
- (v) provides an overview in the Executive Summary of the IAR that describes the:
  - (a) shared operational functions of the affiliated Operators;
  - (b) timeframe 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](#). An IPV shall be conducted by one or more Auditors on the AO's list of approved IOSA Auditors, and be 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).

*Note: An IPV is not a mandatory requirement of the IOSA program. It is merely intended as an opportunity for the AO to guide the operator through the expectations of an IOSA audit, and not as a potential vehicle to perform a pre-audit, a clear conflict as indicated.*

**8.2.8** If an AO conducts the IOSA Awareness Workshop, which is an optional preliminary activity at the operator's discretion that may replace, or supplement an IPV, the AO shall have a process for conducting such a Workshop. The IOSA Awareness Workshop is accomplished only upon mutual agreement between AO and Operator in advance of the on-site assessment phase of the Audit for the purpose of familiarizing the Operator with the concept and methodology of the IOSA program, and for providing general guidance to assist the Operator in preparing itself for an Audit. Any activities with respect to the operations of the Operator that could be construed as conflict-of-interest, as set out in [IPM 2.4](#), shall be avoided.

*Note: An Awareness Workshop 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, and not as a potential vehicle to perform a pre-audit, a clear conflict as indicated.*

**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 operational activities listed in [Table 8.1](#) that are mandatory for observation or assessment by the Audit Team.

**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 [Table 8.1](#), 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** 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.

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

**8.2.14** 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 portion of the Audit does not commence more than 150 calendar days prior to the expiry date of the Operator's current registration;
- (ii) [Audit closure](#), under normal circumstances, will be declared no less than 30 calendar days prior to the expiry date of the current registration.

## 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, except where an Auditor is undergoing a final evaluation in accordance with [IPM 3.9.3](#), that Auditor shall be considered a member of the Audit Team.

**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.

## 8.4 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 successful implementation of the Audit, such as:

- (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;
- (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 obtain and review relevant information and documentation from the Operator as far in advance of the Audit as possible.

**8.4.5** 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.

**8.4.6** 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.

**8.4.7** The AO shall have a process to assemble the full Audit Team prior to the start of the on-site assessment phase of the Audit for the purpose of preparing team members to conduct the Audit in a coordinated and efficient manner. Such a program shall include a preparatory meeting of the full Audit Team to:

- (i) review the audit plan;
- (ii) discuss roles and responsibilities;
- (iii) coordinate a strategy and procedures for effective teamwork during the Audit;
- (iv) ensure a contingency plan is in place.

## **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 fresh and in a fit state for duty.

**8.5.3** The AO shall ensure the availability of 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.

**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 sections of the ISM relevant to the specific operational area(s) to be audited;
- (ii) current IOSA checklists relevant to the specific operational area(s) to be audited.

## **8.6 Auditor Performance**

**8.6.1** The AO shall ensure Auditors:

- (i) understand correct usage of the IOSA checklist and are proficient in completing the checklist in a standardized manner in accordance with 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) are competent in being able to establish conformity based on the degree to which the Operator has documented and implemented specifications contained in ISARPs;

- (iv) understand the need and are competent to conduct operational observations or assessments during every Audit as specified in [Table 8.1](#).

## **8.7 Conducting the Audit**

**8.7.1** 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 using a formal presentation format, either projected or on paper, and shall address the following:

- (i) introduction of members of the Audit Team and representatives of the Operator;
- (ii) roles and responsibilities of the Audit Team and the Operator;
- (iii) exchange of contact information and lines of communication during the Audit;
- (iv) Audit objective: establishment of the level of conformity with ISARPs;
- (v) scope of ISARPs and application to the Audit;
- (vi) planned schedule of all Audit activities, including the closing meeting;
- (vii) methods and procedures used to conduct the Audit;
- (viii) criteria for establishing conformity with ISARPs: "documented" and "implemented";
- (ix) administrative arrangements and facilities to be used during the Audit;
- (x) arrangements for travel to, and security/ramp passes for, various Audit venues;
- (xi) arrangements for observations of operational activities;
- (xii) language to be used during the Audit;
- (xiii) method of keeping the Operator informed of Audit progress;
- (xiv) method of reporting IOSA findings or observations to the Operator;
- (xv) post-Audit follow-up and an overview of the process for closing findings;
- (xvi) confidentiality of the IOSA program;
- (xvii) safety, security or emergency procedures applicable to the Audit Team;
- (xviii) availability and roles of guides or escorts during the Audit;
- (xix) conditions that may lead to termination of the Audit;
- (xx) IOSA dispute resolution process;
- (xxi) IOSA Audit Feedback Survey.

**8.7.2** The AO shall ensure that only the current official English language version of the ISM (as selected by the Operator) 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.

*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 Q5 Audit and Inspection Management System (Q5AIMS) are part of the IAR, and shall be considered as the official working documents for an Audit.*

**8.7.3** The AO shall ensure there are regularly scheduled and frequent meetings of the Audit Team during an Audit to exchange information and assess progress. 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 mandatory operational observations and/or assessments as specified in [Table 8.1](#) are accomplished during each Audit.

**8.7.6** 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.

**8.7.7** 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) discussed with and agreed to among the Audit Team members;
- (v) documented along with supporting factual evidence on the IOSA checklist.

**8.7.8** 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 that:

- (i) has been accepted by the Audit Team;
- (ii) has a projected date of completion that is in accordance with any applicable prerequisite conditions that may have been specified under the AI designation of the IOSA provision;
- (iii) identifies a series of progress milestones over the total duration of the plan that permit a comparison of actual work completed against the projected work schedule in order to readily determine if the IAP is progressing toward completion according to the schedule;
- (iv) projects conformity with all technical specifications contained in the designated IOSA standards upon completion of the plan;

- (v) contains a detailed schedule of all work or activities necessary for the Operator to complete the plan within the planned time period;
- (vi) delineates equipment, components, material or any other physical resources necessary to complete the plan.

**8.7.9** If the Operator attempts to address non-conformity with any IOSA provision through implementation of immediate corrective action during the on-site phase of the Audit, the AO shall ensure such on-site action is accepted only when the Audit Team is able to verify, prior to the closing meeting, that the corrective action implemented is comprehensive and permanent, and results in the Operator being in conformity with the IOSA provision. When on-site corrective action is accepted, the Audit Team shall ensure a description of the non-conformance and associated corrective action is documented in the Record of On-site Findings and Observations that were corrected during the Audit.

**8.7.10** Once the on-site assessment phase of the Audit has started, the AO shall ensure the assessment of the Operator continues uninterrupted to completion, except:

- (i) when a mandatory audit activity must be completed in accordance with [IPM 8.7.5](#);
- (ii) the Audit is terminated in accordance with provisions contained in [IPM 8.9](#).

**8.7.11** When a mandatory audit activity as specified in [IPM 8.7.5](#) 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.

## 8.8 Closing Meeting

**8.8.1** The AO shall ensure the on-site assessment phase of the Audit is completed 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 using a formal presentation format, either projected or on paper, and the following areas shall be presented, or addressed:

- (i) an overview of the actual audit activities;
- (ii) IOSA findings and observations;
- (iii) supporting objective evidence (may be presented by individual Auditors);
- (iv) the summary of findings and observations;
- (v) the [Corrective Action Report \(CAR\)](#);
- (vi) follow-up process, including timelines for corrective action;
- (vii) process for verification of corrective action implementation;
- (viii) closure of findings;

- (ix) the final IAR;
- (x) IAR quality control process;
- (xi) requirements for IOSA registration;
- (xii) confidentiality of the IOSA program;
- (xiii) IATA policy for marketing of IOSA registration;
- (xiv) the IOSA Audit Feedback Survey (sent by IATA).

**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 8.12.4](#);
- (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; additional areas of nonconformity could be identified if further assessment is required to resolve discrepancies 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 [IPM 8.11](#) and [8.12](#).

**8.8.4** The AO shall have a process, using Q5AIMS, for both initial and renewal registration Audits to:

- (i) prepare and issue a summary of any finding and/or observation to the Operator at the closing meeting or immediately following the date of adjournment;
- (ii) create applicable Corrective Action Record(s) [CAR], which will be made available to the Operator following the closing meeting.

*Note: Upon receipt of the CAR(s) from the AO, the Operator, per [IPM 6.4.1](#), shall provide to the AO a Corrective Action Plan (CAP) that includes the Root Cause Analysis (RCA) and the Planned Corrective Action to address each finding and/or observation.*

**8.8.5** The entire duration for the AO and Operator to complete the process in [IPM 8.8.4](#) shall not exceed a total of forty-five 45 calendar days following the closing meeting. Additionally, the deadlines specified in [IPM 7.3.1](#) shall not be exceeded.

**8.8.6** The AO shall review the CAP(s) upon receipt from the Operator, and ensure that all information was properly uploaded into Q5AIMS, and is ready for retrieval.

## 8.9 Terminating an Audit

**8.9.1** The AO shall have a process to terminate an Audit if the Audit Team 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) the Audit Team has determined that Audit objectives are not attainable.

**8.9.2** When terminating an Audit in accordance with [IPM 8.9.1](#), the AO shall ensure IATA is notified in writing within twenty four (24) hours of such termination action.

**Table 8.1 IOSA Operational Observations/Assessments (also refer to [Table 8.2](#))**

Operational Discipline	Activities and Processes	Remarks See <a href="#">Table 8.2</a> for Notes below
Flight Operations	<ul style="list-style-type: none"> <li>• Line flight–flight deck operations*</li> <li>• Simulator session*</li> <li>• Training flight</li> </ul>	<ul style="list-style-type: none"> <li>• Note 1</li> <li>• Note 1</li> <li>• Note 2</li> </ul>
Operational Control Flight Dispatch	<ul style="list-style-type: none"> <li>• Flight planning*</li> <li>• Flight monitoring*</li> </ul>	<ul style="list-style-type: none"> <li>---</li> <li>---</li> </ul>
Aircraft Engineering & Maintenance	<ul style="list-style-type: none"> <li>• AD/ASB process*</li> <li>• Maintenance activities (2)</li> <li>• Maintenance processes* (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Note 3</li> <li>• Note 4</li> <li>• Note 5</li> </ul>
Cabin & Cargo Compartment Operations	<ul style="list-style-type: none"> <li>• Line flight–passenger cabin operations only*</li> </ul>	<ul style="list-style-type: none"> <li>• Note 6</li> </ul>
Ground Handling	<ul style="list-style-type: none"> <li>• Weight and balance calculation*</li> <li>• Ground handling activities*</li> </ul>	<ul style="list-style-type: none"> <li>---</li> <li>• Note 7</li> </ul>
Cargo Operations	<ul style="list-style-type: none"> <li>• Aircraft loading or unloading*</li> </ul>	<ul style="list-style-type: none"> <li>• Note 8</li> </ul>
Operational Security	<ul style="list-style-type: none"> <li>• Baggage reconciliation*</li> <li>• Pre-Board/hold room screening</li> <li>• Aircraft access control</li> <li>• Preflight crew security briefing</li> </ul>	<ul style="list-style-type: none"> <li>• Note 9</li> <li>---</li> <li>---</li> <li>---</li> </ul>

\* Indicates mandatory observation or assessment.

**Table 8.2 IOSA Operational Observations/Assessments (Notes)**  
(also refer to [Table 8.1](#))

Notes
<p><b>General Note</b> - Operational observations or assessments are conducted during an Audit as a means for collecting evidence that may, or may not, complement factual evidence that has already been (or will be) collected during the course of the Audit. The number of operational activities conducted generally does not represent a meaningful sample; therefore, evidence collected from one observation or assessment is statistically insignificant and should not, by itself, lead to a Finding or Observation.</p> <p>An Auditor always has the option of increasing sample size by ordering one or more additional observations, or assessments, of specific operations based on evidence collected from the first activity. Such additional sampling could help to substantiate any previously observed evidence as either a systemic issue or isolated anomaly.</p> <p>Where an operational function is outsourced, an operational observation is not required, but the Auditor shall verify that the Operator ensures proper oversight of those functions. Under such circumstances, the Auditor shall describe such oversight in the Auditor Comments.</p> <p>Where a mandatory operational observation as specified in <a href="#">Table 8.1</a> is not logistically feasible, the AO shall inform IATA immediately as to why this requirement must be omitted. Under such circumstances, the Auditor shall also state the reason for such omission in the Executive Summary.</p> <p><b>Note 1</b> - A Flight Operations Auditor shall conduct, as a minimum, one line flight observation (from the flight deck) and one simulator or flight training observation as part of every Audit. Additional line flight or simulator/flight training observations may be conducted at the option of the Auditor.</p> <p>The AO shall ensure such observations:</p> <ul style="list-style-type: none"> <li>• Are coordinated and scheduled in accordance with <a href="#">IPM 8.2.9</a>;</li> <li>• Take place in conjunction with the on-site assessment phase of the Audit, if possible;</li> <li>• Are accomplished only by qualified Flight Operations Auditors in accordance with <a href="#">IPM 3.3.8</a>, and applicable guidance in the IAH;</li> <li>• Are conducted by Auditors who can communicate in the language of the Operator, or if not possible, have the availability of an interpreter.</li> </ul> <p>The line flight observation, or, if applicable, flight training observation may only be excluded:</p> <p>(a) If prohibited by the applicable regulatory authority; or</p> <p>(b) If none of the Operator's aircraft has an appropriate jump seat from which to observe the activity.</p> <p><b>Note 2</b> - Where an Operator conducts flight training in the aircraft in lieu of a flight simulator, a Flight Operations Auditor shall observe a minimum of one training flight. Guidelines for observing a training flight are the same as specified in Note 1.</p> <p><b>Note 3</b> - An Engineering and Maintenance Auditor shall assess the entire process of the Operator for assessing and implementing an Airworthiness Directive (AD) and/or Alert Service Bulletin (ASB), including a review of the Task Card used to certify the incorporation of an AD or ASB.</p>

Notes
<p><b>Note 4</b> - An Engineering and Maintenance Auditor should assess a minimum of two (2) maintenance activities including, but not limited to, any of the following:</p> <ul style="list-style-type: none"> <li>• Engine change;</li> <li>• APU change;</li> <li>• Primary or secondary flight control change;</li> <li>• Wheel or brake change;</li> <li>• Door (cabin or cargo) change;</li> <li>• Landing gear (main, body, wing or nose) change;</li> <li>• Radar antenna change;</li> <li>• Pitot or static component change;</li> <li>• Angle of attack transducer change;</li> <li>• Engine trim check;</li> <li>• Any component change that requires rigging, calibration or testing; or</li> <li>• Any structural repair to metal or composite material.</li> </ul>
<p><b>Note 5</b> - An Engineering and Maintenance Auditor shall, if feasible, assess a minimum of one (1) of the following maintenance processes:</p> <ul style="list-style-type: none"> <li>• Procedures used to ensure currency and correctness of calibrated equipment;</li> <li>• Tooling and equipment used to ensure correctness and currency of calibrated equipment;</li> <li>• Manpower utilization (correct complement, authorizations and qualifications);</li> <li>• Environment in which maintenance is performed (lighting, noise, temperature, humidity, etc.);</li> <li>• Certification of work (progressive/final certification, dual/independent inspections, etc.).</li> </ul>
<p><b>Note 6</b> - A Cabin Operations Auditor shall conduct, as a minimum, one line flight observation (from the passenger cabin) as part of the Audit of an Operator that conducts passenger flights with aircraft that require a cabin crew. Additional line flight observations may be conducted at the option of the Auditor. This observation is not required during the audit of an Operator that only conducts cargo flights. Observations of passenger cabin operations cannot be conducted on a fleet that has undergone the exclusions procedure, as described in <a href="#">IPM Section 7</a>.</p>
<p><b>Note 7</b> - A Ground Handling (or Engineering and Maintenance) Auditor shall assess a minimum of one (1) ground handling activity to ensure aircraft airworthiness is not compromised. Such activities shall include, but are not limited to, any of the following:</p> <ul style="list-style-type: none"> <li>• Aircraft pushback/tow operations;</li> <li>• Aircraft fuelling;</li> <li>• De/anti-icing;</li> <li>• Minor servicing (e.g. tire inflation, oil checks, oxygen replenishment, toilet servicing, catering potable water servicing, etc.);</li> </ul>

Notes
<p><b>Note 8</b> - A Ground Handling (or Cargo Operations) Auditor shall assess the loading/unloading of cargo into/from an aircraft (as applicable, baggage, revenue cargo, non-revenue cargo and/or, mail). The loading/unloading operations assessed shall be representative of the type of operations and aircraft (i.e. passenger and/or all-cargo) of the Operator using procedures originating from the Operator.</p> <p>For an Operator that conducts passenger flights only, a GRH Auditor shall conduct a minimum of one assessment, of the loading/unloading of baggage to satisfy this observation requirement.</p>
<p><b>Note 9</b> - Where the mandatory Assessment of Baggage reconciliation for Operational Security cannot be carried out for an all cargo operator who does not do baggage reconciliation. In such cases, at least one of the remaining three Activities and Processes applicable to Operational Security are re-classified as mandatory and must be observed by an auditor qualified in the SEC discipline.</p>

## 8.10 Accepting a 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:

- (i) for initial IOSA registration, project closure of all findings no later than twelve consecutive (12) months following the date of the on-site closing meeting;
- (ii) for renewal of an existing IOSA registration, project closure of all findings within a period of time as specified in [IPM 7.5.3](#) or [7.5.4](#), as applicable;
- (iii) include proposed implementation of comprehensive and permanent corrective action.

### **Interim Corrective Action**

**8.10.3** [Interim corrective action](#) shall only be accepted by the Audit Team once the AO has formally requested and received approval from IATA in accordance with [IPM 2.12.7 ii](#)).

**8.10.4** Under unique circumstances, an acceptable CAP may, for renewal of an existing IOSA Registration only, 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.

**8.10.5** 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) 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 period of 120 calendar days following the expiry date of the current registration.
- (ii) 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.

## 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 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.

## 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 all findings not be closed by the AO in accordance with [IPM 8.11.1](#), 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 in accordance with provisions contained in [IPM 8.2](#);

- (ii) for renewal of an existing IOSA registration:

except as provided in [IPM 7.5.4](#) and [7.9.3](#), an Operator shall be removed from the IOSA Registry if all findings have not been closed 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](#).

### ***Effect of ISM Revisions***

**8.12.3** 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 version of 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 8.12.3](#), 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 8.12.3](#), 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.

### ***Effect of a Standards Special Review***

**8.12.4** 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 closed; a description of such closure 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 all Findings have been addressed by the Operator through implementation of corrective action in accordance with an accepted CAP as specified in [IPM 8.10.2](#), and such implementation has been verified by the AO. On such date, the AO shall implement the applicable administrative action associated with audit closure, and also notify IATA in writing within seven (7) calendar days following the declaration of audit closure;
- (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, or registration renewal, as applicable, until the IAR quality control processes have been completed by the AO and IATA;

- (iii) submit the IAR to IATA after the closure date of the audit:
  - (a) for an initial Audit within 15 calendar days;
  - (b) for a renewal Audit within 15 calendar days or, if applicable, no less than 30 days prior to registration expiry, whichever occurs first.

*Note: 8.13.1 iii)b presumes the Operator has closed their CARs within this period. Refer to IAH 3.1 for guidance.*



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## Section 9 IOSA Audit Report (IAR)

### Purpose

Sharing of audits is a fundamental element of 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 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 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 (QRR);
- (iv) Corrective Action Report (CAR);
- (v) if applicable, Onsite Correction Record (OCR);
- (vi) 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 guidance issued by IATA.

**9.1.4** The AO shall have a process to make available to the Operator the final IAR 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;
- (x) if applicable, the Onsite Correction Record is completed to address minor on-site corrections.

**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** Intentionally left open

**9.2.4** Intentionally left open

**9.2.5** 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 Q5AIMS 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 option 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** Intentionally left open

**9.7.4** In cases when the Operator has not been able to successfully close findings within the specified maximum timeframe 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.

**9.7.5** 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 written request to 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.*

## 9.10 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:

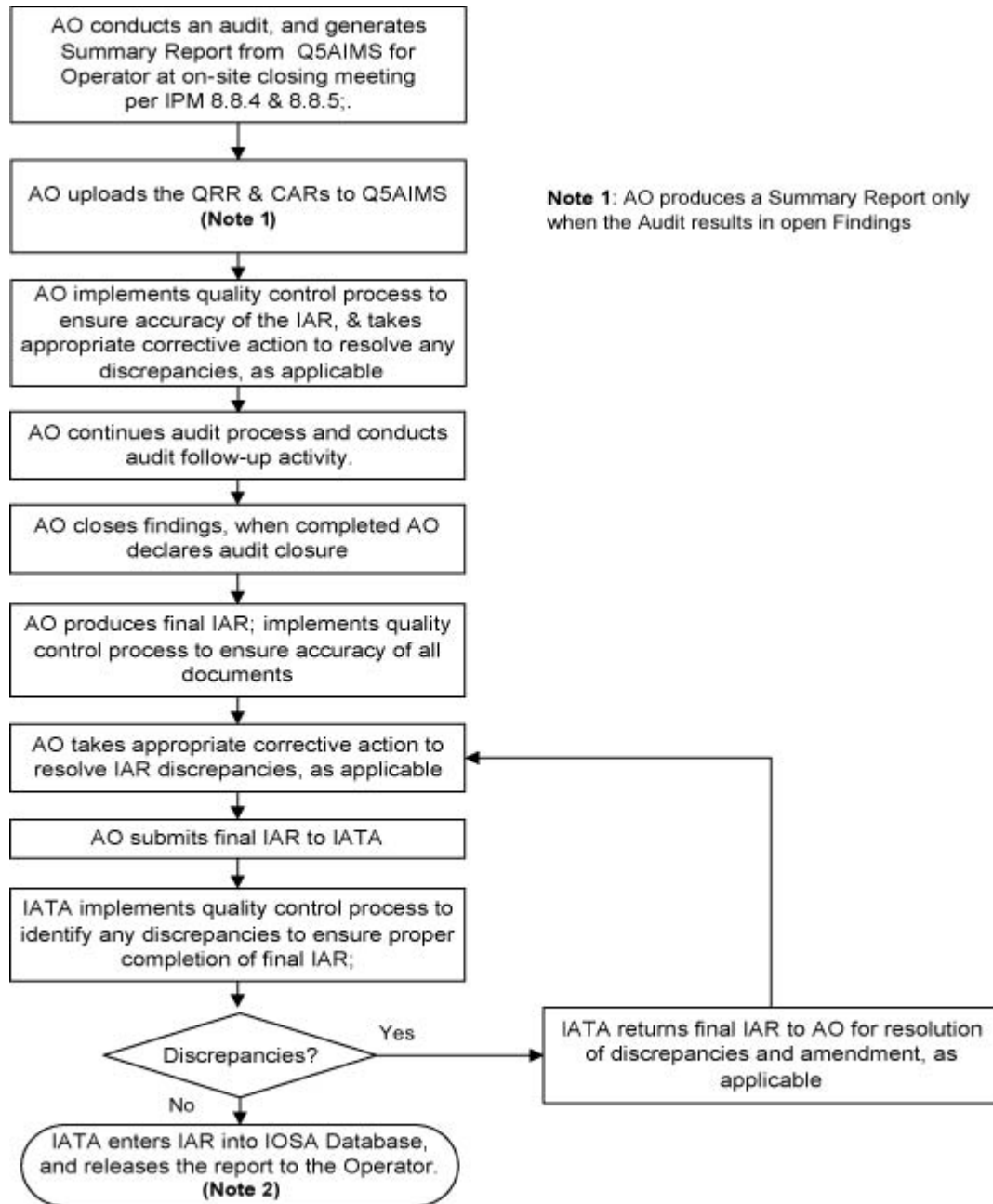
- (i) industry conformity with IOSA standards and recommended practices (ISARPs) for statistical safety reporting;
- (ii) industry conformity with recommended practices in determining consideration for upgrade to a standard;
- (iii) IAR content to evaluate AO and Auditor performance and standardization;
- (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 as part of the IATA Safety Trend Evaluation Analysis and Data Exchange System (STEADES), or the Global Safety Information System (GSIC), shall be in conformity with restrictions contained in [IPM 9.10.2](#).

**Figure 9.1 IAR Quality Control, Process Flowchart**



## Section 10      Audit Sharing

### Purpose

One goal of 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 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](#).

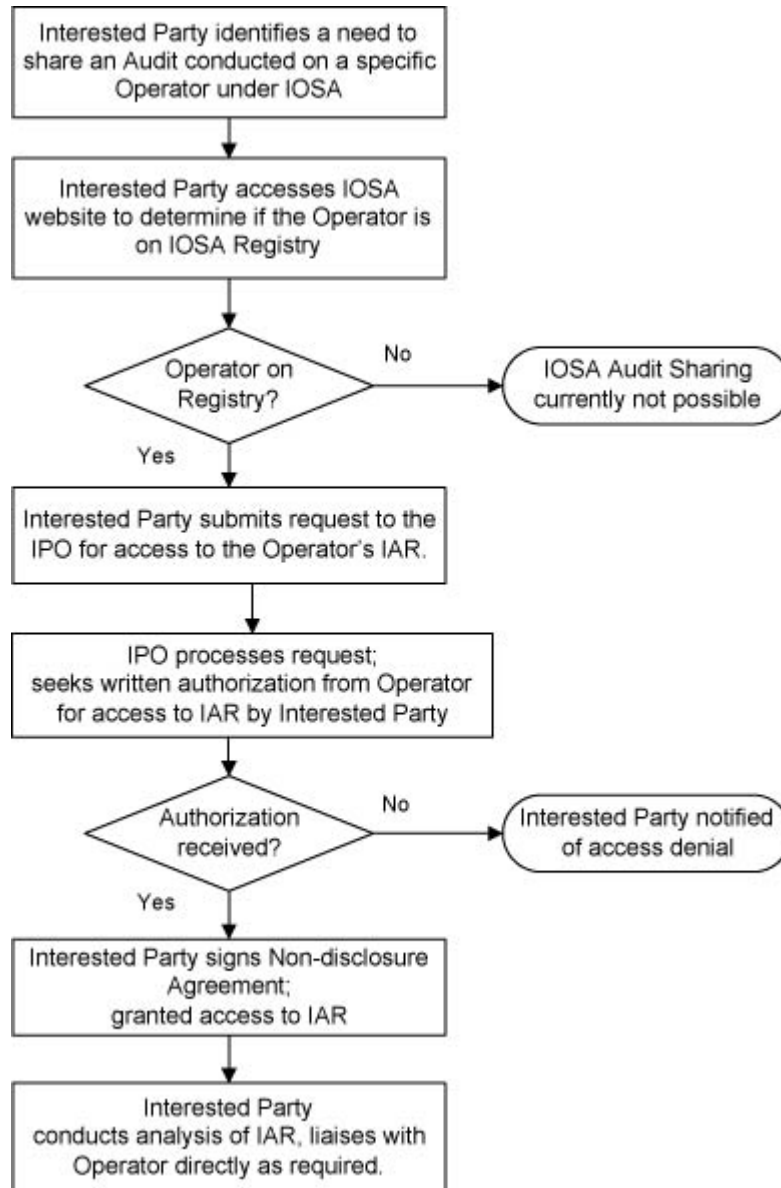
### 10.3 IATA

**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 IPM sets out standards for resolution procedures to be followed whenever a dispute arises between or among parties that are signatories to an IOSA Accreditation Agreement and/or Audit Agreement. Such parties may include IATA, an AO or an Operator (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 Accreditation Agreement and Audit Agreement**

**11.2.1** The dispute resolution procedures provided for in this Section shall be described in the Accreditation Agreement and the Audit Agreement.

### **11.3 Dispute Resolution**

**11.3.1** Before a party seeks to initiate any external dispute resolution in relation to a dispute, such initiating party shall follow the escalation procedure as set out below:

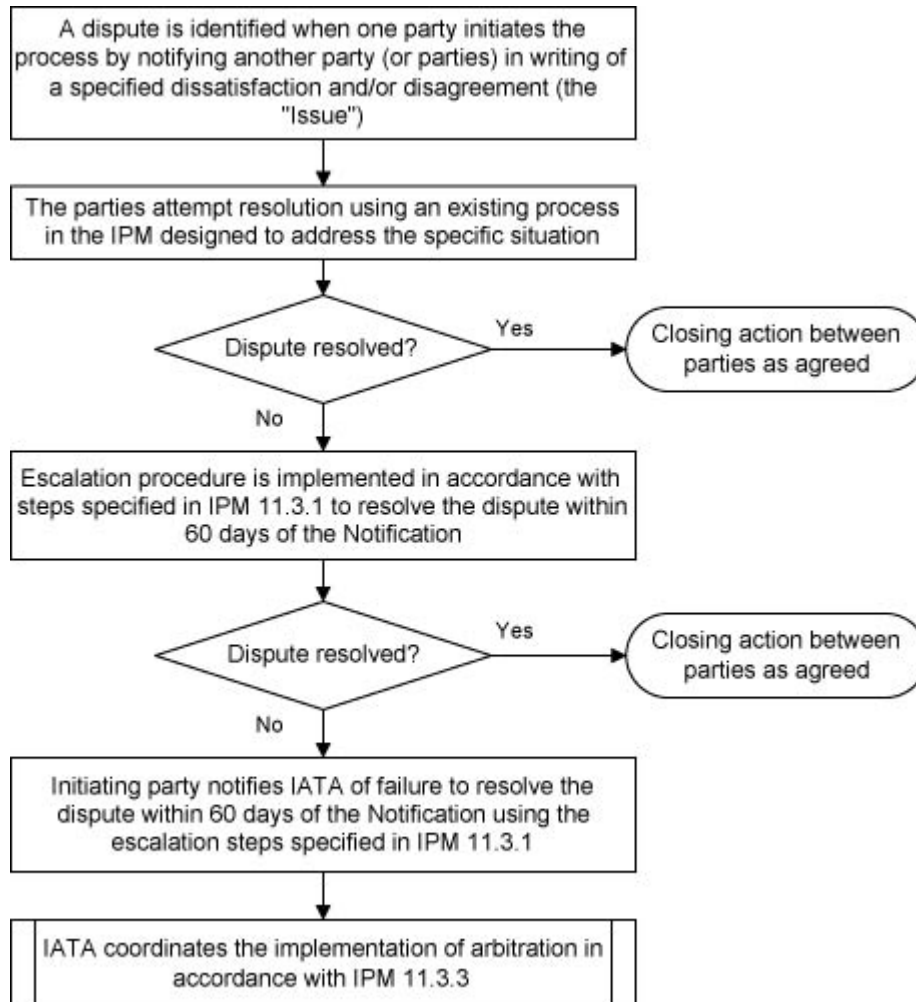
- (i) the initiating party shall notify the other relevant parties in writing (the “Notification”), setting out the reasons for dissatisfaction and/or disagreement (the “issue”);
- (ii) the representatives of all parties involved shall conference to discuss the issue;
- (iii) if the representatives cannot 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.

*Note: The primary IATA point of contact for the dispute resolution process shall be the IOSA program director.*

**11.3.2** 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.

**11.3.3** Any dispute not resolved through implementation of the steps specified in [IPM 11.3.1](#) 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.

Figure 11.1 IOSA Dispute Resolution, Process Flowchart







 [www.iata.org/iosa](http://www.iata.org/iosa)