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# ISSA Program Manual

Edition 6



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## Foreword

The IATA Standard Safety Assessment (ISSA) Program is an evaluation system designed to assess the operational management and control systems of an Operator.

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

The scope of the assessment is defined in the Introduction of the ISSA Standards Manual Part I and Part II (ISSM Part I and Part II) accordingly, under Part 4, “Applicability of ISARPs”.

The ISSA “philosophy” is that the ISSA Standards and Recommended Practices (ISARPs), located in the ISSA Standards Manual Part I and Part II (ISSM Part I and Part II), must be consistently “documented” and “implemented” by an Operator, to ensure standardized application within the eight operational disciplines.

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



IATA Standard Safety Assessment Program Manual (ISPM) Edition 6 has been approved by Head, IOSA.



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## Applicability

This ISSA Program Manual (ISPM) contains standards that govern all aspects of the ISSA Program for the purpose of achieving a standardized and consistent assessment product. ISSA standards are derived from and will remain aligned with IOSA technical content.

Standards in this manual are applicable primarily to:

- (i) Audit Organizations (AOs), that will conduct Assessments under ISSA;
- (ii) All Operators assessed under ISSA and;
- (iii) The International Air Transport Association (IATA), who are the stewards of the ISSA Program.

The ISPM contains references to the IOSA Program Manual (IPM) for specifications and requirements that apply and that are maintained within the IOSA Program (for example Auditor qualification or AO accreditation requirements).



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## Introduction

### 1) Purpose

- (a) The ISSA Program Manual (ISPM) is published in order to make the complete body of standards that govern all aspects of the ISSA Program available in a single source. Standards in the ISSA Program Manual provide the basis for program standardization, which ensures that each Assessment is conducted in a consistent manner.
- (b) ISSA Assessments 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 audits and assessments and auditor programs in conformity within IPM and this ISPM.
- (c) Additionally, the standards in this manual shall be a basis for the system used by IATA in providing quality oversight and management of the ISSA Program.

### 2) Examples of ISSA Documents and Forms

Certain ISSA 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) ISSA Documentation System

This ISSA Program Manual (ISPM), including any Temporary Revisions, used in association with the following related manuals comprise the ISSA documentation system:

- (i) [ISSA Standards Manual \(ISSM\)](#);
- (ii) [IOSA Program Manual \(IPM\)](#);
- (iii) [IATA Reference Manual for Audit Programs \(IRM\)](#);
- (iv) [IOSA Audit Handbook \(IAH\)](#);
- (v) [Quality Assurance Program Manual \(QAPM\)](#).

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

### 4) English Language

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

### 5) Manual Revision-Regular & Temporary

- (i) IATA will publish new editions and temporary revisions to this Program Manual as necessary, to ensure the content remains current and meets the needs of the ISSA Program.
- (ii) During a regular revision cycle, where a detailed change to the ISSA Program Manual is required:
  - (a) A new Edition of the manual will be published, and incorporate any Temporary Revisions (TRs) issued since the previous Edition.
  - (b) The cover of the ISSA Program Manual and the page footer will indicate the Edition number and the effective date;
  - (c) a new Edition of the ISPM becomes effective on the first day of the third month following the month of publication (e.g. an Edition published in November 2017 is effective on the first day of february 2018).
- (iii) When a rapid change to the ISSA Program Manual is required, a Temporary Revision (TR) will be issued, and will indicate:
  - (a) a unique reference number linking it to the appropriate Edition;
  - (b) an ISPM reference number associated to the content requiring change;
  - (c) a date of issue and effectivity;
  - (d) the date of the approval by the Head IOSA.

### 6) Manual Approval Process

- (i) IATA will internally draft any required changes in consultation with applicable parties, if necessary.
- (ii) A comment period will allow for external feedback (e.g. AOs):
  - (a) For a regular revision cycle-fourteen (14) calendar days;
  - (b) For a TR cycle-up to seven (7) calendar days;
- (iii) An internal review of feedback and incorporation of final changes will occur;
- (iv) A final approval period:
  - (a) For a regular revision cycle-up to fourteen (14) calendar days with IATA senior management;
  - (b) For a TR cycle-up to fourteen (14) calendar days;
- (v) The Head of IOSA is the final approving authority for new editions or temporary revisions for this manual;

**7) Content Changes**

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

**8) Conflicting Information**

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

**9) ISSA Documents and Forms**

This ISSA Program Manual and other referenced ISSA documents and forms, will be made available on the ISSA website at the following internet address: <http://www.iata.org/issa>.

**10) IRM for ISSA Abbreviations, Acronyms, Definitions**

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

**11) ISSA Authority**

The ISSA Program operates under the authority of the IATA SVP, OSS.

**12) Assessment Scope**

The scope of the Assessment is defined in the Introduction of the ISSA Standards Manual (ISSM), under Part 4, “Applicability of ISARPs”.



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## Description of Changes

The following table provides a brief description of the changes contained in ISPM Ed. 6.

Introduction	
Area Changed	Description of Change(s)
<b>Section 1–ISSA Program Management</b>	
<b>Section 2–AO Accreditation</b>	
<b>Section 3–Auditor Qualification</b>	
<b>Section 4–Auditor Training</b>	
<b>Section 5–Intentionally Left Open</b>	
<b>Section 6–The Operator’s Responsibilities for ISSA Registration</b>	
<b>Section 7–ISSA Registration</b>	
Various locations	Increase of renewal assessment window from 150 to 180 days
Various locations	Increase of ICA extension from 120 to 180 days
Various locations	Update of IAR validity due to increase of renewal assessment window and ICA extensions
7.1.5	Changed requirement for risk assessment for exclusions
7.5.18	New note allowing a suspension beyond 90 days if not operating
Figure 7.2-7.8	Updated timelines in graphs based on changes in ICA and renewal assessment window
<b>Section 8–Assessment Program</b>	
Various locations	Increase of renewal assessment window from 150 to 180 days
Various locations	Increase of ICA extension from 120 to 180 days
<b>Section 9–Assessment Report</b>	
<b>Section 10–Assessment Sharing</b>	
<b>Section 11–Dispute Resolution</b>	

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

### Glossary of Symbols to Designate ISPM Changes

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



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## Section 1 ISSA Program Management

### Purpose

This section of the ISSA Program Manual (ISPM) sets out program management standards applicable to IATA for ensuring ISSA 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 ISSA program. Such system shall include:

- (i) an Accountable Executive (in the case of ISSA, the Director, Safety);
- (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 ISSA Program.

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

**1.1.2** IATA should 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 ISSA program. Processes should be documented, structured and implemented in a manner consistent with accepted quality management principles.

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

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

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

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

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

**1.1.7** The Head of IOSA reserves the right to allow exemption(s), taking into account all circumstances and escalating specific matters to the Director Safety as required, and is responsible for authorizing any such exemption(s). IATA shall log all exemptions granted by the Head of IOSA in accordance with this provision.

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

### 1.2 Quality Assurance

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

- (i) assesses and measures, as applicable, the processes that support the program management and its performance in all areas of the ISSA program;
- (ii) is designed to fulfill the IATA commitment to continual improvement throughout the ISSA program.

**1.2.2** The IATA QA program should include oversight processes that determine the level of conformity in all areas of published ISSA program requirements. The IATA QA Program processes should define requirements for:

- (i) the planning, implementation and follow up of the QA activities;
- (ii) the identification of the nonconformities;
- (iii) the communication of the results or information collected from the oversight activities to the ISSA Program Management;
- (iv) the follow up of potential corrective actions;
- (v) the monitoring of effectiveness of corrective actions.

**1.2.3** The ISSA program management should define processes for the elimination of the causes of nonconformities identified within the ISSA program management system. Processes should define requirements for:

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

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

- (i) management structure and internal processes;
- (ii) implementation of the ISPM provisions related to the conduct of an ISSA Assessment;
- (iii) implementation of the internal quality assurance program;
- (iv) management of documentation and data;

- (v) qualifications and currency of Auditors;
- (vi) maintenance of Auditor records;
- (vii) production and quality control of the ISSA Assessment Report (ISAR);

**1.2.5-1.2.7** Intentionally left open.

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

- (i) been selected by Safety and Flight Operations Quality Department;
- (ii) sound knowledge of the IOSA and ISSA Program;
- (iii) had experience in airline operational audits;
- (iv) completed the IAT course;
- (v) completed relevant special training conducted by IATA.

**1.2.9** Intentionally left open.

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

### ***Assessment Report Quality Control***

**1.2.11** IATA shall have an ISAR quality oversight process for a detailed examination of selected ISARs for integrity and consistency to include but not limited to:

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

**1.2.12** IATA shall have a process to ensure any discrepancies found in an ISAR as a result of implementation of the quality oversight process in accordance with [ISPM 1.2.11](#) are conveyed to the AO that conducted the Assessment for subsequent procedural and performance improvements, as applicable.

## 1.3 Customer Relations

**1.3.1** IATA should have processes for ensuring internal and external customers are identified, and general customer expectations are met on a continuing basis. Such processes should 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 through alerts, bulletins or other means;
- (ii) receive appropriate and timely responses to inquiries and other communications;
- (iii) have avenues for providing feedback, identifying problems and registering complaints.

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

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

## 1.4 Accreditation Management

**1.4.1** Only AOs that are currently accredited under the IOSA Program are authorized to conduct Assessments under the ISSA program. For the accreditation management of AOs in accordance with Section 2, refer to [IPM 1.4](#).

## 1.5 Assessment Administration

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

**1.5.1** IATA shall ensure Operators are restricted from consecutively using the same AO for more than two (2) ISSA Assessment.

### ***Assessment Invalidation***

**1.5.2** IATA shall have a process to declare an Assessment invalid under justifiable circumstances as determined by IATA. Circumstances that could lead to Assessment invalidation include, but are not limited to:

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

### **Assessment Funnel**

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

### **Assessments of Affiliated Operators**

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

- (i) a written planning notification is received from the AO prior to the submission of an executed Assessment Agreement in accordance with [ISPM 8.2.6](#), utilizing the IATA form for the Assessment of affiliated Operators;
- (ii) such Assessments are permitted only if the Operator that provides the majority of the shared operational functions for the affiliated Operators is an ISSA Operator being assessed 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 Assessment;
- (iv) IATA reserves the right to request the AO to provide additional assessing when either:
  - (a) the planning notification has not been submitted within the time period specified in [ISPM 8.2.6](#);
  - (b) post-assessment analysis of the assessment report(s) indicate insufficient resources were used for the Assessment of one or more of the affiliated Operators.

### **Merger of Air Operators**

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

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

### **Collection of Assessment Fixed Fees**

**1.5.6** IATA shall have a process for collecting the ISSA Administration Fee for Assessment Agreements from AO.

### **Focus Areas**

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

- (i) defined based on objective information and data;
- (ii) selected based on specific policies and criteria;

- (iii) limited to the scope of the ISSM part I or part II accordingly;
- (iv) accompanied by instructions for ISSA Auditors;
- (v) communicated to the AOs at least 7 days prior to any applicable Assessment; and
- (vi) of temporary nature.

### 1.6 Auditor Approval and Administration

For requirement regarding to Auditor Approval and Administration refer to [IPM 1.6](#) accordingly.

### 1.7 Standards Management

**1.7.1** IATA shall have a process for the effective management of all standards contained in the ISSA Standards Manual (ISSM) and the ISPM to ensure ISSA is responsive to and meets the needs of the airline industry. Standards management processes shall be managed by IATA to ensure applicable changes and upgrades to the IOSA Standards Manual (ISM) shall be reflected in the ISSM in a timely manner. ISSA standards are published in a timely manner, following IATA approval.

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

**1.7.3** Intentionally left open.

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

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

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

IATA shall ensure technical specifications contained in the ISARPs are, upon request from an appropriate industry source, subjected to a special review in accordance with the ISSA Standards Special Review Process.

### 1.8 Information and Data Management

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

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

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

## 1.9 Registration Management

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

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

**1.9.2** Intentionally left open.

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

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

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

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

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

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

## 1.10 Documentation Management

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

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

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

### ***Legal Documents***

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

- (i) the ISSA Assessment Agreement;
- (ii) various non-disclosure agreements;
- (iii) other service agreements as applicable (such as MoUs, working arrangements and etc)

**1.10.3** IATA shall have procedures for producing and distributing the Assessment Agreement template, as well as other required legal documents associated with the ISSA program, to appropriate parties on a timely basis. Additionally, IATA shall communicate changes to the Assessment Agreement to appropriate parties a minimum of fifteen (15) calendar days prior to such changes becoming effective.

### ***ISSA Assessment Report (ISAR)***

**1.10.4** IATA shall have a process for receipt and acceptance of the final Assessment Report (ISAR) from an AO upon completion of the ISAR's QC cycle. Such process shall ensure:

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

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

## **1.11 Records Management**

**1.11.1** IATA shall have a process for management and control of records associated with the ISSA 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** The auditors that conduct Assessments under the ISSA Program are trained in accordance with the IOSA Auditor Training provisions. For the management of the IOSA Auditor Training, see [IPM 1.12.1](#) to [1.12.3](#).

## 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 ISSA 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 ISSA 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 ISSA web pages for the purpose of posting information, documents, references, and other material relevant to the ISSA program. A restricted website shall be made available for use by designated individuals from each AO.

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

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



## 1. ISSA Program Management

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## Section 2 AO Accreditation

### Purpose

Only Audit Organizations that are accredited by IATA in accordance with the IOSA Program Manual are authorized to conduct Assessments under the ISSA Program. Accreditation of an Audit Organization (AO) is the process used by IATA to regulate and control the conduct of Audits or Assessments to ensure the necessary level of ISSA Program quality and standardization.

### 2.1–2.3 Refer to IPM Accordingly

### 2.4 Conflict of Interest

2.4.1 An AO shall not be allowed:

- (i) to conduct an Assessment 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 ISSA within 24 months (or 2 years) preceding the date of the opening meeting of the ISSA.
  - (a) training, workshops or any other consultancy based services that are related to operations within the operational scope of the ISSA program;
  - (b) assistance in conforming to the ISSA Standards and Recommended Practices (ISARPs).
- (ii) to conduct an Assessment of the operations of its own organization or those operations of any **Group Company**;
- (iii) to conduct an Assessment on an Operator if, in the opinion of IATA, that AO has an interest in the outcome of that Assessment, the existence of such an interest to be determined by IATA at its sole discretion;
- (iv) provide consulting services related to operations within the operational scope of ISSA while being engaged in the Assessment closure of the Operator.

#### Notes:

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

**2.4.2** An Auditor on the List of Approved IOSA Auditors for an AO shall not be allowed to:

- (i) conduct an Assessment 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 Assessment of an Operator for whom he or she has provided consulting services related to operations within the operational scope of ISSA within the past two years;
- (iii) participate in the Assessment of an Operator by whom he or she was employed within the past two years;
- (iv) participate in an Assessment if either or both of the following circumstances exist:
  - (a) the Auditor has direct or indirect financial interest in the assessed Operator; and/or
  - (b) the Auditor has family members affiliated with the assessed Operator, with such family members defined as parent, sibling, child, spouse, grandparent, or grandchild.

*Notes:*

1. *An Auditor shall disclose to IATA such documents or information as IATA deems necessary in order to make a determination for the conflict of interest.*
2. *The operational scope of ISSA referred to in 2.4.2 (ii) shall be defined as follows: any content or material relating to the content of ISSM, IAH which is provided as training courses or material, or as content of consultancy services.*

**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 Assessment under ISSA 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 Assessment 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 Assessment 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 Assessment Agreement, an Assessment that has been conducted prior to a determination by IATA pursuant to ISPM 2.4.3 and ISPM 2.4.4 shall be null and void, and IATA reserves the right to refuse to register an Operator on the ISSA Registry.

**2.4.6** Failure of an AO to comply with the provisions of this ISPM 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 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 ISSA Operator, media inquiries and/or requests pertaining to that accident are referred to IATA;
- (v) compliance with and/or implementation of appropriate action in response to AO Alerts and AO Bulletins issued by IATA.

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

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

## 2.6–2.11 Refer to IPM Accordingly

## 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 ISPM. Acceptable methods for such written notifications include email, fax, or other method(s), as agreed to by IATA;
- (ii) to submit an executed Assessment 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 Assessment (Opening Meeting). Such executed Assessment Agreement shall be submitted in triplicate and set out the commercial arrangements and all other terms, conditions and restrictions associated with the relevant Assessment (including Verification Assessment in accordance with [ISPM 7.7](#)). The Assessment Agreement shall include an option for the Operator to receive an ISSA Preparation Visit and the costs for such optional ISSA Preparation Visit shall be negotiated between the Operator and the AO;
- (iii) to submit, along with the Assessment Agreement as specified in ii) above, a Request For Proposal (RFP) Summary Sheet, or equivalent summary, to IATA, that specifies costs associated with the Assessment, to include, as a minimum:
  - (a) variable costs (travel, accommodations, per diem, translator/interpreter, on-site supplies and services, other miscellaneous costs);
  - (b) total cost.

**2.12.2** An AO shall proactively disclose to IATA whether any Assessment-related consulting services, referred to in [ISPM 2.4](#), form part of their business operation. By making such information available, IATA can make an appropriate determination. Any information disclosed will be held by IATA in the strictest confidence.

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

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

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

**2.12.4** An AO shall have a process whereby, upon renewal of any required insurance policy as set out in the Assessment 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.

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

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

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

### ***Assessment Funnel***

**2.12.8** An AO shall have a process to submit a weekly ISSA [Assessment 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 Assessment;
- (ii) information to plan on-site Assessment evaluations of the AOs;
- (iii) tracking of Assessment progress.

### **2.13–2.15 Refer to IPM Accordingly**

## Section 3 Auditor Qualification

### Purpose

The quality of the IATA Standard Safety (ISSA) Auditor is a critical factor in ensuring each Assessment is conducted in a standardized and consistent manner. This section of this ISSA Program Manual (ISPM) sets out qualification standards and guidance to ensure every Auditor possesses the requisite level of competence to achieve overall program standardization. Auditors that are listed on the Master List of Approved IOSA Auditors are authorized to conduct assessments under the ISSA Program. Auditor currency is maintained in accordance with the requirements in the IPM.

### 3.1 Categories of Auditors

**3.1.1** For the ISSA Program, two (2) categories of approved IOSA Auditors are applicable, 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 3.10](#), and has been formally approved by IATA to conduct Audits in a minimum of one operational discipline.
- (ii) *Lead Auditor*: An experienced Auditor that has demonstrated the competence to successfully lead an ISSA Assessment Team, and has completed the process for qualification as a Lead Auditor in accordance with provisions in [IPM 3.11](#).

### 3.2 Competence of Auditors

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

- (i) meets all applicable qualification prerequisites in the IPM;
- (ii) possesses the appropriate personal attributes;
- (iii) speaks, read and writes English
- (iv) demonstrates the ability to apply knowledge and skills that are necessary to effectively conduct Assessments under the ISSA Program;
- (v) successfully completes all steps in the process for qualification to the appropriate category of IOSA Auditor.
- (vi) Receives ISSA initial and recurrent trainings

### 3.3 Qualification Prerequisites for Auditor Acceptance

**3.3.1** For qualification prerequisites for IOSA Auditor Acceptance, see [IPM 3.3](#). Prior to utilizing of any IOSA Auditor in ISSA Assessments, the AO shall deliver an initial familiarization training course approved by IATA. Only current auditors qualified in ORG, FLT, or MNT can conduct assessments under ISSA in accordance with [ISPM 8.3.1](#).

**3.3.2** To perform an ISSA Assessment on seaplane and/or amphibian operations, in addition to the regular candidate pre-requisite controls for an IOSA Auditor, the AO shall ensure that the FLT auditor has at least 2 years of operational experience with seaplane and/or amphibian operations.

The AO shall then complete and submit the Auditor Qualification Record (AQR) and a completed IOSA Auditor CV to IATA for review and approval.

### 3.4 Personal Attributes of Auditors

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

- (i) ethical in conduct;
- (ii) objective, fair and impartial in applying judgment;
- (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.
- (xv) effective in time management.

### 3.5 Ethical Standards for Auditors

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

- (i) provided consulting services within the operational scope of ISSA 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 Auditors

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

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

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

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

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

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

### 3.7 Additional Skills for Lead Auditors

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

- (i) planning the Assessment and making effective use of resources during the Assessment;
- (ii) representing the Assessment Team in communications with the operator;
- (iii) organizing and directing Assessment Team members;
- (iv) leading the Assessment Team to reach audit conclusions;

- (v) preventing and resolving problems and conflicts;
- (vi) preparing and completing the Assessment reports.

### 3.8 Intentionally Left Open

### 3.9 Responsibilities of Auditors and Lead Auditors

#### 3.9.1 Responsibilities for Auditors:

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

#### 3.9.2 Additional responsibilities for Lead Auditors:

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

### 3.10–3.21 Refer to IPM Accordingly

## Section 4 Auditor Training

### Purpose

A high level of competency among IATA Operational Safety Audit (IOSA) Auditors is essential in ensuring a credible and meaningful Assessment under ISSA. 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.

For requirements regarding auditor training, see [IPM Section 4](#).



## 4. Auditor Training

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## Section 6 Airline Responsibilities for ISSA Registration

### Purpose

There are a number of responsibilities that an Operator must undertake prior to and after undergoing an ISSA Assessment. This section of the ISSA Program Manual is intended to highlight these responsibilities.

### 6.1 Pre Assessment Preparation

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

- (i) download of applicable ISSA manuals, ISSA Program Manual (ISPM), ISSA Standards Manual (ISSM), from IATA website ([www.iata.org/issa](http://www.iata.org/issa));
- (ii) ensure applicable company manuals, and subsequent revisions are approved and/or accepted by the regulator (as required), are assembled and made available during the Assessment;
- (iii) ensure all company certificates are available (e.g. AOC, Ops specifications, etc.) and all applicable aircraft meet applicable ISM requirements (refer also to [IPM 8.7.14](#));
- (iv) using the ISSM, review each ISARP requirement and identify the company documentation, including sub references, which cover the requirement (include manual revision and effective dates);
- (v) perform an initial internal assessment or gap analysis, using the ISSM checklists, to identify any non-conformities and verify that the internal documentation structure is adequate;
- (vi) plan the ISSA Assessment in advance to have enough time to close potential internal findings;

### 6.2 ISSA Assessment Planning

**6.2.1** Intentionally left open.

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

- (i) for registration renewal Assessment select an Audit Organization (AO); When selecting an AO, the Operator shall not select the AO which conducted previous two consecutive assessments;
- (ii) consider an optional ISSA Preparation Visit (ISPV) by the AO, for assistance with Assessment preparation (refer to [ISPM 8.2.7](#));
- (iii) provide the AO with operational profile information, as requested, to include the Pre-Assessment Questionnaire;
- (iv) submit the AOC or equivalent document and Ops Spec to the AO and evaluate and inform/discuss with the AO which aircraft and/or fleet(s) could be out of the scope of ISSA, as defined in the ISM Introduction, which aircraft and/or fleet(s) may require a request for exemption in accordance with [IPM 7.1.9](#) and [IPM 7.1.10](#), or a request for operational exclusion in accordance with [IPM 7.1.5](#), [IPM 7.1.6](#) and [IPM 7.1.7](#);

## 6. Airline Responsibilities for ISSA Registration

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- (v) provide the AO with a completed ISARP/internal documentation cross-reference list (ref [ISPM 6.1.1 iv](#)) above), a minimum of four (4) weeks prior to the start of the Assessment;
- (vi) ensure sufficient resources and logistical support are assigned during the Assessment;
- (vii) ensure the AO is granted access to secure areas (e.g. security pass, ramp pass);
- (viii) liaise with the AO regarding the steps to obtain access to the assessment/audit software. The AO will then contact IATA;
- (ix) consider scheduling an ISSA Registration Renewal Assessment not later than 120 days before the Registration Expiry Date;
- (x) ensure translators or interpreters are available if required.
- (xi) inform the AO of the type of internet access that will be provided during the on-site phase of the assessment in accordance with [IPM 6.3.1 \(v\)](#).

*Note: The Assessment must be performed at the operational headquarters or bases of the Operator where all relevant line personnel and management representatives are available. The Assessment may not be conducted from a remote location.*

**6.2.3** A request for exemption of aircraft and/or fleet(s) in accordance with [ISPM 7.1.9](#) and [ISPM 7.1.10](#) shall be submitted by the Operator's CEO or Accountable Executive, to IATA, as soon as it becomes known that aircraft and/or fleet exemptions will be required for a specific Assessment. The request for exemption of aircraft and/or fleet(s) shall state, as a minimum:

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

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

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

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

## 6.3 During the Assessment

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

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

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

## 6.4 Assessment Follow-up

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

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

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

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

## 6.5 Registration

**6.5.1** Following an Assessment, the declaration of Assessment closure by the AO is not the final step in the registration process. The Assessment Report (ISAR) shall then be:

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

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

### 6.6 Quality Control

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

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

### 6.7 Registration Maintenance

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

- (i) inform IATA in case of any significant changes to the organization (e.g. operational or management, fleet changes, ownership changes, mergers, etc.) in accordance with [ISPM 7.7](#);
- (ii) 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 Assessment sharing (e.g. code-share agreements).
- (iii) regularly monitor the ISSA website for the purpose of identifying Program-relevant changes and publications, including revisions to manuals as well as relevant alerts and bulletins in accordance with [ISPM 1.3.2 \(i\)](#).
- (iv) as needed, actively communicate with the AO and provide any documents or evidence that the AO requests.

### 6.8 Merge, Takeover or Acquisition of an Operator

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

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

## Section 7 ISSA Registration

### Purpose

The IATA Standard Safety Assessment (ISSA) registration process is the formal method used by IATA to determine the operational fitness of an airline organization to be registered as an ISSA Operator on the ISSA Registry. The scope of the Assessment is defined in the Introduction of the ISSA Standards Manual (ISSM), under Part 4, "Applicability of ISARPs". This section of the ISSA Program Manual (ISPM) sets out standards for the ISSA registration process.

### 7.1 ISSA Registry

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

**7.1.2** To qualify for potential registration as an ISSA Operator, an airline organization shall have an AOC or equivalent document issued by the State of the Operator with a minimum of one eligible aircraft and conduct operations within the assessment scope of the ISSA Program as stated in the ISSM Introduction.

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

#### **Assessing Fleets**

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

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

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

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

### **Operational Exclusions**

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

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

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

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

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

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

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

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

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

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

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

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

- (i) requested by the Operator's CEO or Accountable Executive in accordance with [ISPM 3](#);
- (ii) approved at the sole discretion of IATA in accordance with [ISPM 1.9.4](#);
- (iii) identified in the IAR, for each aircraft registration, in accordance with the IAH.

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

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

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

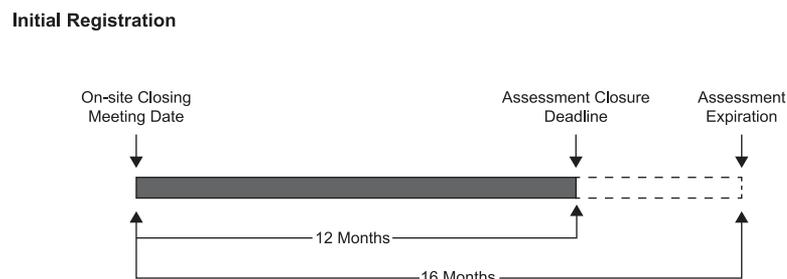
## 7.2 Assessment Expiration

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

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

*Note: The ISAR must be submitted to IATA at least 15 calendar days before assessment expiration to allow sufficient time for release.*

**Figure 7.1 Initial Registration Assessment Expiration**



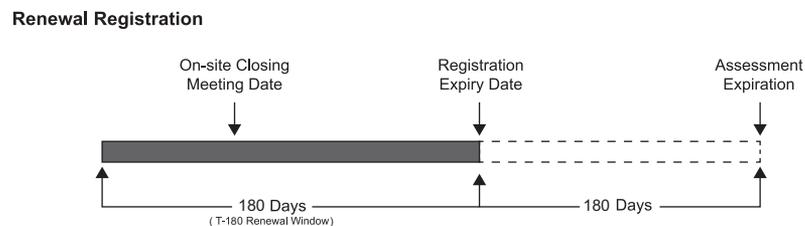


**7.2.2** An Assessment for a renewal of an existing registration shall have a limited period of validity and shall expire as an instrument for ISSA registration at 23:59 local time, at the location where the on-site portion of the Assessment was conducted, on the date exactly one hundred eighty (180) consecutive days following the date of Registration expiry (see [Figure 7.2](#)).

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

*Note: The ISAR must be submitted to IATA at least 15 calendar days before assessment expiration to allow sufficient time for release.*

**Figure 7.2 Registration Renewal Assessment Expiration**

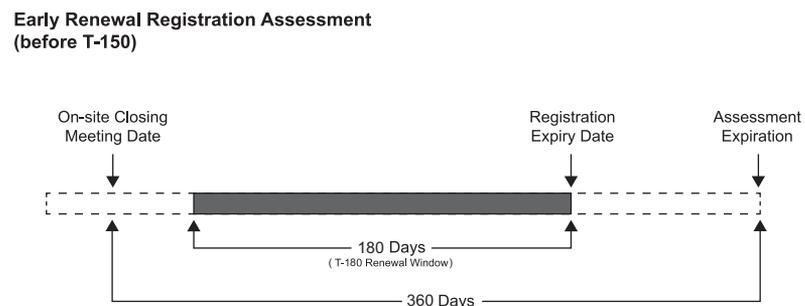


**7.2.3** An Assessment for a renewal of an existing registration in accordance with [ISPM 7.5.4](#) shall have a limited period of validity and shall expire as an instrument for ISSA registration at 23:59 local time, at the location where the on-site portion of the Assessment was conducted, on the date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

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

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

**Figure 7.3 Registration Renewal Assessment Expiration**

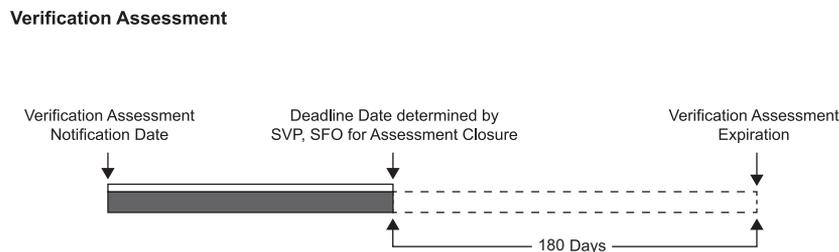


**7.2.4** A Verification Assessment in accordance with [ISPM 7.7.5](#) shall have a limited period of validity and shall expire as an instrument for ISSA registration at 23:59 local time, at the location where the on-site portion of the Assessment was conducted, on the date exactly one hundred twenty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

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

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

**Figure 7.4 Verification Assessment Expiration**



## 7.3 Registration Period

**7.3.1** The ISSA 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 ISSA 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 [ISPM 8.12](#);
- (ii) the AO has declared assessment closure to the Operator in accordance with [ISPM 8.13.1](#);
- (iii) the ISSA Assessment Report (ISAR) quality control processes have been completed in accordance with applicable provisions contained in [ISPM 9.2](#), and, if applicable, been amended accordingly (see [Figure 7.7](#)).

**7.4.2** For initial registration of an ISSA Operator, the period of registration shall begin once the quality control (QC) process is completed, 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 7.5](#)).

### 7.5 Registration Renewal

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

**7.5.2** Except as provided in [ISPM 7.5.5](#), the period of renewed registration for a current ISSA Operator shall become effective on the date that the current ISSA 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 ISSA registration in accordance with [ISPM 7.5.1](#) and [ISPM 7.5.2](#):

- (i) Operators are restricted from consecutively using the same AO for the conduct of more than two Assessment;
- △ (ii) the closing meeting of the on-site portion of the renewal Assessment process shall not take place more than 180 calendar days prior to the expiry date of the Operator's current registration, in order to maintain the same registration anniversary;
- △ (iii) Assessment closure notification and the ISAR should be provided to IATA on the same date, no less than 15 calendar days prior to the current registration expiry date (refer to [ISPM 8.13.3](#));
- (iv) if the ISAR is submitted less than 15 days before the registration expiry date, completion of the ISAR release process may not be possible within the remaining time frame, in such case, the registration expiry date for the Operator will only be updated once the required final release process by IATA is complete and an annotation will be made to the Operator's registry in accordance with [Table 7.1](#).
- (v) the Operator shall be removed from the ISSA Registry if a renewal Assessment either:
  - (a) has not been conducted prior to the expiry date of the current registration, or
  - (b) has been conducted, but Assessment 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 [ISPM 7.5.6](#) (see [Figure 7.5](#)), or

*Note: [Figure 7.6](#), [Figure 7.8 Note 2](#) and [ISPM 8.12.2 \(ii\)](#) contain statements advising the Operator will be removed from the registry if Assessment closure is not achieved by the current registration expiry date. These statements shall not be interpreted as an option to submit the Assessment Report less than 30 days before the registration expiry date.*

△ **7.5.4** For renewal of a current ISSA registration, the Operator shall have the option to conclude the on-site portion of the Assessment process including on-site closing meeting *more than* 180 calendar days prior to the expiry date of the Operator's current registration; however, under such circumstances:

- (i) Assessment closure shall be achieved within 180 calendar days following the date of the on-site closing meeting;
- (ii) the Operator shall be removed from the ISSA Registry if Assessment closure is not achieved within 180 calendar days following the date of the on-site closing meeting, even if the previous ISSA Registration was still valid, unless extenuating circumstances have been claimed and verified by IATA in accordance with [ISPM 7.5.6](#).

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



**7.5.5** In the case of a registration renewal Assessment conducted *more than* 180 calendar days prior to the expiry date of the Operator's current registration, the period of renewed registration shall become effective 180 calendar days following the date of the on-site closing meeting and expire exactly twenty-four (24) consecutive months following that date. The exact time of such expiry shall be 23:59 local time on the expiry date at the location of the Operator as specified on the AOC.

#### **Extenuating Circumstances**

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

**7.5.7** Intentionally left open.

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

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

- (i) for initial registration Assessment in accordance with [ISPM 7.4](#), the revised deadline date shall not exceed one hundred and twenty (120) calendar days from deadline date specified in [ISPM 8.10.2 \(i\)](#);
- (ii) for registration renewal Assessment in accordance with [ISPM 7.7.5 \(vi\)](#), the revised deadline date shall not exceed one hundred and twenty (120) calendar days from the registration expiry date;
- (iii) for early registration renewal Assessment in accordance with [ISPM 7.5.4](#), the revised deadline date shall not exceed one hundred and twenty (120) calendar days from the deadline date in accordance with [ISPM 7.5.4 \(i\)](#).
- (iv) for Verification Assessment in accordance with [ISPM 7.5.5](#), the revised deadline date shall not exceed one hundred and twenty (120) calendar days from the original deadline date for the Assessment closure as communicated to the Operator.

*Note: If Assessment closure has not been achieved prior to the revised deadline date, the Operator shall be removed from the ISSA Registry.*

**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 ISSA Registry, subject to the possible implementation of the ISSA Dispute Resolution process in accordance with [ISPM 7.8.2](#).

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

#### **Interim Corrective Action**

**7.5.12** A request for approval of interim corrective action shall be submitted to IATA by the AO in accordance with [ISPM 2.12.3](#), as soon as it becomes known during or after an Assessment, but before the submission of the ISAR, that interim corrective action will be necessary to permit the closure of a finding of an Operator undergoing an ISSA registration renewal Assessment. The validity of a request

for interim corrective action shall be determined by IATA based on the specification(s) contained in the relevant ISSA Standard, the prospects that implementation of permanent corrective action by the Operator to replace the interim corrective action will occur within the time period specified in [ISPM 7.5.13](#), and eligibility criteria contained in [ISPM 8.10.6](#). No action related to the registration of the Operator shall be taken by IATA until a decision has been made on the request for Interim Corrective Action.

**Notes:**

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

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

- (i) The registration of the Operator shall become provisional and a corresponding annotation shall be made to the Operator's registration in accordance with [Table 7.1](#).
- (ii) Permanent corrective action shall be implemented by the Operator, verified by the AO, and approved by IATA within a maximum time period of one hundred and eighty (180) days following the dates below:
  - (a) For registration renewal Assessment in accordance with [ISPM 7.5.3 \(vi\)](#) maximum 180 calendar days from the expiry date of the current registration;
  - (b) for early registration renewal Assessment in accordance with [ISPM 7.5.4](#), maximum 180 calendar days from the deadline date in accordance with [ISPM 7.5.4 \(i\)](#);
  - (c) for Verification Assessment in accordance with [ISPM 7.5.5](#), maximum 180 calendar days from the original deadline date for the Assessment closure as communicated to the Operator.
- (iii) The Operator shall be removed from the registry, if permanent corrective action is not implemented, verified and approved within the timelines above.

**Notes:**

1. *In the case of Assessment of affiliated Operators as specified in [ISPM 1.5.4](#), the 180 calendar day period for the implementation and validation of a permanent corrective action shall commence following the expiry date of the Operator that performs the function related to the nonconformity being closed in accordance with [ISPM 7.5.12](#).*
2. *Final corrective actions must be submitted to IATA at least 15 calendar days before expiry of the ICA deadline to allow sufficient time for approval.*

### **Transfer of Registration**

**7.5.14** An ISSA Operator may submit a request for the transfer of the current registration to a new AOC or equivalent document for IATA's consideration. A request can be made provided one or more of the following conditions are fulfilled:

- (i) The new AOC or equivalent document is established with the majority of the organization, assets, policies, and operational procedures of the current AOC;
- (ii) There is a high degree of commonality between the existing and new AOC or equivalent document;
- (iii) The new AOC or equivalent document was the result of an administrative change in the corporate register, or there was a change of name of the company.

**7.5.15** A review for a request for a transfer of registration may result in the temporary suspension of a registration, until the circumstances of the current and new AOC have been verified to the satisfaction of IATA. A request for a transfer of registration may result in a Verification Assessment of the new AOC. The lifting of a temporary suspension of a transferred registration may be subject to the successful closure of a Verification Assessment.



### **Temporary Suspension**

**7.5.16** An ISSA Operator unable to undergo a Registration Renewal Assessment prior to the expiry date may request a temporary suspension from the ISSA Registry. Such request for a temporary suspension shall:

- (i) Be requested by the Operator in writing prior to the current registration expiry date;
- (ii) Be due to unforeseen reasons or circumstances beyond the Operator's control;
- (iii) For a maximum period of ninety (90) calendar days following the registration expiry date.

**7.5.17** A request for a temporary suspension in accordance with [ISPM 7.5.16](#) shall be reviewed by IATA and granted at the discretion of IATA based on the Operator's circumstances.

**7.5.18** Should a request for temporary suspension be approved by IATA, the following conditions apply:

- (i) An annotation in accordance with [Table 7.1](#) will be added to the operator's registration;
- (ii) A Registration Renewal Assessment must be conducted by the Operator within a maximum period of ninety (90) calendar days following the registration expiry date;
- (iii) Assessment Closure of the Registration Renewal Assessment in accordance with [ISPM 7.5.18 ii](#)) shall be achieved within a maximum period of 180 days following the closing meeting;
- (iv) The renewed registration period shall be based on the last expiry date.



*Note: At the discretion of IATA, the suspension may be extended to more than 90 days if an operator has temporarily ceased operations.*

**7.5.19** An Operator shall be removed from the ISSA Registry if:

- (i) A Registration Renewal Assessment has not been conducted as required by [ISPM 7.5.18 ii](#)); or
- (ii) Assessment Closure has not been achieved as required by [ISPM 7.5.18 iii](#)).

### 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 Assessment efficiencies through a harmonization of registration periods. Such harmonization shall be established and maintained through Assessments conducted concurrently on each of the affected Operators.



**7.6.2** Concurrent Assessments of currently registered ISSA Operators, for the purpose of establishing harmonized registration periods in accordance with [ISPM 7.6.1](#), shall be conducted prior to the expiration date of the operator that expires first.

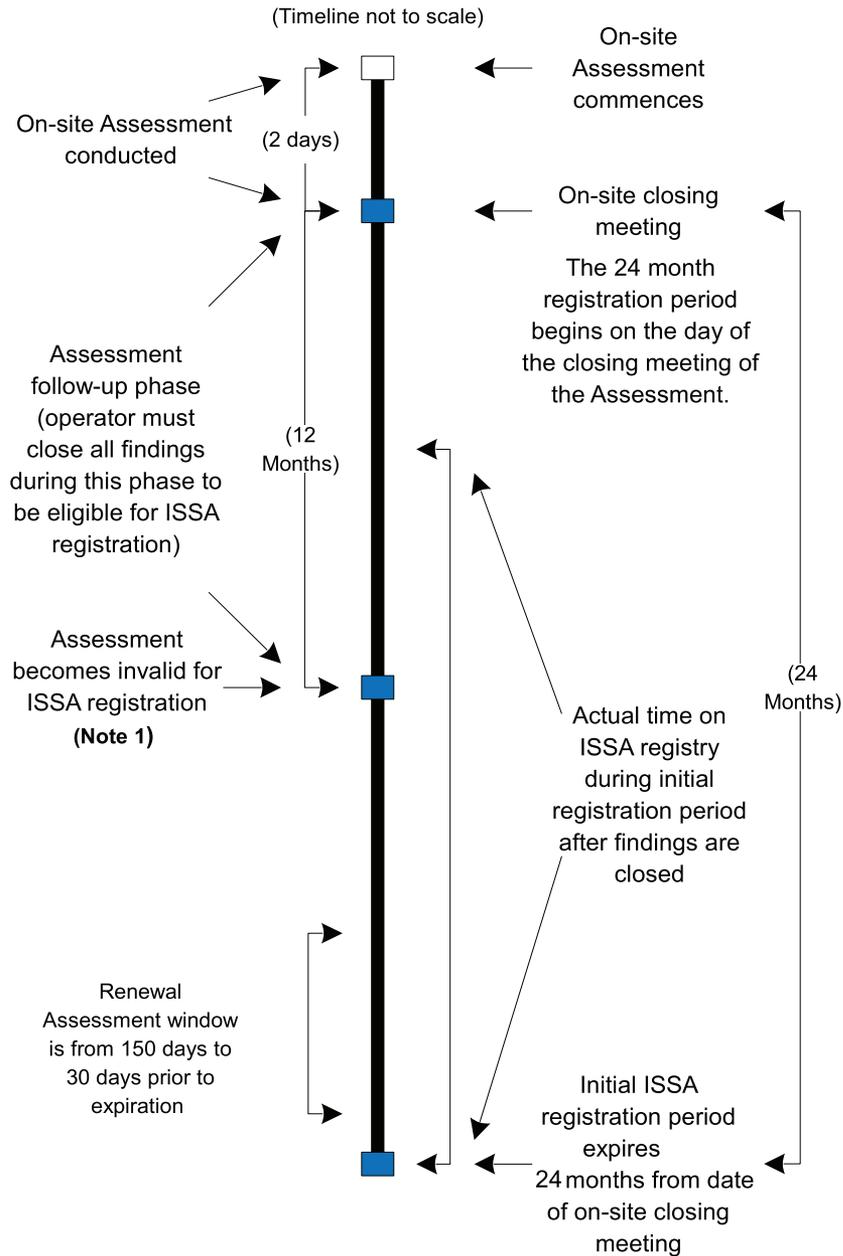
*Note: The establishment of harmonized registration periods will always result in the current registration period of one (or more) of the affected Operators being reduced to less than 24 months.*

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

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

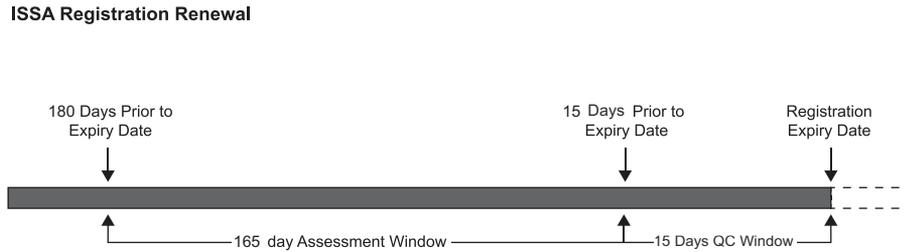
*Note: Findings not closed by the first registration expiry date of any of the affected Operators will result in removal of the affected Operator from the ISSA Registry unless a claim of extenuating circumstances is verified by IATA in accordance with [ISPM 7.5.6](#).*

Figure 7.5 Initial ISSA Registration



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

**Figure 7.6 ISSA Registration Renewal**



*Note: An Operator is removed from ISSA registry if Assessment Closure has not been achieved prior to the current registration expiry date, unless extenuating circumstances have been claimed by the Operator and subsequently verified and approved by IATA in accordance with ISPM 7.5.6 and 7.5.8.*

### 7.7 Reporting Responsibility

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

- (i) cessation of operations;
- (ii) changes to the Air Operator Certificate (AOC) or equivalent documents, as per State requirements, such as:
  - (a) suspensions;
  - (b) revocation;
  - (c) restrictions;
- (iii) changes to fleets/operations as follows:
  - (a) the addition of aircraft type(s) not being operated during the last ISSA Assessment;
  - (b) commencement of any special operations that were not conducted during the last ISSA Assessment (e.g. dangerous goods, etc.).
- (iv) measures imposed by a regulatory authority, such as:
  - (a) sanctions;
  - (b) refused authorizations or approvals; or
  - (c) bans and suspensions.
- (v) an event involving the operation of an aircraft that meets the criteria of a Serious Incident or an Accident as defined in ICAO Annex 13, Chapter 1, even if such an event took place with an aircraft out of the scope of ISSA; or

- (vi) any takeover, merger, consolidation or other significant change to the management or operating structure of the organization.
- (vii) financial difficulties, to include major and repeated deferrals of financial obligations, applications for protection from creditors or pending insolvency proceedings.
- (viii) any other circumstance where IATA has requested additional information from the Operator.

*Note: Operators are required to report circumstances and conditions as described above within the provided time frames.*

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

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

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

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

**7.7.4** IATA shall, once notified in accordance with [ISPM 7.7.3](#) or once it has become aware of any situation which may require further clarification::

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

*Note: The Airline Self Evaluation Form for reporting circumstances or conditions as per [ISPM 7.7](#) can be found at: [www.iata.org/issa](http://www.iata.org/issa) and shall be sent to [issa@iata.org](mailto:issa@iata.org)*

### **Verification Assessment**

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

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

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

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

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

*Note: Should the assignment of a Verification Assessment coincide with the regular Renewal Assessment window, the Assessment Closure deadline may be extended beyond the current Registration Expiry Date, but shall not be more than 150 days following the Closing Meeting.*

**Registration Suspension**

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

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

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

**Registry Annotation**

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

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

**Table 7.1 Registry Annotations**

	Reason	Annotation	Description
1	Extenuating Circumstances	“Due to extenuating circumstances, XXX will remain on the ISSA Registry until dd mmm yyyy”.	Describes revised deadline to close all findings as a result of validated extenuating circumstances in accordance with <a href="#">IPM 7.5.8</a> .
2	Provisional registration	“Registration is provisional until further notice”.	Describes provisional registration status of the Operator as a result of circumstances identified as specified in <a href="#">ISPM 7.7</a> or if an ISSA Operator is involved in dispute resolution in accordance with <a href="#">ISPM 11</a> that could affect ISSA registration. During this period, the Operator enjoys full registration status. The annotation only indicates that the registration is provisional due to circumstances pending verification.

	Reason	Annotation	Description
3	Registration suspension	“Registration has been suspended until further notice”.	Describes the temporary suspension of an ISSA registration as a result of circumstances identified as specified in <a href="#">ISPM 7.7</a> . During the period of suspension, the operator does not enjoy registration status. Upon removal of the temporary suspension, the Operator's registration will continue until its expiry.
4	Verification Assessment	“The Operator is undergoing a Verification Assessment”.	Describes the status of an Operator that is undergoing a Verification Assessment in accordance with <a href="#">ISPM 7.7.5</a> . During the period a Verification Assessment is planned, performed or closed, the Operator enjoys full registration status. The statement will be removed from the Registry as soon as the Verification Assessment is closed in accordance with Program rules.
5	Assessment Report QC	“The ISSA Assessment Report is pending quality control and necessary approvals.”	Describes the status when an Operator's Assessment has been declared closed by the AO, however the ISAR QC process has not been completed yet. This could be the case when the ISAR has not been submitted to IATA prior to the registration expiry date, or if QC processes take more than average time to complete. In case of a renewal Assessment, as described in <a href="#">ISPM 7.5.3 (vi)</a> , the registration expiry date will not be updated until the required QC and final released are completed. This annotation serves the purpose of informing that the ISAR is pending QC and released.
6	Interim Corrective Action as per <a href="#">ISPM 7.5.13</a>	“Registration is provisional due to interim Corrective Action(s)”.	Describes the status when the ISAR contains one or more approved Interim Corrective Action(s). The annotation will remain as long as the Interim Corrective Action is active.

	Reason	Annotation	Description
7	Early renewal in lieu of Verification Assessment	“The Operator is undergoing an early renewal Assessment in lieu of a Verification Assessment”.	Describes the status when a Verification Assessment has been requested for an Operator and the Operator has decided to complete a full scope Assessment as an early renewal Assessment instead, in accordance with <a href="#">ISPM 7.7.5 (iii)</a> .
8	Dispute Resolution	“The Operator is involved in the Dispute Resolution process.”	Describes the status when an Operator is involved in the Dispute Resolution process in accordance with <a href="#">ISPM 11</a> . During this process, IATA may freeze the Operator's process described in <a href="#">ISPM 7.4</a> , <a href="#">ISPM 7.5</a> and <a href="#">ISPM 7.2</a> , in accordance with <a href="#">ISPM 11.2.4</a> .
9	Any other reason or combinations of reasons	Ad hoc	Describes an operator's specific circumstances related to registration status and required actions. The ad-hoc annotation is used if an operator's situation may not be reasonably or practically described by the above standard annotations.
10	Registration harmonization	“The Operator is undergoing a registration harmonization with another operator and will remain on the registry until dd mm yyyy.”	Describes an operator's status while undergoing a registration harmonization, when the expiry date has passed and the harmonization audit is still open.

**Notes:**

1. *Annotations to the Registry will be removed as a result of changes to the Operator's status and in accordance with this ISPM.*
2. *Multiples annotations are possible depending on the individual case. For example, if a registration is provisional and a verification assessment has been planned, both annotations will be added.*

### 7.8 Registration Removal

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

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

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

### 7.9 Registration Reinstatement

**7.9.1** An ISSA Operator that:

- (i) has been removed from the Registry in accordance with [ISPM 7.5.3 \(v\)\(b\)](#) shall be reinstated to the Registry once the AO has declared Assessment closure, IATA QC has been completed the ISAR has been released within one hundred and twenty (120) calendar days following the registration expiry date;
- (ii) has been removed from the Registry in accordance with [ISPM 7.7.5 \(v\)](#) shall be reinstated to the Registry once the AO has declared Assessment closure, IATA QC has been completed and the ISAR has been released within one hundred and twenty (120) calendar days following the deadline date of the VA;
- (iii) has been removed from the Registry in accordance with [ISPM 7.5.3 \(v\) \(a\)](#) or [ISPM 7.7.5 \(ix\)](#) shall undergo an initial registration Assessment in accordance with [ISPM 7.4](#) leading to a new registration;
- (iv) has been removed from the Registry in accordance with [ISPM 7.5.4 \(i\)](#) shall be reinstated to the Registry once the AO has declared Assessment closure, and the ISAR has been released within one hundred and twenty (120) calendar days following deadline date in accordance with [ISPM 7.5.4 \(i\)](#). The period of renewed registration shall be determined in accordance with [ISPM 7.5.5](#);
- (v) has been removed from the Registry in accordance with [ISPM 7.5.10](#) shall undergo an initial registration Assessment in accordance with [ISPM 7.4](#) leading to a new registration;
- (vi) has been removed from the Registry in accordance with Note 2 in [ISPM 7.5.13 \(iii\)](#) shall undergo an initial registration Assessment in accordance with [ISPM 7.4](#) leading to a new registration.

**7.9.2** The registration of an Operator shall be reinstated upon completion of the ISAR Quality Control process and released process.

**7.9.3** Intentionally left open.

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

## 7.10 ISSA Brand Promotion



**7.10.1** An ISSA Operator shall request and receive written authority from IATA prior to the issuance of any verbal statements or written material designed to promote ISSA 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 Assessment under ISSA, ISSA Standards and Recommended Practices (ISARPs), the ISSA Registry, or ISSA registration. Examples include, but are not limited to:

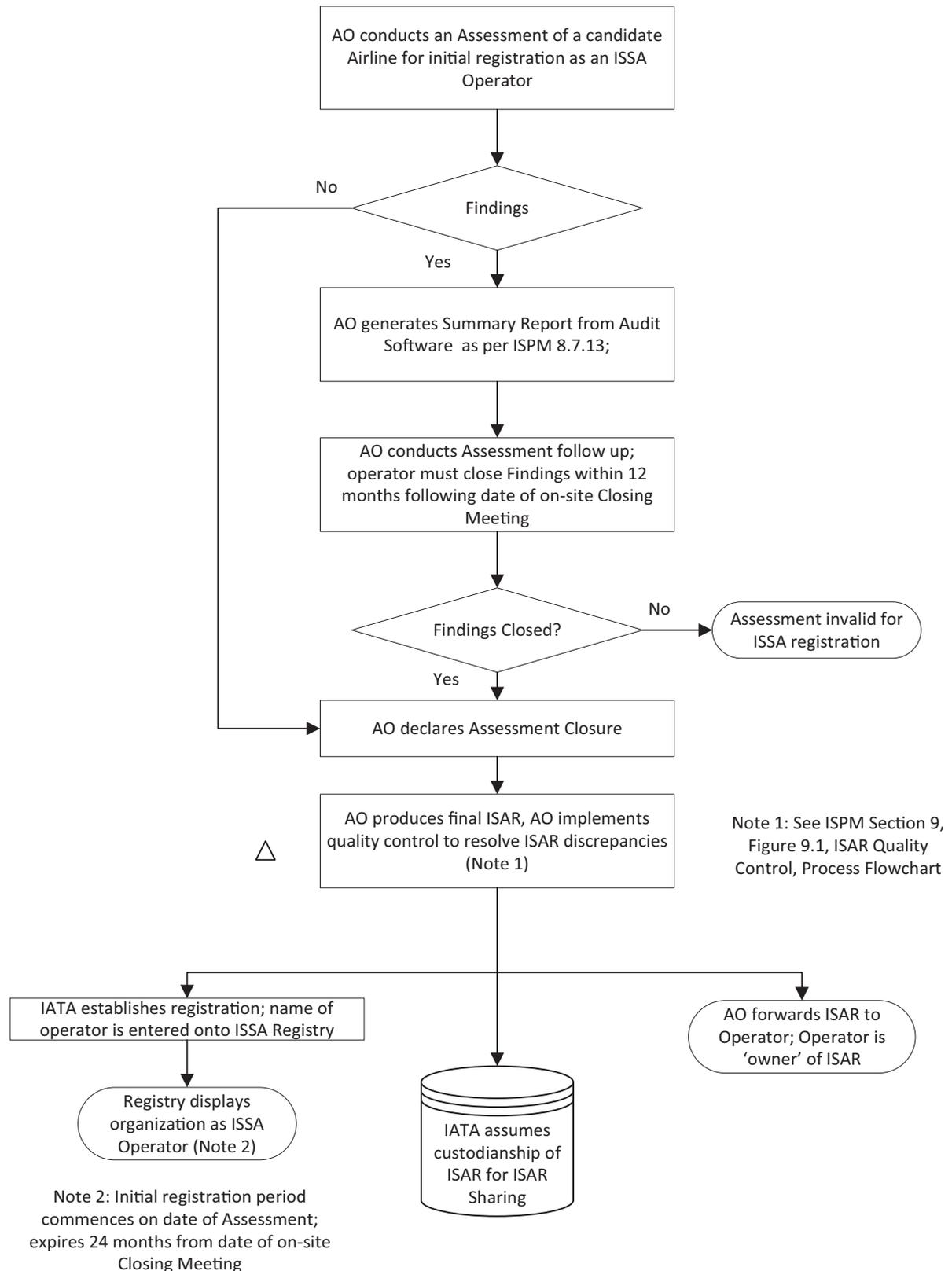
- (i) The use of the IATA logo by an ISSA Operator is strictly prohibited
- (ii) The use of the ISSA logo is prohibited. IATA has developed 'Client Recognition stamps' that can be used instead of the ISSA logo. These and related usage rules are usually provided alongside ISSA certificates. The Client Recognition stamps can be requested at [issa@iata.org](mailto:issa@iata.org);
- (iii) The official means to share audit results is through the ISSA assessment report request process: [www.iata.org/en/programs/safety/audit/issa/](http://www.iata.org/en/programs/safety/audit/issa/)



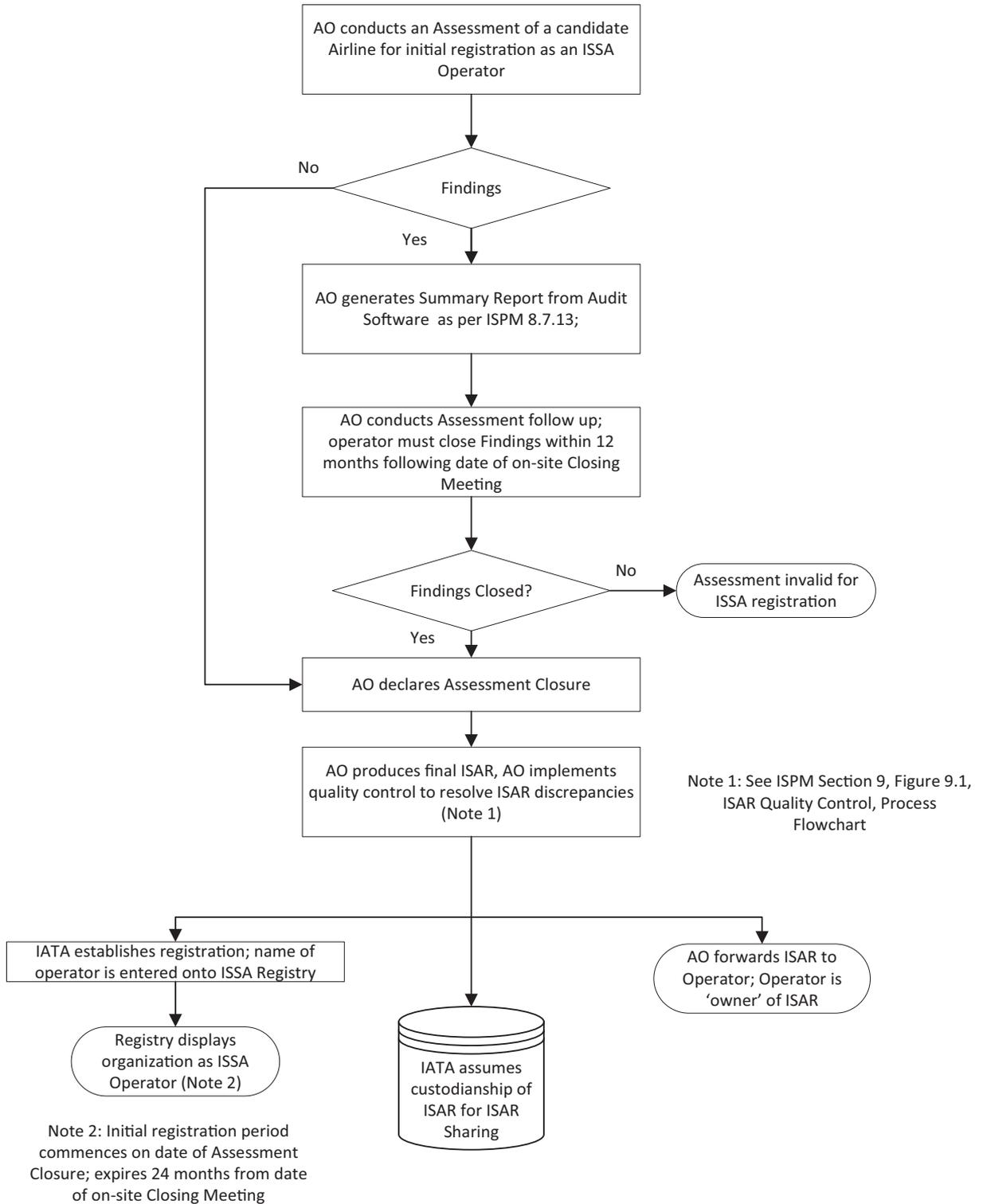
*Note: While IATA recognizes that the Operator may wish to publicly communicate the outcome of their ISSA, IATA does not encourage communications that imply or suggest that achieving zero findings is the mark of a successful ISSA.*

**7.10.2** In accordance with the Assessment Agreement, IATA reserves the right to correct any statement made, released or published by an operator that has been assessed under ISSA or is on the ISSA 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 assessed operator.

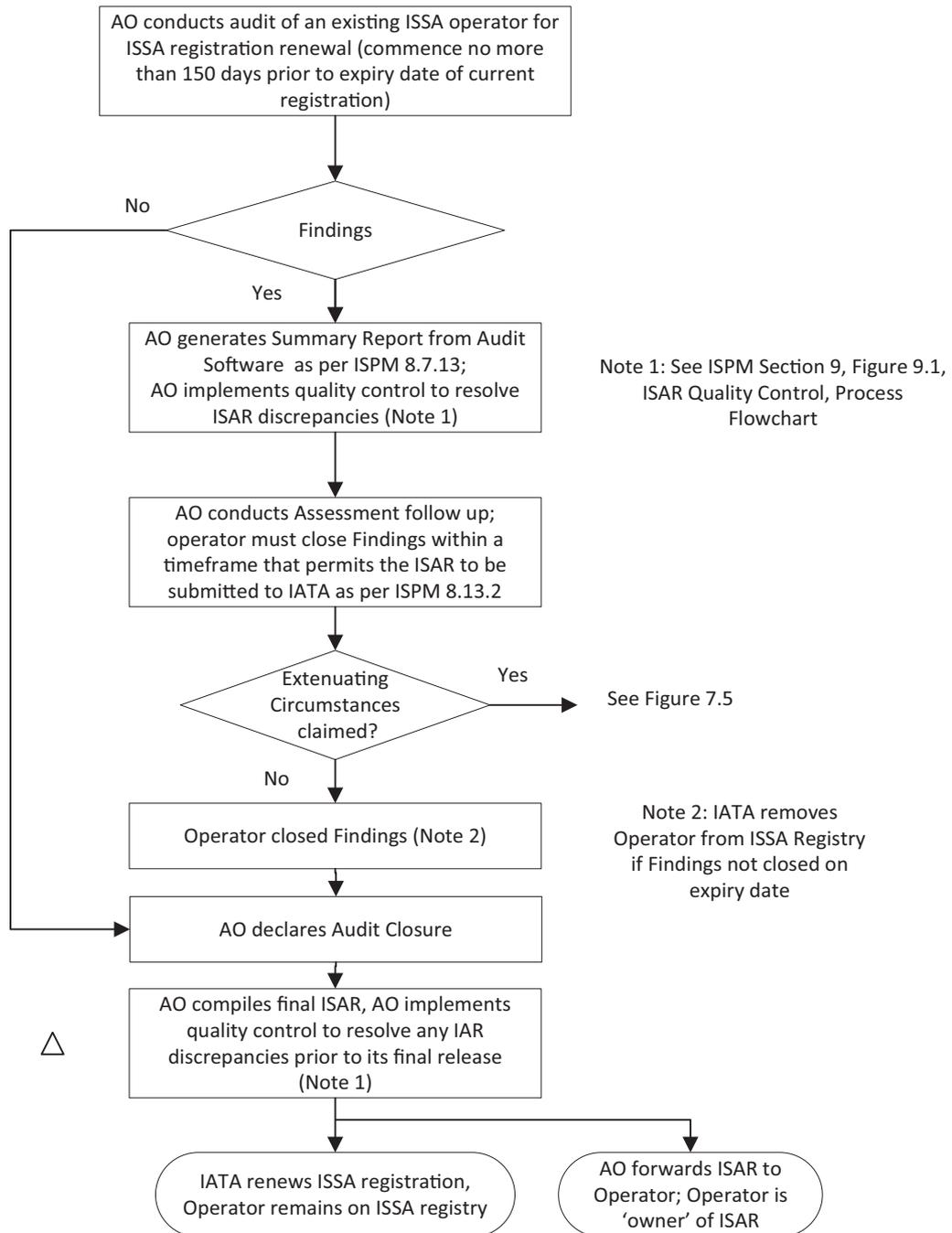
**Figure 7.7 Initial ISSA Registration, Process Flowchart**



**Figure 7.8 ISSA Renewal Registration, Process Flowchart**



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



## Section 8 Assessment Program

### Purpose

The Assessment Program is the documented system, including policies, processes and procedures for implementation of an Assessment under ISSA. This section of the ISSA Program Manual (ISPM) sets out standards that provide the basis for an effective Assessment Program.

### 8.1 Organization and Management

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

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

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

### 8.2 Assessment Planning

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

- (i) Assessment scope and objectives;
- (ii) identification of the ISSM Edition to be used for the Assessment;
- (iii) execution of the ISSA Assessment Agreement;
- (iv) status of the ISSA registration of the Operator;
- (v) AO and auditor conflict of interest;

- (vi) the organization to be assessed;
- (vii) assessment location(s);
- (viii) activities to be assessed;
- (ix) availability of resources;
- (x) logistical requirements;
- (xi) cultural issues;
- (xii) language issues.

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

**8.2.2** The AO shall have a process to enter into an agreement (the “Assessment Agreement”) whenever an Assessment is to be contracted (to include Verification Assessments in accordance with [ISPM 7.7.5](#)), which shall be made between IATA, the AO and the Operator (referred to as the “auditee”). The provisions of this ISPM are, together with the provisions of the ISSA Standards Manual (ISSM), and unless otherwise provided, incorporated by reference in the Assessment Agreement and, in the event of any inconsistency between the terms of this ISPM and the Assessment Agreement, the Assessment 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 Assessment Information portion of the ISSA Assessment Summary specifies the version of the ISSM to be used as the basis for the Assessment. The Operator shall have the option to select the edition of the ISSM to be used for the Assessment, which shall be either:

- (i) the edition that is currently effective on the day before the on-site phase of the Assessment is scheduled to begin; or
- (ii) an edition that has been published (by IATA) prior to the day the on-site phase of the Assessment 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 Assessment Agreement prior to the scheduled start date of the on-site phase of an Assessment (opening meeting).

**8.2.5** The AO shall have a process to ensure an Assessment of a single Operator is planned for a minimum usage of five (5) auditor days, which includes:

- (i) Four (4) auditor days for the conduct of the on-site phase of the Assessment;
- (ii) One (1) auditor day for preparation and assessment follow-up.

**8.2.6** The AO shall have a process for scheduling and conducting Assessments of one or more affiliated Operators that have a significant level of shared operational functions. Such process shall utilize the IATA form for the Assessment of affiliated Operators and ensure the AO:

- (i) schedules the Assessment to be conducted either:
  - (a) sequentially (one immediately after the other); or
  - (b) simultaneously (both at the same time).

- (ii) provides applicable notifications and submissions to IATA as in accordance with [ISPM 1.5.4](#) and [ISPM 2.12](#) and not after the submission of an executed Assessment Agreement in accordance with [ISPM 2.12.1](#);
- (iii) provides an advanced written notification to IATA for approval a minimum of four (4) weeks before the planned start of the first Assessment, and such notification contains details specific to the Assessments, to include:
  - (a) the total number of man days to conduct the Assessment;
  - (b) a description of the relationship and operational functions shared between/among the affiliated Operators.
- (iv) provides an overview in the Executive Summary of the ISAR that describes the:
  - (a) shared operational functions of the affiliated Operators;
  - (b) time frame in which the Assessments were conducted.

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

**8.2.7** The AO shall have a process for conducting an ISSA Preparation Visit (ISPV), 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 Assessment. An ISPV shall provide guidance that will assist the Operator in preparing itself for an Assessment, 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 [ISPM 2.4](#). The AO shall use the IATA standard presentation for all ISPVs, structured to provide the operator with the understanding of:

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

The duration of an ISPV shall be limited to a maximum of one working day by one person, conducted by a qualified auditor or a person very familiar with the ISSA process. The person conducting the ISPV may participate in the Assessment of the Operator, if suitably qualified.

*Note: An ISPV is not a mandatory requirement of the ISSA Program. It is intended as an opportunity for the AO to guide the operator through the expectations of an ISSA Assessment. An ISPV being used to perform pre-assessment activities would be a clear conflict of interests. An ISPV being used to perform other types of pre-assessment activities not related to assessment preparation would be a clear conflict of interest.*

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

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

**8.2.9–8.2.10** Intentionally left open.

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

**8.2.12** Once the scheduled Assessment 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 Assessment.

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

- (i) the on-site closing meeting does not take place more than 180 calendar days prior to the expiry date of the Operator's current registration;
- (ii) under normal circumstances, the ISAR should be submitted to IATA no less than 15 calendar days prior to the expiry date of the current registration.

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

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

**8.2.15** As a result of a determined Verification Assessment in accordance with [ISPM 7.7.5](#) or [ISPM 7.7.6](#) the AO shall have a process to provide IATA with the following upon request:

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

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

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

**8.2.17** When planning an ISSA Assessment in accordance with [ISPM 8.2](#), the AO shall ensure:

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

**8.2.18** The AO shall ensure that the assigned four (4) on-site auditor-days in accordance with [ISPM 8.2.5](#) shall not be used for the conduct of ISAR QC activities. The AO and the Assessment Team shall ensure that the prescribed minimum of four (4) auditor-days are utilized for the following activities:

- (i) Conduct of the opening meeting;
- (ii) the assessment of all ISARPs by utilizing the Auditor Actions and recording of the assessment in the audit software;

- (iii) the preparation and conduct of the closing meeting. The preparation of the closing meeting needs to be limited to essential coordination and administration tasks.

**8.2.19** The AO shall:

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

### 8.3 Selecting and Assembling Assessment Teams

**8.3.1** The AO shall have a process to ensure an Assessment Team comprises, as a minimum,

- (i) one fully qualified FLT Auditor;
- (ii) one fully qualified MNT Auditor;
- (iii) a minimum of one of the above Auditors must also be a qualified ORG Auditor;
- (iv) both Auditors must be on the IATA Master List of Approved IOSA Auditors and be current and qualified to conduct Assessment under the ISSA Program as per [section 3.3](#).

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

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

- (i) Assessment scope and objectives;
- (ii) auditor potential conflict of interest;
- (iii) size of the organization to be audited/assessed;
- (iv) location(s) and activities to be audited/assessed;
- (v) previous Assessment history of the organization to be assessed, 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.

**8.3.4** The AO shall have a process for designating a Lead Auditor for each Assessment that takes into account considerations in [ISPM 8.3.3](#), and also considers the total experience and competency of Assessment Team members.

### 8.4 Assessment Preparation

**8.4.1** Once an Assessment 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 Assessment.

**8.4.2** The AO shall have a process to request access to previous ISSA Assessment Reports (ISAR) from IATA in accordance with [ISPM 9.9.5](#), when preparing to assess an organization that is currently a registered ISSA Operator.

**8.4.3** The AO shall have a process for preparing an Assessment plan detailing all requirements necessary for a successful Assessment, such as:

- (i) Assessment scope and objectives;
- (ii) general assessment methodology, including Assessment report and follow-up;
- (iii) identification of ISARPs not applicable to the Assessment, including Standards suspended for special review, if any;
- (iv) dates and locations for the Assessment and associated activities;
- (v) roles and responsibilities of the Assessment Team;
- (vi) identification of trainees and/or observers that may accompany the Assessment 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 ISSA registration of the Operator;
- (xiv) other requirements, as necessary.

**8.4.4** To enhance preparation for an Assessment, the AO shall have a process to obtain and review relevant information and documentation from the Operator as far in advance of the Assessment as possible, including but not limited to:

- (i) the Operator's Air Operator Certificate and all applicable Operations Specifications;
- (ii) relevant operational documents;
- (iii) the previous ISARs if applicable;
- (iv) the regulatory environment of the Operator;
- (v) any significant operational or management changes occurred since the last Assessment;
- (vi) the identification of outsourced functions;

- (vii) potential regulatory sanctions and/or safety concerns;
- (viii) any other relevant information.

#### **8.4.5** Intentionally left open

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

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

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

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

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

## **8.5 Providing Resources and Logistical Support**

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

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

**8.5.3** The AO shall provide an official identification badge for each member of the Assessment 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 Assessment.

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

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

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

### 8.6 Opening Meeting

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

### 8.7 Conducting the Assessment

**8.7.1** The AO ensure Auditors:

- (i) correctly use the ISSA checklist and are proficient in completing the checklist in accordance with procedures and guidance contained in the IAH;
- (ii) apply effective methods for gathering of objective evidence during an Assessment, to include proficiency in interviewing, reviewing documentation, observing activities and noting operational conditions;
- (iii) establish conformity based on the degree to which the Operator has documented and implemented specifications contained in the ISARPs;
- (iv) identify outsourced functions and, verify that the Operator is carrying out adequate oversight of the outsourced functions, to ensure conformity with ISSA standards.

*Note: The Auditors shall ensure that applicable staff is interviewed during the assessment of each ISARP. Such staff shall include responsible managerial and non-managerial personnel representing various functions that are addressed during the assessment.*

**8.7.2** The AO shall ensure that:

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

*Notes:*

1. *Versions of the ISSM or ISSA checklists that have been translated into another language are subject to misinterpretation and therefore are considered unofficial reference documents for the purpose of determining Assessment conclusions.*
2. *The ISSA checklists contained within the audit software are part of the Assessment Report (ISAR), and shall be considered as the official working documents for an Assessment.*
3. *If an ISSM, ISPM, or IAH, including Temporary Revisions thereof, becomes effective after the date of the onsite opening meeting, but before the closing meeting, the version of each manual which was valid at the time of the Opening Meeting shall be used.*

**8.7.3** The AO shall ensure there are regular, scheduled and frequent meetings of the Assessment Team during an Assessment to exchange information and assess progress of the Assessment. 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 Assessment Team and representatives of the Operator, which will permit effective communication among all concerned parties during an Assessment.

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

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

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

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

**8.7.7** Once the on-site phase of the Assessment has started, the AO shall ensure the Assessment of the Operator continues uninterrupted to completion, except the Assessment is terminated in accordance with provisions contained in [ISPM 8.9](#).

**8.7.8–8.7.12** Intentionally left open.

**8.7.13** The AO shall have a process, using the audit software, for Assessment 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; and
- (ii) create applicable Corrective Action Record(s) (CAR), which will be made available to the Operator following the closing meeting.

### 8.8 Closing Meeting

**8.8.1** The AO shall ensure the on-site assessment phase is completed with a formal closing meeting with the Operator's management team. The spokesperson for the Assessment Team shall be the designated ISSA Lead Auditor. The closing meeting shall have attendance recorded and be and be conducted in accordance with requirements specified in the IAH.

**8.8.2** The Lead Auditor shall ensure the Operator understands that findings and observations presented in a "Summary of Findings and Observations" during the on-site closing meeting:

- (i) shall not be revised or withdrawn, except in accordance with [ISPM 8.12.5](#) or ISAR quality control processes in accordance with [ISPM 9.2](#);
- (ii) are to be used by the Operator to begin development of the Corrective Action Plan (CAP);
- (iii) may not represent the total number of findings and observations; changes may be made, as identified during application of the ISAR 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 [ISPM 8.10](#);
- (ii) Assessment 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 [ISPM 8.12](#).

### 8.9 Terminating an Assessment

**8.9.1** The AO shall have a process to terminate an Assessment if the Assessment 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 Assessment Team;
- (ii) the Operator is raising unacceptable barriers that significantly limit or inhibit the ability of the Assessment Team to discover factual evidence;
- (iii) a conflict of interest as specified in [ISPM 2.4](#), becomes evident;
- (iv) there is a significant breach of the Assessment Agreement;
- (v) Assessment objectives are not attainable; or
- (vi) no reliable and unrestricted internet access is provided to all Auditors and no alternative arrangements could be made.

**8.9.2** When terminating an Assessment in accordance with [ISPM 8.9.1](#), the AO shall ensure:

- (i) IATA and the Operator are advised of a potential Assessment termination and related consequences in writing as soon as reasonably practicable; and
- (ii) IATA and the Operator are notified in writing within twenty four (24) hours of such termination action.

## 8.10 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 [ISPM 8.8](#). The CAP shall comprise an acceptable overall proposal by the Operator to implement corrective action to close all findings and/or observations as documented on each CAR. Implementation of corrective action to close an observation is optional for the Operator.

**8.10.2** An acceptable CAP shall ensure:

- (i) for initial ISSA registration, project closure of all findings plus Assessment Closure no later than twelve consecutive (12) months following the date of the on-site closing meeting;
- (ii) for renewal of an existing ISSA registration or Verification Assessment, project Assessment Closure within a period of time as specified in [ISPM 7.5.3](#), [7.5.4](#), or [7.7.5](#) as applicable;
- (iii) the inclusion of proposed implementation of comprehensive and permanent corrective action;
- (iv) the Root Cause Analysis (RCA) and the Planned Corrective Action to address finding and/or observation.
- (v) upon receipt from the operator, be reviewed by the AO to ensure all information was properly uploaded to the audit software, and is ready for retrieval.

### *Interim Corrective Action*

**8.10.3** Under unique circumstances, an acceptable CAP may, for renewal of an existing ISSA Registration or Verification Assessments, include implementation of interim corrective action. Interim corrective action shall be considered an exception to [ISPM 8.10.2](#) as a means for providing resolution of a Finding on a temporary basis.

**8.10.4** Interim Corrective Action will be reviewed by IATA in accordance with [IPM 2.12.3](#) under the following conditions:

- (i) the AO has reviewed the Operator's request prior to submission of the ICA request to IATA;
- (ii) the AO has deemed the proposed ICA and evidence as acceptable;
- (iii) the AO has submitted a formal request for ICA to IATA, confirming the acceptability of the ICA.

**8.10.5** In a case where the AO has received approval to include interim corrective action in an accepted CAP in accordance with [ISPM 8.10.3](#), the AO shall:

- (i) record the Interim Corrective Action in the CAR;
- (ii) provide for continued Assessment follow-up to verify the implementation by the Operator of permanent corrective action to replace the interim corrective action within a period of 180 calendar days following the expiry date of the current registration;
- (iii) notify IATA in writing within seven (7) calendar days following the date the AO has verified the implementation of permanent corrective action to replace interim corrective action. Such notification shall ensure approval of the permanent corrective action by IATA can be accomplished within a maximum of 180 days following the deadlines specified in [IPM 7.5.13](#) (ii)

**8.10.6** The following eligibility requirements are applicable to Interim Corrective Actions and shall be fulfilled by the Operator:

- (i) the Operator must have undergone a Registration Renewal Assessment or a Verification Assessment;
- (ii) the request must have been made as soon as it has become known to the Operator that ICA is required;
- △ (iii) the request to the AO must contain sufficient evidence to provide reasonable assurance that permanent corrective action will be completed within the maximum allowable timeline of 180 days;
- (iv) the ISARP(s), associated with non-conformities for which an ICA is requested, must have changed since the last assessment performed on the Operator and/or the Operator has experienced significant operational changes associated with such ISARP in the six (6) months prior to the current expiration date;
- (v) necessary corrective actions must require services and/or participation from external entities such as external training providers or subcontracted service providers;
- (vi) a request for ICA shall be accompanied by a risk assessment conducted by the Operator, confirming an acceptable level of risk for the Operator for the duration of the ICA validity.
- (vii) the ISARP(s), associated with non-conformities for which an ICA is requested, must not have been approved for an ICA in the past.

*Note: Significant operational changes as referred to in (iv) include new aircraft types, at least 20 percent increase in the total number of aircraft operated, or new special authorizations.*

### 8.11 Conducting Assessment Follow-up

**8.11.1** For a period of twelve (12) consecutive months following the date of the on-site Assessment closing meeting, as provided in the Assessment Agreement, the AO shall be responsible for applicable Assessment 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 [ISPM 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 guidance issued by IATA; and
- (ii) the verification of the corrective action and CAR closure is done by an auditor qualified to conduct ISSA Assessments or the Lead Auditor of the team that conducted the Assessment.

**8.11.3** The AO shall document in the Corrective Action Report (CAR):

- (i) a description of the method used for verification of corrective action implementation;
- (ii) the justification for the use of the method described in (i) above;
- (iii) a description of the evidence that provides proof corrective action has been implemented.

*Note: The AO must ensure that during the entire follow-up phase, the corrective action progress must be continuously recorded in the audit software.*

## 8.12 Closing Findings/Observations

**8.12.1** The AO shall have a process for declaring a Finding/Observation closed after the implementation of comprehensive and permanent corrective action has been verified in accordance with [ISPM 8.11.1](#) and [ISPM 8.11.2](#).

**8.12.2** Should Assessment Closure not be achieved within required timelines, the Assessment shall become invalid as a means for the Operator to be added to the ISSA Registry, or renew an existing ISSA registration:

- (i) for initial ISSA registration:

an Operator shall not be added to the ISSA Registry until all findings have been closed, and the ISAR quality control processes have been completed. Assessment Closure shall be accomplished within twelve (12) months from the date of the onsite closing meeting;

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

an Operator shall be removed from the ISSA Registry if Assessment Closure has not been achieved prior to the expiry date of the current ISSA registration, unless extenuating circumstances are determined to exist in accordance with applicable provisions in [ISPM 7.5](#) and [ISPM 7.9](#).

**8.12.3** For renewal Assessment, the AO may require closure of the Assessment Findings by the Operator up to a maximum of fifteen (15) days earlier than the scheduled dates stated in [ISPM 8.13.3](#).

### ***Effect of ISSM Revisions***

**8.12.4** The AO shall have a process to address findings/observations that have not yet been closed by the Operator when an associated ISSA Standard or Recommended Practice is changed as a result of a published revision to the ISSM. When a new Edition or Temporary Revision of the ISSM 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 [ISPM 8.12.4](#), thereby relieving the Operator of the obligation to implement corrective action;
- (ii) standard or recommended practice is *revised*, and the Operator is *in conformity* with the revised provision, or the revised provision is no longer applicable to the Operator, the finding or observation record remains and is closed by the AO by insertion of a standard phrase that refers to this [ISPM 8.12.4](#), thereby relieving the Operator of the obligation to implement corrective action;
- (iii) standard or recommended practice is *revised*, and the Operator is *not in conformity* with the revised provision, the Operator has the option to close the Finding or Observation through implementation of corrective action to satisfy either the old or new (revised) provision;
- (iv) recommended practice is upgraded to a standard, the Operator has no obligation to implement corrective action to close an observation.
- (v) standard or recommended practice is revised, and the revised specification becomes applicable to the Operator, the Operator has the option either to close the Finding or Observation through implementation of corrective action, or to remain with the original assessment as “Not applicable” by insertion of a standard phrase that refers to this [ISPM 8.12.4](#).

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

**8.12.5** The AO shall have a process to address a Finding that has not yet been closed by an Operator when the ISSA Standard associated with that Finding, or a specification within that ISSA standard, is suspended in accordance with the ISSA Standards Special Review Process. An existing open Finding associated with such suspension is addressed as follows:

- (i) if an Operator has an open Finding against an ISSA standard that is suspended, the Finding is withdrawn and the standard becomes not applicable (N/A) for that Assessment; a description of such withdrawal is documented in the ISAR;
- (ii) if an Operator has an open Finding against a ISSA standard solely as a result of non-conformity with suspended specifications within that standard, the Finding is withdrawn and the standard becomes not applicable (N/A) for that Assessment; a description is documented in the ISAR;
- (iii) if an Operator has an open Finding against an ISSA 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 ISAR;
- (iv) if an Operator has an open Finding against an ISSA 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 ISAR.

### **8.13 Closing an Assessment**

**8.13.1** The AO shall have a process to:

- (i) declare Assessment closure on a specific date, once:
  - (a) all Findings have been addressed by the Operator through implementation of corrective action(s) in accordance with an accepted CAP, as specified in [ISPM 8.10.2](#).
  - (b) implementation of all corrective actions has been verified by the AO.
  - (c) internal QC processes are complete.
- (ii) issue an Assessment closure notice to the Operator, that shall include language to inform the Operator that, although the Assessment has been declared closed, the Assessment is not valid for initial registration, registration renewal, or registration reinstatement as applicable, until ISAR has been released by IATA.

## **Assessment Report Submission Deadlines**

**8.13.2** The AO shall ensure that ISARs are submitted to IATA within 15 calendar days of closure of all corrective actions in accordance with [ISPM 8.13.1 \(i\)](#).

*Note: The AO can request an extension on specific IARs due to workload and/or prioritization.*

**8.13.3** The AO should ensure that the ISAR is submitted to IATA 15 calendar days prior to the current expiration date for a Registration Renewal Assessment.

**8.13.4** The AO shall ensure that the ISAR is submitted to IATA not later than 15 calendar days prior to the final deadlines for Extenuating Circumstances in accordance with [ISPM 7.5.9](#) Interim Corrective Actions in accordance with [ISPM 7.5.13](#) and Registration Re-instatements in accordance with [ISPM 7.9.1](#). Submission of the ISAR less than 15 calendar days prior to those deadlines may result in the ISAR and the Assessment to become invalid.

**8.13.5** The AO shall ensure IATA is updated about the status of the assessment closure and estimated ISAR submission date in cases where submission requirements as specified in [ISPM 8.13.2](#) - [ISPM 8.13.4](#) cannot be fulfilled.



## 8. Assessment Program

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## Section 9 Assessment Report

### Purpose

Sharing of Assessments is a fundamental element of IATA Standard Safety Assessment (ISSA), which requires effective control of the ISSA Assessment Report (ISAR), as well as other documents and associated information resulting from the Assessment process. This section of the ISSA Program Manual (ISPM) sets out standards for the management and control of the Assessment Report and other critical information and data to ensure a level of quality, security and confidentiality necessary to support and facilitate Assessment sharing.

### 9.1 ISSA Assessment Report

**9.1.1** The ISSA Assessment Report (ISAR) is the official record of an Assessment conducted on an Operator by an Audit Organization (AO) in accordance with ISSA standards and recommended practices. Essential information and the results of an Assessment are documented in the ISAR, which comprises the following documents:

- (i) Assessment Summary;
- (ii) Information Sources (IS);
- (iii) ISSA Checklist (QRR);
- (iv) Corrective Action Report (CAR);

**9.1.2** The Assessment Report is used by an Interested Party for the purpose of Assessment Sharing in accordance with provisions contained in [ISPM Section 10](#).

**9.1.3** The AO shall have a process to ensure the Assessment Report (ISAR) is completed and submitted in accordance with the ISPM and IAH.

**9.1.4** The AO shall have a process to make the final ISAR available to the Operator once it is released by IATA.

### 9.2 Quality Control of the Assessment Report

**9.2.1** The AO shall have an ISAR quality control process, the implementation of which ensures all documents comprising the ISAR as specified in [ISPM 9.1.1](#) are completed accurately and in accordance with any procedures and guidance issued by IATA. The ISAR quality control process conducted by the AO shall ensure, as a minimum:

- (i) details of the Assessment are accurately described;
- (ii) documents comprising the ISAR 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) closure of findings in each CAR includes an accurate description and justification of the method(s) used by the AO to verify implementation of corrective action, to include interim corrective action, if applicable;

**9.2.2** The AO shall ensure the ISAR as specified in [ISPM 9.2.1](#), has been completed prior to:

- (i) issuance of an ISAR to the Operator;
- (ii) submission of an ISAR to IATA.

△

△

**9.2.3** The AO shall have a process to address Assessment issues and amend an Assessment report as necessary to resolve discrepancies that have been identified during the ISAR quality control conducted by the AO. 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 ISSA checklist provision by the Assessment Team during the original on-site Assessment.

### 9.3 Intentionally Left Open

### 9.4 ISAR Security

**9.4.1** The AO shall have a process in agreement with IATA that ensures:

- (i) secure transfer of an ISAR (or any document that is part of the ISAR) from the AO to IATA or to the Operator;
- (ii) a confirmation of receipt is provided to the AO when IATA has received an Assessment Report that was transferred using the audit management software in accordance with (i).

### 9.5 ISSA Assessment Report Ownership

**9.5.1** Once the final version of the ISAR has been issued to the Operator the ISAR shall become the sole and exclusive property of the Operator in accordance with provisions in the ISSA Assessment Agreement.

**9.5.2** The Operator shall maintain the confidentiality of the ISAR and its contents, and not permit the ISAR, or a copy of the ISAR, 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 ISAR may be relinquished as part of legal proceedings in compliance with applicable laws;
- (iii) a copy of the ISAR provided or relinquished in accordance with (i) or (ii) shall require notification to IATA.

**9.5.3** At the discretion of the Operator, the ISAR, 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 Assessment sharing under ISSA, and such viewing or sharing shall not be used as a mechanism for bypassing the provisions of the official ISAR access process specified in [ISPM 9.9](#);

- (ii) neither the ISAR nor a copy of the ISAR shall be furnished to any other party; the ISAR and any copies shall remain on the property of, and in the physical possession of, the Operator.

## 9.6 ISSA Assessment Report Custodianship

**9.6.1** IATA shall be the official custodian of all ISAR and shall have a database that shall be the system repository for the ISAR from every Assessment conducted under ISSA.

**9.6.2** The Operator that owns an ISAR, as specified in [ISPM 9.5.1](#), shall be the sole determiner and provider of authorization for access to the Assessment Report from the ISSA Database.

## 9.7 Assessment Report Retention

**9.7.1** The AO shall have processes to:

- (i) retain a copy of the ISAR in its own records for two (2) years after the completion of an Assessment;
- (ii) ensure the confidentiality and security of the ISAR;
- (iii) preclude release of the ISAR, or a copy of the Assessment Report, 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 ISAR as specified in [ISPM 9.1.1](#) (e.g. working checklists, field notes, manuals, electronic working files) and which have not been uploaded to the repository in accordance with [IPM 8.13.3](#) are disposed of when the QC processes conducted by the AO are complete and the Assessment Report is finalized.

**9.7.3** In cases when the Operator has not been able to successfully close findings within the specified maximum time frame specified in [ISPM Section 8](#), the AO shall retain the information and data associated with the Assessment for a minimum of 30 calendar days beyond the nominal closure deadline.

**9.7.4** Once received by IATA, the final ISAR shall be loaded into the secure ISSA Database and retained with the Assessment Reports from the previous two Assessments of the Operator.

## 9.8 ISSA Database

**9.8.1** IATA shall establish the ISSA Database for the purpose of retaining, analyzing and providing access to ISAR resulting from Assessment conducted under ISSA.

**9.8.2** The ISSA Database shall be the sole source of official access to an ISAR in conformity with provisions contained in [ISPM 9.5](#) and [ISPM 9.9](#); the Operator shall be the sole determiner and provider of authorization for official access to an ISAR.

**9.8.3** The ISSA Database shall be managed by IATA in a manner that ensures the security, confidentiality and integrity of information contained in ISAR.

**9.8.4** Any analysis of ISSA data by IATA shall always be accomplished in conformity with provisions contained in [ISPM 9.10](#).

### 9.9 ISAR Access

**9.9.1** An interested party seeking access to an ISAR shall submit a request to IATA in writing or electronically as offered by IATA, and such request shall include the specific reason for requesting access to the ISAR.

**9.9.2** IATA shall not provide ISAR access to an interested party unless authorization for such access has been granted by the Operator that owns the ISAR, as specified in [ISPM 9.6.2](#).

**9.9.3** IATA shall not provide ISAR 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 ISAR; or
- (ii) otherwise compromise the security and confidentiality of the ISAR.

**9.9.4** IATA shall not provide ISAR 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 ISAR.

**9.9.5** IATA shall have a process to provide ISAR access, including access to archived ISAR, to entities other than an interested party as specified in [ISPM 9.9.1](#). Such process shall ensure:

- (i) access to the ISAR(s) by the requestor is authorized by IATA;
- (ii) the purpose and conditions of the use of the ISAR(s) are authorized by IATA;
- (iii) if applicable, information contained in the ISAR(s) is de-identified by IATA;
- (iv) such access is authorized by the Operator that owns the ISAR(s).

*Note: Entities addressed in this provision include:*

- (a) an AO, for the purpose of conducting a subsequent Assessment of the Operator that owns the ISAR(s), provided that the AO and Operator have already signed an Assessment Agreement for that subsequent Assessment;
- (b) IATA, for the purpose of analyzing safety data.

**9.9.6** IATA shall have a process to provide ISAR access to regulatory authorities. The process shall ensure IATA provides access to the ISAR(s) to the requestor subject to:

- (i) specification of the reason for the request by the requestor;
- (ii) authorization from the Operator that owns the ISAR(s).

### 9.10 ISSA Data Analysis

**9.10.1** IATA at its discretion may conduct analyses of ISARs contained in the ISSA database as a function of its responsibility for ISSA program management and promotion of industry safety. Analyses of ISARs shall be accomplished for the purpose of monitoring, among other things:

- (i) industry conformity with ISSA standards and recommended practices (ISARPs) for statistical safety reporting;
- (ii) industry conformity with recommended practices in determining consideration for upgrade to a standard;

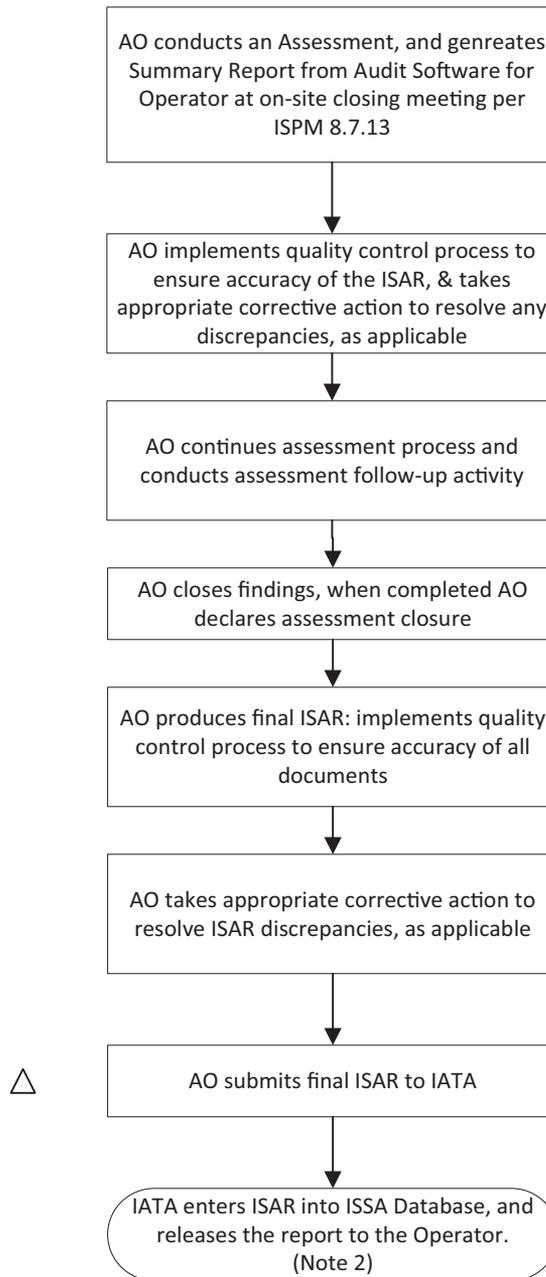
- (iii) ISAR content to evaluate AO and Auditor performance and standardization;
- (iv) other ISSA program areas as necessary for quality assurance.

**9.10.2** The following restrictions shall apply to all data derived from analyses of ISARs 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 ISAR, Operator or AO could be identified.

**9.10.3** Any proposed future use of information from ISARs in the ISSA Database for purposes other than those contained in [ISPM 9.10.1](#), such as analyses as part of the IATA Global Aviation Data Management (GADM) safety research, shall be in conformity with restrictions contained in [ISPM 9.10.2](#).

Figure 9.1 ISAR Quality Control, Process Flowchart



## Section 10 Assessment Sharing

### Purpose

One goal of IATA Standard Safety Assessment (ISSA) is to eliminate the redundancy of operational Assessment within the airline industry and concurrently to provide an effectively managed and controlled system for the sharing of Assessments. The ISSA Assessment Report (ISAR), which is retained in a central ISSA Database that is managed by IATA, provides the comprehensive information necessary to allow Interested Parties to participate in ISSA Assessment sharing. This section of the ISPM sets out the standards associated with Assessment sharing.

### 10.1 Description

**10.1.1** ISSA Assessment [sharing](#) is a process whereby an [interested party](#) uses the Assessment of an Operator conducted by a third party under ISSA to satisfy its need for:

- (i) an Assessment 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 Assessment under ISSA shall gain access to the ISAR in accordance with provisions contained in [ISPM 9.9](#).

**10.2.2** An interested party uses the Assessment sharing process to achieve its own unique objective(s); therefore any operational, commercial or business decision(s) based on Assessment sharing shall always be the full responsibility of the interested party (e.g. a decision to enter into a code share agreement with an ISSA or IOSA Operator).

**10.2.3** An interested party shall understand that, when it shares an Assessment of an Operator under ISSA to satisfy its own need for an Assessment of that Operator, it bears all responsibilities as if the interested party had conducted its own Assessment of that Operator.

**10.2.4** An interested party shall understand that, when it shares an Assessment of an Operator under ISSA, it bears the responsibility for providing its own ongoing monitoring of the operations of the assessed Operator.

**10.2.5** An interested party shall understand that the ISAR, while designed to provide comprehensive information about an Assessment, 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 ISSA [Operator](#).

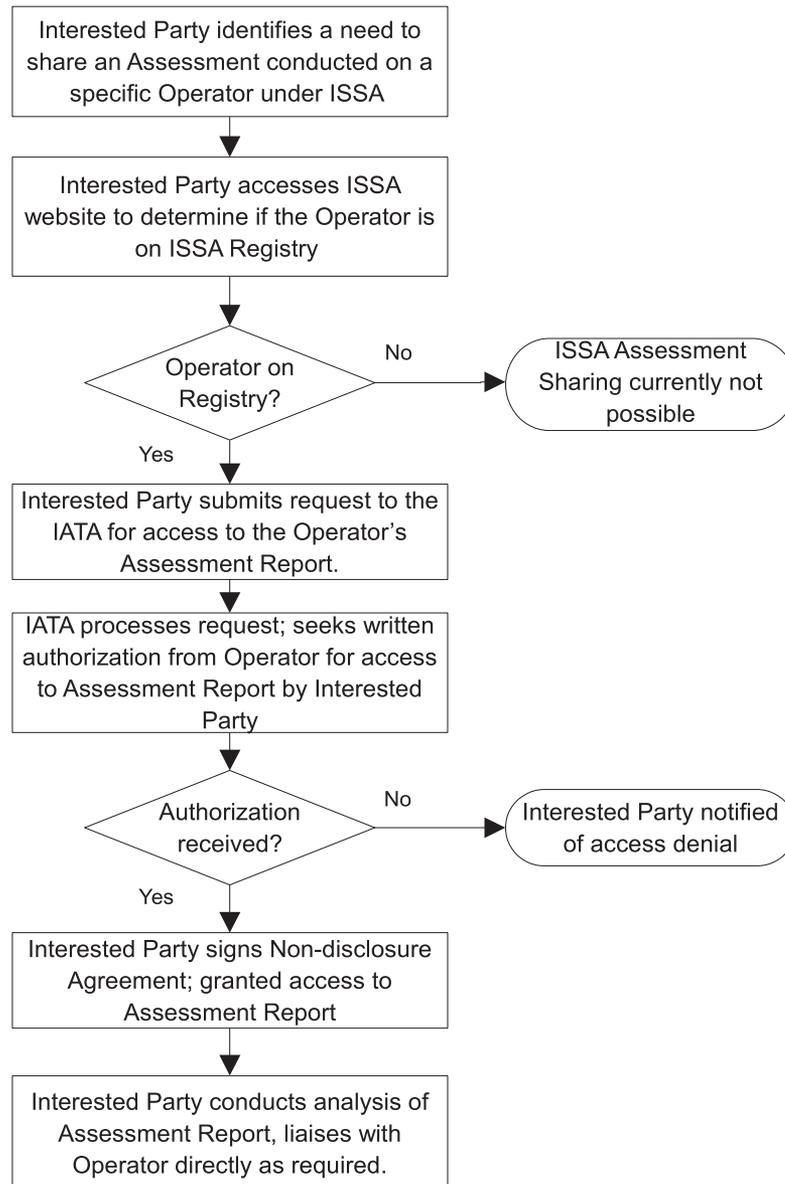
### 10.3 IATA

**10.3.1** IATA is the official custodian of ISAR in the ISSA database and shall provide controlled ISAR access to an interested party in accordance with provisions contained in [ISPM 9.9](#).

### 10.4 The Operator

**10.4.1** The ISAR is the sole and exclusive property of the ISSA Operator and access to an ISAR shall be granted to an interested party by IATA only after the Operator that owns the ISAR has specifically authorized such access in accordance with applicable provisions contained in [ISPM Section 9](#).

**Figure 10.1 ISSA Assessment Sharing Process Flow**



## Section 11 Dispute Resolution

### Purpose

This section of the ISPM sets out standards for resolution procedures to be followed whenever a dispute arises between an operator and an AO (referred to as the “Auditee”). (see [Figure 11.1](#))

### 11.1 Applicability

**11.1.1** The dispute resolution procedures in this section shall be applied when specific dispute resolution mechanisms and/or consultative procedures contained in other provisions in this ISPM have been exhausted.

### △ 11.2 Dispute Resolution

**11.2.1** Before a party (Operator or AO) seeks to initiate any external resolution in relation to a dispute, such initiating party shall follow the escalation procedure as set out below:

- (i) the initiating party shall notify the other relevant parties in writing (the “Notification”), setting out the reasons for dissatisfaction and/or disagreement (the “issue”);
- (ii) the representatives of all parties involved shall conference (including but not limited teleconference call) to discuss the issue;
- (iii) if the representatives cannot resolve the issue within thirty (30) calendar days of the Notification as specified in (i), each representative shall notify their respective superiors;
- (iv) the superiors of all parties shall then conference and attempt to resolve the issue.

#### Notes:

1. *IATA shall act impartially to facilitate the dispute resolution process between the AO and the Operator.*
2. *Any potential cost occurred in the dispute resolution process shall be borne by the AO and/or the Operator.*

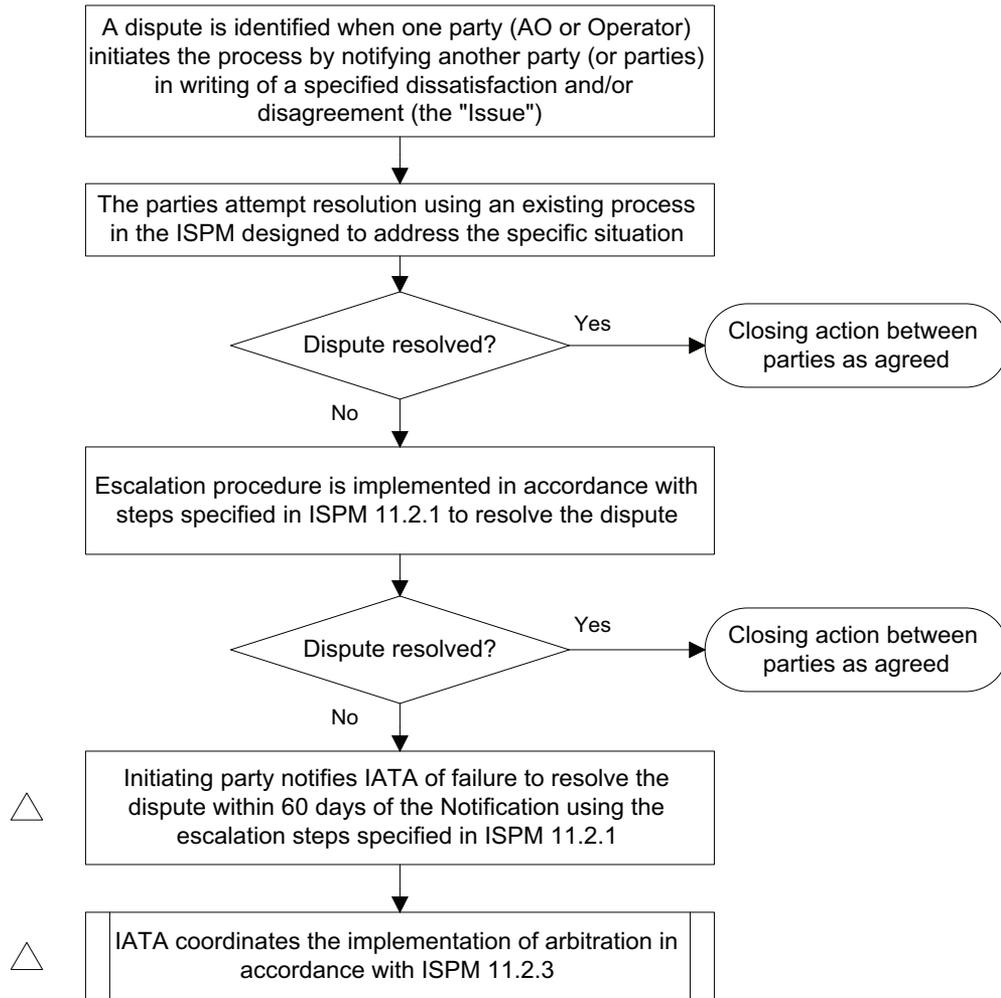
**11.2.2** For the purposes of this subsection, the representatives of each party shall be the persons named in the notice provisions of the Accreditation Agreement and/or the ISSA Assessment Agreement, as the case may be.

**11.2.3** Any dispute not resolved through implementation of the steps specified in [ISPM 11.2.1](#) within sixty (60) calendar days of the date of Notification will be exclusively and finally settled by arbitration under the Rules of Conciliation and Arbitration of the International Chamber of Commerce.

**11.2.4** In accordance with [IPM 11.2.1](#), IATA, at its discretion, may freeze the process described in [ISPM 7.4](#), [ISPM 7.5](#) and [ISPM 7.2](#) and resume the same process, after applicable criteria are satisfied and the agreed conditions for a resolution are met. The change in Assessment closure and other applicable deadlines shall not exceed the periods as defined in this ISPM.

**11.2.5** IATA shall make annotations to the ISSA Registry in accordance with [ISPM 7.7.7](#) and [Table 7.1](#) if an ISSA Operator is involved in dispute resolution in accordance with [ISPM 11](#) that could affect ISSA registration.

**Figure 11.1 ISSA Dispute Resolution, Process Flowchart**



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