



OPERATIONAL SAFETY AUDIT

Programme Manual

Third Edition
Effective 1st March 2008

NOTICE



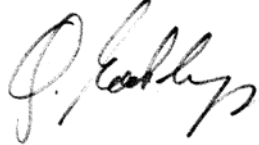
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IOSA PROGRAMME MANUAL

This Third Edition has been verified by the IOSA Programme Office and the IOSA Oversight Committee.

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FOREWORD

The IATA Operational Safety Audit (IOSA) Programme is an internationally recognised and accepted evaluation system designed to assess the operational management and control systems of an Operator. IOSA is based on industry-proven quality audit principles, and is designed to ensure that each audit is conducted in a standardised manner to achieve consistent results.

Standards contained in this manual were initially developed during the years 2002-2003 by task forces as part of the IOSA developmental project. When establishing the membership of the IOSA task forces, IATA selected industry safety and quality experts from organisations around the world, including airlines, regulatory agencies, and various other entities possessing operational audit expertise. Special care was taken to ensure equal participation from all areas of the world such that no single region, alliance or organisation would predominate.

IATA will continue to update IOSA Programme standards based on stakeholder input, practical experience and the latest consensus in operational quality management principles.



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APPLICABILITY

The IOSA Programme Manual (IPM) contains standards that govern all aspects of the IATA Operational Safety Audit (IOSA) Programme for the purpose of achieving a standardised and consistent audit product. Standards in this manual are applicable primarily to: (1) accredited audit organisations (AOs) that will conduct audits under IOSA, (2) operators that will be audited under IOSA and (3) endorsed training organisations (ETOs) that will provide IOSA Auditor Training (4) IATA as steward of the IOSA Programme.



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INTRODUCTION

Purpose

The IOSA Programme Manual (IPM) is published in order to make the complete body of standards that govern all aspects of the IOSA Programme available in a single source. Standards in the IPM provide the basis for programme standardisation, which ensures that each audit is conducted in a consistent manner.

Audits under IOSA will only be conducted by audit organisations (AOs) that have been accredited by IATA. To successfully complete the accreditation process, an AO shall be required to structure its organisation, management systems and operational processes, including administration of its audit and auditor programmes in conformity with standards in this manual.

Additionally, standards contained in the IPM shall be the basis for the system used by IATA in providing quality oversight and management of the IOSA Programme.

Structure

The sections in the IPM are organised as follows:

- Section 1 – AO Accreditation
- Section 2 – IOSA Registration
- Section 3 – Auditor Qualification
- Section 4 – Auditor Training
- Section 5 – Audit Programme
- Section 6 – IOSA Audit Report (IAR)
- Section 7 – Audit Sharing
- Section 8 – IATA Programme Management
- Section 9 – Dispute Resolution
- Section 10 – ETO Accreditation

Examples of IOSA Documents and Forms

Certain IOSA documents and forms are depicted in this manual for the 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 Programme activities.

Documentation System

The IPM is used in association with the following related manuals:

- IOSA Standards Manual (ISM);
- IOSA Audit Handbook (IAH).

The IPM, ISM, and IAH comprise the IOSA documentation system.

English Language

English is the official language of the IOSA Programme; documents comprising the IOSA Documentation System are written in English.



Manual Revisions

IATA will publish revisions to this IPM to ensure the content remains current and meets the needs of the IOSA Programme.

A revision to the IPM will always result in a new version of the manual. The version is specified by edition number and revision number (e.g. Edition 2, Revision 1), and is depicted on the cover page of the manual and at the bottom of each individual page.

A revision to the IPM becomes effective on the first day of the third month following the month the revision is published (e.g. a revision published in July 2007 is effective on 1 October 2007).

Exemption

The IATA Senior Vice President (SVP), Safety Operations and Infrastructure (SO&I), reserves the right to allow exemption(s) taking account of all circumstances, and is responsible for authorising such exemption(s).

Change Symbols

A published revision to this manual will contain Δ symbols in the left margins indicating the adjacent information on a page has been changed. When changes are too numerous to reasonably indicate with symbols, a new edition of the IPM will be published. A new edition will not contain change symbols, but will be accompanied by a Revision Highlights document that identifies and briefly explains each significant change.

Conflicting Information

Manuals within the IOSA documentation system are not revised concurrently, thus creating the possibility of conflicting information in different manuals.

In the case of conflicting information in different IOSA manuals, the information contained in the manual with the most recent revision date can be assumed to be valid.

IOSA Documents and Forms

This manual and other IOSA documents and forms that are referenced in this manual are available on the IOSA website at the following internet address: <http://www.iata.org/iosa>.

IOSA Authority

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

IOSA DEFINITIONS

The terminology used in the IPM is consistent with that in the other manuals that comprise the IOSA documentation system. The following list defines terms as they are used in the context of the IOSA Programme and in IOSA Programme documents. Words or terms in bold type have their own definition herein.

Active Implementation: A means of achieving conformity with a designated **IOSA provision** through acceptance of an **Implementation Action Plan (IAP)**.

AO Alert: A numbered document issued to communicate urgent **IOSA Programme** issues to **Audit Organisations** for immediate reference and action.

AO Bulletin: A numbered document issued to communicate **IOSA Programme** issues to **Audit Organisations** for reference purposes.

AO Meeting: A meeting organised by **IATA** and attended by **AOs** and other invited parties for the purpose of discussing and standardising the **IOSA Programme**.

Audit: The structured and objective assessment that determines the level of **conformity** with specific standards. (Note: the term “Audit” refers to an audit under **IOSA**, whereas the term “audit” is generic and refers to any audit.)

Audit Closure: An IOSA administrative action performed by the **AO** at the point in the **audit process** when all **Findings** have been closed by the **Operator** and verified by the **AO**.

Audit conclusions: The determination, as a result of an **Audit**, of **conformity** or **non-conformity** with **ISARPs** by the **Operator**.

Audit objective(s): Tangible achievement(s) expected to be accomplished from the conduct of an **Audit**, normally expressed as a statement of intent.

Audit Organisation (AO): An organisation that has been accredited by **IATA** as a provider of auditing services under **IOSA**.

Audit plan: A detailed programme of action for the implementation and completion of an **Audit**.

Audit process: The entire course of proceedings and activities associated with an **Audit**.

Audit programme: The documented management, organisation, strategy, policies, and procedures used by an **AO** for providing audit services under **IOSA**.

Audit results: The final determination of the outcome of an **Audit**, based on the closure of **Findings** by the Auditee in a manner acceptable to the **AO**.

Audit scope: The operational disciplines and/or operational areas that are assessed during the conduct of an **Audit**.

Audit sharing: The process under IOSA whereby an **Interested Party** utilises the **Audit** of an **Operator** conducted by a third party to satisfy its own need for an **Audit** of that same **Operator**.

Audit Team: The group of **IOSA Auditors** that coordinates and works together to conduct an **Audit**.

Auditee: The entity that is audited. (Note: under IOSA, the **Operator** is the **auditee**.)

Auditor: An individual who conducts an audit. (Note: the term “Auditor” refers to an **IOSA Auditor**, whereas the term “auditor” is generic and refers to any auditor.)

Auditor Notes: Guidance for **Auditors** contained in the **IOSA Checklist**.

Auditor Qualification Record (AQR): A administrative document prepared by an AO and reviewed by IATA for the purpose of providing approval for and tracking the qualifications of **IOSA Auditors**.

Best practice: A strategy, process, approach, method, tool or technique that is generally recognised as being effective in helping an operator to achieve operational objectives.

Closing Meeting: The formal meeting at the conclusion of the **on-site assessment** phase of an **Audit** that permits the **Audit Team** to discuss with the **Operator** information relative to **Findings** and **Observations**, the **Corrective Action Plan (CAP)** and other subjects relevant to the **Audit Process**.

Conditional provision: An **IOSA Standard** or **Recommended Practice** applicable only when an **Operator** meets a specific operational condition, which is stated in the provision as part of a phrase that begins with “If the Operator...”

Conformity: Fulfilment of specifications contained in standards or recommended practices; under **IOSA** conformity means specifications are **documented** and/or **implemented** by the **Operator**.

Consulting services: Assistance or counselling imparted to an operator through the provision of professional or expert advice.

Controlled document: A document that is subject to processes that provide for the positive control of content, revision, publication, distribution, availability and retention.

Corrective action: The action(s) taken by the **Operator** to address and eliminate recurrence of **non-conformity** to an **IOSA Standard**.

Corrective Action Plan (CAP): The plan of an **Operator** to close a **Finding** or **Observation** through implementation of comprehensive and permanent **corrective action**.

Corrective Action Report (CAR): A document that describes each **Finding** and **Observation** that results from an **Audit**, and provides a history of associated steps implemented by the **Operator** and **AO** toward closure of the Finding or Observation.

Documented: The state of an operational specification as being published and accurately represented in a **controlled document** by the Operator.

Electronic Audit System (EAS): The electronic web-based application used for the management of information and data associated with the **audit process**, and for generation of documents contained in the **IOSA Audit Report (IAR)**. (Note: also referred to as Q5 and/or AIMS.)

Endorsed Training Organisation (ETO): A company or other entity that has been accredited by **IATA** as a provider of training services under **IOSA**.

ETO Accreditation Agreement: The legal document executed by **IATA** and an **Endorsed Training Organisation (ETO)** that sets out the terms and conditions associated with the accreditation of that ETO by IATA

ETO Meeting: A meeting organised by **IATA** and attended by representatives from **ETOs** and other invited parties for the purpose of addressing issues associated with the **IOSA Auditor Training (IAT)** course.

Evaluator: An experienced **Lead Auditor** who has demonstrated requisite qualities, and has been designated by the **AO** to assess **Audit** activities and **Auditor** performance.

Evidence: Data or information discovered during an audit that is analysed by an auditor and used to determine conformity with the criteria upon which the audit is based.

Family member: A parent, sibling, child, spouse, grandparent, or grandchild.

Finding: A documented statement based on factual **evidence** that describes **nonconformity** with an **IOSA Standard**. (Note: the term “Finding” refers to nonconformity with an IOSA Standard, whereas the term “finding” is generic and refers to nonconformity with any standard or requirement.)

Group Company: Any Subsidiary or Holding Company of an **AO**, or any Subsidiary of any such Holding Company. For the purposes of **IOSA** documents, Holding Company shall include the controlling company of the group in which the AO is part, and subsidiary shall include any company in or over which the AO or such Holding Company has a direct or indirect controlling interest.

IAR quality control: Processes implemented by **IATA** and an **Audit Organisation (AO)** to ensure all documents comprising the **IOSA Audit Report (IAR)** are completed accurately and in accordance with guidance issued by IATA.

IAT Instructor: An instructor qualified and approved to conduct the **IOSA Auditor Training (IAT)** course.

IATA: An abbreviation and acronym for the International Air Transport Association.

Implementation Action Plan (IAP): The detailed plan of an Operator to achieve full technical conformity with a designated IOSA Standard, which describes a schedule with specific progress milestones and defines all activities, resources, equipment and material necessary to complete the plan.

Implemented: The state of an operational specification as being established, activated, integrated, incorporated, deployed, installed, maintained and/or made available as part of the operational system, and monitored and evaluated as necessary for continued effectiveness.

In-company training: The delivery of an **IOSA Auditor Training (IAT)** course at a time and location mutually agreed to by an **AO** and an **ETO** to meet the auditor training needs of the AO.

Interim corrective action: Action that provides satisfactory resolution of **non-conformity** on a temporary basis until permanent corrective action in accordance with the accepted **CAP** can be fully implemented by the **Operator**; acceptable only when the Operator is being audited for renewal of an *existing* IOSA Registration and the **AO** has requested and received approval from **IATA**.

Interested Party: An entity that has been provided official access to an **IOSA Audit Report (IAR)** through the **IOSA** system.

IOSA: An abbreviation and acronym for IATA Operational Safety Audit.

IOSA Accreditation: The formal and official recognition and approval by **IATA** of an organisation to perform a specified function or service in accordance with an applicable legal agreement and the **IOSA Programme Manual (IPM)**

IOSA Accreditation Agreement: The agreement between **IATA** and the **AO** that specifies the provisions and conditions applicable to the accreditation of the **AO**. (Note: also referred to as Accreditation Agreement.)

IOSA Accreditation Committee: The group of managers from appropriate areas within IATA that reviews the accreditation process and provides a formal approval (or disapproval) of a Candidate for accreditation as an **Audit Organisation (AO)** or **Endorsed Training Organisation (ETO)**.

IOSA Audit Agreement: The agreement among **IATA**, the **AO** and the **Operator** (referred to as the “Auditee”) that specifies the commercial arrangements and all other terms, conditions and restrictions associated with an **Audit**. (Note: also referred to as Audit Agreement.)

IOSA Audit Funnel: A report submitted by an **AO** to the **IATA** that provides detailed information relative to the scheduling and status of all audit activities. (Note: also referred to as Audit Funnel.)

IOSA Audit Handbook (IAH): The published document that contains information, guidance and instructions relevant to **AOs**, **Auditors** and the **audit process** under **IOSA**.



IOSA Audit Report (IAR): The document that is the official record of an **Audit**, which contains detailed information regarding the conduct and results of the **Audit**.

IOSA Auditor: An individual that has satisfied **IOSA** qualification and competence standards, and has been formally approved to conduct an **Audit** in at least one operational discipline; the term “IOSA Auditor” may refer to an **Auditor**, **Lead Auditor** or **Evaluator** under the **IOSA Programme**.

IOSA Auditor Personal Data File: An **IOSA** document that provides a record of personal data, background and qualifications of an **IOSA Auditor**.

IOSA Auditor Training (IAT): An element of the qualification process for the **IOSA Auditor** designed to familiarise an experienced aviation operational auditor with **IOSA** standards, methodology and documentation.

IOSA Awareness Workshop: An IATA workshop presented by an **AO** prior to an **Audit** for the purpose of familiarising the **Operator** with the concept and methodology of the **IOSA programme**, and for providing general guidance to assist the Operator in achieving readiness for an **Audit**.

IOSA Checklist: The working document used by an **IOSA Auditor** to document **Audit** conclusions and factual **evidence** that supports Findings and Observations.

IOSA Database: The official IATA system for the management of **ISARPs** and/or repository for **IOSA Audit Reports (IARs)**.

IOSA Feedback Survey: A programme that provides a means for an **Operator** to provide detailed and confidential feedback to **IATA** relating to the conduct of an **Audit**.

IOSA guidance material: Information that serves to clarify the meaning and intent of certain **ISARPs**; guidance material may also specify examples or acceptable means of achieving **conformity**. A “(GM)” following an **IOSA provision** in Part One of the **IOSA Standards Manual (ISM)** indicates the existence of guidance material associated with that provision; the guidance material is found in Part Two of the **ISM** under the heading “**Guidance**.”

IATA Operations Committee (OPC): The body within the **IATA** governance structure that acts as advisor to the Board of Governors and the Director General, reporting through the Strategy and Policy Committee, on all operations matters connected with international air transport. This includes safety, security, flight operations, engineering and maintenance, the environment and airport development.

IOSA Operator: An airline that engages in the operational disciplines under the scope of **IOSA** and has met the requirements for **IOSA Registration**.

IOSA Oversight Committee (IOC): The body within the **IATA** governance structure that ensures adequate oversight and influence upon the entire **IOSA Programme** by IATA members. IOC members are approved by the IATA Senior Vice President, Safety Operations and Infrastructure (SO&I) and the **IATA Operations Committee (OPC)**

IOSA Preparation Visit (IPV): An activity accomplished in advance of the on-site phase of an **Audit** that permits an **AO** to provide direct guidance to an **Operator** in the development of an effective plan of action for preparing for the **Audit**.

IOSA Programme: The total of all aspects of the system that is **IOSA**.

IOSA Programme Office (IPO): The organisation under IATA that implements the **IOSA Programme** quality management system.

IOSA Programme Manual (IPM): The published document that contains the standards upon which the **IOSA Programme** is based.

IOSA Provision: A generic term for any **IOSA Standard** or **IOSA Recommend Practice**.

IOSA Recommended Practice: A specified system, policy, programme, process, procedure, plan, measure(s), facility, component, type of equipment, or any other aspect of operations under the **Audit Scope** of **IOSA**, the fulfilment of which is considered optional, but desirable, by the **Operator**.

IOSA Registration: The formal method used by **IATA** to recognise an **Operator** that is in **conformity** with **IOSA Standards** and to list such Operator on the **IOSA Registry**.

IOSA Registry: The official listing of operators that have demonstrated conformity with **IOSA Standards** and are currently maintaining a status of **IOSA Operator**.

IOSA Standard: A specified system, policy, programme, process, procedure, plan, set of measures, facility, component, type of equipment, or any other aspect of operations under the **Audit Scope** of **IOSA**, that is considered an operational necessity, and with which an **Operator** will be expected to be in **conformity** at the conclusion of the **Audit**.

IOSA Standards Manual (ISM): The published document that contains the **ISARPs**, **IGM**, and other supporting information.

IOSA System: All of the elements of the **IOSA Programme** working together to produce desired results.

IOSA Training Agreement: The agreement between **IATA** and an **ETO** that specifies the provisions and conditions applicable to the accreditation of the **ETO**.

ISARPs: An abbreviation and acronym for **IOSA Standards and Recommended Practices**, which are contained in Part One of the **IOSA Standards Manual (ISM)**.

Lead Auditor: An experienced **Auditor** who has acquired the requisite knowledge and skill, demonstrated the competence, and has successfully qualified and been approved under the **IOSA Programme** to lead an **Audit Team**.

Library: An organised system for the retention of documents.

Management system: The collective body of managers and other associated managerial elements that provide for direction, oversight and control of an organisation.

Non-conformity: Non-fulfilment of specifications contained in **ISARPs** as determined by the **Auditor** in terms of having been **documented** and/or **implemented** by the **Operator**.

Observation: The documented statement by the **IOSA Auditor** based on factual **evidence** gathered during an **Audit** that indicates an Operator has not fulfilled an **IOSA Recommended Practice**.

On-site phase: The proceedings and activities of the **Audit process** that generally take place at the site of the **Operator**, beginning with the **Opening Meeting** or first assessment activity and ending with the **Closing Meeting**.

Opening Meeting: The meeting at the beginning of the **on-site assessment** phase of the **Audit** that permits the **Audit Team** to discuss with the **Operator** the **Audit Plan** and other arrangements, activities and information relevant to the conduct of the **Audit**.

Operational manager: An individual who has been assigned responsibility for supervision and control of a functional area within the organisation that has a direct impact on aircraft operations.

Operator: An organisation that holds an Air Operator Certificate (AOC) and engages in commercial passenger and/or cargo air transport operations. (Note: the term “Operator” as used in **ISARPs** refers specifically to the organisation being audited; the term “operator” is generic and refers to any operator.)

Parallel Audits of Affiliated Operators: **Audits** of two or more **Operators** that have a significant level of shared operations, whereby the Operators are audited simultaneously or one right after the other.

Parallel Conformity Option (PCO): An additional specification contained in certain **IOSA Standards** that permits an optional means for an **Operator** to achieve conformity.

Plan: The formulation of action or series of actions designed to achieve an defined end result.

Policy: The stated intentions and direction of an organisation.

Preliminary IOSA Audit Report: Any full or partial issuance of the **IAR** by an **AO** prior to **Audit Closure**.

Procedure: A specified way to carry out a process.

Process: A planned course of action that is implemented in a controlled manner to achieve a result.

Programme: An organised set of processes directed toward a common purpose, goal or objective.

Provision: See **IOSA Provision**.

Quality audit: A formal and structured process for assessing an organisation to determine the level of compliance or conformity with specific recognised standards or requirements.

RFP Summary Sheet: A required attachment to the **Audit Agreement** that defines the individual fixed and variable costs associated with conducting the **Audit**. (Note: RFP is an abbreviation for the phrase "Request for Proposal.")

Registration with Exclusions: The registration of an **IOSA Operator**, whereby such registration identifies and excludes certain clearly defined segments of operations that do not meet **IOSA Standards**.

Requirement: A specification that is considered an operational necessity.

System: A combination of interacting or interrelated elements within an organisation functioning in a coordinated manner to achieve desired outcomes.

Task: An activity accomplished in following a procedure.

Temporary Provision: A new or revised **IOSA Standard or Recommended Practice** that becomes part of the **ISM** on a temporary basis until included in a formal revision.

Warning Letter: An official letter issued by **IATA** to an **Audit Organisation (AO)** indicating a need to immediately rectify defined programme deficiencies or face accreditation revocation.

SECTION 1 – AO ACCREDITATION

Purpose

Accreditation of an Audit Organisation (AO) is the process used by IATA to regulate and control the conduct of Audits and to ensure the necessary level of IOSA Programme quality and standardisation. This section of the IPM sets out standards that specify the conditions of the accreditation process and the requirements for an AO to achieve and maintain accreditation.

1.1 Accreditation General

1.1.1 A candidate for accreditation as an AO shall be in conformity with applicable provisions in this IPM in order to become accredited as an AO. A description of the accreditation process flow is depicted in Figure 1.1.

1.1.2 Formal and final approval of the accreditation of an AO shall be made by IATA.

1.1.3 The culmination of the accreditation process shall result in the following:

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

1.1.4 Once accredited, an AO shall fulfil those representations and warranties as set out in the Accreditation Agreement.

1.1.5 An AO shall be subject to ongoing quality assurance review and monitoring activities by IATA during a term of accreditation, to include, but not be limited to:

- i) audits of headquarters operations;
- ii) observations of the on-site Audit process;
- iii) quality reviews of the IOSA Audit Report (IAR);
- iv) application of monitoring programmes.

1.1.6 A review of accreditation status may be initiated by IATA, with the potential for accreditation termination in accordance with IPM 1.14.1, should an AO, without limitation:

- i) experience financial difficulties, significant management turnover, or transfer of company ownership;
- ii) be the subject of sustained industry reports of unprofessional practices or performance deficiencies;
- iii) fail to comply with any applicable laws in any jurisdictions in which the AO conducts business;
- iv) breach the Accreditation Agreement;
- v) fail to pay accreditation or other related fees;
- vi) fail to meet an acceptable level of Audit production;
- vii) fail to meet an acceptable level of Audit quality, to include IAR production;
- viii) fail to demonstrate continued conformity with applicable provisions in this IPM;
- ix) experience other circumstances or conditions, or engage in practices deemed by IATA to be potentially detrimental to the integrity or quality of the IOSA Programme.

1.1.7 Notwithstanding IPM 1.1.8, the Accreditation Agreement made between IATA and an AO may be terminated and the accreditation status of the relevant AO thereby lost in certain circumstances:

- i) as set out in the Accreditation Agreement, or
- ii) on the basis of a decision made by the IATA Senior Vice President, SO&I.

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

1.2 Accreditation Requirements

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

1.2.2 A candidate for accreditation as an AO shall provide to IATA without limitation:

- i) a certificate of incorporation or similar documentation that evidences its status as a legal entity in good standing;
- ii) other relevant incorporation documents in addition to those specified in i), if any;
- iii) documents evidencing company shareholders, ownership and governance structure(s);
- iv) annual reports, if any, for the preceding three (3) years;
- v) audited financial statements and accounts for the preceding three (3) years, if applicable;
- vi) corporate organisation chart, including a list of employees and reporting structure;
- vii) documents related to any actual or potential legal proceedings;
- viii) statement of corporate values and mission statement, if any;
- ix) other information and documentation as set out in the Accreditation Agreement and this IPM.

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

- i) a copy of certificates of its insurance evidencing all current policies of insurance and its ability to meet the insurance and indemnity requirements as set out in the Accreditation Agreement;
- ii) evidence that management personnel and staff have the professional experience and knowledge appropriate for the management of an audit programme under IOSA;
- iii) a list of business references, including audit clients and/or customers.

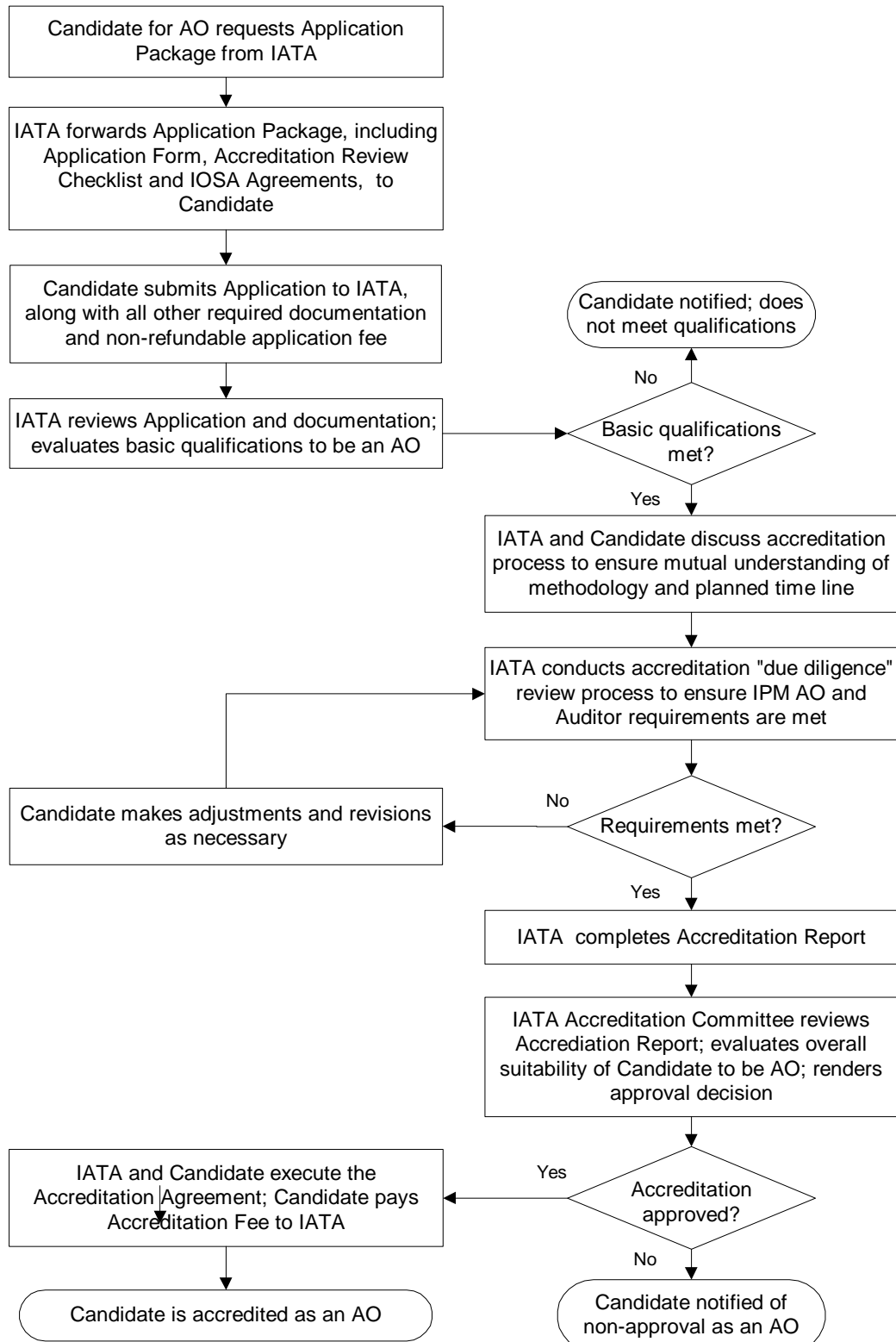
1.2.4 A candidate for accreditation as an AO shall make available for review and evaluation by IATA its facilities, personnel, equipment and any other resources that would be associated with the administration or implementation of IOSA.

1.2.5 A candidate for accreditation as an AO shall provide for review and approval by IATA all administrative and operational documentation pertaining to IOSA, to include manuals, handbooks, checklists, curricula, syllabi and/or any other documents that contain or make reference to relevant programmes, systems, policies, processes and procedures.

1.2.6 A candidate for accreditation as an AO shall provide for review by IATA a completed IOSA Auditor Personal Data File and curriculum vitae (CV) for each individual included in the proposed initial cadre of IOSA Auditors.

1.2.7 A candidate for accreditation as an AO shall, if requested by IATA for the purpose of a personal interview in accordance with IPM 8.5.1, make available each selected individual in the proposed initial cadre of IOSA auditors at a mutually agreeable time and location.

Figure 1.1 – AO Accreditation Process Flow



1.3 Observation and Monitoring

1.3.1 As part of the IOSA quality assurance programme, an AO, with appropriate coordination, shall agree to periodic on-site observation by IATA of audits being conducted.

1.3.2 As part of the IOSA quality assurance programme, an AO shall agree to periodic review by IATA of all documentation and records associated with the conduct of operational audits under IOSA.

1.3.3 As part of the IOSA quality assurance programme, an AO shall agree, with prior notice, to periodic access by IATA to personnel, facilities, equipment and other areas associated with the organisational administration and conduct of operational audits under IOSA.

1.3.4 As part of the IOSA quality assurance programme, an AO shall agree to periodic oversight by IATA of its IOSA Auditor training programme, to include review of training records and observation of training classes.

1.4 Conflict of Interest

1.4.1 An AO shall not be allowed to conduct an audit under IOSA on an Operator for whom the AO or an entity affiliated with or commissioned by the AO has provided consulting services related to operations within the operational scope of IOSA within the previous two years.

1.4.2 An AO shall not be allowed to conduct an Audit under IOSA of the operations of its own organisation, or those operations of any Group Company.

1.4.3 An AO shall not be allowed to conduct an Audit under IOSA on an Operator if, in the opinion of IATA, that AO has an interest in the outcome of that Audit, the existence of such an interest to be determined by IATA at its complete and unfettered discretion. *For this purpose, an AO shall disclose to IATA such documents or information as IATA deems necessary in order to make a determination.*

1.4.4 An Auditor on the List of Approved IOSA Auditors (the "List") of an AO, or an auditor under evaluation for approval as an IOSA Auditor, shall not be allowed to conduct an Audit under IOSA of an Operator for which such Auditor is:

- i) an employee;
- ii) a provider of services;
- iii) on the List of an AO affiliated with that Operator.

1.4.5 An Auditor on the List of an AO, or an auditor under evaluation for approval as an IOSA Auditor, shall not be allowed to participate in the Audit of an Operator for whom he or she has provided consulting services related to operations within the operational scope of IOSA within the past two years.

1.4.6 An Auditor on the List of an AO, or an auditor under evaluation for approval as an IOSA Auditor, shall not be allowed to participate in an Audit if either or both of the following circumstances exist:

- i) the Auditor has direct or indirect financial interest in the audited Operator;
- ii) the Auditor has family members affiliated with the audited Operator, with such family members defined as parent, sibling, child, spouse, grandparent, or grandchild.

1.4.7 An AO shall, as soon as reasonably practicable, assess whether there is or might appear to be a conflict of interest for any reason arising from a proposed Audit under IOSA and, if applicable, then disclose, in writing, such actual or potential conflict to IATA for determination and confirmation.

An AO shall not be allowed to conduct the proposed Audit unless and until a confirmation has been issued by IATA.

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

1.4.9 Without prejudice to any right or remedy that may arise or accrue from the Accreditation Agreement or the Audit Agreement, an Audit that has been conducted prior to a determination by IATA pursuant to IPM 1.4.7 and IPM 1.4.8 shall be null and void and IATA reserves the right to refuse to register an Operator on the IOSA Registry.

1.4.10 Failure to comply with the provisions of this IPM 1.4 shall be regarded as a material breach of the Accreditation Agreement.

1.5 General Requirements

1.5.1 An AO shall have a process to ensure, as a minimum, one principal manager, as designated by the AO, attends AO Meetings, which will be arranged by IATA twice each calendar year. As a minimum, an AO shall have a principal representative in attendance for one AO meeting in a calendar year.

1.5.2 An AO shall have a process to ensure, as a minimum, one principal manager participates in AO conference calls, which will be arranged periodically by IATA.

1.5.3 An AO shall have a process, in the event of a major accident involving an IOSA Operator, to refer media inquiries and/or requests pertaining to that accident to IATA.

1.5.4 An AO shall have a process that ensures compliance with and/or implementation of appropriate action in response to AO Alerts and AO Bulletins issued by IATA.

1.6 Organisation and Management

1.6.1 An AO shall have an organisation and management system that supports all operations associated with the IOSA Programme. Such system shall include:

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

1.6.2 An AO shall maintain a current listing of key individuals within its organisation associated with the Audit programme, to include associated contact information. A current listing shall be provided to IATA within seven (7) calendar days following any revision to information contained therein.

1.7 Quality Assurance

1.7.1 An AO shall have a quality assurance programme that includes internal auditing to ensure such AO is in compliance with all standards applicable to the administration, documentation and operations of its IOSA Programme.

1.7.2 An AO shall appoint an official within its organisation who has responsibility for the quality assurance programme and continuous improvement of the Audit programme.

1.7.3 The AO shall have a system of control and surveillance of the Audit Programme, including auditor performance. Such system shall include defined processes and procedures, applicable to both programme activities and auditors, that provide for:

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

1.7.4 The AO shall have a programme that strives to achieve continuous improvement of the Audit Programme through implementation of action determined from analysis and evaluation of information from a combination of the following sources, as applicable:

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

1.8 Facilities and Resources

1.8.1 The AO shall have the availability of human resources as follows:

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

1.8.2 The AO shall have facilities that meet the following minimum requirements:

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

1.8.3 The AO shall have business equipment that meets the following minimum requirements:

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

1.9 Documentation System

1.9.1 A stated requirement in provisions in this IPM for an AO to have a system, policy, programme, process, procedure, method or means shall mean that the stated requirement is documented by the AO and such documentation shall include a description of the requirement and a clear assignment of responsibility for implementation.

1.9.2 An AO shall have an operations manual or equivalent document that defines specific responsibilities within the organisation and provides published policies, processes, procedures and

other guidance applicable to the management, administration, implementation and oversight of IOSA operations.

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

1.9.4 An AO shall have procedures that ensure, when a new version of the IPM has been published by IATA, the operations manual or equivalent document as specified in IPM 1.9.2 is revised accordingly, and such revision is completed by the end of the fourth month following the month the IPM revision was published.

1.9.5 An AO shall have a process that ensures, whenever the operations manual or equivalent document is revised in accordance with IPM 1.9.3, a list of cross references is produced that compares the content of the operations manual or equivalent document with requirements contained in the current version of the IPM.

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

- i) current versions of relevant IOSA documents;
- ii) applicable areas of the Electronic Audit System (EAS).

1.9.7 An AO shall have a process that ensures Auditors are supplied with and have at their disposal current documents for use during Audits, to include relevant ISARPs, Guidance Material and IOSA Checklists.

1.10 Records System

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

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

1.11 Auditor Administration

1.11.1 An AO shall have processes to ensure IOSA Auditors:

- i) are selected and meet qualification requirements in accordance with applicable provisions in IPM Section 3;
- ii) meet training requirements in accordance with applicable provisions in IPM Section 4.

1.11.2 An AO shall have processes for maintaining an up-to-date list of approved IOSA Auditors and for forwarding an Auditor Qualification Record (AQR) to IATA in a timely manner whenever the qualification status of an IOSA Auditor has changed.

1.11.3 An AO shall have a process for maintaining a qualifications file for each IOSA Auditor, which will include:

- i) a completed IOSA Auditor Personal Data File;
- ii) an up-to-date curriculum vitae;
- iii) licenses, certificates, diplomas, as applicable;
- iv) additional documented evidence that supports fulfilment of qualification prerequisites in accordance with IPM Section 3;
- v) copies of all AQRs.

1.11.4 If an AO utilises approved IOSA Auditors that are also utilised by another AO, the AO shall have a process to ensure, prior to being permitted to conduct an Audit:

- i) the approval and qualification status of such Auditors is validated in accordance with applicable provisions in IPM Section 3;
- ii) such Auditors undergo familiarisation training in accordance with IPM 1.11.5.

1.11.5 An AO shall have a familiarisation process, applicable to any IOSA Auditor that is new to the organisation, which is completed by a new Auditor before conducting an Audit for the AO. The process shall be designed to ensure the new Auditor fully understands the AO's administrative and operational policies and procedures.

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

1.11.7 If an AO, in the conduct of an Audit, utilises an Auditor who has not completed the appropriate qualification process or has not been approved by IATA in accordance with applicable provisions in IPM Section 3, such AO shall be required to re-accomplish, at its own cost, any part of the Audit conducted by the unqualified or unapproved Auditor.

1.12 Notifications and Submissions

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

1.12.2 An AO shall have a process to submit an executed Audit Agreement (between the AO and Operator) to IATA a minimum of twenty (20) calendar days prior to the scheduled commencement date of the on-site phase of an Audit (Opening Meeting). Such executed Audit Agreement shall be submitted in triplicate and set out the commercial arrangements and all other terms, conditions and restrictions associated with the relevant Audit.

1.12.3 An AO shall have a process to submit an RFP Summary Sheet to IATA with the Audit Agreement in accordance with IPM 1.12.2. Such summary sheet shall specify costs associated with the Audit, to include, as a minimum:

- i) fixed costs (administration, auditor days)
- ii) variable costs (travel, accommodations, per diem, translator/interpreter, on-site supplies and services, other miscellaneous costs);
- iii) total cost;
- iv) re-visit costs (if necessary).

1.12.4 Upon renewal of any required insurance policy as set out in the IOSA Accreditation Agreement*, an AO shall have a process to submit a copy of each certificate evidencing insurance renewal to IATA within seven (7) calendar days following receipt of the certificate by the AO. (* See IOSA Definitions)

1.12.5 An AO shall have a process to submit a revised IOSA Audit Funnel* to IATA prior to the end of each calendar month. (* See IOSA Definitions)

1.12.6 An AO shall have a process to submit a formal letter to IATA for requesting a registration with exclusions in accordance with IPM 2.1.4, 2.1.5 and 2.1.6. Such request shall be submitted as soon as it becomes known to the AO that, for a specific Operator, a registration with exclusions will be required.

1.12.7 An AO shall have a process to submit a formal letter to IATA for requesting the acceptance of interim corrective in accordance with IPM 5.9.3. Such request shall be submitted as soon as it

becomes known to the AO that interim corrective action will be necessary in order to accept the Corrective Action Plan (CAP) of an Operator being audited for the renewal of IOSA registration.

1.12.8 An AO shall have a process to ensure the curriculum vitae (CV) for an Auditor, incorporated into a standardised template as specified in the IOSA Audit Handbook (IAH), is submitted to IATA concurrent with the Auditor being added to the List of Approved Auditors for that AO. Auditor CVs shall be retained in confidence by IATA for the purpose of providing verification to the FAA that IOSA Auditors meet the qualification requirements specified in the U.S. Department of Transportation and FAA Code-share Safety Guidelines.

1.12.9 An AO that plans to conduct Audits of U.S. Operators shall have a process to ensure a maximum of three FLT Auditors (Auditors qualified to audit in the Flight Operations discipline) are nominated to conduct line flight observations from the aircraft flight deck in accordance with IPM 5.7.5 during the Audit of a U.S. Operator. Such process shall include submission of the name(s) of the nominated FLT Auditor(s) to IATA, along with associated information as specified in the IAH. Nominated FLT Auditors receive continuous security vetting by the U.S. Transport Security Administration (TSA) as part of the FAA process for granting the authorisation for FLT Auditors to have access to the aircraft flight deck.

1.13 Accreditation Renewal

1.13.1 Renewal of the accreditation of an AO shall be based on a determination by IATA that the AO has:

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

1.13.2 Subsequent terms of renewed accreditation shall be for one year and become effective upon execution of a new Accreditation Agreement by the AO and IATA.

1.14 Accreditation Termination

1.14.1 The accreditation of an AO shall be terminated by IATA prior to the expiry date of the Accreditation Agreement for verified programme deficiencies that include, but are not limited to:

- i) a breach of terms of the Accreditation Agreement;
- ii) a failure to conform to provisions of this IPM;
- iii) an unacceptable level of Audit production and/or quality;
- iv) non-payment of accreditation or other related fees;
- v) non-procurement of required insurance policies;
- vi) any factors deemed to be detrimental to the integrity or quality of the IOSA Programme.

1.14.2 The process for termination of the accreditation of an AO by IATA shall include one or more steps based on the programme deficiencies that exist, to include:

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

1.14.3 IATA reserves the right to bypass the process specified in IPM 1.14.2 and immediately terminate the accreditation of an AO when there are factors deemed to be detrimental to the integrity or quality of the IOSA Programme.

SECTION 2 – IOSA REGISTRATION

Purpose

The IOSA registration process is the formal method used by IATA to determine the operational fitness of an organisation to be registered as an IOSA Operator on the IOSA Registry. This section of the IPM sets out standards for the IOSA Registration process.

2.1 The IOSA Registry

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

2.1.2 To qualify for potential registration as an IOSA Operator, an organisation shall conduct airline operations under the scope of IOSA. Membership in IATA is not a prerequisite for IOSA Registration.

2.1.3 To be registered as an IOSA Operator, an organisation shall have been audited by an accredited AO and shall have demonstrated operational fitness through conformity with IOSA standards.

Registration with Exclusions

2.1.4 Under certain circumstances the registration of an IOSA Operator may have operational exclusions, whereby such registration identifies and excludes defined segment(s) of operations that was (were) audited and found to be not in conformity with IOSA Standards.

2.1.5 Segments of operations eligible for exclusion from the registration of an IOSA Operator in accordance with IPM 2.1.4 shall be readily distinguishable from those operations that have been audited and found to be in conformity with IOSA Standards. Operational exclusions shall be limited to:

- i) specific types of aircraft by entire fleet;
- ii) specific route segments;
- iii) other areas of operations that can be clearly and unmistakably defined and identified.

2.1.6 A registration with exclusions as specified in IPM 2.1.4 and 2.1.5 shall be:

- i) requested by the AO in accordance with IPM 1.12.6;
- ii) approved at the sole discretion of IATA in accordance with IPM 8.8.4;
- iii) specified on the IOSA Registry and updated to reflect subsequent operational changes relevant to IOSA registration.

2.1.7 A registration with exclusions as specified in IPM 2.1.4 and 2.1.5 shall have such exclusion(s) removed when the AO:

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

2.2 Audit Expiration

2.2.1 An Audit, whether for initial registration or renewal of an existing registration, shall have a limited period of validity and shall expire as an instrument for IOSA Registration at 23:59 local time at the location where the on-site portion of the Audit was conducted on the date exactly twelve (12) consecutive months following the date of the on-site Closing Meeting, notwithstanding any delayed adjournment of such meeting in accordance with IPM 5.7.15. Should corrective action in accordance with the accepted Corrective Action Plan (CAP) not be implemented by the Operator and verified by the AO prior to the above expiry date, the Audit becomes invalid as a means for the Operator to be added or reinstated to the IOSA Registry.

2.3 Registration Period

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

2.4 Initial Registration

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

- i) such implementation has been verified by the AO in accordance with provisions contained in IPM 5.10;
- ii) the AO has declared Audit Closure;
- iii) the final IAR has undergone quality control in accordance with applicable provisions contained in IPM 6.2, and, if applicable, been amended accordingly (see Figure 2.3).

2.4.2 For initial registration of an IOSA Operator, the period of registration shall begin on the date that the AO declares Audit Closure 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 2.1).

2.5 Registration Renewal

2.5.1 An Operator that is currently registered as an IOSA Operator shall remain on the Registry and have such registration renewed when all Findings, if any, have been closed in accordance with applicable provisions contained in IPM 5.11 (see Figure 2.2).

2.5.2 Except as provided in IPM 2.5.5, the period of renewed registration for a current IOSA Operator shall become effective on the date that the current IOSA registration expires and such renewed registration shall expire exactly twenty four (24) consecutive months following the current expiry date. The exact time of such expiry shall be 23:59 local time on the expiry date at the location of the Operator as specified on the AOC.

2.5.3 For renewal of a current IOSA registration in accordance with IPM 2.5.1 and 2.5.2:

- i) the on-site portion of the Audit process shall commence not more than 150 calendar days prior to the expiry date of the Operator's current registration;
- ii) Audit Closure shall be achieved within a timeframe that permits the IAR to be submitted to IATA by the AO no less than 30 calendar days prior to the expiry date of the current registration;
- iii) the Operator shall be removed from the IOSA Registry if Audit Closure has not been achieved on the expiry date of the current registration, unless extenuating circumstances have been claimed and verified by IATA in accordance with IPM 2.5.6 (see Figure 2.4B).

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

- i) Audit Closure shall be achieved within no more than 120 calendar days following to the date of the on-site Closing Meeting, or within a timeframe that permits the IAR to be submitted to IATA by the AO no less than 30 calendar days prior to the expiry date of the current registration, whichever is the shorter period of time;
- ii) the Operator shall be removed from the IOSA Registry if Audit Closure has not been achieved within no more than 120 calendar days following the date of the on-site Closing Meeting, unless extenuating circumstances have been claimed and verified by IATA in accordance with IPM 2.5.6.

2.5.5 In the case of a registration renewal Audit conducted *more than* 150 calendar days prior to the expiry date of the Operator's current registration, the period of renewed registration shall become effective on 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.

2.5.6 A claim of extenuating circumstances shall be submitted to IATA by the Operator or the AO when it becomes known during the registration renewal process that Audit Closure will not be achieved as specified in IPM 2.5.3 or 2.5.4, as applicable. The validity of a claim of extenuating circumstances shall be determined by IATA based on the history of the particular audit process, uncompleted audit activities, the status of open Findings and the prospects for Audit closure. (See Figure 2.5)

2.5.7 Mandatory operational assessments of line flights and simulator sessions in accordance with IPM 5.7.5 that have been scheduled in conjunction with the on-site portion of an Audit, but subsequently do not occur, shall be eligible for consideration under a claim of extenuating circumstances in accordance with applicable provisions contained in this IPM 2.5.

2.5.8 In the event of a claim of extenuating circumstances during the registration renewal process, the Operator shall remain on the IOSA Registry until such claim can be evaluated by IATA. Should a claim of extenuating circumstances be validated by IATA, a deadline date shall be communicated by IATA to the Operator and the AO that specifies when all Findings shall be closed. Such revised deadline date shall not exceed one hundred and twenty (120) calendar days from the registration expiry date and shall be indicated on the IOSA Registry.

2.5.9 In the event of a revised deadline date based on extenuating circumstances as set out in IPM 2.5.8, the Operator shall be removed from the IOSA Registry if Audit Closure has not been achieved prior to the revised deadline date.

2.5.10 A decision by IATA that a claim of extenuating circumstances is not valid shall result in the Operator being removed from the IOSA Registry, subject to the possible implementation of the IOSA Dispute Resolution process in accordance with IPM 2.8.2.

2.5.11 An IOSA Operator that has been removed from the Registry in accordance with applicable provisions contained in this IPM 2.5 shall be subject to the possibility of reinstatement in accordance with provisions contained in IPM 2.9.

2.5.12 A request for approval of interim corrective action shall be submitted to IATA by the AO in accordance with IPM 1.12.7 when it becomes known during an Audit that interim corrective action will be necessary to permit acceptance of the Corrective Action Plan (CAP) of an Operator being audited for the renewal of IOSA registration. The validity of a request for interim corrective action shall be determined by IATA based on the specification(s) contained in the relevant IOSA Standard and the prospects that implementation of permanent corrective action by the Operator to replace the interim corrective action will occur within the time period specified in IPM 2.5.13.

2.5.13 In the event a request for interim corrective action is approved by IATA in accordance with IPM 2.5.12, the Operator shall remain on the IOSA Registry and implement permanent corrective action to replace the interim corrective action, and the AO shall verify such implementation, within a maximum of 120 calendar days following the expiry date of the current registration.

2.5.14 In the event permanent corrective action to replace interim corrective action has not been implemented by the Operator and verified by the AO within the time period specified in IPM 2.5.13, the Operator shall be removed from the IOSA Registry.

2.6 Registration Harmonisation

2.6.1 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 realise long term audit efficiencies through a harmonisation of registration periods. Such harmonisation shall be established and maintained through Audits conducted concurrently on each of the affected Operators.

2.6.2 Concurrent Audits of currently registered IOSA Operators for the purpose of establishing harmonised registration periods in accordance with IPM 2.6.1 shall:

- i) be scheduled to ensure the registration period of each of the affected Operators never exceeds 24 months as specified in IPM 2.3.1;
- ii) be conducted during the 150-day period as specified in IPM 2.5.3 as applicable, prior to the *first* registration expiry date of any of the affected Operators.

Note 1: The establishment of harmonised 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.

2.6.3 When concurrent Audits of currently registered IOSA Operators are conducted for the purpose of registration harmonisation in accordance with IPM 2.6.1:

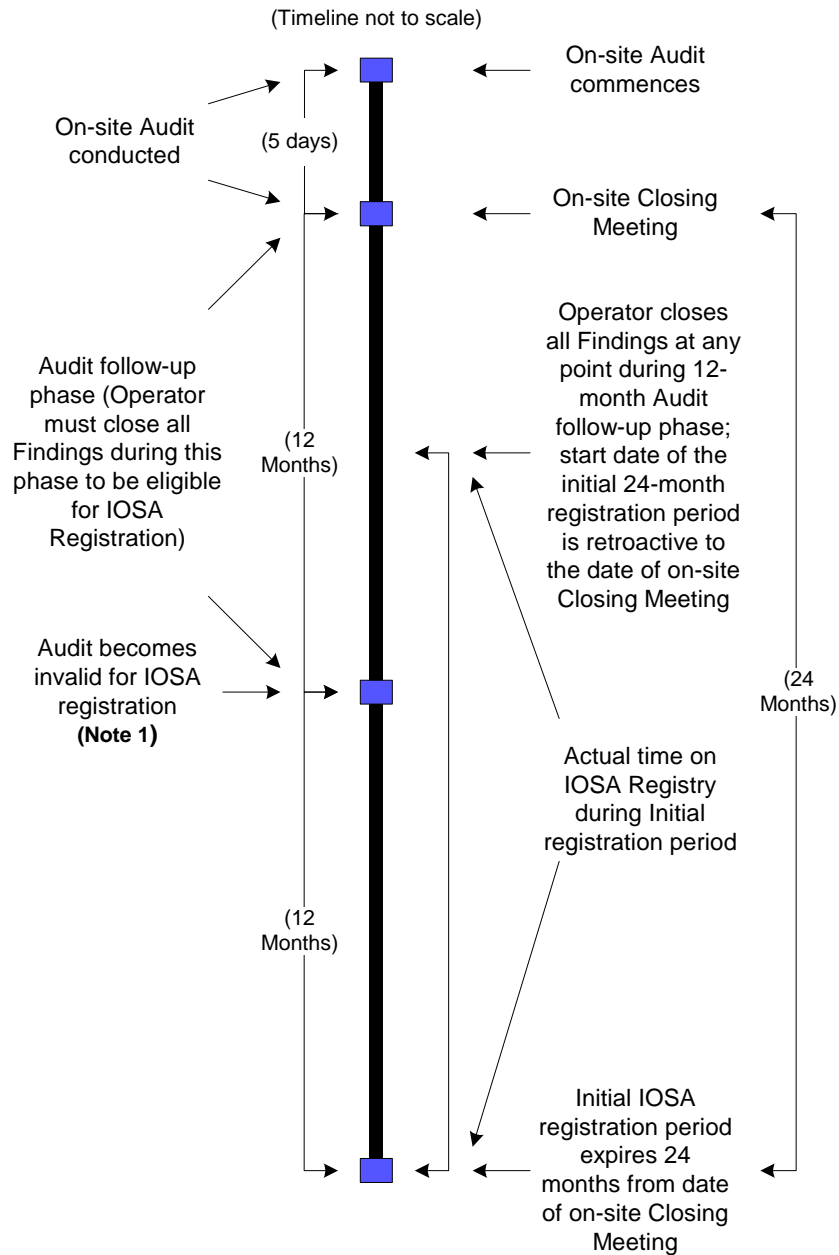
- i) Audit Closure for each Audit shall be achieved no more than 120 calendar days following to the date of the on-site Closing Meeting, or within a timeframe that permits the IAR to be submitted to IATA by the AO no less than 30 calendar days prior to the *first* registration expiry date of any of the affected Operators, whichever is the shorter time period;
- ii) the registration period of each of the affected Operators (i.e. harmonised registration periods) shall all be effective on the *first* registration expiry date of any of the affected Operators.

Note 1: Findings not closed by the first registration expiry date of any of the affected Operators will result in removal from the IOSA Registry unless a claim of extenuating circumstances is verified by IATA in accordance with IPM 2.5.6.

2.6.4 When concurrent Audits of Operators are conducted for the purpose of registration harmonisation in accordance with IPM 2.6.1, and one or more of the Operators is *not* a currently registered IOSA Operator:

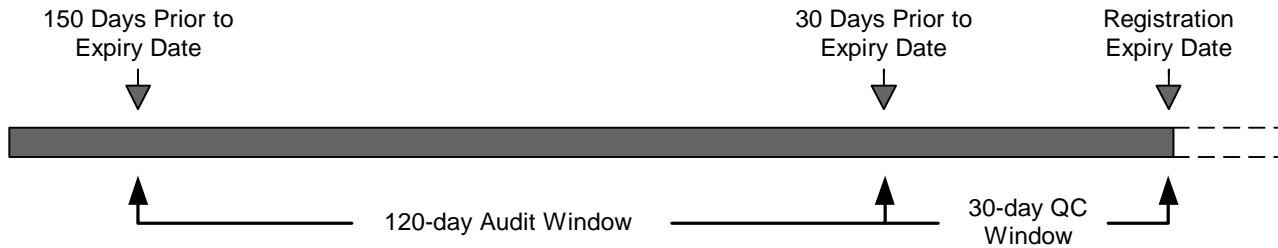
- i) for an Operator that is not currently registered as an IOSA Operator, the closure of Findings and the establishment of IOSA registration shall be in accordance with provisions contained in IPM 2.4;
- ii) for a currently registered IOSA Operator, the closure of Findings and the renewal of IOSA registration shall be in accordance with applicable provisions contained in IPM 2.5.

Figure 2.1 – Initial IOSA Registration



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

Figure 2.2 – IOSA Registration Renewal



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

2.7 Reporting Responsibility

2.7.1 A registered IOSA Operator shall report to IATA any circumstances or conditions that significantly affect, or have the potential to significantly affect, the 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. Reportable circumstances or conditions, applicable to the IOSA Operator, shall include, but not be limited to, the following:

- i) cessation of operations or revocation of the Air Operator Certificate (AOC);
- ii) restrictions placed on the AOC;
- iii) sanctions imposed by a regulatory authority;
- iii) an event involving the operation of an aircraft that meets the criteria of an Accident as defined in ICAO Annex 13, Chapter 1;
- iv) any takeover, merger, consolidation or other structural change to the organisation that results in a change to the conditions and approvals as defined in the AOC.

2.7.2 A registered IOSA Operator with exclusions as specified in IPM 2.1.4 and 2.1.5 shall report to IATA within twenty (20) calendar days of completion any operational changes directly relevant to such exclusions, to include, but not limited to, changes in the status of:

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

2.7.3 The SVP SO&I shall consider the nature of circumstances and/or conditions applicable to an IOSA Operator as specified in IPM 2.7.1, whether reported to IATA by the Operator or made known from sources other than the Operator, and to make a determination as to continuation or removal from the IOSA Registry. Such consideration shall include consultation with the Operator.

2.8 Registration Removal

2.8.1 An IOSA Operator shall be removed from the IOSA Registry:

- i) in accordance with applicable provisions contained in IPM 2.5;
- ii) in accordance with IPM 2.5.14;

- iii) when a determination of removal has been made by IATA in accordance with IPM 2.7.3.

2.8.2 Should there be a defined disagreement associated with removal from the IOSA Registry between a registered IOSA Operator and either IATA and/or an AO, IATA shall not take any action to remove an Operator from the IOSA Registry until the appropriate IOSA Dispute Resolution process as described in IPM Section 9 has been completed.

2.8.3 IATA shall have a process to make an appropriate annotation on the IOSA Registry and/or to notify Interested Parties when a registered IOSA Operator is:

- i) under review due to significant deficiencies discovered under quality assurance monitoring in accordance with IPM 8.2.11.
- ii) involved in dispute resolution that will affect IOSA registration;
- iii) is removed from the IOSA Registry **in accordance with IPM 2.8.1.**

2.9 Registration Reinstatement

2.9.1 An IOSA Operator that has been removed from the Registry in accordance with applicable provisions contained in IPM 2.5 shall be reinstated to the Registry if all Findings are subsequently closed and the AO declares Audit Closure within the twelve (12) consecutive months following the on-site Closing Meeting. The registration for an Operator that has been reinstated shall begin on the date that the AO declares Audit Closure and shall expire exactly twenty four (24) consecutive months following the expiry date of the previous IOSA registration.

2.9.2 An IOSA Operator that has been removed from the Registry in accordance with IPM 2.7.3 shall undergo an Audit to demonstrate operational fitness in accordance with IPM 2.1.3 in order to regain registration as an IOSA Operator.

2.10 IOSA Brand Promotion

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

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

Figure 2.3 – IOSA Registration Process Flow (Initial Registration)

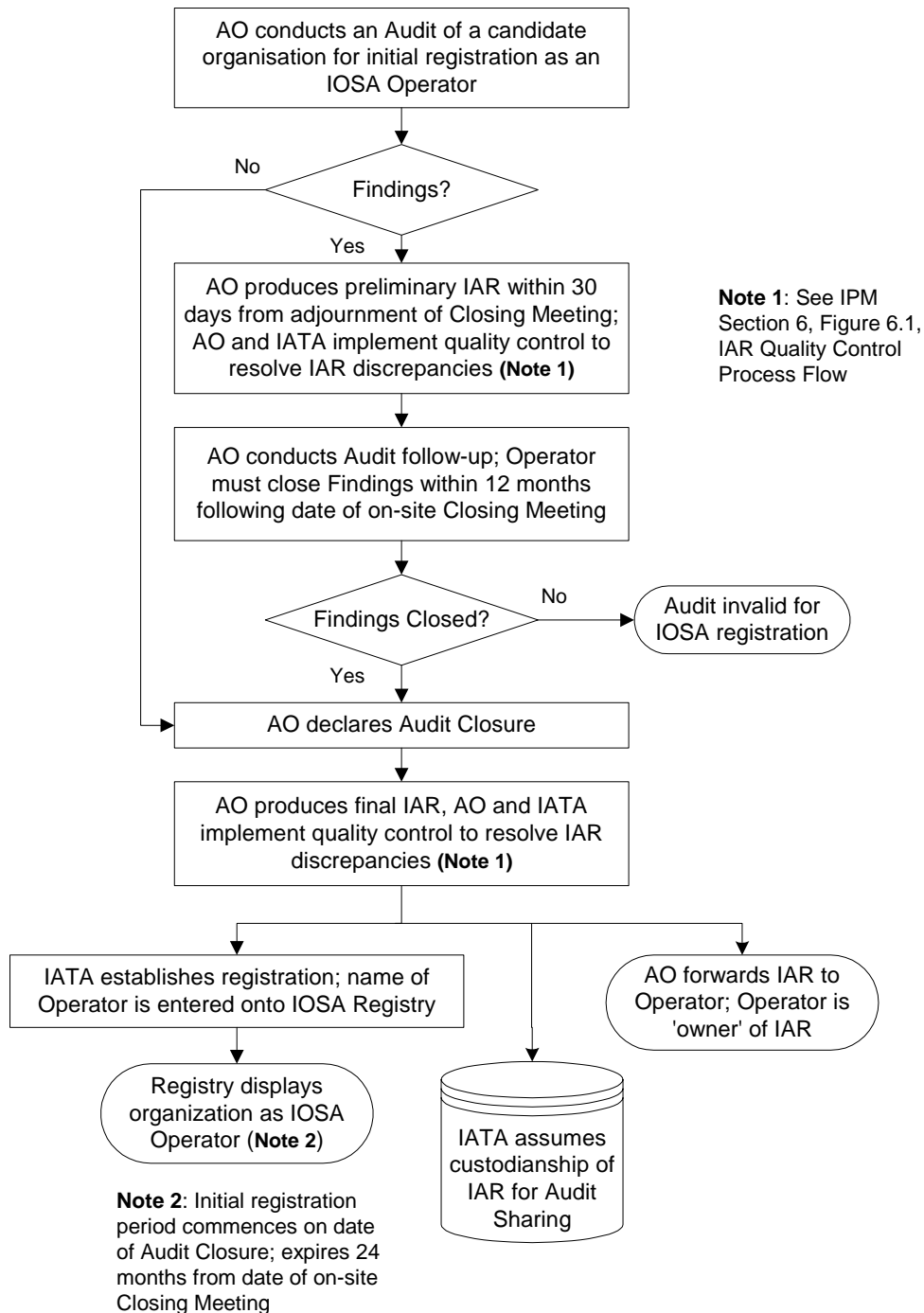


Figure 2.4 – IOSA Registration Process Flow (Registration Renewal)

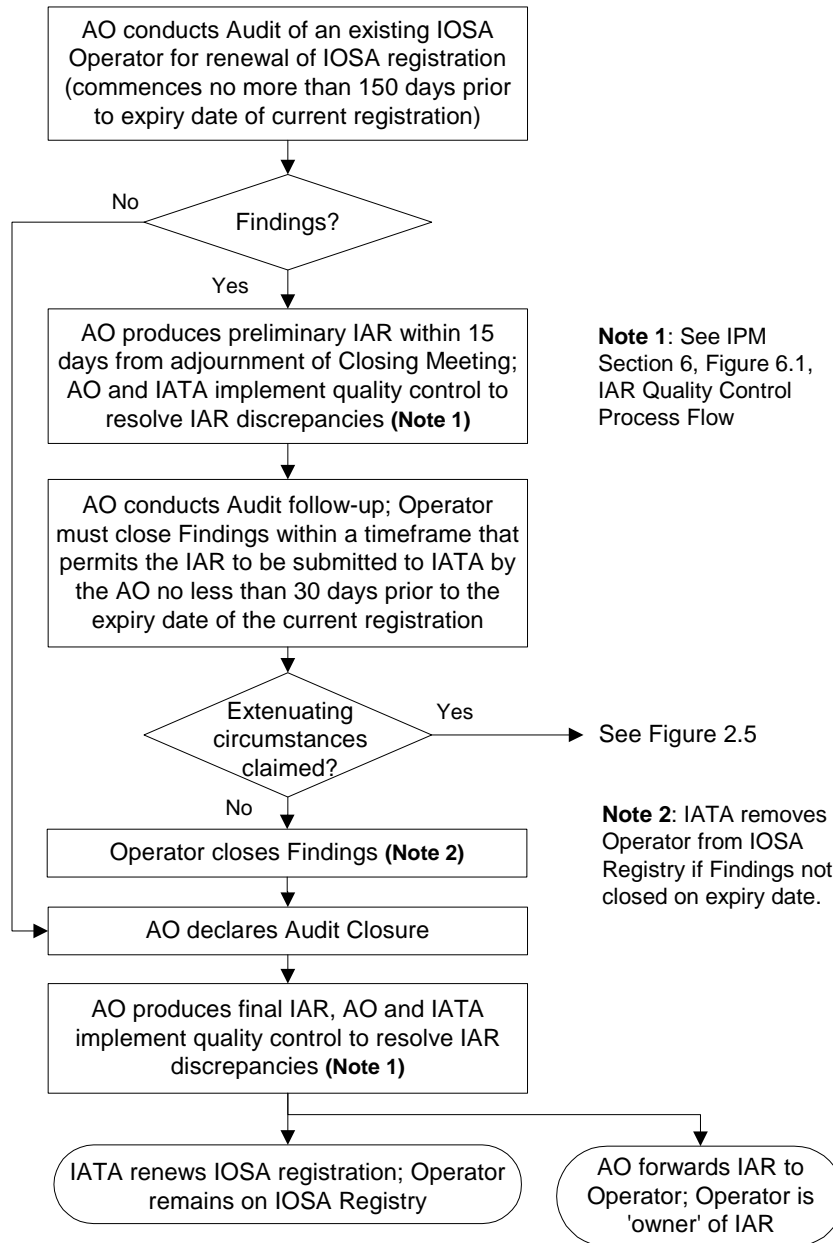
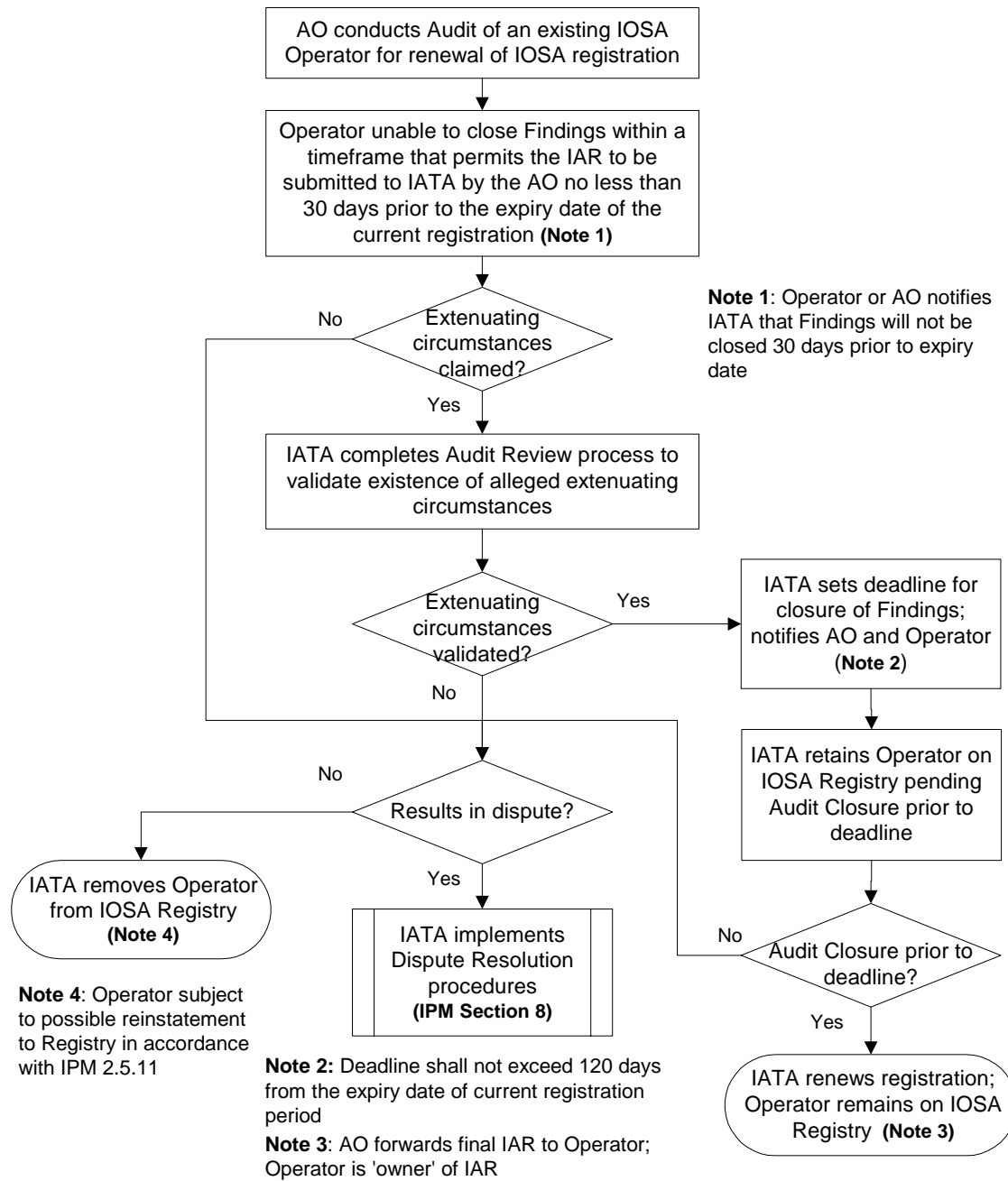


Figure 2.5 – Consideration of Extenuating Circumstances Process Flow



SECTION 3 – AUDITOR QUALIFICATION

Purpose

The quality of the IOSA Auditor is a critical factor in ensuring that each audit is conducted in a standardised and consistent manner. This section of the IPM sets out qualification standards and guidance to ensure every IOSA Auditor possesses the requisite level of competence to achieve overall programme standardisation.

3.1 Categories of IOSA Auditors

3.1.1 There are three categories of approved IOSA Auditors, each based on experience, knowledge and demonstrated skill.

- i) *Auditor*: An experienced aviation auditor that has completed the process for qualification as an Auditor in accordance with applicable provisions in IPM 3.9 and has been formally approved to conduct Audits under IOSA in at least one operational discipline.
- ii) *Lead Auditor*: An experienced Auditor that has demonstrated the competence to successfully lead an IOSA Audit Team and has completed the process for qualification as a Lead Auditor in accordance with provisions in IPM 3.10.
- iii) *Evaluator*: An experienced Lead Auditor that has completed the process for qualification as an Evaluator in accordance with provisions in IPM 3.11 and has been designated by the AO to assess audit activities and evaluate auditor performance.

3.2 Competence of IOSA Auditors

3.2.1 Confidence in and reliance on the audit process depends on the competence of personnel conducting the Audit. Under IOSA, it is the AO that has the responsibility for determining that each IOSA Auditor has been selected and approved based on the following criteria:

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

3.3 Qualification Prerequisites for IOSA Auditor Acceptance

3.3.1 The AO shall require a candidate for IOSA Auditor to submit evidence, including a curriculum vitae and a completed IOSA Auditor Personal Data File, which documents the individual's professional background in terms of education, operational experience, auditor certification and/or training and audit experience.

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

3.3.3 Prerequisite Education

- i) A candidate for IOSA Auditor shall have completed at least secondary education. Secondary education is typically the stage of the national educational system that comes after the primary or elementary stages and is completed prior to entrance to a university or similar educational institution.

3.3.4 Prerequisite Operational Experience

- i) A candidate for IOSA Auditor shall have a minimum of five years of civilian or military work experience in any of the aviation operational disciplines listed in IPM 3.3.4.ii), with at least two full years in a single discipline. Six months of the aviation experience shall have occurred within the 24 months prior to application as a candidate for IOSA Auditor.
- ii) The following constitute acceptable aviation operational disciplines that satisfy the general operational experience requirements for an IOSA Auditor.
 - a) military or civilian air carrier pilot licensed by a national regulatory authority;
 - b) military or civilian aircraft maintenance engineer/technician licensed or approved by a national regulatory authority;
 - c) air carrier flight operations or airworthiness inspector for a national regulatory authority;
 - d) flight dispatcher or flight operations officer certified by a national regulatory authority;
 - e) aviation industry instructor in the areas of flight operations, aircraft systems, flight dispatch, cabin safety, security, or dangerous goods;
 - f) ramp operations supervisor or weight and balance specialist;
 - g) cargo and dangerous goods specialist;
 - h) flight attendant supervisor;
 - i) aviation operational security specialist;
 - j) aviation safety or quality management professional.
- iii) Flight Operations Auditors shall meet special provisions for experience in accordance with IPM 3.3.8.
- iv) Engineering and Maintenance Auditors shall meet special provisions in accordance with IPM 3.3.9.

3.3.5 Prerequisite Auditor Certification and Training

- i) A candidate for IOSA Auditor shall satisfy one of the following prerequisites.
 - a) Possess and furnish proof of *current* certification by a recognised national or international auditor certification authority either as a quality auditor, quality management system auditor or lead auditor, or as an aerospace experience auditor. Auditor certification shall be based on internationally recognised auditor certification standards.
 - b) If not currently a certified auditor as described above, furnish documented and verifiable evidence of completion of a formal quality auditor or lead quality auditor training course conducted in a classroom format with a curriculum in accordance with IPM 4.2.2. Acceptable evidence of training shall consist of a certificate of *completion*, confirming that the candidate has successfully completed all aspects of the course including an examination or demonstration of proficiency. A certificate of attendance is not acceptable.

3.3.6 Prerequisite Audit Experience

- i) A candidate for IOSA Auditor shall furnish to the AO documented and verifiable evidence of having conducted a minimum of four (4) aviation operational, quality management system, regulatory compliance or safety audits. Such audits shall have been conducted in the aviation operational disciplines included in the scope of IOSA; a minimum of one of the audits shall have been conducted within the twelve (12) months prior to application.

3.3.7 Exemption for Highly Experienced Auditors

- i) A candidate for IOSA Auditor that provides documented evidence of audit experience well in excess of the minimum specified in IPM 3.3.6 may be considered for an exemption from a maximum of one other qualification prerequisite contained in IPM 3.3, not including IPM 3.3.5.
- ii) A candidate for IOSA Auditor shall not be granted an exemption from IPM 3.3.5, Prerequisite Auditor Certification and Training.
- iii) Any exemption granted under this provision shall be at the sole discretion of IATA and IATA shall make a determination based on analysis of the quality and quantity of the professional background experience of an individual candidate.
- iv) The AO shall submit a written request to IATA for consideration of an exemption for an individual candidate in accordance with this IPM 3.3.7. Such request shall include comprehensive professional background information, including a documented record of audits conducted.
- v) A candidate for Flight Operations Auditor or Engineering and Maintenance Auditor shall not be granted an exemption from prerequisites specified in IPM 3.3.8 and 3.3.9, including special experience prerequisites contained in Tables 3.1 and 3.2.
- vi) A prerequisite that specifies recency of experience may be considered for exemption in the context of a candidate's professional background experience.

3.3.8 Special Prerequisites for Flight Operations Auditors

- i) Auditors who will conduct auditing in the operational discipline of Flight Operations shall meet all requirements contained in IPM Clauses 3.3.3 and 3.3.5 in addition to special experience prerequisites contained in Table 3.1.

3.3.9 Special Prerequisites for Engineering and Maintenance Auditors

- i) Auditors who will conduct auditing in the operational discipline of Engineering and Maintenance shall meet all requirements contained in IPM Clauses 3.3.3 and 3.3.5 in addition to special experience prerequisites contained in Table 3.2.

Table 3.1 – Experience Prerequisites for Flight Operations Auditors

| Operational and Audit Experience | Core Aviation Experience | Airline Flight Operations Experience (see Note 1) |
|---|---|--|
| <ul style="list-style-type: none"> ▪ Operational Experience in accordance with IPM 3.3.4 (six months of the aviation experience must have occurred within the 24 months prior to application as a candidate for IOSA Auditor) <p style="text-align: center;">or</p> <ul style="list-style-type: none"> ▪ Audit experience in accordance with IPM 3.3.6 (at least four aviation operational quality or safety audits conducted in the aviation operational disciplines included in the scope of IOSA; a minimum of one of the audits shall have been conducted within the 12 months prior to application) | <ul style="list-style-type: none"> ▪ Three years as an airline pilot (line experience) <p style="text-align: center;">or</p> <ul style="list-style-type: none"> ▪ Three years of transport category or military flight crew experience | <ul style="list-style-type: none"> ▪ Two years in Flight Operations Management <p style="text-align: center;">or</p> <ul style="list-style-type: none"> ▪ Two years as a training instructor <p style="text-align: center;">or</p> <ul style="list-style-type: none"> ▪ Two years as a check airman <p style="text-align: center;">or</p> <ul style="list-style-type: none"> ▪ Two years as a quality or safety auditor <p style="text-align: center;">or</p> <ul style="list-style-type: none"> ▪ Two years as a flight operations inspector for a national regulatory authority |
| <p>Note 1: In order to be qualified to conduct assessments of flight simulator sessions, a Flight Operations Auditor shall meet one (1) of the following prerequisites:</p> <ul style="list-style-type: none"> ▪ have simulator operation experience as a flight simulator instructor or evaluator in support of airline operations, ▪ provide documented evidence of having completed a formal training course on flight simulator operations in accordance with IPM 4.6.1. | | |

Table 3.2 – Experience Prerequisites for Engineering and Maintenance Auditors

| Aviation Experience | Quality Experience | Audit Experience |
|--|--|---|
| <ul style="list-style-type: none"> ▪ A minimum of five (5) years combined experience in support of airline or airline related maintenance, engineering or quality functions. ▪ All experience described above shall have occurred within the ten (10) years prior to application as an IOSA Auditor. ▪ Note: Prerequisites in the Quality Experience column shall be included as part of the combined requirements in this Aviation Experience column. | <ul style="list-style-type: none"> ▪ A minimum of two (2) years performing quality assurance audits in support of airline or airline related engineering and maintenance functions. <li style="text-align: center;">or ▪ A minimum of two (2) years performing quality systems evaluations of airline or airline related maintenance programmes. <li style="text-align: center;">or ▪ A minimum of two (2) years experience performing operational quality audits of foreign air carriers in the area of engineering and maintenance. <li style="text-align: center;">or ▪ A minimum of two (2) years as an airworthiness inspector for a national regulatory authority. | <ul style="list-style-type: none"> ▪ Audit Experience consisting of a minimum of four (4) audits in support of airline or airline related engineering and maintenance functions as described under the Quality Experience column. ▪ All audit experience described above shall have occurred within the twenty four (24) months prior to application as an IOSA Auditor. ▪ A minimum of one (1) of the audits described above shall have been conducted within the twelve (12) months prior to application as an IOSA Auditor. |

3.4 Personal Attributes of IOSA Auditors

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

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

3.5 Ethical Standards for IOSA Auditors

3.5.1 The IOSA Auditor shall always be cognisant of the potential for conflict of interest when conducting an audit. Specifically, an IOSA Auditor shall ensure the following provisions are always met when participating in an audit:

- i) the auditor shall not have provided consulting services to the audited Operator within the operational scope of IOSA within the past two years;
- ii) the auditor shall have no direct or indirect financial interest in the audited Operator;
- iii) there shall be no family members of the auditor affiliated with the audited Operator, with such family members defined as parent, sibling, child, spouse, grandparent, or grand child.

3.6 Knowledge and Skills for IOSA Auditors

3.6.1 IOSA Auditors shall have a thorough knowledge of the following:

- i) quality and safety audit principles, procedures and techniques;
- ii) manuals that comprise the IOSA documentation system, including the IOSA Standards Manual (ISM), the IOSA Programme Manual (IPM) and the IOSA Audit Handbook (IAH);
- iii) typical organisational structure of airlines, including size, functions and relationships;
- iv) relevant technical areas of airline operations.

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

- i) applicable laws, ICAO Annexes and regulatory requirements, such as Federal Aviation Regulations (FARs), Joint Aviation Requirements for Operations (JAR-OPS 1) or similar and comparable regional aviation regulations;
- ii) airline business processes and related terminology;

- iii) cultural and social customs.

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

- i) speaking, reading and writing English;
- ii) writing reports;
- iii) communicating;
- iv) working with people;
- v) using computer programmes.

3.7 Additional Skills for Lead Auditors

3.7.1 Lead Auditors require additional skills in leadership that enhance the performance of the Audit Team. Skills in this area include:

- i) planning the audit and making effective use of resources during the audit;
- ii) representing the audit team in communications with the client and Operator;
- iii) organising and directing audit team members;
- iv) leading the audit team to reach audit conclusions;
- v) preventing and resolving problems and conflicts;
- vi) preparing and completing the audit reports.

3.8 Special Qualities for Evaluators

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

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

3.9 Qualification Process for Auditors

3.9.1 As part of the *initial* accreditation process, the candidate for accreditation as an AO shall propose a group of initial auditors. Proposed auditors shall accomplish each of the following qualification steps in order to establish an initial cadre of approved IOSA Auditors for the new AO:

- i) submit a completed IOSA Auditor Personal Data File and a curriculum vitae (CV) to the AO;
- ii) complete a personal interview by IATA to verify that auditor prerequisite qualifications are in accordance with applicable provisions in IPM 3.3 (individual auditors selected for interview is at the discretion of IATA);
- iii) complete the IOSA Auditor Training (IAT) course as specified in IPM 4.1.1.

3.9.2 Only the initial cadre of IOSA Auditors approved in accordance with IPM 3.9.1 shall be permitted to conduct Audits for a newly accredited AO. All candidates for IOSA Auditor

subsequently selected by the new AO shall be required to complete the full auditor qualification process of the AO in accordance with IPM 3.9.3.

3.9.3 An AO shall have a process to ensure a candidate for IOSA Auditor, selected subsequent to the initial accreditation of the AO, successfully accomplishes each of the following steps in the initial auditor qualification process (see Figure 3.1) in order to attain the status of an approved Auditor:

- i) complete the IOSA Auditor Training (IAT) course as specified in IPM 4.1.1;
- ii) complete training in use of the electronic audit system (EAS) provided by IATA;
- iii) observe a minimum of one full day of the on-site phase of an Audit;
- iv) conduct auditing a minimum of three days during the on-site phase of an Audit under the supervision of an approved Auditor;
- v) if required, receive additional training-to-proficiency during the qualification process;
- vi) conduct auditing during one complete on-site phase of an Audit while performance is assessed by an Evaluator;
- vii) be recommended to the AO for approval as an Auditor by the Evaluator.

Note 1: Steps of this process shall be completed in sequence (see Figure 3.1).

Note 2: Exceptions to the sequence of steps may be permitted at the discretion of IATA.

Note 3: Steps iii) and iv) may be accomplished during the same Audit; step vi) shall be accomplished during a subsequent and different Audit.

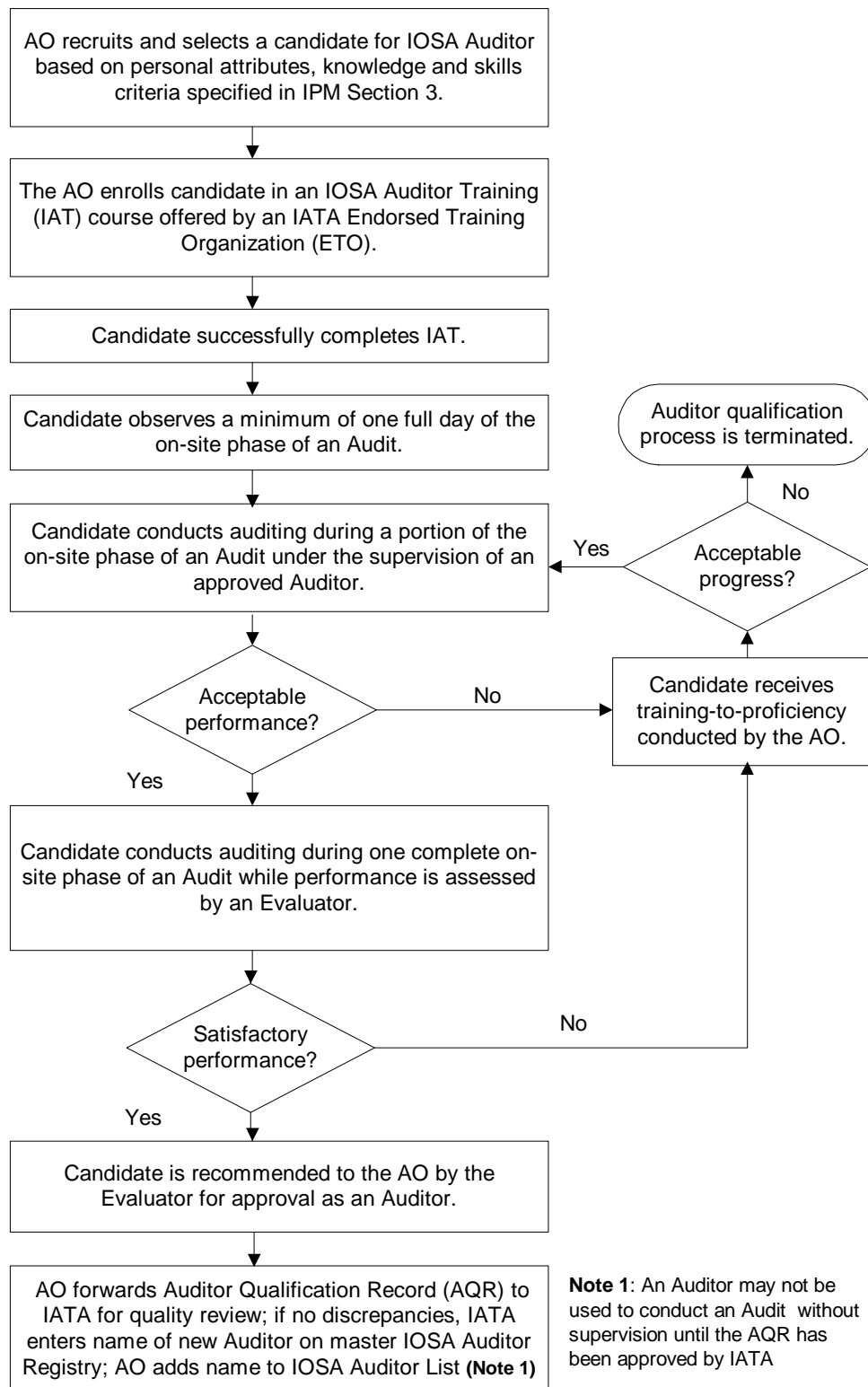
Note 4: In satisfying step vi) of this initial qualification process, an Evaluator shall be permitted to assess the performance of only one auditor for initial qualification during a complete Audit.

3.9.4 When a candidate for IOSA Auditor has successfully completed all applicable steps in the auditor qualification process, the AO shall accomplish the following:

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

Note 1: An Auditor may not be utilised to conduct an Audit without supervision until the AQR has been approved by IATA.

Figure 3.1 – IOSA Auditor Qualification Process Flow



3.10 Qualification Process for Lead Auditors

3.10.1 After the AO has completed the selection process based on criteria set out in IPM 3.7, an auditor shall successfully accomplish each of the following steps in the auditor qualification process in order to attain the status of a Lead Auditor:

- i) as a prerequisite, have conducted a minimum of two (2) complete Audits as an Auditor;
- ii) as a prerequisite, have successfully completed a formal lead auditor training course in accordance with provisions in IPM 4.3;
- iii) be recommended by a Lead Auditor based on demonstration of competencies;
- iv) conduct a minimum of one (1) complete Audit acting as lead auditor while performance is assessed by an Evaluator;

Note 1: the Evaluator may function on the team as a productive auditor.

Note 2: the Evaluator is the official Lead Auditor for the team and must sign the audit report.

- v) be recommended for approval as a Lead Auditor by the Evaluator.

Note 3: Steps of this process shall be completed in sequence as shown.

3.10.2 When an Auditor has successfully completed all steps in the Lead Auditor qualification process, the AO shall accomplish the following:

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

Note 1: An Auditor may not be utilised as a Lead Auditor until the AQR has been approved by IATA.

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

3.11 Qualification Process for Evaluators

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

3.11.2 When the AO has determined that the Auditor has met all qualification requirements for an Evaluator, the AO shall accomplish the following:

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

Note 1: An Auditor may not be utilised as an Evaluator until the AQR has been approved by IATA.

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

3.12 Qualification Process for Auditing an Additional Operational Discipline

3.12.1 An Auditor is initially approved to audit only those operational disciplines in which proficiency has been demonstrated during the initial qualification and approval process. The AO shall have a

process for qualifying an Auditor to audit in an additional operational discipline and the AO shall ensure that an Auditor accomplishes all steps in the documented process as follows:

- i) as a prerequisite, demonstrate knowledge in the new operational discipline consistent with documented standards by the AO;
- ii) for an Auditor seeking approval to audit in the operational discipline of Flight Operations, meet all requirements of IPM 3.3.8;
- iii) for an auditor seeking approval to audit in the operational discipline of Engineering and Maintenance, meet all requirements of IPM 3.3.9;
- iv) observe auditing being conducted in the new operational discipline during a minimum of one (1) Audit;
- v) be observed auditing the new operational discipline during a minimum of one (1) Audit or partial Audit; the observer shall be an Auditor qualified in the operational discipline;
- vi) be recommended for audit approval in the new operational discipline by the qualified Auditor conducting the observation as specified in v) above.

Note 1: Steps iv) and v) shall not be accomplished during the same Audit.

3.12.2 When the AO has determined that the Auditor has met all qualification requirements for auditing in a new operational discipline, the AO shall accomplish the following:

- i) submit an Auditor Qualification Record (AQR) reflecting completion of the qualification process to IATA for review and approval;
- ii) add the new operational discipline to the qualifications of the Auditor on the list of approved IOSA Auditors for the AO once the AQR has been approved by IATA.

Note 1: An Auditor may not be utilised to conduct an Audit in the new operational discipline without supervision until the AQR has been approved by IATA.

3.13 Recurrent Training Currency

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

3.13.2 An Auditor that has not satisfied recurrent training requirements in accordance with IPM 3.13.1 shall be classified as non-current by the AO and shall not be utilised by the AO to conduct an audit under IOSA until training currency has been re-established in accordance with IPM 3.16.1.

3.14 Performance Assessment Currency

3.14.1 The AO shall have a process to assess the performance of each Auditor on its list of approved IOSA Auditors every two (2) years. Performance assessments shall have satisfactory results and shall be accomplished by an Evaluator while the Auditor is conducting a full or partial audit under IOSA.

3.14.2 For the purpose of maintaining qualification in accordance with IPM 3.14.1, the AO shall require a satisfactory performance assessment for each Auditor as follows:

- i) during the calendar year immediately following the year in which an Auditor received initial approval as an IOSA Auditor (refer to IPM 3.9;
- ii) during each subsequent period of two (2) consecutive calendar years.

3.14.3 A performance assessment associated with an upgrade to Lead Auditor in accordance with IPM 3.10.1 shall satisfy the performance assessment requirement contained in IPM 3.14.1.

3.14.4 An Auditor that has not satisfied performance assessment requirements in accordance with IPM 3.14.1 and 3.14.2 shall be classified as non-current by the AO and shall not be utilised by the AO to conduct an audit under IOSA until currency has been re-established in accordance with IPM 3.16.2.

3.15 Audit Conduct Currency

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

3.15.2 For the purpose of maintaining qualification in accordance with IPM 3.15.1, currency years are defined as follows:

- i) the first one year period commences on the effective date of initial approval as an IOSA Auditor (refer to IPM 3.9);
- ii) subsequent one year periods commence on each anniversary of the effective date of initial approval as an IOSA Auditor.

3.15.3 An Auditor that has not satisfied audit conduct requirements in accordance with IPM 3.15.1 and 3.15.2 shall be considered non-current as an IOSA Auditor by *all* AOs; such Auditor shall not be utilised by *any* AO to conduct an audit under IOSA until audit currency has been re-established in accordance with IPM 3.16.3.

3.15.4 The AO shall have a process to ensure each Auditor on its list of approved IOSA Auditors who is approved to audit in more than one operational discipline conducts a minimum of one (1) complete Audit in each approved operational discipline during every period of two (2) consecutive calendar years.

3.15.5 For the purpose of maintaining qualification in accordance with IPM 3.15.4, the first period of two consecutive calendar years for each operational discipline commences the calendar year immediately following the year in which approval was granted to audit in the respective operational discipline.

3.16 Auditor Re-qualification

3.16.1 An Auditor whose qualification has become non-current for failure to meet recurrent training requirements shall re-establish qualification for an AO by completing the recurrent training course that is currently effective for that AO.

3.16.2 An Auditor whose qualification has become non-current for failure to meet performance assessment requirements shall re-establish qualification for an AO by receiving a satisfactory performance assessment by an Evaluator from the AO while conducting a full audit under IOSA.

3.16.3 An Auditor whose qualification has become non-current for failure to meet audit conduct requirements shall re-establish qualification as an IOSA Auditor by receiving a minimum of one (1) satisfactory performance assessment by an Evaluator while conducting a minimum of one (1) full or partial Audit in the operational discipline(s) for which the Auditor is to be re-qualified.

3.16.4 An Auditor whose qualification has become non-current for failure to meet audit conduct requirements and who fails to re-establish qualification within a one (1) year period from the date of becoming non-current shall re-establish qualification as an IOSA Auditor by:

- i) conducting a minimum of one (1) full or partial Audit in the operational discipline(s) for which the Auditor is to be re-qualified under the supervision of a fully qualified IOSA Auditor;

- ii) receiving a satisfactory performance assessment by an Evaluator while conducting a minimum of one (1) full Audit in the operational discipline(s) for which the Auditor is to be re-qualified.

3.16.5 An Auditor whose qualification has become non-current for failure to meet audit conduct requirements and who fails to re-establish qualification within a period of two (2) or more years from the date of becoming non-current shall re-establish qualification as an IOSA Auditor by completing all steps contained in IPM 3.9, with the exception of the requirement for completion of the IOSA Auditor Training (IAT) course.

3.17 Auditor Approval for Additional AOs

3.17.1 An Auditor, after having achieved initial approval as an IOSA Auditor in accordance with applicable provisions in IPM 3.9, shall be permitted to provide auditing services for additional AOs after achieving approval by each additional AO in accordance with IPM 3.17.2.

3.17.2 An AO seeking to utilise an IOSA Auditor in accordance with IPM 3.17.1 shall have a process to ensure:

- i) initial approval of the Auditor was completed in accordance with applicable specifications in this IPM Section 3;
- ii) an Auditor Qualification Record (AQR) is submitted to IATA that reflects the Auditor is currently qualified in accordance with applicable specifications in this IPM Section 3;
- iii) the Auditor is entered on the list of approved IOSA Auditors for the AO after the AQR has been approved by IATA;
- iv) the Auditor is utilised for a minimum of one (1) complete Audit in the category of Auditor as defined in IPM 3.1.1 before any consideration for upgrade to Lead Auditor in accordance with provisions in IPM 3.10.

Note 1: An Auditor may not be utilised to conduct an Audit without supervision until the AQR has been approved by IATA.



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SECTION 4 – AUDITOR TRAINING

Purpose

A high level of competency among IOSA Auditors is essential in ensuring a credible and meaningful Audit under IOSA. It is therefore necessary to establish an IOSA Auditor training programme that ensures each IOSA Auditor attains and maintains a requisite level of standardisation and competency. This section of the IPM supports achievement of IOSA Programme goals and sets out standards and guidance for the content and presentation of IOSA training activities.

4.1 IOSA Auditor Training (IAT)

4.1.1 Each candidate for IOSA Auditor shall successfully complete the IOSA Auditor Training (IAT) course, and such course completion shall remain valid as a means to satisfy IAT requirements as specified in IPM 3.9 for a period of twenty four (24) months.

4.1.2 IAT attendance shall be arranged and scheduled by an AO and shall be conducted by an IATA Endorsed Training Organisation (ETO) in accordance with applicable provisions in IPM Section 10.

4.1.3 The IAT course is designed to familiarise an experienced aviation operational auditor with IOSA standards, methodology and documentation, as well as provide knowledge in additional subjects that are closely associated with IOSA. IAT includes interactive training scenarios that offer trainees sufficient opportunities to practice the standardised IOSA auditing process. The IAT course curriculum shall address, but not be limited to, the following subject areas:

- i) introduction to the IOSA Programme;
- ii) IOSA terminology;
- iii) legal aspects;
- iv) IOSA manuals;
- v) IOSA Audit process and logistics;
- vi) auditor competence;
- vii) intercultural awareness;
- viii) IOSA Standards and Recommended Practices (ISARPs);
- ix) determination of conformity with ISARPs;
- x) checklist usage;
- xi) documentation requirements;
- xii) introduction to the IOSA Electronic Audit System (EAS).

4.1.4 A written examination shall be administered at the completion of the training course to measure the knowledge gained by each trainee. To successfully pass the written examination, the candidate for IOSA Auditor shall achieve a grade of 70% or higher. A candidate that does not achieve a grade of 70% or higher on the examination shall be afforded limited time to review training course material, then permitted one (1) additional opportunity for a second written examination consisting of a different set of questions.

4.1.5 At the conclusion of IAT, a candidate for IOSA Auditor shall have a complete understanding of the IOSA Programme, to include:

- i) programme objectives, terminology, principles, methodology and techniques;
- ii) IOSA documents, including ISM, IPM and IAH;

- iii) ISARPs and application during an Audit;
- iv) determination of conformity with ISARPs;
- v) use of the IOSA Checklist;
- vi) documentation requirements.

4.1.6 The AO shall record the successful completion of IAT by each listed IOSA Auditor; these records shall be retained by the AO in each Auditor qualification file.

4.2 Prerequisite Auditor Training

4.2.1 Each candidate for IOSA Auditor training shall have a current auditor certification or shall have successfully completed a formal quality auditor training course in accordance with IPM 3.3.5.

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

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

4.2.3 The AO shall record and retain acceptable evidence of prerequisite quality auditor training in accordance with IPM 3.3.5. These records shall be retained by the AO in each auditor's qualification file.

4.3 Prerequisite Lead Auditor Training

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

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

- i) role of the lead auditor;
- ii) audit ethics and conduct;
- iii) audit planning, including logistics and personnel management;
- iv) team building;
- v) methods of effective communication;
- vi) conducting effective meetings;
- vii) audit report preparation;
- viii) audit follow-up.

4.3.3 The AO shall record and retain acceptable documented evidence of successful completion of formal lead auditor training, including specific course identification, date and location, by each listed IOSA Lead Auditor. These records shall be retained by the AO in each auditor's qualification file.

4.4 (Intentionally Open)

4.5 Auditor Recurrent Training

4.5.1 An IOSA Auditor shall successfully complete the recurrent training course of the AO once during each calendar year, commencing during the calendar year immediately following the year in which the IOSA Auditor Training (IAT) course was completed. An Auditor employed by more than one AO shall complete the recurrent training course of each AO for which the Auditor is employed once during each calendar year.

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

4.5.3 The AO shall ensure the recurrent training curriculum is designed to provide information that updates and refreshes Auditor knowledge with regard to IOSA systemic and local issues. Typical course content shall, as a minimum, include and/or address the following:

- i) IOSA system issues;
- ii) programme standardisation;
- iii) AO Alerts and Bulletins;
- iv) documentation;
- v) EAS;
- vi) regulatory issues;
- vii) audit principles and techniques;
- viii) administrative issues;
- ix) other system and local issues, as appropriate.

4.5.4 The AO shall ensure the annual Auditor recurrent training course includes and addresses issues received from IATA and, if applicable, include on a mandatory basis an IATA recurrent training module as set out in IPM 4.5.5.

4.5.5 IATA shall have a process for providing the AO with system issues that may indicate the need for enhanced or special emphasis during recurrent training. Such issues shall be provided on a regular basis and shall be derived from IOSA audit experience, programme development, quality assurance activities, quality control of IARs and other sources of programme information and/or feedback. Additionally, IATA may, at its sole discretion, produce a training module that is mandatory for inclusion in the Auditor recurrent training course of the AO for a specified calendar year.

4.5.6 The AO shall have a process to record the successful completion of annual recurrent training for each approved IOSA Auditor; these records shall be retained by the AO in each Auditor's qualification file for a period of five (5) years.

4.6 Flight Simulator Operations Training

4.6.1 An IOSA Flight Operations (FLT) Auditor may qualify to conduct assessments of flight simulator sessions by completing a formal course on flight simulator operations as set forth in IPM Section 3, Table 3.1. The AO shall be provided with documented evidence that describes course content and certifies course completion by the FLT Auditor; the AO shall retain such evidence in the individual Auditor's qualifications file. An acceptable course shall have a published curriculum and course content shall include:



- i) instruction in simulator operations;
- ii) practical experience in actual simulator operations;
- iii) demonstration of knowledge and competency in simulator operations.

SECTION 5 – AUDIT PROGRAMME

Purpose

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

5.1 Organisation and Management

5.1.1 The AO shall have an organisation and management system that clearly delineates authorities and responsibilities for all aspects of the Audit Programme.

5.1.2 The AO shall have policies, processes and procedures to ensure effective implementation, control and standardisation of the Audit Programme, including:

- i) audit planning;
- ii) selecting and assembling audit teams;
- iii) preparing for audits;
- iv) providing resources and logistical support;
- v) utilising the audit checklist;
- vi) conducting audits;
- vii) issuing a preliminary and final IOSA Audit Report (IAR);
- viii) accepting a Corrective Action Plan (CAP);
- ix) conducting audit follow-up;
- x) closing Findings;
- xi) maintaining audit records;
- xii) control and surveillance of audit activities and auditor performance;
- xiii) achieving continuous improvement.

5.2 Audit Planning

5.2.1 The AO shall have a planning process designed to ensure the Audit is conducted in an efficient and standardised manner, and audit objectives are achieved. The planning process shall include, but not be limited to, consideration of the following:

- i) audit scope and objectives;
- ii) execution of the IOSA Audit Agreement;
- iii) status of the IOSA registration of the Operator;
- iv) AO and auditor conflict of interest;
- v) the organisation to be audited;
- vi) audit location(s);
- vii) activities to be audited;
- viii) availability of resources;
- ix) logistical requirements;
- x) cultural issues;

- xi) language issues.

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

5.2.3 The AO shall have a process to coordinate with the Operator to ensure the Audit Agreement specifies the version of the ISM to be used as the basis for the Audit. The Operator shall have the option to select the version of the ISM to be used for the Audit, which shall be **either**:

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

5.2.4 The AO shall have a process to ensure the Operator is supplied with an executed Audit Agreement prior to the scheduled commencement date of the on-site phase of an Audit (Opening Meeting).

5.2.5 The AO shall have a process to ensure an Audit of a single Operator is planned for a minimum usage of thirty (30) auditor days, which includes twenty five (25) auditor days for the conduct of the on-site phase of the Audit and five (5) auditor days for preparation and IAR quality control. A proposal for planned usage of less than 30 auditor days for any Audit shall require written approval from IATA.

5.2.6 The AO shall have a process for conducting parallel Audits of affiliated Operators, whereby two or more Operators with a significant level of shared operational functions are audited sequentially (one immediately after the other). The AO shall ensure, prior to the conduct of such parallel Audits and in addition to notifications and submissions required in IPM 1.12, written notification is provided to IATA that contains details specific to the Audits, to include:

- i) total number of auditor days to conduct the parallel Audits;
- ii) number of line (FLT and CAB) and simulator observations;
- iii) description of the relationship and operational functions shared between/among the Operators.

5.2.7 The AO shall have a process for conducting an IOSA Preparation Visit (IPV), which is a preliminary activity that would be accomplished only upon mutual agreement between AO and Operator in advance of the on-site assessment phase of the Audit. An IPV shall provide guidance that will assist the Operator in preparing itself for an Audit and shall not include any activities with respect to the operations of the Operator that could be construed as conflict of interest associated with consulting services as set out in IPM 1.4. An IPV shall address:

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

5.2.8 If an AO conducts the IOSA Awareness Workshop, which is a preliminary activity that may replace or supplement an IPV, the AO shall have a process for conducting such Workshop. The IOSA Awareness Workshop is accomplished only upon mutual agreement between AO and

Operator in advance of the on-site assessment phase of the Audit for the purpose of familiarising the Operator with the concept and methodology of the IOSA programme, and for providing general guidance to assist the Operator in achieving readiness for an Audit.

5.2.9 The AO shall have a process to communicate and coordinate with the Operator sufficiently in advance of the Audit to identify those operational activities listed in Table 5.1 that are mandatory for observation or assessment by the Audit Team.

5.2.10 If authorisation from the local aviation authority is required for access to the flight deck jump seat for the observation(s) of flight deck operations during a line flight in accordance with Table 5.1, the AO shall have a process to ensure the name of the individual FLT Auditor that will conduct such observation(s) is provided to the Operator no less than 30 calendar days prior to beginning of the on-site assessment phase of the Audit.

5.2.11 The AO shall provide the Operator with the names of the members of the Audit Team that have been selected in accordance with provisions in IPM 5.3.

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

5.2.13 In the case of any scheduled Audit, once the audit process has begun, an AO shall have a process to notify IATA immediately should there be any changes to the scheduled activities associated with that Audit.

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

- i) the on-site portion of the Audit does not commence more than 150 calendar days prior to the expiry date of the Operator's current registration:
- ii) Audit Closure, under normal circumstances, will be declared no less than 30 calendar days prior to the expiry date of the current registration.

5.3 Selecting and Assembling Audit Teams

5.3.1 The AO shall have a process to ensure that an Audit Team comprises only fully qualified auditors that are on its list of approved IOSA Auditors. For the purpose of meeting this specification, an Auditor undergoing a final evaluation in accordance with IPM 3.9.3 shall be considered a fully qualified auditor.

5.3.2 The AO shall have a programme for auditor training during an Audit. Such programme shall permit a trainee to participate in the conduct of an Audit only when under the direct supervision or observation of a fully qualified and approved IOSA Auditor, Lead Auditor or Evaluator. The responsibility for development of Findings and Observations shall always be with the qualified IOSA Auditor.

5.3.3 The AO shall have a process to permit an observer to be a member of an Audit Team; however, the presence of such an observer shall be coordinated in advance with the Operator and other relevant parties, as applicable.

5.3.4 The AO shall have a process for selection of the membership of an Audit Team that takes into account the following considerations:

- i) audit scope and objectives;
- ii) auditor conflict of interest;
- iii) size of the organisation to be audited;

- iv) location(s) and activities to be audited;
- v) previous audit history of the organisation to be audited, if known;
- vi) cultural environment(s) and language(s) spoken;
- vii) requirements for specialised operational and/or audit skills;
- viii) appropriate blend of auditor experience levels.

5.3.5 The AO shall have a process for designating a Lead Auditor that takes into account considerations in IPM 5.3.4 and also considers the total experience and competency of Audit Team members.

5.4 Preparing for Audits

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

5.4.2 When preparing to audit an organisation that is currently a registered IOSA Operator, the AO shall have a process to request access to previous IOSA Audit Reports (IARs) in accordance with IPM 6.9.5.

5.4.3 The AO shall have a process for preparing an Audit Plan that details all requirements necessary for successful implementation of the Audit. The Audit Plan shall address the following:

- i) audit scope and objective;
- ii) general audit methodology, including audit report and follow-up;
- iii) identification of ISARPs not applicable to the Audit, including Standards suspended for special review, if any (refer to Figure 8.4);
- iv) dates and locations for the Audit and associated activities;
- v) roles and responsibilities of the Audit Team;
- vi) identification of trainees and/or observers that may accompany the Audit Team;
- vii) key points of contact of AO and Operator;
- viii) working arrangements with representatives of Operator;
- ix) resource and location requirements;
- x) logistical requirements and arrangements;
- xi) cultural issues;
- xii) any need for translators or interpreters;
- xiii) operations with the potential for being excluded from the registration of the Operator;
- xiv) other requirements as necessary.

5.4.4 To enhance preparation for an Audit, the AO shall have a process to obtain and review relevant information and documentation from the Operator as far in advance of the Audit as possible.

5.4.5 To assist the Audit Team in assessing IOSA documentation requirements, thus enhancing audit efficiency and reducing audit time, the AO shall have a process to coordinate with the Operator for provision of a detailed list of references from its own documentation system that correspond to ISARPs.

5.4.6 The AO shall have a process for evaluating the language capabilities of an Operator and, based on a determination of the language spoken by personnel employed by the Operator, as well

as that used in some or all operational documentation, ensure the on-site availability of an appropriate complement of translators and/or interpreters. The process shall further ensure the satisfactory competence and objectivity of those translators and/or interpreters that are selected.

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

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

5.5 Providing Resources and Logistical Support

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

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

5.5.3 The AO shall have a process to ensure the availability of an official identification badge for each member of the Audit Team and further ensure each team member:

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

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

- i) current Parts One and Two of sections of the ISM relevant to the specific operational area(s) to be audited;
- ii) current IOSA Checklists relevant to the specific operational area(s) to be audited.

5.6 Auditor Performance

5.6.1 The AO shall ensure Auditors understand correct usage of the IOSA Checklist and are proficient in completing the Checklist in a standardised manner in accordance with guidance contained in the IAH.

5.6.2 The AO shall ensure Auditors apply effective methods for gathering of objective evidence during an Audit, to include proficiency in interviewing, reviewing documentation, observing activities and noting operational conditions.

5.6.3 The AO shall ensure Auditors are competent in being able to establish conformity based on the degree to which the Operator has documented and implemented specifications contained in ISARPs.

5.6.4 The AO shall ensure Auditors understand the need and are competent to conduct operational observations or assessments during every Audit as specified in Table 5.1.

5.7 Conducting the Audit

5.7.1 The AO shall have a process for the conduct of a formal Opening Meeting with the management of the Operator at the beginning of the on-site assessment phase of the Audit. The spokesperson for the Audit Team shall be the designated Lead Auditor; attendance shall be recorded. The Opening Meeting shall be conducted using a formal presentation format, either projected or on paper, and shall address the following:

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

5.7.2 The AO shall have a process to ensure the English language version of the ISM and/or IOSA Checklists is used by Auditors as the basis for the final determination of conformity or nonconformity with ISARPs during the conduct of an Audit. Versions of the ISM or IOSA Checklists that have been translated into another language are subject to misinterpretation and therefore are considered unofficial reference documents for the purpose of determining Audit conclusions.

5.7.3 The AO shall have a process to ensure there are regularly scheduled and frequent meetings of the Audit Team during an Audit to exchange information and assess progress. Such meetings shall focus on the development of Findings and Observations, including assessment of specific areas of real or potential nonconformity identified to date and the need to gather additional objective evidence to substantiate the development of Findings and/or Observations.

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

5.7.5 The AO shall have a process to ensure mandatory operational observations and/or assessments as specified in Table 5.1 are accomplished during each Audit.

5.7.6 The AO shall have a process to ensure the Operator is appropriately informed when any of the following exist:

- i) a Finding or Observation is verified;
- ii) there is objective evidence indicating a potential Finding or Observation;
- iii) audit objectives are not attainable.

5.7.7 The AO shall have a process that ensures Findings and Observations are:

- i) generated against a specific IOSA Standard or Recommended Practice;
- ii) based on factual evidence discovered during the audit;
- iii) discussed with the Operator during the Audit in an attempt to achieve agreement;
- iv) discussed with and agreed to among the Audit Team members;
- v) documented along with supporting factual evidence on the IOSA Checklist.

5.7.8 The AO shall have a process for the application and documentation of Active Implementation (AI) in accordance with guidance contained in the IAH. Such process shall ensure the application of AI is used to achieve conformity only with specifically designated IOSA provisions and includes a detailed implementation action plan (IAP) of the Operator that:

- i) has been accepted by the Audit Team;
- ii) has a projected date of completion that is in accordance with any applicable prerequisite conditions that may have been specified under the AI designation of the IOSA provision;
- iii) identifies a series of progress milestones over the total duration of the plan that permit a comparison of actual work completed against the projected work schedule in order to readily determine if the IAP is progressing toward completion according to the schedule;
- iv) projects conformity with all technical specifications contained in the designated IOSA Standards upon completion of the plan;
- v) contains a detailed schedule of all work or activities necessary for the Operator to complete the plan within the planned time period;
- vi) delineates equipment, components, material or any other physical resources necessary to complete the plan.

5.7.9 If the Operator attempts to address non-conformity with any IOSA provision through implementation of immediate corrective action during the on-site phase of the Audit, the AO shall have a process for acceptance of such on-site action when the Audit Team is able to verify, prior to the Closing Meeting, that the corrective action implemented is comprehensive and permanent, and results in the Operator being in conformity with the IOSA provision. When on-site corrective action is accepted, the Audit Team shall ensure a description of the non-conformance and associated corrective action is documented in the Record of On-site Findings and Observations Corrected during the Audit.

5.7.10 The Lead Auditor shall ensure the Operator understands that Findings and Observations presented on draft documents during the on-site Closing Meeting:

- i) shall not be revised or withdrawn, except in accordance with IPM 5.11.4;
- ii) are to be used by the Operator to begin development of the Corrective Action Plan (CAP);
- iii) will subsequently be incorporated in final form into a preliminary IAR, which will be forwarded to the Operator within thirty (30) calendar days following the date of adjournment of the on-site Closing Meeting;

- iv) may not represent the total number of Findings and Observations; additional areas of nonconformity could be identified if further assessment is required to resolve discrepancies identified during quality control reviews of the preliminary issuance of the IAR.

5.7.11 The AO shall have a process that ensures the on-site assessment phase of the Audit is completed with a formal Closing Meeting with the management of the Operator. The spokesperson for the Audit Team shall be the designated IOSA Lead Auditor; attendance shall be recorded. The Closing Meeting shall be conducted using a formal presentation format, either projected or on paper, and the following areas shall be presented or addressed:

- i) an overview of the Audit;
- ii) IOSA Findings and Observations;
- iii) supporting objective evidence (may be presented by individual auditors);
- iv) the preliminary IAR;
- v) the Corrective Action Report (CAR);
- vi) follow-up process, including timelines for corrective action;
- vii) process for verification of corrective action implementation;
- viii) closure of Findings;
- ix) the final IAR;
- x) IAR quality control process;
- xi) requirements for IOSA Registration;
- xii) confidentiality of the IOSA Programme;
- xiii) marketing of IOSA Registration;
- ixx) the IOSA Audit Feedback Survey.

5.7.12 The designated Lead Auditor shall ensure the Operator understands that the Operator and the AO will make every effort to conclude a process to reach agreement on a CAP acceptable to the AO within thirty (30) calendar days following the date of the on-site Closing Meeting; Audit Closure will not be declared until corrective action in accordance with the accepted CAP has been implemented by the Operator and verified by the AO.

5.7.13 Once the on-site assessment phase of the Audit has been commenced, the AO shall ensure the assessment of the Operator continues uninterrupted to completion, except:

- i) when a mandatory audit activity must be completed in accordance with IPM 5.7.5;
- ii) the Audit is terminated in accordance with IPM 5.8.1.

5.7.14 The AO shall notify IATA immediately when it has been determined that a current IOSA Operator will not or can not meet IOSA Standards within a timeframe necessary to maintain IOSA Registration.

5.7.15 When a mandatory audit activity as specified in IPM 5.7.5 has not been completed during the on-site assessment phase of the Audit, the Closing Meeting shall be conducted but not adjourned on site. Under such circumstances, the Lead Auditor shall notify the Operator that the Closing Meeting will not be adjourned until all mandatory audit activities have been completed, at which time the meeting will resume and be adjourned via teleconference with only selected individuals participating. If applicable, potential participants in a teleconference meeting should be identified during the on-site Closing Meeting. **Such delayed adjournment of the Closing Meeting shall have no effect on the audit validity period as specified in IPM 2.2.1, which is based on the date of the Closing Meeting held at the end of the on-site phase of the Audit.**

5.8 Termination of an Audit

5.8.1 The AO shall have a process to terminate an Audit if the Audit Team makes an objective determination that any one of the following conditions exist:

- i) the Operator is attempting to exert obvious and undue influence on the Audit Team;
- ii) the Operator is raising unacceptable barriers that significantly limit or inhibit the ability of the Audit Team to discover factual evidence;
- iii) a conflict of interest as specified in IPM 1.4 becomes evident;
- iv) there is a significant breach of the Audit Agreement;
- v) the Audit Team has determined that Audit objectives are not attainable.

5.8.2 The AO shall have a process, when terminating an Audit in accordance with IPM 5.8.1, to ensure IATA is notified in writing within twenty four (24) hours of such termination action.

Table 5.1 – IOSA Operational Observations / Assessments
(See Table 5.2, General Note)

| Operational Discipline | Activities and Processes | Remarks |
|--|--|---|
| Flight Operations | <ul style="list-style-type: none"> ▪ Line flight – flight deck operations * ▪ Simulator session * | <ul style="list-style-type: none"> ▪ See Table 5.2, Note 1 ▪ See Table 5.2, Note 1 |
| | <ul style="list-style-type: none"> ▪ Training flight | <ul style="list-style-type: none"> ▪ See Table 5.2, Note 2 |
| Operational Control Flight Dispatch | <ul style="list-style-type: none"> ▪ Flight planning * ▪ Flight monitoring * | |
| Aircraft Engineering & Maintenance | <ul style="list-style-type: none"> ▪ AD/ASB process * ▪ Maintenance activities (2) ▪ Maintenance processes * (1) | <ul style="list-style-type: none"> ▪ See Table 5.2, Note 3 ▪ See Table 5.2, Note 4 ▪ See Table 5.2, Note 5 |
| Cabin and Cargo Compartment Operations | <ul style="list-style-type: none"> ▪ Line flight – passenger cabin operations only * | <ul style="list-style-type: none"> ▪ See Table 5.2, Note 6 |
| Ground Handling | <ul style="list-style-type: none"> ▪ Weight and balance calculation * ▪ Ground handling activities * | <ul style="list-style-type: none"> ▪ See Table 5.2, Note 7 |
| Cargo Operations | <ul style="list-style-type: none"> ▪ Aircraft loading or unloading * | <ul style="list-style-type: none"> ▪ See Table 5.2, Note 8 |
| Operational Security | <ul style="list-style-type: none"> ▪ Baggage reconciliation * ▪ Pre-Board/hold room screening ▪ Aircraft access control ▪ Preflight crew security briefing | |

* Indicates mandatory observation or assessment

Table 5.2 – IOSA Operational Observations / Assessments (Notes)

| Reference | Note |
|---------------|---|
| General Note: | <p>Operational observations or assessments are conducted during an Audit as a means for collecting evidence that may complement (or not complement) factual evidence that has already been (or will be) collected during the course of the Audit. The number of operational activities conducted generally does not represent a meaningful sample; therefore, evidence collected from one observation or assessment is statistically insignificant and should not, by itself, lead to a Finding or Observation.</p> <p>An Auditor always has the option of increasing sample size by ordering one or more additional observations or assessments of specific operations based on evidence collected from the first activity. Such additional sampling could help to substantiate any previously observed evidence as either a systemic issue or isolated anomaly.</p> |
| Note 1 | <p>A Flight Operations Auditor shall conduct, as a minimum, one line flight observation (from the flight deck) and one simulator or flight training observation as part of every Audit. Additional line flight or simulator/flight training observations may be conducted at the option of the Auditor.</p> <p>The AO shall ensure such observations:</p> <ul style="list-style-type: none"> ▪ are coordinated and scheduled in accordance with IPM 5.2.9; ▪ take place in conjunction with the on-site assessment phase of the Audit, if possible; ▪ are accomplished only by qualified Flight Operations Auditors in accordance with IPM 3.3.8 and applicable guidance in the IAH; ▪ are conducted by Auditors who can communicate in the language of the Operator, or if not possible, have the availability of an interpreter. <p><i>Note: The line flight observation, or, if applicable, flight training observation may only be excluded (1) if prohibited by the applicable regulatory authority or (2) if none of the Operator's aircraft has an appropriate jump seat from which to observe the activity.</i></p> |
| Note 2 | <p>Where an operator conducts flight training in the aircraft in lieu of a flight simulator, a Flight Operations Auditor shall observe a minimum of one training flight. Guidelines for observing a training flight are the same as specified in Note 1.</p> |
| Note 3: | <p>An Engineering and Maintenance Auditor shall assess the entire process of the Operator for assessing and implementing an Airworthiness Directive (AD) and/or Alert Service Bulletin (ASB), including a review of the Task Card used to certify the incorporation of an AD or ASB.</p> |
| Note 4: | <p>An Engineering and Maintenance Auditor should assess a minimum of two (2) maintenance activities, including, but not limited to, any of the following:</p> <ul style="list-style-type: none"> ▪ engine change; ▪ APU change; ▪ primary or secondary flight control change; ▪ wheel or brake change; ▪ door (cabin or cargo) change; ▪ landing gear (main, body, wing or nose) change; ▪ radar antenna change; ▪ pitot or static component change; ▪ angle of attack transducer change; ▪ engine trim check; ▪ any component change that requires rigging, calibration or testing; ▪ any structural repair to metal or composite material. |

| | |
|---------|---|
| Note 5: | <p>An Engineering and Maintenance Auditor shall assess a minimum of one (1) of the following maintenance processes:</p> <ul style="list-style-type: none">▪ procedures used to ensure currency and correctness of calibrated equipment;▪ tooling and equipment used to ensure correctness and currency of calibrated equipment;▪ manpower utilisation (correct complement, authorisations and qualifications);▪ environment in which maintenance is performed (lighting, noise, temperature, humidity, etc.);▪ certification of work (progressive/final certification, dual/independent inspections, etc.). |
| Note 6: | <p>A Cabin Operations Auditor shall conduct, as a minimum, one line flight observation (from the passenger cabin) as part of every Audit. Additional line flight observations may be conducted at the option of the Auditor. This observation is not required during the Audit of an Operator that only conducts all-cargo flights.</p> |
| Note 7: | <p>A Ground Handling Auditor (or Engineering and Maintenance Auditor) shall assess a minimum of one (1) ground handling activity to ensure aircraft airworthiness is not compromised. Such activities shall include, but are not limited to, any of the following:</p> <ul style="list-style-type: none">▪ aircraft pushback/tow operations;▪ aircraft fuelling;▪ de/anti-icing;▪ minor servicing (tire inflation, oil checks, oxygen replenishment, toilet servicing, potable water servicing, catering, etc.). |
| Note 8: | <p>A Ground Handling Auditor (or Cargo Operations Auditor) shall assess the loading/unloading of cargo into/from an aircraft. The loading/unloading operations assessed shall be representative of the type of operations and aircraft (i.e. passenger and/or all-cargo) of the Operator using procedures originating from the Operator. For an Operator that conducts passenger and all-cargo flights, an Auditor shall conduct a minimum of one assessment, preferably of the loading/unloading of a passenger flight, if feasible.</p> |

5.9 Accepting a Corrective Action Plan (CAP)

5.9.1 The AO shall have a process to review and reach agreement with the Operator on an acceptable CAP within thirty (30) calendar days of the on-site Closing Meeting, to the extent possible. 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 (refer to IOSA Definitions in this manual).

5.9.2 An acceptable CAP shall:

- i) for initial IOSA Registration, project closure of all Findings on a date no later than twelve consecutive (12) months following the date of the on-site Closing Meeting;
- ii) for renewal of an existing IOSA Registration, project closure of all Findings within a period of time as specified in IPM 2.5.3 or 2.5.4, as applicable;
- iii) include proposed implementation of comprehensive and permanent corrective action.

Interim Corrective Action

5.9.3 Under unique circumstances, an acceptable CAP may, for renewal of an existing IOSA Registration only, include implementation of interim corrective action. Interim corrective action shall be considered an exception to IPM 5.9.2 as a means for providing resolution of a Finding on a temporary basis. Interim corrective action shall not be accepted by the Audit Team unless the AO has formally requested approval from IATA in accordance with IPM 1.12.7, and received such approval from IATA.

5.9.4 In a case where the AO has received approval to include interim corrective action in an accepted CAP in accordance with IPM 5.9.3, the AO shall have a process that provides for continued audit follow-up to verify the implementation by the Operator of permanent corrective action to replace the interim corrective action within a period of 120 calendar days following the expiry date of the current registration.

5.9.5 In a case where the AO has received approval to include interim corrective action in an accepted CAP in accordance with IPM 5.9.3, the AO shall have a process to 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, as specified in IPM 5.9.4.

5.10 Conducting Audit Follow-up

5.10.1 For a period of twelve (12) consecutive months following the date of the on-site Closing Meeting, as provided in the Audit Agreement, the AO shall be responsible for applicable audit follow-up activity, including verification that the Operator has implemented all comprehensive and permanent corrective action in accordance with the accepted CAP as specified in IPM 5.9.2.

5.10.2 The AO shall have a process to meet its responsibility for verification of corrective action implementation in accordance with the accepted CAP. The exact method of verification by the AO shall be in accordance with guidance issued by IATA.

5.10.3 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.

5.11 Closing Findings

5.11.1 The AO shall have a process for declaring a Finding closed after the implementation of comprehensive and permanent corrective action has been verified in accordance with IPM 5.10.1 and 5.10.2.

5.11.2 Closure of Findings by an AO in accordance with IPM 5.11.1 shall affect the IOSA Registration process as follows:

- i) should all Findings not be closed by the AO in accordance with the accepted CAP within twelve (12) consecutive months following the date of the on-site Closing Meeting, the Audit shall become invalid as a means for the Operator to be added to the IOSA Registry or renew an existing IOSA Registration;
- ii) for initial IOSA Registration, an Operator shall not be added to the IOSA Registry until all Findings have been closed in accordance with IPM 5.11.1 and quality control of the IAR has been completed in accordance with provisions contained in IPM 6.2.
- iii) for renewal of an existing IOSA Registration, except as provided in IPM 2.5.4, an Operator shall be removed from the IOSA Registry if all Findings have not been closed prior to the expiry date of the current IOSA Registration, unless extenuating circumstances are determined to exist in accordance with applicable provisions in IPM 2.5 and 2.9.

Effect of ISM Revisions

5.11.3 The AO shall have a process to address Findings and Observations that have not yet been closed by the Operator when an associated IOSA Standard or Recommended Practice is changed as a result of a published revision to the ISM. When a new version of ISM is published, the following apply to existing open Findings and/or Observations:

- i) if an associated standard or recommended practice is eliminated, the Finding or Observation is declared invalid by the AO and the Operator is relieved of an obligation to implement corrective action;
- ii) if an associated 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 is declared invalid by the AO;
- iii) if an associated standard or recommended practice is revised, and the Operator is not in conformity with the revised provision, the Operator has the option to close a Finding or Observation through implementation of corrective action to satisfy either the old or new (revised) provision;
- iv) if an associated recommended practice is elevated to a standard, the Operator has no obligation to implement corrective action to close an Observation.

Effect of a Standards Special Review

5.11.4 The AO shall have a process to address a Finding that has not yet been closed by an Operator when the IOSA Standard associated with that Finding, or a specification within that IOSA Standard, is suspended in accordance with the IOSA Standards Special Review Process (refer to IPM Section 8, Figure 8.4). An existing open Finding associated with such suspension is addressed as follows:

- i) if an Operator has an open Finding against an IOSA Standard that is suspended, the Finding is withdrawn and the standard becomes not applicable (N/A) for that Audit; a description of such withdrawal is documented in the IAR;
- ii) if an Operator has an open Finding against an IOSA Standard solely as a result of non-conformity with suspended specifications within that Standard, the Finding is closed; a description of such closure is documented in the IAR;
- iii) if an Operator has an open Finding against an IOSA Standard solely as a result of non-conformity with non-suspended specifications within that Standard, the Finding is closed when the Operator is in conformity with all non-suspended specifications; a description of such closure is documented in the IAR;
- iv) if an Operator has an open Finding against an IOSA Standard as a result of non-conformity with a combination of non-suspended *and* suspended specifications within that Standard, the Finding is closed when the Operator is in conformity with all non-suspended specifications; a description of such closure is documented in the IAR.

5.12 Closing the Audit

5.12.1 The AO shall have a process to declare Audit Closure on a specific date once all Findings have been closed by the Operator through implementation of corrective action in accordance with an accepted CAP as specified in IPM 5.9.2, and such implementation has been verified by the AO. On such date the AO shall implement the applicable administrative action associated with Audit Closure.

5.12.2 The AO shall have a process to notify IATA in writing within seven (7) calendar days following a declaration of Audit Closure in accordance with IPM 5.12.1.

SECTION 6 – IOSA AUDIT REPORT (IAR)

Purpose

Sharing of audits is a fundamental element of IOSA, which requires effective control of the IOSA Audit Report (IAR), as well as other documents and associated information resulting from the audit process. This section of the IPM sets out standards for the management and control of the IAR and other critical information and data to ensure a level of quality, security and confidentiality necessary to support and facilitate audit sharing.

6.1 IOSA Audit Report (IAR)

6.1.1 The IAR is the official record of an Audit and documents details of the conduct and results. The IAR can be utilised by an Interested Party for the purpose of Audit Sharing in accordance with IPM 7.1.1.

6.1.2 The IAR shall comprise:

- i) the IOSA Audit Report form;
- ii) IOSA Checklists;
- iii) Corrective Action Reports (CARs), one for each Finding and Observation;
- iv) other relevant documents.

6.1.3 The AO shall have a process to ensure the IAR is completed in accordance with guidance issued by IATA.

6.1.4 The IOSA Checklists, which are part of the IAR, shall be considered the official working documents for an Audit.

6.2 Quality Control of the IAR

6.2.1 The AO shall have a quality control process, the implementation of which ensures all documents comprising the IAR (see IPM 6.1.2) are completed accurately and in accordance with guidance issued by IATA. As a minimum, the quality control process of the IAR conducted by the AO shall ensure:

- i) details of the Audit are accurately described;
- ii) documents comprising the report 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/As) have a documented explanation;
- viii) if applicable, the application of Active Implementation (AI) is correctly documented;
- ix) closure of Findings in each CAR includes an accurate description and justification of the method(s) used by the AO to verify implementation of corrective action, to include interim corrective action, if applicable.

6.2.2 The AO shall have a process to ensure an IAR has been subjected to quality control in accordance with IPM 6.2.1 prior to:

- i) any issuance of a preliminary or final IAR to the Operator in accordance with provisions contained in IPM 6.3;
- ii) any submission of a preliminary or final IAR to IATA in accordance with IPM 6.2.3.

6.2.3 The AO shall have a process to ensure an IAR is submitted to IATA for further quality control immediately following completion of the quality control process as specified in IPM 6.2.1.

6.2.4 IATA shall implement an IAR quality control process in accordance with IPM 8.2.14; should discrepancies be found, the IAR shall be forwarded back to the AO for subsequent resolution, amendment, further quality control and re-submission to IATA.

6.2.5 The AO shall have a process to address audit issues and amend an IAR as necessary to resolve discrepancies that may have been identified during the quality control processes conducted by the AO and/or IATA. The AO may be required to conduct further assessment of the operations of an Operator in order to resolve discrepancies involving an omission, error or misapplication of an IOSA checklist provision by the Audit Team during the original on-site Audit.

6.3 Issuing the IAR

6.3.1 The AO shall have a process for preparation and issuance of a preliminary IAR to the Operator within thirty (30) calendar days following adjournment of the Closing Meeting. Such process shall ensure completion of quality control in accordance with IPM 6.2.2 and:

- i) the IOSA Audit Report form is completed to the point of preliminary distribution, to include the Findings and Observations box with appropriate signatures (only the Audit Closure section remains uncompleted);
- ii) IOSA Checklists are completed;
- iii) a Corrective Action Report (CAR) is completed with initial information for each Finding and Observation.

6.3.2 The AO shall have a process for issuance of a subsequent additional preliminary IAR to the Operator:

- i) when the IAR has been amended to reflect resolution of discrepancies discovered during the quality control review conducted by IATA in accordance with IPM 6.2.4;
- ii) within twenty (20) calendar days following a request by the Operator, consisting of any completed CARs that reflect Findings and/or Observations that have been closed.

6.3.3 The AO shall have a process for issuance of a final IAR to the Operator after Audit Closure has been declared in accordance with IPM 5.12.1. Such process shall ensure:

- i) the Audit Closure section of the IOSA Audit Report form is completed with appropriate signatures;
- ii) CARs are completed for each Finding and Observation, as applicable.

6.4 IAR Conveyance

6.4.1 The AO shall have a process, in agreement with IATA, that ensures:

- i) safe and secure conveyance of a preliminary or final IAR from AO to IATA;
- ii) the IAR is received by IATA in a format that is compatible with the IOSA Database or other IPO retention requirements;
- iii) the AO receives confirmation once an IAR has been received by IATA.

6.5 IAR Ownership

6.5.1 Once the final IAR has been issued by the AO to the Operator in accordance with IPM 6.3.3, the IAR becomes the sole and exclusive property of the Operator in accordance with provisions in the IOSA Audit Agreement.

6.5.2 The Operator shall maintain the confidentiality of the IAR and its contents, and shall not permit the IAR, or a copy of the IAR, to be provided to or released to any other entity or party, except as follows:

- i) a copy of the IAR may be provided to relevant Regulatory authorities in compliance with applicable law(s) of the State of the Operator;
- ii) a copy of the IAR may be relinquished as part of legal proceedings in compliance with applicable laws.

6.5.3 At the option of the Operator, the IAR, or information contained therein, may be viewed by or verbally shared with another party on an informal basis under the following conditions:

- i) such viewing or sharing shall not be used for the purpose of audit sharing under IOSA, nor shall such viewing or sharing be used as a mechanism for bypassing the provisions of the official IAR access process contained in IPM 6.9;
- ii) neither the IAR, nor a copy of the IAR, shall be furnished to any other party; the IAR and any copies shall remain on the property of and/or in the physical possession of the Operator.

6.6 IAR Custodianship

6.6.1 IATA shall be the official custodian of all IARs and shall have a database (IOSA Database) that shall be the system repository for the IARs from every Audit conducted under IOSA.

6.6.2 The Operator shall be the sole determiner and provider of authorisation for access to an IAR from the IOSA Database.

6.7 IAR Retention

6.7.1 The AO shall have a process to retain a copy of the IAR in its own records for two (2) years after the completion of an Audit. Such process shall ensure the confidentiality and security of the report and, except as provided in IPM 6.3, shall preclude release of the IAR, or a copy of the IAR, to any other entity or party except the Operator.

6.7.2 The AO shall have a process to ensure all unofficial working documents not part of the IAR as specified in IPM 6.1.2 (working checklists, field notes, manuals, electronic working files, etc.) are disposed of as soon as the IAR has been entered into the IOSA Database.

6.7.3 (Intentionally open)

6.7.4 In cases when an Operator has not been able to successfully close Findings within the specified maximum timeframe provided in IPM Section 5, the AO shall retain the audit data for at least 30 calendar days beyond the nominal closure deadline.

6.7.5 Once received by IATA, a final IAR shall replace the previous report in the IOSA Database. The previous two IARs shall be retained in an archive file.

6.8 IOSA Database

6.8.1 IATA shall establish the IOSA Database for the purpose of retaining, analysing and accessing all IARs resulting from audits under IOSA.

6.8.2 The IOSA Database shall be the sole source of official access to an IAR in conformity with provisions in IPM 6.5 and 6.9; the Operator shall be the sole determiner and provider of authorisation for official access to an IAR.

6.8.3 The IOSA Database shall be managed by IATA in a manner that ensures the security, confidentiality and integrity of information contained in IARs.

6.8.4 Any analysis of IOSA data by IATA shall always be accomplished in conformity with provisions in IPM 6.10.

6.9 IAR Access

6.9.1 An Interested Party seeking access to an IAR shall submit a written request to IATA. Such request shall include the specific reason for requesting access to the IAR.

6.9.2 IATA shall not grant IAR access to an Interested Party or provide access to the IAR in a manner that would put the report at risk of public release or disclosure.

6.9.3 IATA shall provide access to an Interested Party only after the Operator has granted authorisation for such access.

6.9.4 Prior to having access to an IAR, IATA shall require an Interested Party to enter into an agreement that specifies the binding conditions associated with having access to an IAR.

6.9.5 Predicated on authorisation from the Operator, an AO shall have access to previous IARs when preparing to conduct an audit of an organisation that is currently a registered IOSA Operator.

6.9.6 IATA shall handle any request for access to an IAR, including archived reports, that ensures the security and confidentiality of the report. Such process shall include at least the following:

- i) obtaining authentication that verifies the identity of the requesting Interested Party;
- ii) ensuring that the Interested Party will not be subject to freedom of information or a similar type of provision that could result in the public release of the IAR;
- iii) procuring authorisation from the Operator for providing IAR access to the Interested Party;
- iv) granting the Interested Party actual access to the IAR from the IOSA Database.

6.10 IOSA Data Analysis

6.10.1 IATA shall conduct analysis of IAR information contained in the IOSA Database as a function of its responsibility for programme management, standardisation and quality oversight. Analysis of the IOSA Database shall be accomplished for the following purposes:

- i) monitoring of industry conformity with IOSA standards and recommended practices (ISARPs) for statistical safety reporting;
- ii) monitoring of industry conformity with recommended practices in determining consideration for upgrade to a standard;
- iii) monitoring of IAR content to evaluate AO and auditor standardisation;
- iv) other monitoring as necessary for quality assurance.

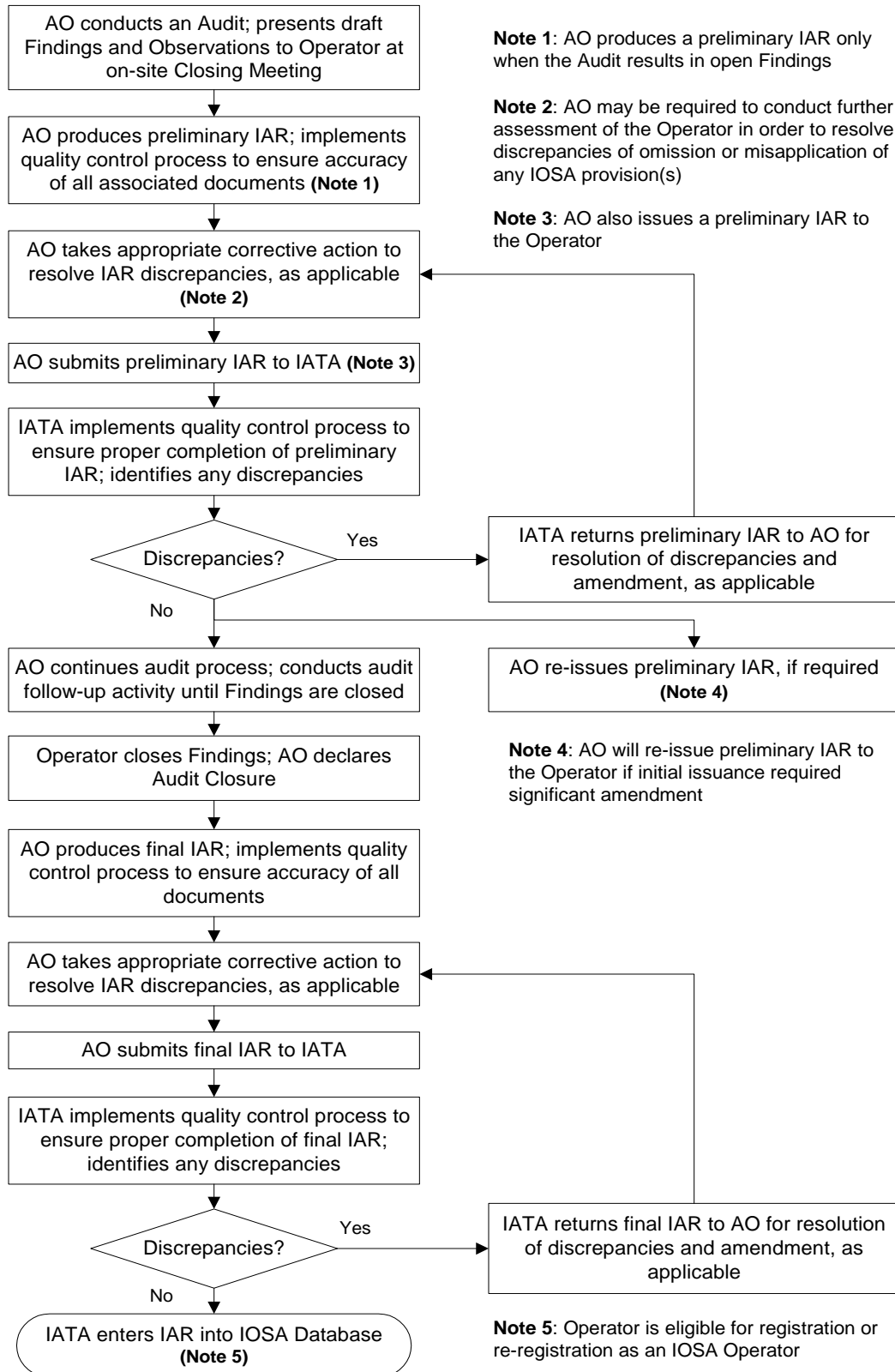
6.10.2 The following restrictions shall always apply to all data derived from IAR analyses conducted by IATA:

- i) data shall be quantitative and results shall be of a statistical nature only;
- ii) analytical results shall always be de-identified; the name of a specific Operator shall never be included or revealed;

- iii) analytical data shall never be structured, arrayed or arranged in a manner such that a specific IAR, Operator or AO could be identified.

6.10.3 Any proposed future use of the information in the IOSA Database for purposes other than those contained in IPM 6.10.1, such as analysis as part of the IATA Safety Trend Evaluation Analysis and Data Exchange System (STEADES), shall be in conformity with restrictions contained in IPM 6.10.2.

Figure 6.1 – IAR Quality Control Process Flow



SECTION 7 – AUDIT SHARING

Purpose

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

7.1 Description

7.1.1 Audit Sharing is a process whereby an Interested Party utilises the Audit of an Operator conducted by a third party under IOSA to satisfy its need for:

- i) an audit of that same Operator;
- ii) detailed information about the operations of that same Operator. (See Figure 7.1)

7.2 The Interested Party

7.2.1 An Interested Party that seeks to share an Audit under IOSA shall gain access to the IAR in accordance with provisions in IPM 6.9.

7.2.2 An Interested Party utilises the Audit Sharing process to achieve its own unique objective(s); therefore any operational, commercial or business decision(s) based on Audit Sharing shall always be the full responsibility of the Interested Party (e.g. a decision to enter into a code share agreement with an IOSA Operator).

7.2.3 An Interested Party shall understand that, when it shares an Audit of an Operator under IOSA to satisfy its own need for an audit of that Operator, it bears all responsibilities as if the Interested Party had conducted its own audit of that Operator.

7.2.4 An Interested Party shall understand that, when it shares an Audit of an Operator under IOSA, it bears the responsibility for providing its own ongoing monitoring of the operations of the audited Operator.

7.2.5 An Interested Party shall understand that the IAR, while designed to provide comprehensive information about an Audit, may not always resolve all needs. In such cases, an Interested Party may be required to seek clarification or additional information through direct communication with the IOSA Operator.

7.3 IATA

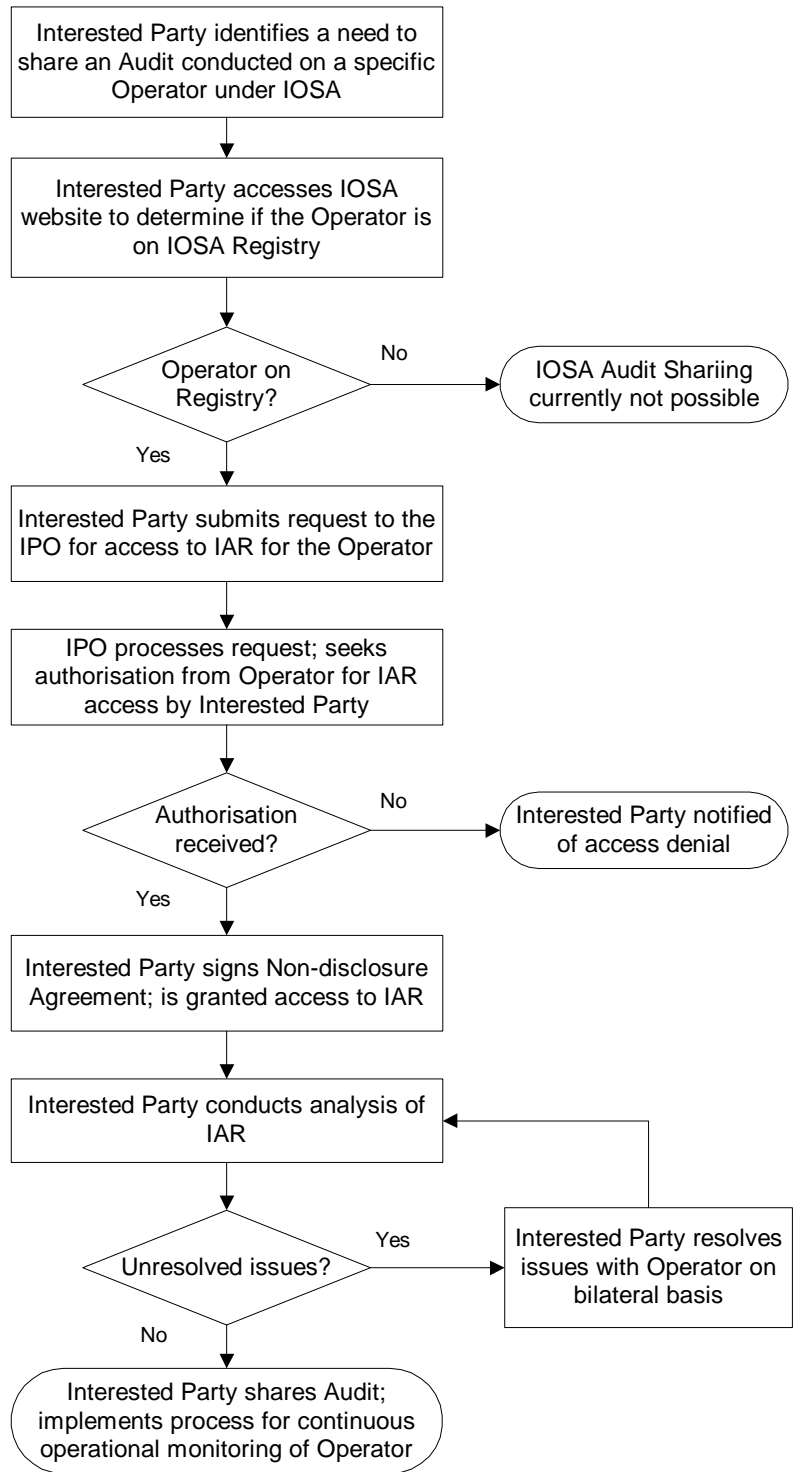
7.3.1 IATA is the official custodian of IARs in the IOSA Database and shall provide controlled IAR access to an Interested Party in accordance with provisions in IPM 6.9.

7.4 The Operator

7.4.1 The IAR is the sole and exclusive property of the Operator and access to a report shall be granted to an Interested Party by the IATA only after the Operator has specifically authorised such access in accordance with applicable provisions in IPM Section 6.

7.4.2 An Operator shall be permitted to request a preliminary IAR from an AO in accordance with IPM 6.3.2 for the purpose of coordinating commercial, operational or regulatory arrangements predicated on Audit Sharing (e.g. code-share agreements).

Figure 7.1 – IOSA Audit Sharing Process Flow



SECTION 8 – IOSA PROGRAMME MANAGEMENT

Purpose

IOSA was developed under IATA to provide the industry with an internationally recognised and accepted evaluation system for assessing the operational management and control systems of the world's airlines. To attain the desired level of recognition and acceptance, IATA, as steward of IOSA, must ensure the Programme embodies the high degree of quality, integrity and security necessary to build and maintain the confidence of those airlines, regulatory authorities and other entities within the industry that participate in the Programme and stand to reap the associated safety and cost benefits. This section of the IPM sets out programme management standards applicable to IATA for ensuring IOSA meets programme goals and maintains the highest possible level of quality, standardisation and consistency.

8.1 Organisation and Management System

8.1.1 IATA shall ensure the effective management and control of the IOSA Programme (Figure 8.1). IATA shall ensure an adequate provision of resources, to include facilities, personnel, equipment, information and other direct and ancillary resources necessary to effectively manage a programme of the magnitude of IOSA.

8.1.2 IATA shall establish and maintain an IOSA quality management system, which shall identify and implement processes necessary to support and complement the needs and objectives of the IOSA Programme. Processes shall be documented, structured and implemented in a manner consistent with accepted quality management principles.

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

8.1.4 IATA shall have processes for identification and elimination of the causes of nonconformities identified within the management system. Processes shall define requirements for:

- i) reviewing nonconformities;
- ii) determining the cause(s) of nonconformities;
- iii) evaluating action as necessary to ensure no recurrence;
- iv) determining and implementing corrective action;
- v) recording and reviewing the effectiveness of corrective action.

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

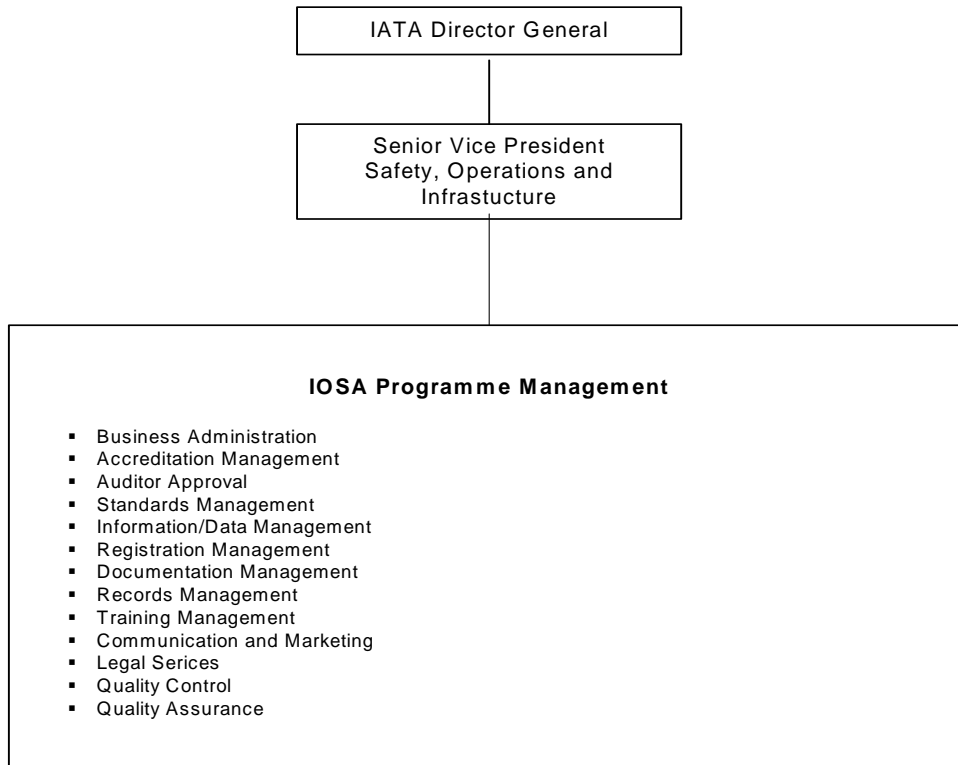
8.1.6 IATA shall have a process to permit a review of the IOSA management system by designated representatives from qualified interested entities. Such review shall be accommodated only after verification that the requesting entity has demonstrated an appropriate need or requirement to conduct such a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

Quality Manual

8.1.7 IATA shall have a quality manual that, at a minimum:

- i) sets out the scope of the management system;
- ii) describes and provides references for system processes and procedures;
- iii) describes the interaction among processes in the management system. (New provision)

Figure 8.1 – IOSA Programme Management System (Functional Overview)



8.2 Quality Assurance

8.2.1 IATA shall have a quality assurance (QA) programme that operates autonomously and:

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

8.2.2 The IOSA quality assurance programme shall include oversight processes (see Figure 8.2) that determine the level of conformity with published IOSA standards in all areas of the Programme. The scope and frequency of quality assurance oversight processes, as well as processes for planning, implementation and follow-up, shall be defined and published in programme documentation.

8.2.3 The IOSA quality assurance programme shall include processes for identification and elimination of the causes of nonconformities identified within the management and control system. Processes shall define requirements for:

- i) reviewing nonconformities;
- ii) determining the cause(s) of nonconformities;
- iii) evaluating action as necessary to ensure no recurrence;
- iv) determining and implementing corrective action;
- v) recording and reviewing the effectiveness of corrective action.

8.2.4 The IOSA quality assurance programme shall include oversight of each Audit Organisation (AO) to ensure ongoing compliance with IPM standards. Oversight of AOs shall include audits and/or observations conducted on a periodic basis. As a minimum, the programme shall focus on compliance and standardisation in the following areas of AO operations:

- i) implementation of the Audit process;
- ii) management of documentation and data;
- iii) qualifications and currency of Auditors;
- iv) maintenance of auditor records;
- v) completion of the IOSA Audit Report (IAR), including attachment documents;
- vi) conveyance of IOSA documents;
- vii) implementation of quality assurance.

8.2.5 The IOSA quality assurance programme shall include oversight of each Endorsed Training Organisation (ETO) to ensure ongoing compliance with IPM standards. Oversight of ETOs shall include audits and observations conducted on a periodic basis. As a minimum, the programme shall focus on compliance and standardisation in the following areas of ETO operations:

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

8.2.6 IATA shall appoint an appropriately qualified individual as Assistant Director, Quality Assurance, who shall have responsibility for implementation of the IOSA QA programme. The

Assistant Director, Quality Assurance shall have operational separation and shall report directly to the Senior Vice President of Safety, Operations and Infrastructure (SO&I).

8.2.7 The Assistant Director, Quality Assurance shall have specific responsibilities and delegated authority that include, as a minimum:

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

8.2.8 IATA shall have standards for personnel that perform observations and/or audits under the IOSA quality assurance programme. Such standards shall specify prerequisites that ensure an observer has, prior to conducting a quality assurance observation:

- i) been recommended to IATA;
- ii) conducted operational audits in airline operations;
- iii) completed the IAT course;
- iv) completed special training conducted by IATA.

8.2.9 – 8.2.10 Intentionally open

Monitoring Programmes

8.2.11 IATA shall have a monitoring programme, which is part of the quality assurance programme and provides for ongoing surveillance of registered IOSA Operators for the purpose of ensuring:

- i) ongoing conformity with IOSA Programme standards;
- ii) standardised AO performance;
- iii) sustained programme quality and integrity.

8.2.12 – 8.2.13 Intentionally open

IAR Quality Control

8.2.14 IATA shall have a quality control process applicable to the IAR, which shall be implemented in full or in part at the discretion of IATA. Such process shall provide for the review of IARs to ensure:

- i) details of the Audit are accurately described;
- ii) documents comprising the report 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 supporting references from operational manuals;

- vi) checklist items of nonconformity (Findings and Observations) have documented supporting factual evidence;
- vii) checklist items of non-applicability (N/As) have a documented explanation;
- viii) if applicable, the application of Active Implementation (AI) is correctly documented;
- ix) closure of Findings in each CAR includes an accurate description and justification of the method(s) used by the AO to verify implementation of corrective action, to include interim corrective action, if applicable.

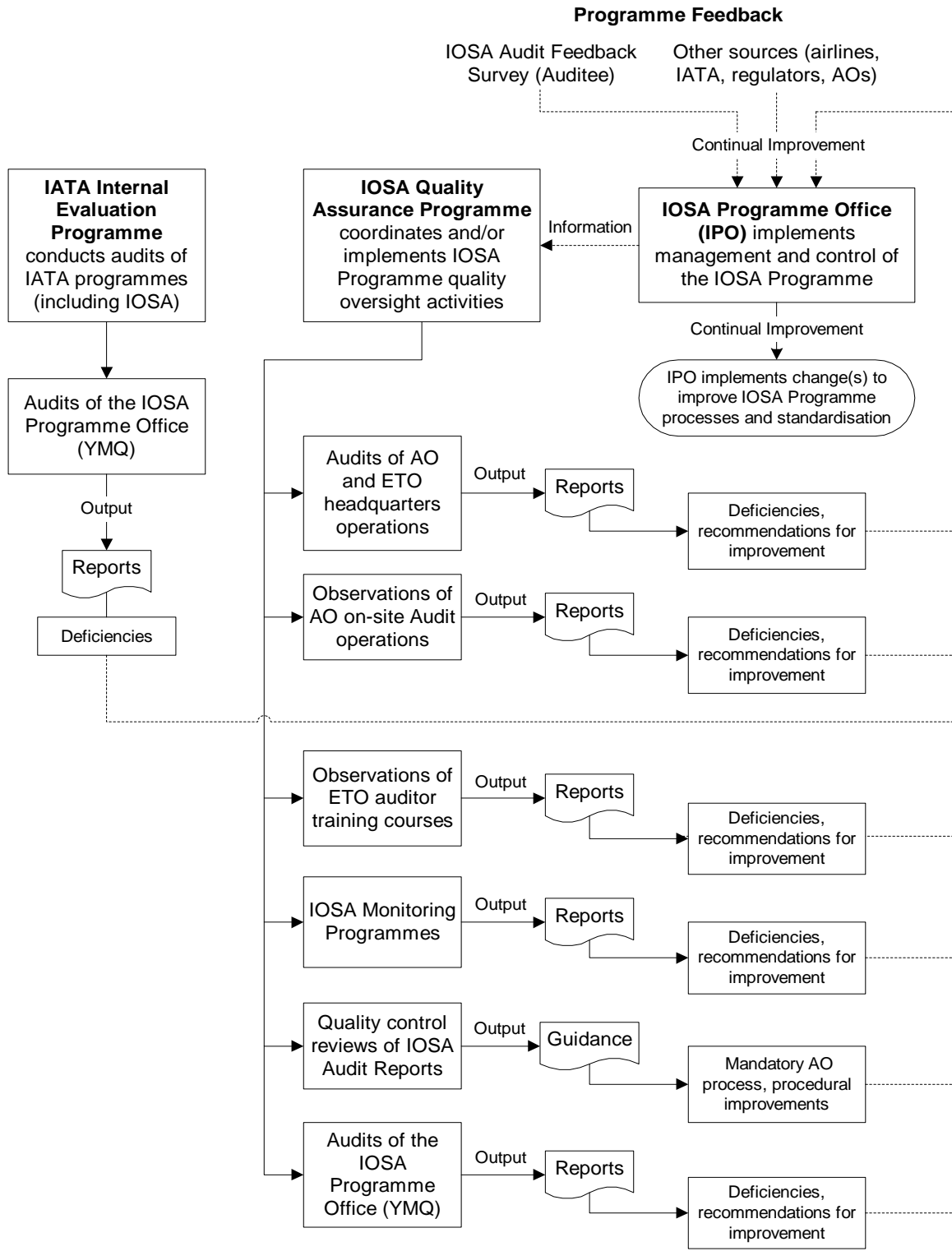
8.2.15 IATA shall have a process to ensure any discrepancies found in an IAR as a result of implementation of the quality control process in accordance with IPM 8.2.14 are conveyed to the AO that conducted the Audit for subsequent resolution, revision and re-issuance, as applicable.

Audit Invalidation

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

- i) an Audit that was not conducted in accordance with standards in this IPM;
- ii) an Audit that was conducted with a non-approved Auditor;
- iii) a conflict of interest existed in association with the conduct of an Audit;
- iv) the AOC of the Operator has been revoked;
- v) merger, takeover or consolidation involving the Operator;
- vi) the validity of an Audit has expired as specified in IPM 2.2.1.

Figure 8.2 – IOSA Quality Assurance Programme (Functional Overview)



8.3 Customer Relations

8.3.1 IATA shall have a process to ensure internal and external customers are identified and further ensure general customer expectations are met on a continuing basis. IATA shall identify and ensure implementation of periodic surveys (or other similar means) for obtaining customer feedback to define customer expectations, determine levels of satisfaction and improve overall service.

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

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

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

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

8.4 Accreditation Management

8.4.1 IATA shall have a process to accredit an Audit Organisation (AO) in accordance with IPM Section 1. The accreditation process shall include due diligence to ensure a candidate for AO:

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

8.4.2 IATA shall have a process to accredit an Endorsed Training Organisation (ETO) to present the IAT course in accordance with provisions in IPM Section 10. The IATA accreditation process shall ensure a candidate for ETO:

- i) is in compliance with the ETO Agreement;
- ii) meets required managerial, financial and other performance standards;
- iii) is in compliance with applicable provisions in the IPM;
- iv) has sufficient instructors with appropriate expertise for delivery of IOSA auditor training;
- v) has adequate facilities, equipment and other resources to function as an ETO.

8.4.3 IATA shall ensure accreditation processes as specified in IPM 8.4.1 and 8.4.2 are conducted by personnel with appropriate expertise and qualifications in the areas of:

- i) airline operations;
- ii) quality audit;

- iii) quality management;
- iv) business and finance;
- v) applicable law (legal).

8.4.4 IATA shall have a process for AO accreditation renewal in accordance with IPM 1.13.1.

8.4.5 IATA shall provide guidance to AOs, ETOs and other relevant entities regarding management of the IATA brand, to include, but not be limited to:

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

8.5 Auditor Approval

8.5.1 IATA shall have a process, as part of the initial AO accreditation process, for conducting personal interviews of selected auditors from the proposed list of initial cadre IOSA Auditors made available by a candidate for accreditation as an AO in accordance with IPM 1.2.8. The selection and number of proposed auditors interviewed shall be at the sole discretion of IATA.

8.5.2 IATA shall have a process for addressing exemption requests in accordance with IPM 3.3.7 (highly experienced auditors), to include:

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

Auditor Qualification Record (AQR)

8.5.3 IATA shall have a process to review and provide approval of an Auditor Qualification Record (AQR)* when submitted by an AO in accordance with applicable provisions in IPM Section 3. Approval of an AQR shall mean proper completion of the relevant auditor qualification process has been verified by IATA and, accordingly:

- i) the AO shall update its list of approved IOSA Auditors (with the new Auditor qualification);
- ii) IATA shall update the master list of IOSA Auditors.

(* See IOSA Definitions)

Master List of Approved IOSA Auditors

8.5.4 IATA shall have a process for maintaining the IATA Master List of Approved IOSA Auditors in order to ensure the availability of an up-to-date qualification status of each Auditor in the IOSA system. Such process shall incorporate use of the AQR in accordance with IPM 8.11.3 and ensure the master list is always updated in a timely manner to reflect, applicable to the master list for each AO:

- i) the addition of new Auditors;
- ii) the removal of existing Auditors;
- iii) the upgrade of existing Auditors to Lead Auditor or Evaluator;
- iv) additional operational audit disciplines for existing Auditors.

Auditor Qualifications Currency

8.5.5 IATA shall have a process for maintaining an up-to-date record of the status of the currency of Auditor qualifications as specified in provisions contained in IPM 3.13, 3.14, 3.15 and 3.16, applicable to each Auditor on the IATA Master List of Approved Auditors.

8.6 Standards Management

8.6.1 IATA shall have a process for the effective management of all standards contained in the ISM and IPM to ensure IOSA is responsive to and meets the needs of IATA members and the airline industry. Standards management processes shall be managed by IATA and shall ensure IOSA standards:

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

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

8.6.3 IATA shall have processes for application of the IOSA Standards Change Management Process (Figure 8.3) and the IOSA Standards Special Review Process (Figure 8.4).

8.6.4 IATA shall have a process to maintain a record of Findings withdrawn in accordance with IPM 5.11.4.

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

8.7 Information and Data Management

8.7.1 IATA shall have process for management of the web-based Electronic Audit System (EAS), to ensure:

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

8.7.2 IATA shall have a process for management of the IOSA Database, including rules and procedures that ensure the security, confidentiality and integrity of information contained in IARs.

8.8 Registration Management

8.8.1 IATA shall have a process for the management of the IOSA Registry in accordance with applicable provisions in IPM Section 2, which shall address, as a minimum:

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

8.8.2 IATA shall have a process to provide a notification of registration renewal to a registered IOSA Operator at a point approximately six months prior to the expiration date of the current registration.

8.8.3 IATA shall have an audit review process in place to evaluate and determine the validity of a claim of extenuating circumstances submitted in accordance with IPM 2.5.6. Such process shall

ensure the applicable operator and AO are consulted in making a final decision as to the validity of a claim of extenuating circumstances. A claim of extenuating circumstances shall only be granted by the Senior Vice President, SO&I.

8.8.4 IATA shall have a process for the review and approval or non-approval of a request for a registration with exclusions in accordance with IPM 2.1.4, 2.1.5 and 2.1.6.

8.8.5 IATA shall have a process for the review and approval or non-approval of a request for inclusion of interim corrective action in the acceptance of a Corrective Action Plan (CAP) in accordance with IPM 2.5.12 and 5.9.3.

8.8.6 IATA shall have a process to notify Interested Parties when a Registered IOSA Operator notifies the IPO of circumstances or conditions set out in IPM 2.6.1.

8.9 Documentation Management

8.9.1 IATA shall have a process for the management and control of documents associated with the IOSA Programme. With respect to controlled documents, the process shall ensure documents are easily identifiable with legible content and define controls and/or protocols for:

- i) approval prior to issue;
- ii) review and revision process;
- iii) archiving of previous versions;
- iv) identification of change and revision status of current versions;
- v) user notification for issuance of temporary and normal revisions;
- vi) ready availability of current versions for applicable users;
- vii) identification and distribution control for documents of external origin;
- viii) identification of documents that are obsolete.

Legal Documents

8.9.2 IATA shall utilise appropriate legal resources and expertise to ensure contractual documents associated with IOSA are reviewed and maintained as necessary for fulfilment of Programme needs. Such contractual documents include, but are not limited to, the IOSA Audit Agreement, the IOSA Accreditation Agreement, the ETO Agreement and various non-disclosure agreements.

8.9.3 IATA shall have procedures for producing and distributing the Audit Agreement template and any other required legal documents associated with the IOSA Programme to appropriate parties on a timely basis. Additionally, IATA shall communicate changes to the Audit Agreement to appropriate parties a minimum of thirty (30) calendar days prior to such changes becoming effective.

IAR

8.9.4 IATA shall have a process for receipt and acceptance of a final IAR from the AO. Such process shall ensure:

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

8.9.5 IATA shall have a process to handle requests for access to an IAR in accordance with IPM 6.9.6.

8.10 Records Management

8.10.1 IATA shall have a process for effective management and control of records associated with the IOSA Programme. With respect to records retained by IATA, the process shall ensure records are legible, easily identifiable and retrievable. Controls shall be defined for:

- i) identification;
- ii) storage;
- iii) protection;
- iv) security;
- v) backup (electronic records only);
- vi) retrieval;
- vii) retention time;
- viii) disposition.

8.11 Training Management

8.11.1 IATA shall have a process for approving all IAT Instructors based on an evaluation of performance while conducting the IAT course. IATA shall assess the performance of IAT Instructors:

- i) as the final step in the qualification process as the basis for initial approval;
- ii) once during each period of two (2) consecutive calendar years for continuing approval.

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

8.11.3 To ensure standardised administration of the IAT course and the IAT written examination in accordance with IPM Section 10, IATA shall have a process to provide each ETO with the following:

- i) IAT Course Administration Guide;
- ii) IAT Written Examination Guide.

8.11.4 IATA shall have a process for the development and revision of a bank of questions (Q-book) that will be utilised for the IAT written examination.

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

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

8.12 Communication and Marketing

8.12.1 IATA shall have a process for the issuance of AO Alerts, which serve as the formal means for communicating and notifying AOs of urgent IOSA Programme issues that require immediate reference and/or action by the AO. An AO Alert is an interim notification that remains in effect until cancelled by IATA.

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

8.12.3 IATA shall have a process for maintaining password-restricted IOSA websites for the purpose of posting information, documents, references and other material relevant to the IOSA Programme. A restricted website shall be made available for use by designated individuals from:

- i) each AO,
- ii) the IOC;
- iii) regulatory authorities.

8.12.4 IATA shall have a process to respond to an AO and/or IOSA Operator seeking written authority for the issuance of any communication releases or marketing material in accordance with IPM 2.9.1.

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

Figure 8.3 – IOSA Standards Change Management Process Flow

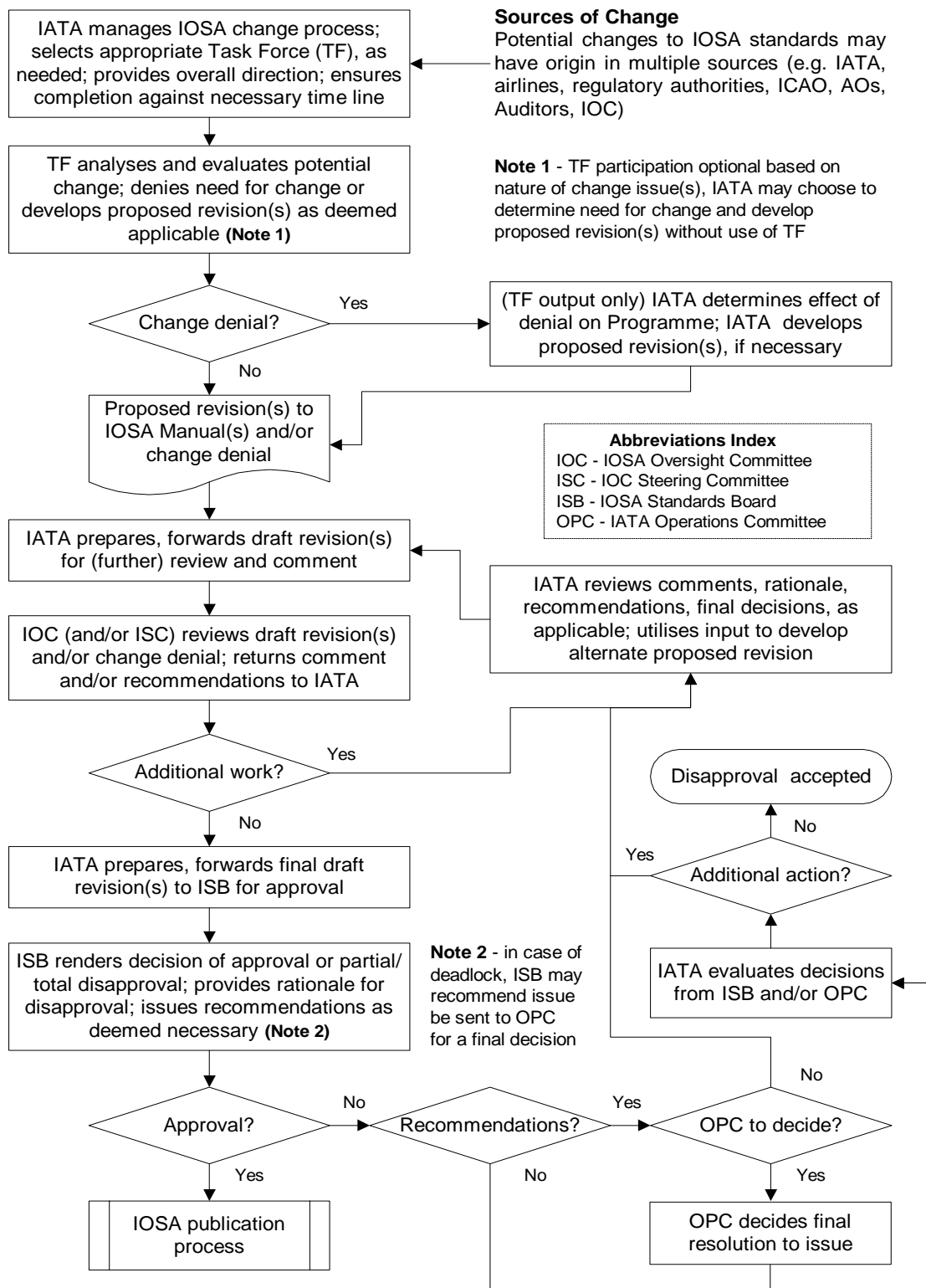
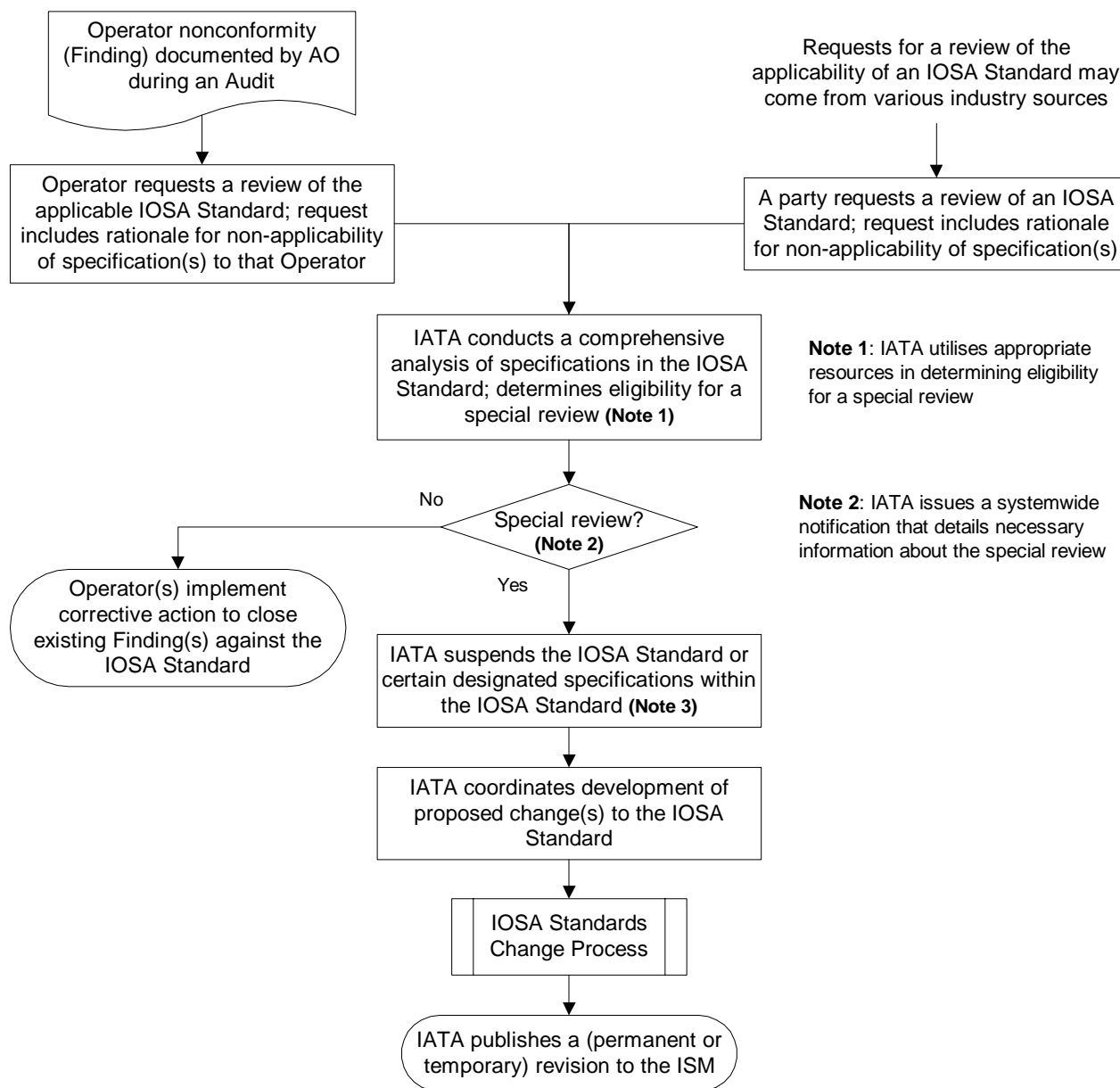


Figure 8.4 – IOSA Standards Special Review Process Flow



Note 3

- When an IOSA Standard, or any specification within a Standard, is suspended, such Standard or specification is not applicable (N/A) for an Audit during the suspension
- When a specification within a Standard is under suspension during the time of an Audit, conformity with all non-suspended specifications within that standard is required.
- Refer to IPM 5.11.4 for the treatment of an open Finding against a Standard or specification that has been suspended.

SECTION 9 – DISPUTE RESOLUTION

Purpose

This section of the IPM sets out standards for resolution procedures to be followed whenever a dispute arises between or among parties that are signatories to an IOSA Accreditation Agreement and/or Audit Agreement. Such parties may include IATA, an AO or an Operator (referred to as the “Auditee”). (see Figure 9.1)

9.1 Applicability

9.1.1 The dispute resolution procedures in this IPM Section 9 shall be applied when specific dispute resolution mechanisms and/or consultative procedures contained in other provisions in this IPM have been exhausted.

9.2 Accreditation Agreement and Audit Agreement

9.2.1 The dispute resolution procedures provided for in this IPM Section 9 shall be set out in the Accreditation Agreement and the Audit Agreement.

9.3 Dispute Resolution

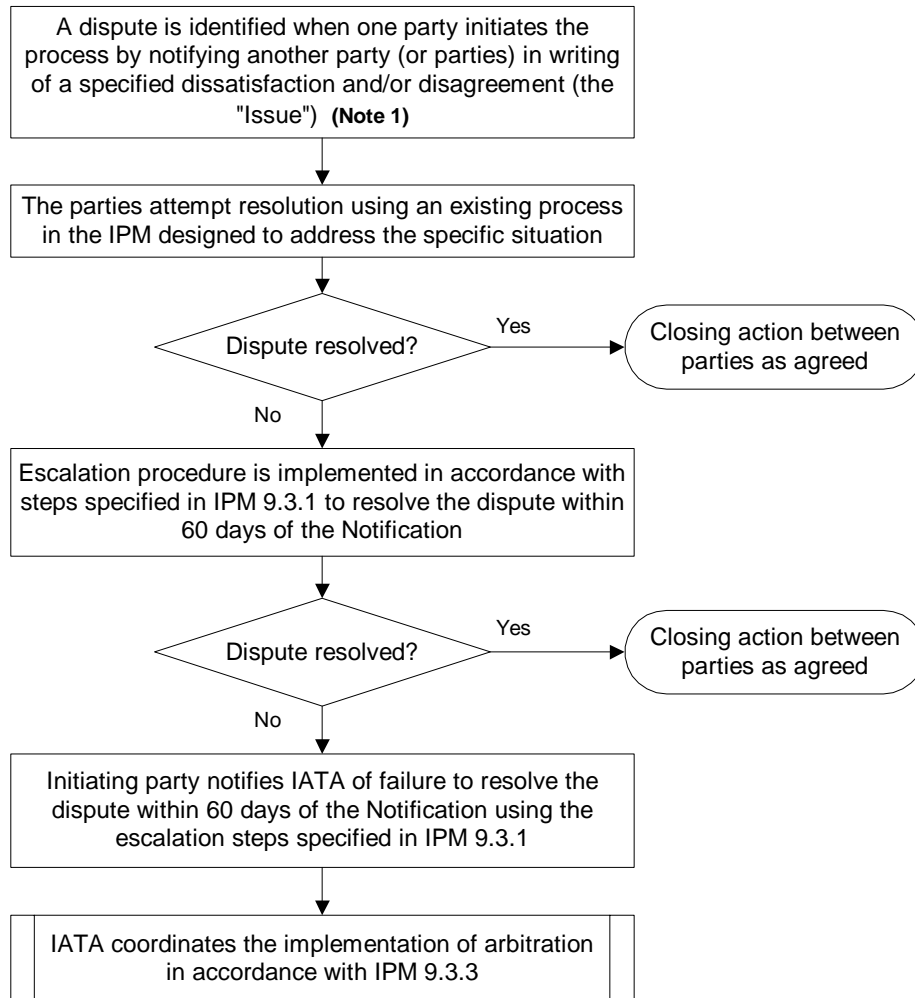
9.3.1 Before a party seeks to initiate any external dispute resolution in relation to a dispute, such initiating party shall follow the escalation procedure as set out below:

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

9.3.2 For the purposes of this IPM 9.3, the representatives of each party shall be the persons named in the notice provisions of the Accreditation Agreement and/or the Audit Agreement, as the case may be.

9.3.3 Any dispute not resolved through implementation of the steps specified in IPM 9.3.1 within sixty (60) calendar days of the date of Notification will be exclusively and finally settled by arbitration under the Rules of Conciliation and Arbitration of the International Chamber of Commerce.

Figure 9.1 – IOSA Dispute Resolution Process Flow



SECTION 10 – ETO ACCREDITATION

Purpose

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

10.1 Accreditation General

10.1.1 A candidate for accreditation as an ETO shall be in conformity with applicable provisions in this IPM, in order to become accredited as an ETO. A description of the accreditation process flow is depicted in Figure 10.1

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

10.1.3 The culmination of the accreditation process shall result in the following:

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

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

10.1.5 An ETO shall be subject to ongoing quality assurance review and monitoring by IATA during a term of accreditation.

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

- i) experience financial difficulties, significant management turnover, or transfer of company ownership;
- ii) be the subject of sustained industry reports of unprofessional practices or performance deficiencies;
- iii) fail to comply with any applicable laws in any jurisdictions in which the ETO conducts business;
- iv) breach the ETO Accreditation Agreement;
- v) fail to pay accreditation or other related fees;
- vi) fail to meet an acceptable level of quality in delivery of the IAT course;
- vii) experience other circumstances or situations deemed by IATA to be potentially detrimental to or jeopardise the reputation of IOSA.

10.1.7 Notwithstanding IPM 10.1.8, the ETO Accreditation Agreement made between IATA and an ETO may be terminated and the accreditation status of the relevant ETO thereby lost, in certain circumstances as set out in the ETO Accreditation Agreement.

10.1.8 Accreditation of an ETO shall be terminated should an ETO cease providing aviation training services.

10.1.9 The provisions of this IPM are, unless otherwise provided, incorporated by reference in the ETO Accreditation Agreement and, in the event of any inconsistency between the terms of this IPM

and the ETO Accreditation Agreement, the ETO Accreditation Agreement shall prevail to the extent of the inconsistency.

10.1.10 An ETO shall fulfil those representations and warranties as set out in the ETO Accreditation Agreement.

10.2 Accreditation Requirements

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

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

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

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

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

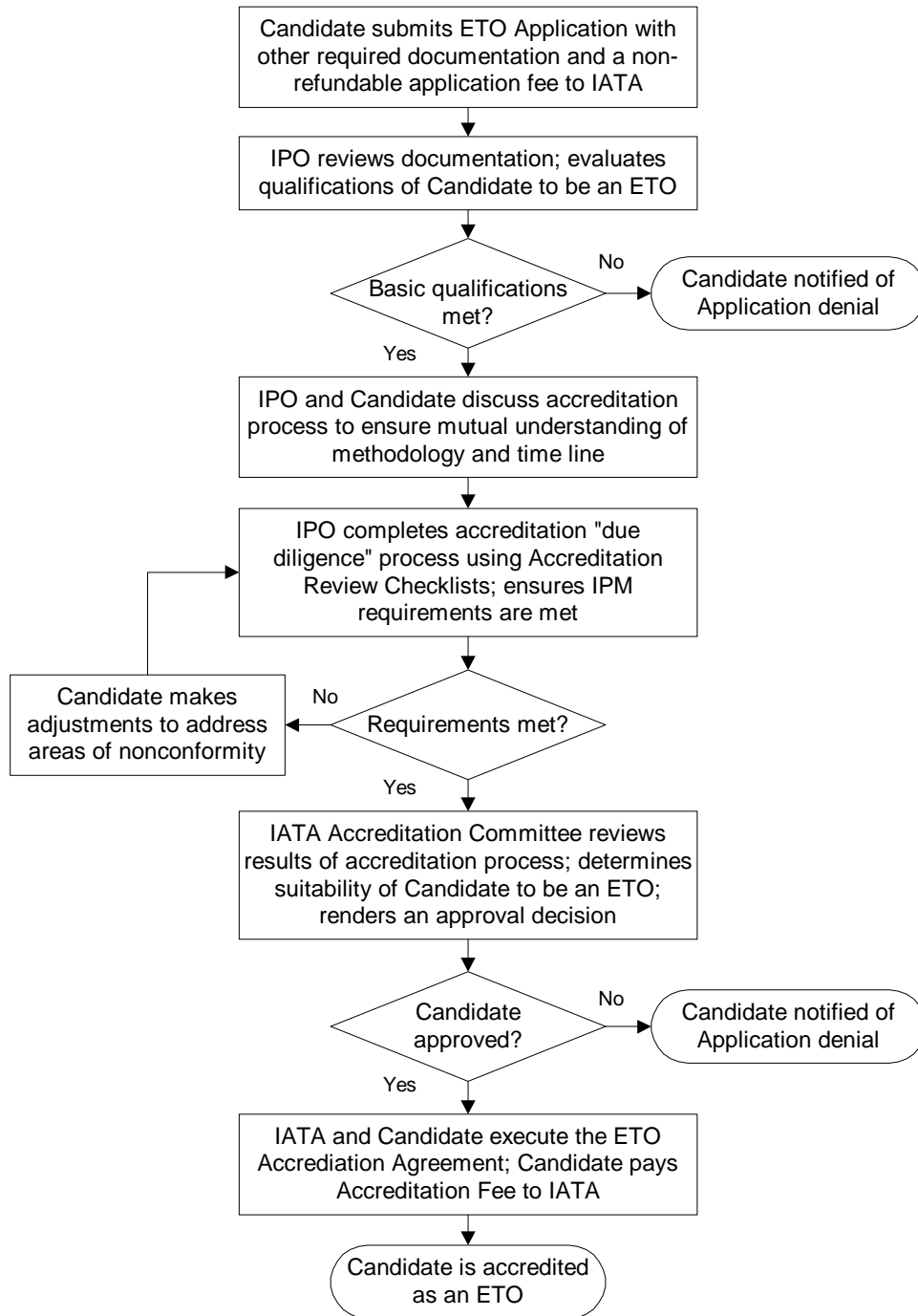
10.2.4 A candidate for accreditation as an ETO shall provide for review and evaluation, by IATA, of its administration and operations, to include personnel, facilities, equipment and other resources associated with producing and/or presenting the IAT course.

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

10.2.6 A candidate for accreditation as an ETO shall provide a completed IAT Instructor Data File and curriculum vitae (CV) for each instructor proposed to conduct the IAT course.

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

Figure 10.1 – ETO Accreditation Process Flow



10.3 Observation and Monitoring

10.3.1 As part of the IOSA quality assurance programme, an ETO, with appropriate coordination, shall agree to periodic observation/evaluation by IATA of training being conducted by observers selected and trained by IATA as part of the ongoing quality assurance review and monitoring programme.

10.3.2 As part of the IOSA quality assurance programme, an ETO shall agree to periodic reviews by IATA of all documentation and records associated with delivery of the IAT course.

10.3.3 As part of the IOSA quality assurance programme, an ETO shall agree to periodic access by IATA, with prior notice, to personnel, facilities, equipment and other areas associated with the organisational administration and delivery of the IAT course

10.3.4 As part of the IOSA quality assurance programme, an ETO, with appropriate coordination, shall agree to periodic observations by representatives of parties approved by IATA.

10.4 Conflict of Interest

10.4.1 An ETO shall be permitted to have a simultaneous accreditation as an AO, but in such case, to preclude conflict of interest between its functions as an AO and an ETO, shall have an ETO business plan that ensures an allocation of training resources in accordance with IPM 10.4.1. Furthermore, an ETO shall have policies that incorporate the following:

- i) delivery of the IAT course clearly defined as the primary business role;
- ii) business plan and objectives that are independent and separate from the AO function;
- iii) non-solicitation of auditors attending IAT courses;
- iv) appointment of instructors who are impartial and objective when conducting IAT courses.

10.4.2 An ETO that has simultaneous accreditation as an AO shall have a policy that specifies satisfaction of the auditor training needs of the IOSA Programme as the primary priority. In the event of a conflict between a scheduled IAT course and an Audit, the scheduled IAT course shall take precedence over the Audit. Such policy shall ensure other business functions performed or undertaken by an ETO, if any, in no way conflict or interfere with the scheduling or delivery of IAT courses. An ETO shall ensure the availability of sufficient resources to meet the requirements for IAT, to include:

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

10.4.3 An ETO shall have a process to disclose a potential conflict of interest to IATA as soon as practicable.

10.5 Organisation and Management

10.5.1 An ETO shall have an organisation and management system that supports effective delivery of the IAT course, including:

- i) clearly defined lines of managerial authority and responsibilities;
- ii) documented administrative and operational policies, processes and procedures;

- iii) provision of adequate resources including support staff, equipment and facilities;
- v) managerial control, including oversight and quality assurance.

10.5.2 An ETO shall maintain a current listing of key individuals within its organisation associated with the IOSA programme, to include associated contact information. A current listing shall be provided to IATA within seven (7) calendar days following any revision to information contained therein.

10.6 Quality Assurance

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

10.6.2 An ETO shall appoint an official within its organisation who has responsibility for the quality assurance programme and continuous improvement of the Audit programme.

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

10.7 Facilities and Resources

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

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

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

- i) ready availability of air conditioned and well lit classroom space that will comfortably accommodate twenty (20) trainees over a five-day course;
- ii) work tables or desks and ergonomic chairs;
- iii) data/overhead projector(s) and projector screen(s) and audio-video equipment;
- iv) vertical writing media (flip charts, chalkboards, whiteboards, etc.).

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

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

10.8 Documentation System

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

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

10.8.3 An ETO shall have procedures for reviewing, revising, updating, maintaining and distributing manuals relevant to the IAT course in a timely manner. Procedures shall ensure applicable documents are reviewed and amended, as appropriate, whenever the IPM is revised.

10.8.4 An ETO shall have a distribution process that ensures IAT instructors and other personnel associated with delivery of the IAT course have ready access to current versions of relevant IOSA documents.

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

10.9 Records System

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

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

10.10 Instructor Qualification Prerequisites

10.10.1 An ETO shall have a process to ensure candidates for IAT Instructor submit evidence to the ETO, including a curriculum vitae, a completed IOSA Instructor Data File and personal references, that verifies a candidate's professional background in terms of education, auditor certification or training, operational experience, audit experience and instructor experience.

10.10.2 An ETO shall have a process to ensure candidates for IAT Instructor, as a minimum, satisfy the following qualification prerequisites:

- i) meet basic IOSA Auditor qualification prerequisites in accordance with IPM 3.3, 3.4, 3.5, 3.6 and 3.7, if applicable;
- ii) have completed the IAT course;
- iii) have conducted or observed one complete Audit under IOSA within the twenty four (24) months prior to application as an IAT Instructor.

10.10.3 An ETO shall have a process to ensure, in addition to prerequisites set out in IPM 10.9.2, candidates for IAT Instructor have a minimum of two (2) years experience delivering training in one of the following areas:

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

10.11 Instructor Initial Qualification and Approval

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

- i) submit a completed IAT Instructor Data File, curriculum vitae (CV) and personal references to the candidate ETO, as applicable;

- ii) meet Instructor Qualification Prerequisites in accordance with IPM 10.10;
- iii) complete a personal interview by IATA to verify instructor prerequisites are met in accordance with IPM 10.10;
- iv) conduct a portion of one (1) IAT course under the observation and evaluation of an IATA representative;
- v) be recommended by IATA for approval as an initial IAT instructor.

10.11.2 Only those IAT Instructor(s) approved under the initial accreditation process in accordance with IPM 10.11.1 shall be permitted to conduct the IAT course for a newly accredited ETO.

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

- i) submit a completed IAT Instructor Data File, curriculum vitae (CV) and personal references to the candidate ETO, as applicable;
- ii) meet Instructor Qualification Prerequisites in accordance with IPM 10.10;
- iii) observe a minimum of one (1) complete IAT course conducted by an approved IAT Instructor;
- iv) conduct a minimum of one complete IAT course under the supervision of an approved IAT Instructor;
- v) if required, receive additional training-to-proficiency during the qualification process;
- vi) conduct a portion of one IAT course under the observation and evaluation of an IATA representative;
- vii) be recommended to the ETO by IATA for approval as an IAT Instructor.

Note 1: Steps of this process shall be completed in sequence.

Note 2: An instructor may not be utilised to conduct an IAT course without the supervision of an approved IAT instructor until approval has been recommended to the ETO by IATA.

10.11.4 A candidate for IAT Instructor who has conducted a minimum of three (3) Audits as a Lead Auditor shall be required to complete the qualification process in accordance with IPM 10.11.3, except such candidate shall not be required to conduct a minimum of one (1) IAT course under the supervision of an approved IAT Instructor.

10.12 Instructor Continuing Qualification

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

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

10.12.3 An IAT instructor that has not satisfied requirements set out in IPM 10.12.1 and 10.12.2 shall no longer be considered qualified and shall not be utilised by an ETO to deliver IAT.

10.12.4 An instructor who has lost qualification by failing to meet the requirements set out in IPM 10.12.1 and/or 10.12.2 shall re-establish approval as an IAT Instructor by satisfying either or both of the following, as applicable:

- i) conducting or observing a complete Audit in accordance with IPM 10.12.1;

- ii) completing a performance assessment in accordance with IPM 10.12.2.

10.13 Instructor Administration

10.13.1 An ETO shall have a selection process for IAT Instructors that ensures each successful candidate meets prerequisites as specified in IPM 10.10.

10.13.2 An ETO shall have a process for the qualification and approval of IAT Instructors in accordance with IPM 10.11.3.

10.13.3 An ETO shall have a process for forwarding amended information to IATA in a timely manner whenever the status of an IAT Instructor has changed.

10.13.4 An ETO shall have a process for maintaining the training and qualification records of IAT Instructors. An IAT Instructor qualification file shall, as a minimum, include the following:

- i) completed IAT Instructor Data File;
- ii) up-to-date curriculum vitae;
- iii) licenses, certificates, diplomas, as applicable;
- iv) additional documented evidence that supports competence and acceptance qualification prerequisites in accordance with IPM 10.10;
- v) records of completion of initial and continuing qualification requirements.

10.13.5 An ETO shall have a process for communicating with and distributing current and relevant information to IAT Instructors in a timely manner.

10.14 Course Administration

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

- i) course coordination and logistics;
- ii) course scheduling;
- iii) advanced assessment of course attendance in accordance with IPM 10.14.2;
- iv) assignment of instructor(s), including a contingency reserve;
- v) registration of trainees;
- vi) verification of trainee background and capabilities in accordance with IPM 10.14.3;
- vii) arrangements for suitable facilities and equipment as set out in IPM 10.7.2;
- viii) communication of pre-course notifications and information;
- ix) provision of course materials;
- x) facilitation of travel and accommodations, as applicable;
- xi) invoicing and fee collection;
- xii) communication of post-course information, including course results.

10.14.2 An ETO shall have a process for making an advanced assessment of IAT course attendance, which shall be completed a minimum of twenty (20) calendar days prior to the scheduled start date of a scheduled course. The ETO shall:

- i) determine if a sufficient number of trainees are planning to attend the course;
- ii) if planned attendance is insufficient, ensure coordination with IATA in making a determination whether a scheduled course should be cancelled;

- iii) if planned attendance is sufficient, submit a list of trainees planning to attend the scheduled course, to include name and organisation for each trainee;
- iv) notify all affected parties should a course be cancelled.

10.14.3 An ETO shall have a process for verifying the background and capabilities of individuals who have requested to attend an IAT course and who are not candidates for IOSA Auditor under the sponsorship of an AO (e.g. representatives of regulatory authorities, private individuals). The following apply to such individuals as potential attendees:

- i) shall be sufficiently qualified and experienced such that the conduct and order of the IAT course is in no way diminished;
- ii) shall be capable of understanding and contributing to all course activities and exercises;
- iii) IATA, at its sole discretion, shall have the option of denial of attendance.

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

- i) IAT syllabus;
- ii) IOSA Programme Manual;
- iii) IOSA Standards Manual;
- iv) IOSA Audit Handbook;
- v) IOSA Checklists (including line and simulator observation checklists);
- vi) IOSA Audit Report;

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

10.14.6 An ETO shall have a process for in-company training, which shall entail coordination with an AO for delivery of an IAT course at a location and date that has been mutually agreed to by the AO and ETO for the purpose of meeting specific auditor training needs of the AO. The process for in-company training shall ensure:

- i) availability of facilities and equipment suitable for delivery of IAT as set out in IPM 10.7.2;
- ii) agreement with the host AO on satisfaction of costs associated with the delivery of an IAT course;
- iii) agreement with the host AO on issues associated with attendance by trainees not sponsored by the host AO, if applicable;
- iv) timely notification to IATA of the location and date of the IAT course.

10.14.7 An ETO shall have a process to ensure that completed IOSA Auditor Training Feedback forms are received back from all trainees in a sealed envelope.

10.15 Written Examination Administration

10.15.1 An ETO shall have procedures for administration of the written examination at the completion of the IAT course in accordance with the IAT Written Examination Guide. The questions contained in any specific IAT written examination shall be selected by IATA and then provided to the ETO for administration.

10.15.2 The ETO shall grade the written examination for each trainee and shall not declare completion of IAT until a trainee has achieved a passing grade.

10.15.3 The ETO shall forward IAT the written examination and results to IATA; appropriate certificates shall then be forwarded directly to the ETO by IATA (for subsequent issuance to each trainee).

10.16 Fees Administration

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

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

10.17 Continual Improvement

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

- i) internal control and surveillance system;
- ii) IOSA Auditor Training Feedback Programme;
- iii) AO/ETO/IOC Meetings;
- iv) complaints and testimonials;
- v) questionnaires and surveys;
- vi) communication with outside entities, including IATA, Auditors, AOs and other ETOs.

10.18 Notifications and Submissions

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

10.19 Accreditation Renewal

10.19.1 Renewal of the accreditation of an ETO shall be based on a determination by IATA that the ETO has:

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

10.20 Accreditation Termination

10.20.1 The accreditation of an ETO shall be terminated by IATA prior to the expiry date of the Accreditation Agreement for programme deficiencies that include, but are not limited to:

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

10.20.2 The process for termination of the accreditation of an ETO by IATA shall include one or more steps, to include, based on the programme deficiencies that exist:

- i) issuance of a warning letter from IATA to the ETO;
- ii) a recommendation for corrective action to be implemented by the ETO;

- iii) observation of IAT courses conducted by the ETO;
- iv) a written 90-day notice of accreditation termination.



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