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# ISSA Program Manual

Edition 9



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## Foreword

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

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

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

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

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

IATA will continue to update ISSA Program standards, as derived from accepted industry reference sources, as defined in [ISPM Section 1.6](#), Standards Management.



IATA Standard Safety Assessment Program Manual (ISPM) Edition 9 has been approved by Head, IOSA.

This ISSA Program Manual (ISPM) contains standards that govern all aspects of the ISSA Program for the purpose of achieving a standardized and consistent Assessment product.

The ISPM contains primarily policies. The IAH contains the more detailed requirements and procedures of many of the policies contained in the ISPM.

Standards in this manual are applicable primarily to:

1. All Operators audited under ISSA;
2. ISSA Auditors, who conduct audits under ISSA; and
3. The International Air Transport Association (IATA), who is the steward of the ISSA Program and is responsible for the planning and conduct of the ISSA Audits.



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## Applicability

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

The ISPM contains primarily policies. IAH contains the more detailed requirements and procedures of many of the policies contained in the ISPM.

Standards in this manual are applicable primarily to:

- (i) All Operators assessed under ISSA and;
- (ii) The International Air Transport Association (IATA), who are the stewards of the ISSA Program.
- (iii) The International Air Transport Association (IATA), who is the steward of the ISSA Program and is responsible for the planning and conduct of the ISSA Assessments.

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



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## **Introduction**

### **1) Purpose**

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

### **2) Examples of ISSA Documents and Forms**

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

### **3) ISSA Documentation System**

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

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

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

### **4) English Language**

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

### 5) Manual Revision-Regular & Temporary

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

### 6) Manual Approval Process

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

**7) Content Changes**

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

**8) Conflicting Information**

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

**9) ISSA Documents and Forms**

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

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

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

**11) ISSA Authority**

The IOSA program shall be administered by IATA as directed by the Director General.

**12) Assessment Scope**

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



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## Description of Changes

- △ ISPM Ed 9 has been completely revised. This revision includes the removal of entire Sections, which are no longer applicable. Given the extent of the changes, revisions have not been identified individually and the changes are not separately marked in the manual.

Description of Changes	
Section 1 - ISSA Program Management	
1.4.1 (ii)	The wording changed from non-approved to unauthorized
1.4.5	Added policy related to IOSA and ISSA Joint Audits
Section 4 - The Operator's Responsibilities for ISSA Registration	
4.2.6	Wording changed to ensure Operators provide reason for refusal for an assigned Auditor.
4.2.7	Added requirement related to IOSA and ISSA Joint Audits during Assessment planning
4.4.1	Referred to Operator's decision to address observations.
4.8.3	Reporting responsibility deadline is changed to fifteen (15) calendar days.
4.8.3 Note	Added a note to refer to list of reportable circumstances outlined in IAH for Operators
Section 5 - ISSA Registration	
5.2.2	Wording was revised for clarity.
5.5.3 (ii)	Typo corrections.
5.7.1	Added policy regarding consultation with Operator including remote calls, consequent to any situation which require further clarification.
5.7.2	Reworded for the clarification. note added: Referral to submittal of up-to date
5.7.3 (iv)	Wording changed for clarification and note regarding the conduct of Verification Assessment
Section 6 - Assessment Program	
Purpose	Reworded for clarification.
6.2.10 (iv)	Added mandatory observation for remote assessment.
6.2.11	Added provision related to remote assessment.
6.2.12	Added provision related to remote assessment.
6.2.13	Added the process related to IOSA and ISSA Joint Audits during Assessment planning
6.2.14	Added the auditor days requirement and the allocation for IOSA and ISSA Joint Audits.
6.7.13	Added a reference to IAH 5.4.3 and also added note with regards to differences of number of findings and/or observations related to quality control conducted by IATA.

6.7.16	Added a policy for disagreement on the interpretation of an ISARP and/or conformity assessment, occurs between the Operator and the Audit Team/IATA.
6.10.2	Typo corrected and referred to Operator's decision to address observations.
Section 7 - ISSA Reports (ISAR) and Data	
7.1.5	A new policy is added for stating in ISAR if an assessment conducted as full remote.
7.4.1	Revised for clarity
7.8.7	Added a policy for requesting access to assessment results and/or ISAR for an assessment which the Assessment Closure is not declared by IATA.
7.9.1 - 7.9.5	Assessment Sharing policies related to Interested Party definition are moved from Section 8
7.10.1 (v)	Policy is revised to include providing insights in support of IATA's SMS program.
7.10.2	Deletion subitem (i)
Section 8 - Audit Sharing	Section is removed and intentionally left blank as policies are covered under Section 7

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

### Glossary of Symbols to Designate ISPM Changes

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



## Section 1 ISSA Program Management

### Purpose

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

### 1.1 Organization and Management System

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

- (i) an Accountable Executive (in the case of ISSA, the Director, Safety);
- (ii) defined lines of managerial authority and responsibilities;
- (iii) documented policies, processes and procedures;
- (iv) provision of appropriate resources, to include personnel, equipment and facilities, information and other direct and ancillary resources necessary to effectively manage and control the ISSA Program.

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

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

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

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

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

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

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

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

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

### 1.2 Quality Assurance

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

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

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

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

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

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

**1.2.4–1.2.5** Intentionally left open.

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

- (i) details of the Assessment are accurately described;
- (ii) documents comprising the reports contain all required information;
- (iii) checklists are completed and all items are appropriately addressed;
- (iv) information is documented in English, and in a manner understandable to any reader of the report;

- (v) checklist items of conformity have documented supporting references from controlled documents;
- (vi) checklist items of nonconformity (Findings and Observations) have documented supporting factual evidence;
- (vii) checklist items of non-applicability (N/As) have a documented explanation;
- (viii) if applicable, the application of Active Implementation (AI) is correctly documented;
- (ix) closure of Findings in each Corrective Action Record (CAR) includes an accurate description and justification of the methods(s) to verify implementation of corrective action, to include, if applicable, interim corrective action.

**1.2.7** IATA shall have a process to ensure any discrepancies found in ISAR as a result of implementation of the quality oversight process in accordance with [ISPM 1.2.6](#) are communicated for subsequent procedural and performance improvements, as applicable.

### **1.3 Customer Relations**

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

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

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

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

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

### 1.4 Assessment Administration

#### ***Assessment Invalidation***

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

- (i) an Assessment that was not conducted in accordance with standards in this ISPM;
- (ii) an Assessment that was conducted with an unauthorized auditor;
- (iii) a conflict of interest existed in association with the conduct of an Assessment;
- (iv) revocation of the AOC of the Operator;
- (v) a merger, takeover, or consolidation involving the Operator;
- (vi) the validity of an open Assessment has expired, as specified in [ISPM 5.2.2](#).

#### ***Assessments of Affiliated Operators***

**1.4.2** IATA shall conducting an advanced review of Assessments of affiliated Operators in accordance with [ISPM 6.2.6](#). Such review shall ensure a written planning notifications is received from the Operator prior to the submission of an executed Assessment Agreement, utilizing the IATA form for the audit/assessment of affiliated Operators.

#### ***Merger of Air Operators***

**1.4.3** IATA shall assess all information provided by the Operators, as specified in [ISPM 4.8](#) to address the merger of air operators when such merger includes one or more ISSA Operators. Such assessment shall provide for:

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

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

**1.4.4** IATA shall collect the ISSA Assessment Fixed Fee for ISSA initial and renewal Assessment Agreements from Operators.

#### ***IOSA and ISSA Joint Audits***

**1.4.5** IATA shall conduct an advanced review of possible joint IOSA and ISSA audits, once a request has been received from the operator, in accordance with [ISPM 6.2.11](#) and [6.2.12](#).

### 1.5 Auditor Approval and Administration

For requirement regarding to Auditor Approval and Administration refer to [IPM 1.5](#) accordingly.

### 1.6 Standards Management

**1.6.1** IATA shall have a process for the effective management of all standards contained in the ISSA Standards Manual (ISSM) to ensure ISSA is responsive to and meets the needs of the airline industry.

Standards management processes shall be managed by IATA to ensure applicable changes and upgrades to the ISSA Standards Manual (ISSM) shall be reflected in the ISSM in a timely manner. ISSA standards are published in a timely manner, following IATA approval.

**1.6.2** In accordance with [ISPM 1.6.1](#), IATA shall ensure:

- (i) During a regular revision cycle, where a change to the ISSM is required:
  - (a) a new Edition of the manual will be published and account for any applicable Temporary Revisions (TRs) issued since the previous Edition;
  - (b) the cover of the ISM will indicate the Edition number and the effectivity date, the page footer will indicate the Edition number and the effectivity date;
- (ii) When a rapid change to the ISSM is required, a Temporary Revision (TR) will be issued and will indicate:
  - (a) unique reference number linking it to the appropriate Edition;
  - (b) an ISSM reference number associated to the content requiring change;
  - (c) a date of issue and effectivity.

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

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

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

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

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

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

## **1.7 Information and Data Management**

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

- (i) continuing development of the electronic system;
- (ii) updating form templates housed within the system;

- (iii) revising documents and checklists within the system;
- (iv) training and registering Auditors in the use of the system.

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

### 1.8 Registration Management

**1.8.1** IATA shall have a process for the management of the ISSA Registry in accordance with applicable provisions in [ISPM 5](#), which shall address, as a minimum, registration:

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

**1.8.2** IATA shall evaluate and determine the validity of a claim of extenuating circumstances submitted in accordance with [ISPM 5.5.6](#), to ensure:

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

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

- (i) operational exclusions in accordance with [ISPM 5.1.5](#) and [ISPM 5.1.6](#);
- (ii) aircraft and/or fleet exemptions in accordance with [ISPM 5.1.9](#) and [ISPM 5.1.10](#).

**1.8.4** IATA shall review and approve or reject a request for usage of interim corrective action in the acceptance of a Corrective Action Plan (CAP) in accordance with [ISPM 5.5.12](#) and [ISPM 6.10.3](#).

**1.8.5** IATA shall make an annotation on the ISSA Registry and/or to notify Interested Parties, as applicable, in accordance with [ISPM 5.7.7](#).

### 1.9 Documentation Management

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

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

- (vi) ready availability of current editions for applicable users;
- (vii) identification and distribution control for documents of external origin;
- (viii) identification of documents that are obsolete.

### ***Legal Documents***

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

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

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

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

**1.9.4** IATA shall have a process to address requests for access to an ISAR in accordance with provisions contained in [ISPM 7.8](#).

## **1.10 Records Management**

**1.10.1** IATA shall manage and control records associated with the ISSA program, which ensures records are legible, easily identifiable, and retrievable. The following controls shall be applied:

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

## **1.11 Training Management**

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

**1.11.1** The auditors that conduct Assessments under the ISSA Program are trained in accordance with the IOSA Auditor Training provisions. For the management of the IOSA Auditor Training, see [IPM 1.11.1](#) to [1.11.4](#).

### 1.12 Communication and Marketing

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

**1.12.2** IATA shall have a process for the issuance of ISSA Operator Bulletins, which serve as the formal means for communicating information to Operators about ISSA Program issues that require attention by the Operator. The information in an ISSA Operator Bulletin shall remain valid until cancelled by IATA.

**1.12.3** IATA shall have a process for maintaining applicable password-restricted ISSA web pages for the purpose of posting information, documents, references, and other material relevant to the ISSA program.

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



## Section 2 Auditor Qualification

### Purpose

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

### 2.1 Categories of Auditors

**2.1.1** There are, two (2) categories of approved IOSA Auditors are applicable, each based on experience, knowledge, and demonstrated skill.

- (i) *Auditor*: An experienced auditor that has completed the process for qualification as an Auditor in accordance with applicable provisions in [IPM 2.10](#), and has been formally approved by IATA to conduct Audits in a minimum of one operational discipline.
- (ii) *Lead Auditor*: An experienced Auditor that has demonstrated the competence to successfully lead an ISSA Assessment Team, and has completed the process for qualification as a Lead Auditor in accordance with provisions in [IPM 2.11](#).

### 2.2 Competence of Auditors

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

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

### 2.3 Qualification Prerequisites for Auditor Acceptance

**2.3.1** For qualification prerequisites for IOSA Auditor Acceptance, see [IPM 2.3](#). Prior to utilizing of any IOSA Auditor in ISSA Assessments, IATA shall deliver an initial familiarization training course. Only current auditors qualified in ORG, FLT, or MNT can conduct assessments under ISSA in accordance with [ISPM 6.3.1](#).

### 2.4 Personal Attributes of Auditors

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

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

### 2.5 Ethical Standards for Auditors

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

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

**2.5.2** An ISSA Auditor who has conducted an Assessment of an Operator shall not provide consulting services and/or training services within the operational scope of ISSA to the Operator before the ISSA registration has been granted or renewed.

## **2.6 Knowledge and Skills for Auditors**

### **2.6.1** Auditors shall have a thorough knowledge of:

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

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

- (i) applicable laws, ICAO Annexes and regulatory requirements (e.g. U.S. Federal Aviation Regulations, European Union Regulations, European Aviation Safety Agency requirements (EASA), and/or other similar and comparable national/regional aviation regulations);
- (ii) airline operational business processes and related terminology;

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

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

## **2.7 Additional Skills for Lead Auditors**

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

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

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

### 2.8 Intentionally Left Open

### 2.9 Responsibilities of Auditors and Lead Auditors

#### 2.9.1 Responsibilities for Auditors:

- (i) ensure that all qualification and currency requirements are satisfied, as specified in [IPM 2.10](#) to [2.17](#);
- (ii) ensure that conflict of interest restrictions and requirements are satisfied, as specified in [ISPM 2.5.1](#);
- (iii) ensure that the appropriate skills, knowledge and fair judgment needed for the conduct of ISSA are applied;
- (iv) ensure continued performance improvement based on output from quality assurance oversight activities, quality control processes and in relation to feedback from customers;
- (v) ensure that all ISPM standards for the competence and quality of auditors are met when auditors as identified in [IPM 2.10.1](#) carry out the supervision and assessment for new candidate or qualified auditor for additional disciplines qualification.

#### 2.9.2 Additional responsibilities for Lead Auditors:

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

### 2.10–2.21 Refer to IPM Accordingly

## **Section 3      Auditor Training**

### **Purpose**

A high level of competency among IATA Operational Safety Audit (IOSA) Auditors is essential in ensuring a credible and meaningful Assessment under ISSA. It is therefore necessary to establish an IOSA Auditor training program that ensures each IOSA Auditor attains, and maintains, a requisite level of standardization and competency.

For requirements regarding auditor training, see [IPM Section 3](#).

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## Section 4 The Operator's Responsibilities for ISSA Registration

### Purpose

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

### 4.1 Pre Assessment Preparation

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

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

### 4.2 ISSA Assessment Planning

**4.2.1** For initial registration Assessment in accordance with [ISPM 5.4.1](#) the Operator shall submit an ISSA Application Form to IATA and pay the application fee.

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

- (i) for initial or registration renewal Assessment, fill the request form from IATA website [www.iata.org/issa](http://www.iata.org/issa);
- (ii) provide the operational profile information, as requested, to include the Pre-Assessment Questionnaire;
- (iii) submit the AOC or equivalent document and Ops Spec to IATA and evaluate and inform/discuss with IATA which aircraft and/or fleet(s) could be out of the scope of ISSA, as defined in the ISSM Introduction, which aircraft and/or fleet(s) may require a request for exemption in accordance with [IPM 5.1.9](#) and [IPM 5.1.10](#), or a request for operational exclusion in accordance with [IPM 7.1.5](#), [IPM 5.1.5](#), [IPM 5.1.6](#) and [IPM 5.1.7](#);

## 4. The Operator's Responsibilities for ISSA Registration

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- (iv) provide IATA with a completed ISARP/internal documentation cross-reference list (ref [ISPM 4.1.1 iv](#)) above), a minimum of two (2) weeks prior to the start of the Assessment;
- (v) ensure sufficient resources and logistical support are assigned during the Assessment;
- (vi) ensure the auditors are granted access to secure areas (e.g. security pass, ramp pass);
- (vii) liaise with the IATA regarding the steps to obtain access to the assessment/audit software;
- (viii) consider scheduling an ISSA Registration Renewal Assessment not later than 90 days before the Registration Expiry Date;
- (ix) ensure translators or interpreters are available if required;
- (x) inform relevant service providers of the upcoming ISSA Assessment sufficient time in advance, to ensure the Auditors have access to relevant service providers during the Assessment;
- (xi) provide information related to the type of internet access that will be provided during the on-site phase of the audit in accordance with [ISPM 4.3.1 \(v\)](#).

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

**4.2.3** A request for exemption of aircraft and/or fleet(s) in accordance with [ISPM 5.1.9](#) and [ISPM 5.1.10](#) shall be submitted by the Operator's CEO or Accountable Executive, to IATA, as soon as it becomes known that aircraft and/or fleet exemptions will be required for a specific Assessment. Such request shall be made in accordance with requirements defined in the IAH.

**4.2.4** Prior to seeking an operational exclusion, in accordance with [ISPM 5.1.5](#) to [ISPM 5.1.7](#), the Operator shall provide an assessment of the risks associated with the operation that would lead to non-conformities with ISSA Standards. Such an application shall include the identification of applicable hazards and risk mitigation that will remain effective for the duration of the operational exclusion.

**4.2.5** In accordance with the Assessment Agreement, operators shall pay the full cost of an ISSA Assessment directly to the IATA. Full payment is required to allow for the start or continuation of any activities related to an Assessment.

**4.2.6** The Operator has the option to appeal with a stated reason the nomination of maximum one Auditor that has been selected. In such a case, IATA will make all efforts to replace the disputed Auditor prior to the start of the Assessment, provided such notification has been made by the operator at least 90 days prior to the start of the Assessment.

**4.2.7** If the Operator utilizes both, light (aircraft with a MTOW of 5,700 kg or below) and heavy (aircraft with a MTOW above 5,700 kg) aircraft, and wishes to be registered in both, the IOSA and ISSA Registries, the Operator shall inform IATA of this prior to an audit agreement being executed.



### 4.3 During the Assessment

4.3.1 The Operator shall assist IATA during an Assessment by:

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

*Note: In case the auditors determine that a reliable internet connection in accordance with (v) is not available during the on-site assessment phase, the auditors might arrange alternative access to internet at the cost of the operator or terminate the assessment in accordance with [IPM 6.9.1](#), if needed.*

### 4.4 Assessment Follow-up



4.4.1 Upon receipt of the Corrective Action Records (CAR)(s) from IATA, the Operator shall provide the IATA with a comprehensive Corrective Action Plan (CAP) in the English language, to address each finding and/or observation (if the Operator decided to address the observation) within the time frame outlined in [ISPM 6.10](#). The corrective actions shall contain all relevant information as outlined in the IAH.

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

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

### 4.5 Registration

4.5.1 Following an Assessment, the declaration of Assessment closure is not the final step in the registration process. The Assessment Report (ISAR) must then be:

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

4.5.2 The Operator will be registered only after the process in [ISPM 4.5.1](#) is completed.

### 4.6 Quality Control

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

4.6.2 The Operator shall provide any information requested during the QC process, in a timely manner.

### 4.7 Registration Maintenance

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

- (i) continuously monitor the conformity with ISSA provisions via internal audits;
- (ii) inform IATA in case of any significant changes to the organization (e.g. operational or management, fleet changes, ownership changes, mergers, etc.) in accordance with [ISPM 4.8.3](#);
- (iii) actively communicate with IATA and provide any documents or evidence that IATA requests, in order to coordinate commercial, operational, or regulatory arrangements predicated on Assessment sharing (e.g. code-share agreements);
- (iv) regularly monitor the ISSA website for the purpose of identifying Program-relevant changes and publications, including revisions to manuals as well as relevant alerts and bulletins in accordance with [ISPM 1.3.2 \(i\)](#).

**4.7.2** Operators are required to report circumstances and conditions that significantly affect, or have the potential to significantly affect the management system and/or operations in accordance with [ISPM 4.8](#) and within the time frames provided therein. Operators that do not report applicable circumstances in accordance with [ISPM 4.8](#) to IATA on time, increase the likelihood of a Verification Assessment in accordance with [ISPM 5.7.3](#).

### 4.8 Reporting Responsibilities

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**4.8.3** An Operator shall report to IATA any circumstances or conditions that significantly affect, or have the potential to significantly affect, the management system and/or operations of the Operator. Such report shall provide all details of a particular circumstance or condition and shall be forwarded to IATA as soon as possible, but not more than fifteen (15) calendar days after the circumstance or condition becomes known to the Operator. Reports shall be submitted to IATA via email. Reportable circumstances or conditions, applicable to the ISSA Operator, shall include, but not be limited to any of the following:

- (i) cessation of operations;
- (ii) Air Operator Certificate (AOC) changes, such as:
  - (a) suspensions;
  - (b) revocation; or
  - (c) restrictions;
- (iii) changes to fleets/operations as follows:
  - (a) the addition of aircraft type(s) not being operated during the last ISSA Assessment;
  - (b) commencement of any special operations that were not conducted during the last ISSA Assessment (e.g. LVO operations or transport of DG, etc.);
  - (c) return to service of any aircraft type(s) exempted during the most recent Assessment.

- (iv) measures imposed by a regulatory authority, such as:
  - (a) sanctions;
  - (b) refused authorizations or approvals; or
  - (c) bans and suspensions.
- (v) an event involving the operation of an aircraft that meets the criteria of a Serious Incident or an Accident as defined in ICAO Annex 13, Chapter 1, even if such event took place with an aircraft registered on the Operator's AOC, which is out of the scope of ISSA; or
- (vi) any takeover, merger, consolidation or other significant change to the management or operating structure of the organization; or
- (vii) financial difficulties, to include major and repeated deferrals of financial obligations, applications for protection from creditors or pending insolvency proceedings; or
- (viii) any other circumstance where IATA has requested additional information from the Operator.

*Note: For the purpose of reporting responsibility under v) above, the definitions for Accidents and Serious Incidents as specified in the IRM and ICAO Annex 13 are applicable. Irrespective of the classification of an Authority or the pending classification of an Authority, an ISSA Operator shall report any event that could meet the definitions or that is specifically listed in ICAO Annex 13 Attachment C, within the required timelines.*



*Note: The list of all reportable circumstances is outlined in the IOSA Audit Handbook for Operators (IAH-O)*

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## Section 5 ISSA Registration

### Purpose

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

### 5.1 ISSA Registry

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

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

**5.1.3** To be registered as an ISSA Operator, an airline organization shall have demonstrated operational fitness through conformity with ISSA standards, and shall have successfully closed an Assessment in accordance with rules contained in this ISPM.

#### *Assessing Fleets*

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

#### *Operational Exclusions*

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

- (i) such exclusions identify defined segments of operations that are planned to be audited/assessed and will not conform to ISSA standards or that were audited/assessed and found not to be in conformity with ISSA standards;
- (ii) requests for such operational exclusions must be submitted by the Operator and must include the Operator's risk assessment in accordance with [ISPM 4.2.4](#), if requested by IATA.

**5.1.6** Segments of operations eligible for exclusion from the registration of an ISSA Operator in accordance with [ISPM 5.1.5](#) shall be readily distinguishable from those operations that have been assessed and found to be in conformity with ISSA standards. Operational exclusions shall be limited to:

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

**5.1.7** Operational exclusions as specified in [ISPM 5.1.5](#) and [ISPM 5.1.6](#) shall be reviewed and approved at the discretion of IATA in accordance with [ISPM 1.8.3](#).

**5.1.8** Operational exclusions as specified in [ISPM 5.1.5](#) and [ISPM 5.1.6](#) shall be removed only after:

- (i) the Operator's reporting of the operational changes in regards to the operational exclusions in accordance with [ISPM 5.7.2](#) to IATA, and a subsequent Verification Assessment of the defined operational segments that had been excluded; or
- (ii) a subsequent initial registration Assessment in accordance with [ISPM 5.4](#) or a subsequent registration renewal Assessment in accordance with [ISPM 5.5](#) has been conducted.

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

**5.1.9** IATA, at its discretion, may approve the exemption of an operator's aircraft and/or fleet(s) from the Assessment process or part thereof. Such exemption shall identify aircraft and/or fleet(s) that are within the ISSA Assessment scope but cannot be included in the Assessment process, or part thereof. Exemption requests shall be made in accordance with provisions in the IAH.

**5.1.10** Aircraft and/or fleet exemptions as specified in [ISPM 5.1.9](#) and [ISPM 5.1.10](#) shall have such exemption(s) removed only after:

- (i) the Operator's reporting of the operational changes in regards to the exempted aircraft and/or fleets in accordance with [ISPM 5.7.2](#) to IATA, and a subsequent Verification Assessment of the affected aircraft and/or fleet(s) in accordance with [ISPM 5.7.5](#); or
- (ii) a subsequent initial registration Assessment in accordance with [ISPM 5.4](#) or a subsequent registration renewal Assessment in accordance with [ISPM 5.5](#) has been conducted.

**5.1.11** Any aircraft within the scope of ISSA, which has been exempted and subsequently becomes operational while an Assessment is still open, may be subject to a re-visit in accordance with [ISPM 5.7.6](#).

## **5.2 Assessment Expiration**

**5.2.1** An Assessment for initial registration shall have a limited period of validity and shall expire as an instrument for ISSA registration at 23:59 local time at the location of the Operator as specified on the AOC.

**5.2.2** An Assessment becomes invalid as a means for the Operator to be registered under ISSA unless corrective actions in accordance with the accepted Corrective Action Plan (CAP) have been implemented by the Operator, verified by IATA, and the ISAR released by IATA prior to the expiry dates of the Assessment.

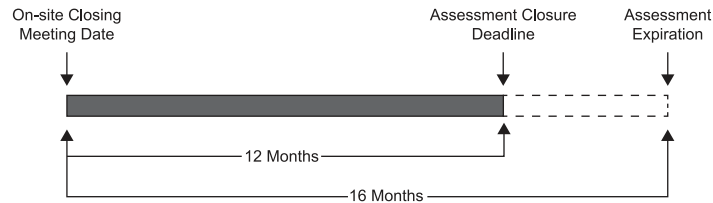


*Note: In order to ensure timely registration, all findings must be closed at least 15 calendar days before audit expiration to allow sufficient time for ISAR release.*

**5.2.3** An Assessment for initial registration shall have a limited period of validity and shall expire as an instrument for ISSA registration, on the date exactly sixteen (16) consecutive months following the date of the on-site closing meeting, notwithstanding any delayed adjournment of such meeting in accordance with [ISPM 6.7.12](#) or extenuating circumstances in accordance with [ISPM 5.5.9 \(i\)](#) (see [Figure 5.1](#)).

**Figure 5.1 Initial Registration Assessment Expiration**

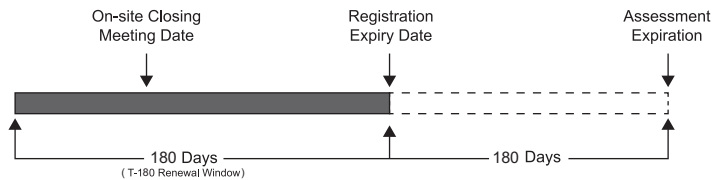
**Initial Registration**



**5.2.4** An Assessment for a renewal of an existing registration shall have a limited period of validity and shall expire as an instrument for ISSA registration, on the date exactly one hundred eighty (180) consecutive days following the date of registration expiry, notwithstanding any delayed adjournment of such meeting in accordance with [ISPM 6.7.12](#) (see [Figure 5.2](#)).

**Figure 5.2 Registration Renewal Assessment Expiration**

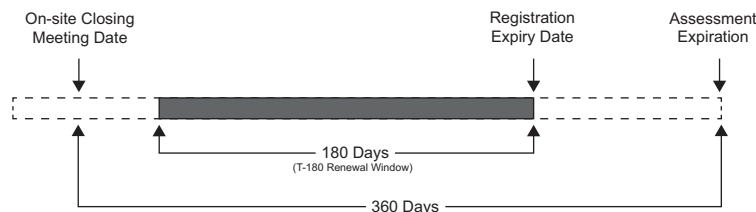
**Renewal Registration**



**5.2.5** An Assessment for a renewal of an existing registration in accordance with [ISPM 5.5.4](#) shall have a limited period of validity and shall expire as an instrument for ISSA registration on the date exactly three hundred sixty (360) consecutive days following the date of the on-site closing meeting, notwithstanding any delayed adjournment of such meeting in accordance with [ISPM 6.7.12](#) (see [Figure 5.3](#)).

**Figure 5.3 Registration Renewal Assessment Expiration**

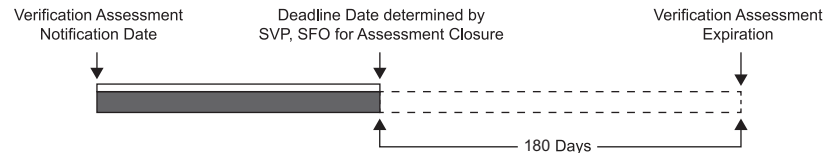
**Early Renewal Registration Assessment  
(before T-180)**



**5.2.6** A Verification Assessment in accordance with [ISPM 5.7.3](#) shall have a limited period of validity and shall expire as an instrument for ISSA registration, on the date exactly one hundred eighty (180) consecutive days following the deadline date determined by the SVP, OSS specified in [ISPM 5.7.3 \(v\)](#), notwithstanding any delayed adjournment of such meeting in accordance with [ISPM 6.7.12](#) (see [Figure 5.4](#)).

**Figure 5.4 Verification Assessment Expiration**

### Verification Assessment



### 5.3 Registration Period

**5.3.1** The ISSA registration period shall be twenty four (24) months and, if not successfully renewed, expire on the expiry date.

### 5.4 Initial Registration

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

- (i) such implementation has been verified by IATA in accordance with provisions contained in [ISPM 6.12](#);
- (ii) IATA has declared assessment closure to the Operator in accordance with [ISPM 6.13.1](#);
- (iii) the ISSA Assessment Report (ISAR) quality control processes have been completed in accordance with applicable provisions contained in [ISPM 7.2](#), and, if applicable, been amended accordingly.

**5.4.2** For initial registration of an ISSA Operator, the period of registration shall expire exactly twenty-four (24) consecutive months following the date of the on-site closing meeting.

### 5.5 Registration Renewal

**5.5.1** An Operator that is currently registered as an ISSA Operator shall remain on the Registry and have such registration renewed when all findings resulting from a renewal Assessment, if any, have been closed in accordance with applicable provisions contained in [ISPM 6.12](#).

**5.5.2** Except as provided in [ISPM 5.5.5](#), the period of renewed registration for a current ISSA Operator shall become effective on the date that the current ISSA registration expires, and such renewed registration shall expire exactly twenty-four (24) consecutive months following the current expiry date.

**5.5.3** For renewal of a current ISSA registration in accordance with [ISPM 5.5.1](#) and [ISPM 5.5.2](#):

- (i) the closing meeting of the on-site portion of the renewal Assessment process shall not take place more than 180 calendar days prior to the expiry date of the Operator's current registration, in order to maintain the same registration anniversary;
- (ii) all Findings must be closed no less than 15 calendar days prior to the current registration expiry date as outlined in [ISPM 5.5.2](#);
- (iii) if Findings are closed less than 15 days before the registration expiry date, completion of the ISAR release process may not be possible within the remaining time frame. In such case, the registration expiry date for the Operator will only be updated once the required



final release process by IATA is complete and an annotation will be made to the Operator's registry in accordance with [Table 5.1](#).

- (iv) the Operator shall be removed from the ISSA Registry if a renewal Assessment either:
  - (a) has not been conducted prior to the expiry date of the current registration, or
  - (b) has been conducted, but Assessment Closure has not been achieved by the expiry date of the current registration, unless extenuating circumstances have been claimed and verified by IATA in accordance with [ISPM 5.5.6](#).

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

- (i) Assessment closure shall be achieved within 180 calendar days following the date of the on-site closing meeting;
- (ii) the Operator shall be removed from the ISSA Registry if Assessment closure is not achieved within 180 calendar days following the date of the on-site closing meeting, even if the previous ISSA Registration was still valid, unless extenuating circumstances have been claimed and verified by IATA in accordance with [ISPM 5.5.6](#).

**5.5.5** In the case of a registration renewal Assessment conducted *more than* 180 calendar days prior to the expiry date of the Operator's current registration, the period of renewed registration shall become effective 180 calendar days following the date of the on-site closing meeting and expire exactly twenty-four (24) consecutive months following that date.

### ***Extenuating Circumstances***

**5.5.6** When it becomes known during the registration renewal process that Assessment closure will not be achieved as specified in [ISPM 5.4.1](#), [ISPM 5.5.3](#) or [ISPM 5.5.4](#), as applicable, a claim of extenuating circumstances may be submitted to IATA by the Operator. The validity of a claim of extenuating circumstances shall be determined by IATA, based on the history and background of the particular Assessment process, uncompleted Assessment activities, the status of open Findings and the prospects for Assessment closure.

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

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

**5.5.8** Should a claim of extenuating circumstances be validated by IATA, a revised deadline date shall be communicated by IATA to the Operator, that specifies when the Assessment shall be closed and the ISAR released by IATA. The revised deadline date shall be indicated on the ISSA Registry through an annotation in accordance with [Table 5.1](#), and shall not be more than 120 calendar days following the applicable deadline date.

### ***Notes:***

1. *If Assessment closure and ISAR release have not been achieved prior to the revised deadline date, the Operator shall be removed from the ISSA Registry.*
2. *All Findings must be closed at least 15 calendar days before expiry of the extenuating circumstances deadline to allow sufficient time for ISAR release.*

**5.5.9** A decision by IATA that a claim of extenuating circumstances is not valid shall result in the Operator being removed from the ISSA Registry, subject to the possible implementation of the ISSA Dispute Resolution process in accordance with [ISPM 5.8.2](#).

**5.5.10** An ISSA Operator that has been removed from the Registry in accordance with applicable provisions contained in [ISPM 5.5](#) shall be subject to the possibility of reinstatement in accordance with provisions contained in [ISPM 5.9](#).

### **Interim Corrective Action**

**5.5.11** A request for approval of interim corrective action shall be submitted to IATA as soon as it becomes known during or after an Assessment, that interim corrective action will be necessary to permit the closure of a finding of an Operator undergoing an ISSA registration renewal or verification Assessment. The validity of a request for interim corrective action shall be determined by IATA based on the specification(s) contained in the relevant ISSA Standard, the prospects that implementation of permanent corrective action by the Operator to replace the interim corrective action will occur within the time period specified in [ISPM 5.5.13](#), and eligibility criteria contained in [ISPM 6.10.4](#). No action related to the registration of the Operator shall be taken by IATA until a decision has been made on the request for Interim Corrective Action.

#### **Notes:**

1. *In the case of Assessment for which a claim of extenuating circumstances was validated by IATA in accordance with [ISPM 5.5.9](#), a request for approval of interim corrective action is not possible.*
2. *Interim corrective actions are not allowed for the purpose of initial registration.*
3. *A request for Interim Corrective Action shall be made as soon as it becomes evident that Interim Corrective Action may be needed. Delays in making the request may lead to a denial of such a request.*

**5.5.12** In the event a request for interim corrective action is approved by IATA in accordance with [ISPM 5.5.11](#), the Operator shall remain on the ISSA Registry and implement permanent corrective action to replace the interim corrective action. The registration with Interim Corrective Action is subject to the following conditions:

- (i) A corresponding annotation shall be made to the Operator's registration in accordance with [Table 5.1](#).
- (ii) Permanent corrective action shall be implemented by the Operator, verified and approved by IATA within a maximum time period of one hundred and eighty (180) days following the original deadline date.
- (iii) The Operator shall be removed from the registry, if permanent corrective action is not implemented, verified and approved within the time lines above.

#### **Notes:**

1. *In the case of Assessment of affiliated Operators as specified in [ISPM 1.5.4](#), the 180 calendar day period for the implementation and validation of a permanent corrective action shall commence following the expiry date of the Operator that performs the function related to the nonconformity being closed in accordance with [ISPM 5.5.11](#).*
2. *Final corrective actions must be submitted to IATA at least 15 calendar days before expiry of the ICA deadline to allow sufficient time for approval.*

### **Transfer of Registration**

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

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

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

### **Temporary Suspension**

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

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

**5.5.16** A request for a temporary suspension in accordance with [ISPM 5.5.15](#) shall be reviewed by IATA and granted at the discretion of IATA based on the Operator's circumstances.

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

- (i) An annotation in accordance with [Table 5.1](#) will be added to the operator's registration;
- (ii) A Registration Renewal Assessment must be conducted by the Operator within a maximum period of ninety (90) calendar days following the registration expiry date;
- (iii) Assessment Closure of the Registration Renewal Assessment in accordance with [ISPM 5.5.17 ii](#)) shall be achieved within a maximum period of 180 days following the closing meeting;
- (iv) The renewed registration period shall be based on the last expiry date.

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

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

- (i) A Registration Renewal Assessment has not been conducted as required by [ISPM 5.5.17 ii](#)); or
- (ii) Assessment Closure has not been achieved as required by [ISPM 5.5.17 iii](#)).

### 5.6 Registration Harmonization

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

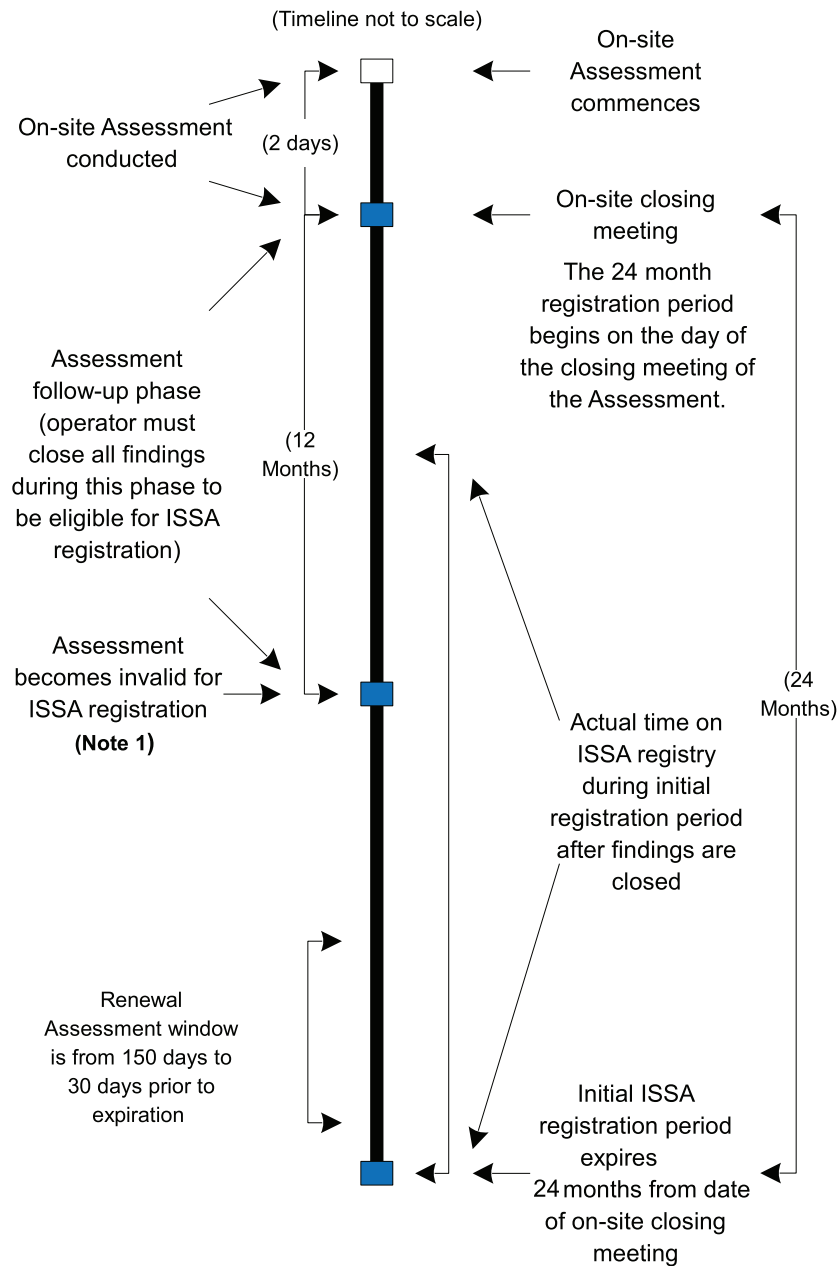
**5.6.2** Concurrent Assessments of currently registered ISSA Operators, for the purpose of establishing harmonized registration periods in accordance with [ISPM 5.6.1](#), shall be conducted prior to the expiration date of the operator that expires first.

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

**5.6.3** When concurrent Assessments of currently registered ISSA Operators are conducted for the purpose of registration harmonization in accordance with [ISPM 5.6.1](#):

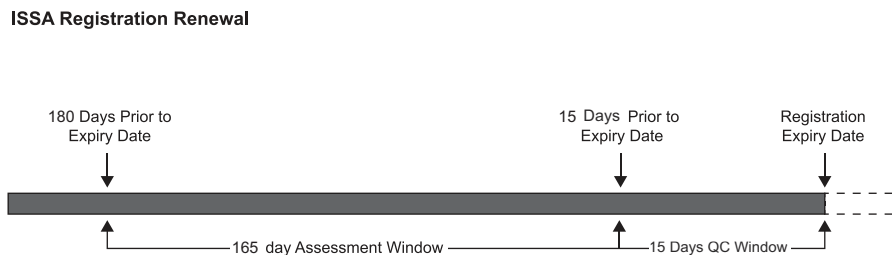
- (i) Assessment closure for each Assessment shall be achieved no more than 180 calendar days following to the date of the on-site closing meeting;
- (ii) The registration period of each of the affected Operators (i.e. harmonized registration periods) shall all be effective on a common date agreed on with IATA, which may be not later than ninety (90) days following the first of the expiry dates, or the number of days which corresponds to half of the difference between the two expiry dates, whichever is less;
- (iii) An annotation in accordance with [Table 5.1 \(x\)](#) may be added to the registration of any of the operators that have reached their expiry date, until the assessment has been successfully closed.

**Figure 5.5 Initial ISSA Registration**



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

**Figure 5.6 ISSA Registration Renewal**



*Note: An Operator is removed from ISSA registry if Assessment Closure has not been achieved prior to the current registration expiry date, unless extenuating circumstances have been claimed by the Operator and subsequently verified and approved by IATA in accordance with [ISPM 5.5.6](#) and [5.5.8](#).*

### 5.7 Reporting Responsibility



**5.7.1** IATA shall review any information, circumstances, or conditions relevant to an ISSA Operator, whether such information was reported by the Operator in accordance with [ISPM 4.8.3](#) or whether it was acquired from sources other than the Operator.



Once IATA identifies or becomes aware of any situation which may require further clarification, documentation an/or evidence; IATA may consult the Operator through various communication channels and arrange remote calls as required.



**5.7.2** IATA shall consider the nature of circumstances and/or conditions and take one or more of the following:

- (i) continuation of the registration without any action;
- (ii) temporary suspension of the registration;
- (iii) provisional registration; or
- (iv) Verification Assessment, re-visit or additional verification actions in accordance with [ISPM 5.7.3](#);
- (v) removal of the Operator from the ISSA Registry

**Notes:**

1. *An Operator that did not report applicable circumstances in accordance with [IPM 4.8.3](#) by submitting up-to date complete information to IATA, increases the likelihood of a Verification Assessment in accordance with [ISPM 5.7.3](#)*
2. *In case of temporary suspension or provisional registration, an annotation will be added on the ISSA Registry for the Operator in accordance with [Table 5.1](#).*

### Verification Assessment

**5.7.3** At the discretion of the SVP, OSS, at any time in consideration of an Operator's operational circumstances outlined in [ISPM 5.7](#), a Verification Assessment may be required to ensure continuing conformity with the ISPM and ISSM. This Assessment may be applied in conjunction with a registration suspension or provisional registration, as a way to determine if any subsequent action is required (i.e. Registry retention or removal).

- (i) The Verification Assessment will be carried out by IATA.
- (ii) At its discretion, IATA will specify the time period within which the Verification Assessment must be conducted.
- (iii) The Operator shall have the discretion to opt for a registration renewal Assessment in accordance with [ISPM 5.5](#), instead of a Verification Assessment within the time period specified above.
- (iv) Depending on the circumstances, a full Assessment may not always be necessary. The assessment scope and methodologies to be used shall be determined on a case-by-case basis, to be in-line with the desired purpose and goal of the Assessment. IATA shall determine the auditor days to conduct the Assessment and shall define Focus Areas for the Assessment as needed.
- (v) The closure period of any findings shall be limited to 90 days (maximum) following the closing meeting of the Verification Assessment. The SVP, OSS reserves the right to adjust the closure period depending on the circumstances. In case not all findings are closed within the prescribed closure period, the Operator will be removed from the registry in accordance with [ISPM 5.8](#).
- (vi) The cost of the Verification Assessment shall be borne by the Operator.
- (vii) An annotation in accordance with [Table 5.1](#) shall be placed on the ISSA Registry for the Operator as soon as the Operator has been notified by IATA.
- (viii) An Operator shall be removed from the registry if the Verification Assessment has not been conducted within the period specified in [ISPM 5.7.5 \(ii\)](#).

*Note: Verification Assessment may be conducted as a full remote (desktop) assessment with a tailored and targeted scope.*

**5.7.4** At the discretion of the SVP, OSS, alternatively to a Verification Assessment in accordance with [ISPM 5.7.3](#), a re-visit by auditor/s may be required, to ensure continuing conformity with the ISPM. Such re-visit or additional verification shall:

- (i) only be possible if reported circumstances and/or conditions requiring a Verification Assessment or re-visit occur before the Assessment closure of an initial registration Assessment in accordance with [ISPM 5.4](#) or a registration renewal Assessment in accordance with [ISPM 5.5](#);
- (ii) be conducted and be embedded in the Assessment process and the Assessment shall be closed in accordance with [ISPM 5.4](#) or [ISPM 5.5](#), as applicable;
- (iii) be planned and performed by IATA in accordance with [ISPM 6](#), the IAH and ISSM;
- (iv) findings and observations resulting from the re-visit shall be closed in accordance with [ISPM 6](#);

- (v) be coordinated between the auditor and the Operator in accordance with the current Assessment Agreement in place; and
- (vi) be at the cost of the operator.

### ***Registration Suspension***

**5.7.5** An Operator shall be suspended from the ISSA Registry, if a situation has been identified which renders an Operator temporarily ineligible for the ISSA registry. An annotation in accordance with [Table 5.1](#) shall be added to the registry stating that the Operator is suspended until further notice. Situations that can lead to a suspension include, but are not limited to the following:

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

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

### ***Registry Annotation***

**5.7.7** IATA shall make annotations to the ISSA Registry as specified in [Table 5.1](#):

- (i) as a result of conditions and/or circumstances contained in [ISPM 5.5.8](#), [ISPM 5.5.13](#), [ISPM 5.7.4](#) or [ISPM 5.7.5](#); or
- (ii) If an ISSA Operator is involved in dispute resolution in accordance with [ISPM 5.8.2](#) and [ISPM 9](#) that could affect ISSA registration.
- (iii) at its own discretion, for circumstances that have been identified through other means, and which justify an annotation in the interest of the ISSA program.



**Table 5.1 Registry Annotations**

	Reason	Annotation	Description
1	Extenuating Circumstances	“Due to extenuating circumstances, XXX will remain on the ISSA Registry until dd mmm yyyy”.	Describes revised deadline to close all findings as a result of validated extenuating circumstances in accordance with <a href="#">ISPM 5.5.8</a> .
2	Provisional registration	“Registration is provisional until further notice”.	Describes provisional registration status of the Operator as a result of circumstances identified as specified in <a href="#">ISPM 5.7.4</a> , <a href="#">ISPM 5.7.7 (iii)</a> or if an ISSA Operator is involved in dispute resolution in accordance with <a href="#">ISPM 9</a> that could affect ISSA registration. During this period, the Operator enjoys full registration status. The annotation only indicates that the registration is provisional due to circumstances pending verification.
3	Registration suspension	“Registration has been suspended until further notice”.	Describes the temporary suspension of an ISSA registration as a result of circumstances identified as specified in <a href="#">ISPM 5.7</a> . During the period of suspension, the operator does not enjoy registration status. Upon removal of the temporary suspension, the Operator's registration will continue until its expiry.
4	Verification Assessment	“The Operator is undergoing a Verification Assessment”.	Describes the status of an Operator that is undergoing a Verification Assessment in accordance with <a href="#">ISPM 5.7.5</a> . During the period a Verification Assessment is planned, performed or closed, the Operator enjoys full registration status. The statement will be removed from the Registry as soon as the Verification Assessment is closed in accordance with Program rules.

	Reason	Annotation	Description
5	Assessment Report QC	"The ISSA Assessment Report is pending quality control and necessary approvals."	Describes the status when an Operator's Assessment has been finalized by IATA, however the ISAR QC process has not been completed yet. This could be the case when the QC processes take more than average time to complete. In case of a renewal Assessment, as described in <a href="#">ISPM 5.5.3</a> , the registration expiry date will not be updated until the required QC and final released are completed. This annotation serves the purpose of informing that the ISAR is pending QC and released.
6	Interim Corrective Action as per <a href="#">ISPM 5.5.13</a>	"Registration is provisional due to interim Corrective Action(s)".	Describes the status when the ISAR contains one or more approved Interim Corrective Action(s). The annotation will remain as long as the Interim Corrective Action is active.
7	Early renewal in lieu of Verification Assessment	"The Operator is undergoing an early renewal Assessment in lieu of a Verification Assessment".	Describes the status when a Verification Assessment has been requested for an Operator and the Operator has decided to complete a full scope Assessment as an early renewal Assessment instead, in accordance with <a href="#">ISPM 5.7.5 (iii)</a> .
8	Dispute Resolution	"The Operator is involved in the Dispute Resolution process."	Describes the status when an Operator is involved in the Dispute Resolution process in accordance with <a href="#">ISPM 9</a> . During this process, IATA may freeze the Operator's process described in <a href="#">ISPM 5.4</a> , <a href="#">ISPM 5.5</a> and <a href="#">ISPM 5.2</a> , in accordance with <a href="#">ISPM 9.2.4</a> .
9	Any other reason or combinations of reasons	Ad hoc	Describes an operator's specific circumstances related to registration status and required actions. The ad-hoc annotation is used if an operator's situation may not be reasonably or practically described by the above standard annotations.

	Reason	Annotation	Description
10	Registration harmonization	"The Operator is undergoing a registration harmonization with another operator and will remain on the registry until dd mm yyyy."	Describes an operator's status while undergoing registration harmonization, when the expiry date has passed and the harmonization assessment is still open.
<p><i>Notes:</i></p> <ol style="list-style-type: none"> <li><i>Annotations to the Registry will be removed as a result of changes to the Operator's status and in accordance with this ISPM.</i></li> <li><i>Multiples annotations are possible depending on the individual case. For example, if a registration is provisional and a verification assessment has been planned, both annotations will be added.</i></li> </ol>			

## 5.8 Registration Removal

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

- applicable provisions contained in [ISPM 5.5](#); or
- [ISPM 5.7.4](#) or [ISPM 5.7.6](#) when a determination of removal has been made by IATA;
- [ISPM 5.7.6](#), if an Operator has been suspended for six (6) months;
- for failure to submit any required payments based on ISSA Assessment Agreement.

**5.8.2** Should there be a defined disagreement associated with removal from the ISSA Registry between a registered ISSA Operator, IATA shall not take any action to remove an Operator from the ISSA Registry until the appropriate ISSA Dispute Resolution process as described in [ISPM Section 9](#) has been completed.

## 5.9 Registration Reinstatement

**5.9.1** An ISSA Operator that:

- has been removed from the Registry in accordance with [ISPM 5.5.3 \(iv\)\(b\)](#) shall be reinstated to the Registry once the ISAR has been finalized and released by IATA within one hundred and twenty (120) calendar days following the registration expiry date;
- has been removed from the Registry in accordance with [ISPM 5.7.3](#) shall be reinstated to the Registry once the ISAR has been finalized and released by IATA within one hundred and twenty (120) calendar days following the deadline date of the VA;
- has been removed from the Registry in accordance with [ISPM 5.5.4 \(ii\)](#) shall be reinstated to the Registry once the IATA has declared Assessment closure, and the ISAR has been released within one hundred and twenty (120) calendar days following the deadline date in accordance with [ISPM 5.5.4 \(i\)](#). The period of renewed registration shall be determined in accordance with [ISPM 5.5.5](#);
- has been removed from the Registry in accordance with [ISPM 5.8.1 \(iv\)](#) shall be reinstated to the Registry once all obligations under the ISSA Assessment Agreement have been complied with, within one hundred and twenty (120) calendar days following the removal.

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

**5.9.3** An ISSA Operator that has been removed from the Registry in accordance with [ISPM 5.8](#) may be required to undergo a full or partial Assessment, as determined by IATA, to demonstrate operational conformity in accordance with [ISPM 5.1.3](#) in order to regain registration as an ISSA Operator. Such Assessment shall be performed by IATA.

### 5.10 ISSA Brand Promotion

**5.10.1** An ISSA Operator and/or any entity who would like to promote their ISSA registration or the ISSA Program, including any statements, media, and public communication, that use the IATA and/or ISSA name, display the IATA logo and/or refer to the audit under ISSA, ISSA Standards and Recommended Practices (ISARPs), the ISSA Registry, or any other ISSA documentation published, should take into consideration the following:

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

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

**5.10.2** ISSA Operators may request assistance from IATA in regard to creating content for public statements or news releases by contacting [issa@iata.org](mailto:issa@iata.org).

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

## Section 6 Assessment Program

### Purpose

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

### 6.1 Organization and Management

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

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

**6.1.2** The policies, processes, and procedures specified in [ISPM 6.1.1](#) shall ensure the Assessment objectives are achieved. The Assessment objectives of an ISSA Assessment is to establish an Operator's level of conformity with all ISARPs within the scope of the Assessment.

**6.1.3** The policies, processes, and procedures of the Audit Program shall enable the following phases of an Assessment:

- (i) for initial and Registration Renewal Assessment:
  - (a) offsite document and records review;
  - (b) onsite assessment phase.

### 6.2 Assessment Planning

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

- (i) Assessment scope and objectives;
- (ii) identification of the ISSM Edition to be used for the Assessment;
- (iii) execution of the ISSA Assessment Agreement;
- (iv) status of the ISSA registration of the Operator;
- (v) Auditor conflict of interest;
- (vi) the organization to be assessed;
- (vii) assessment location(s);
- (viii) activities to be assessed;
- (ix) availability of resources;
- (x) logistical requirements;
- (xi) cultural issues;
- (xii) language issues.

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

**6.2.2** IATA shall have a process to enter into an agreement (the “Assessment Agreement”) whenever an Assessment is to be contracted (to include Verification Assessments in accordance with [ISPM 5.7.3](#)), which shall be made between IATA and the Operator (referred to as the “auditee”). The provisions of this ISPM are, together with the provisions of the ISSA Standards Manual (ISSM), and unless otherwise provided, incorporated by reference in the Assessment Agreement and, in the event of any inconsistency between the terms of this ISPM and the Assessment Agreement, the Assessment Agreement shall prevail to the extent of the inconsistency.

**6.2.3** IATA shall have a process to ensure the Operator is supplied with an executed Assessment Agreement prior to the scheduled start date of an Assessment.

**6.2.4** IATA shall have a process for scheduling and conducting Assessments of one or more affiliated Operators that have a significant level of shared operational functions. Such process shall be in accordance with the IAH.

**6.2.5** IATA shall have a process to ensure an Assessment of a single Operator is planned for a minimum usage of seven (7) auditor days, except for Assessments of affiliated operators which includes:

- (i) Four (4) auditor days for the conduct of the on-site phase of the Assessment;
- (ii) Three (3) auditor days for preparation and documentation assessment.

**6.2.6** IATA shall have communicate and coordinate with the Operator sufficiently in advance of the Assessment to identify those Mandatory Observations to applicable ISSM edition.

**6.2.7** IATA shall provide the Operator with the names of the members of the Assessment Team that have been selected in accordance with provisions contained in [ISPM 6.3](#).

**6.2.8** When planning an ISSA Assessment, IATA shall ensure an Assessment is not planned if the on-site phase of the Assessment or a portion of it cannot take place at the operator's headquarters or operational base(s).

**6.2.9** An Assessment shall be planned for a week where the Operator has active flight operations.

**6.2.10** Remote assessment is permissible for Initial and Registration Renewal Assessment and, under certain conditions, for initial registration Assessment. Remote assessment may be used for the following:

- ☐ (i) document review;
- (ii) records review;
- (iii) conducting interviews.
- (iv) mandatory observations

*Note: Remote assessment for initial registration Assessment may be granted primarily to account for shortnotice unavailability of auditors and/or travel restrictions.*

- ☐ **6.2.11** Initial and Registration Renewal Assessments may be conducted on a fully remote basis, in exceptional circumstances, such as travel restrictions related to a global pandemic. Decision for a full remote audit is within the discretion of IATA and be made after the assessment of the exceptional circumstance. A fully remote Assessment shall be conducted as per procedures outlined in the IAH and considered the following:

- (i) The scope of the assessment and the number of ISARPs to be will remain unchanged.
- (ii) Mandatory observations that could not be conducted remotely shall be compensated with alternative means of auditing or exempted as described in the IAH.

- ☐ **6.2.12** Registration Renewal Assessments conducted on a fully remote basis shall be limited to two (2) consecutive assessments.

- ☐ **6.2.13** IATA shall have a process for the planning of a joint IOSA and ISSA audit of an Operator. Such process shall be in accordance with the IAH.

- ☐ **6.2.14** IATA shall ensure that a joint IOSA and ISSA audit is planned with a minimum of thirty-four (34) auditor days, allocated as follows:

- (i) Thirty (30) auditor days for conducting the IOSA audit, including onsite and offsite phases;
- (ii) Two (2) auditor days for conducting the documentation assessment not covered under the IOSA audit;
- (iii) Two (2) auditor days for conducting the implementation assessment not covered under the IOSA audit.

## **6.3 Selecting and Assembling Assessment Teams**

**6.3.1** IATA shall ensure an Assessment Team comprises as a minimum,

- (i) one fully qualified FLT Auditor;
- (ii) one fully qualified MNT Auditor;

- (iii) a minimum of one of the above Auditors must also be a qualified ORG Auditor;
- (iv) both Auditors must be on the IATA Master List of Approved IOSA Auditors and be current and qualified to conduct Assessment under the ISSA Program.

### 6.3.2 Intentionally left open

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

**6.3.4** IATA shall ensure the selection of Assessment Team members takes into account:

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

**6.3.5** IATA shall designate a Lead Auditor for each Assessment that takes into account considerations in [ISPM 6.3.4](#), and also considers the total experience of Assessment Team members.

## 6.4 Assessment Preparation

**6.4.1** Once an Assessment is planned, IATA shall establish communication with the Operator to identify and coordinate logistical and operational needs associated with implementation of the Assessment.

**6.4.2** IATA shall have a process for preparing an assessment plan detailing all requirements necessary for a successful Assessment. Such assessment plan shall address all requirements outlined in the IAH.

### 6.4.3 Intentionally left open

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

**6.4.5** To assist the Assessment Team in assessing ISSA documentation requirements, thus enhancing Assessment efficiency and reducing Assessment time, IATA shall coordinate with the Operator for provision of a detailed list of references from its own documentation system that correspond to ISARPs as described in [ISPM 4.2.2 \(v\)](#).

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



**6.4.7** IATA shall assemble the full Assessment Team prior to the Opening Meeting of the ofsite Assessment for the purpose of preparing team members to conduct the Assessment in a coordinated and efficient manner in accordance with IAH requirements.

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

## **6.5 Providing Resources and Logistical Support**

**6.5.1** In addition to having the capability for provision of its own resources to support the Assessment team, IATA shall ensure communication with the Operator in sufficient time prior to an Assessment to identify and coordinate the availability of all on-site resources and facilities necessary for implementation of the Assessment.

**6.5.2** IATA shall provide necessary logistical support for the Assessment Team, including arrangements for scheduling, communication, travel, lodging, financial, medical and any other support necessary to ensure efficient and successful Assessment implementation.

**6.5.3** IATA shall ensure each member of the Assessment Team is supplied with and always has the required ISSA documents at his or her immediate disposal during the conduct of an Assessment.

## **6.6 Opening Meeting**

**6.6.1** IATA shall conduct of a formal opening meeting with the Operator's management team at the beginning of the on-site assessment phase. The spokesperson for the Assessment Team shall be the designated Lead Auditor. The opening meeting shall be conducted in accordance with requirements specified in the IAH.

**6.6.2** IATA shall conduct a Stakeholder meeting with the Operator's main contact person or persons prior to the ofsite documentation assessment for a Registration Renewal Assessment.

## **6.7 Conducting the Assessment**

**6.7.1** IATA ensure Auditors:

- (i) correctly use the ISSA checklist and are proficient in completing the checklist in accordance with procedures and guidance contained in the IAH;
- (ii) apply effective methods for gathering of objective evidence during an Assessment, to include proficiency in interviewing, reviewing documentation, observing activities and noting operational conditions;
- (iii) establish conformity based on the degree to which the Operator has documented and implemented specifications contained in the ISARPs;
- (iv) understand the need and are competent to conduct Mandatory Observations during every Assessment;
- (v) identify all outsourced functions and assess conformity with associated ISARPs by determining the level of documentation and implementation in accordance with the IAH. For assessing the level of conformity associated with outsourcing, and to complement the verification of oversight of the Operator over outsourced functions, relevant external service providers should be accessed to the extent possible and/or feasible.

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

### 6.7.2 IATA shall ensure that:

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

#### Notes:

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

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

**6.7.4** IATA shall ensure the establishment of lines of communication between the Assessment Team and representatives of the Operator, which will permit effective communication among all concerned parties during an Assessment.

### 6.7.5 IATA shall ensure the Operator is appropriately informed when any of the following exist:

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

### 6.7.6 IATA shall ensure findings and observations are:

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

**6.7.7** IATA 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 includes a detailed implementation action plan (IAP) by the Operator, and is used to achieve conformity with:

- (i) specifically designated ISSA provisions; or
- (ii) subject to prior approval from IATA, ISSA provisions within the scope of a temporary relief measure by a regulatory authority.

*Note: The approval of item ii) above is subject to review of the circumstances under which a relief measure was granted by an authority. Such relief measure must be of temporary nature, with a defined expiration date, and published through the ICAO Targeted Exemptions website.*

**6.7.8** If the Operator utilized one or more Active Implementation (AI) options during the previous Assessment(s), IATA shall:

- (i) identify those in the ISAR, in accordance with [ISPM 6.4.2](#);
- (ii) assess their continuity and, if applicable, apply and document AI in accordance with [ISPM 6.7.7](#).

**6.7.9** Once the on-site phase of the Assessment has started, this shall continue uninterrupted until Assessment completion, except:

- (i) when an Assessment activity must be completed in accordance with [ISPM 6.7.12](#);
- (ii) the Assessment is terminated in accordance with provisions contained in [ISPM 6.9](#).

*Note: Uninterrupted means there are no official working days at the location where the Assessment is conducted, without any on-site auditing taking place.*

**6.7.10** Intentionally left open

**6.7.11** When performing the mandatory observations, IATA shall make use of the published ISSA Observation Checklists. A record of the completed checklists does not need to be kept. The checklists are intended to serve as an aid during the observations.

**6.7.12** When an assessment activity has not been completed during the on-site assessment phase of the Assessment, the closing meeting shall be conducted but not adjourned on site.

- (i) under such circumstances, the Lead Auditor shall notify the Operator that the closing meeting will not be adjourned until all mandatory assessment activities have been completed, at which time the meeting will resume and be adjourned via teleconference with only selected individuals participating. If applicable, potential participants in a teleconference meeting should be identified during the on-site closing meeting.
- (ii) such delayed adjournment of the closing meeting shall have no effect on the Assessment validity period as specified in [ISPM 5.2.1](#), which is based on the date of the closing meeting held at the end of the on-site phase of the Assessment.

**6.7.13** IATA shall have a process, using the audit software, for Assessments to:

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

- ☐ *Note: The number and/or context of finding(s) and/or observation(s) may be subject to change during the quality control conducted by IATA. This may include the identification of nonconformities that were not identified during the onsite portion of the Assessment. In this case IATA shall follow IAH procedure outlined in IAH 5.4.3*

**6.7.14** For any applicable ISARPs that reference aircraft certification, the ISSA Auditor shall take the Type Certification application date of the exact variant of the aircraft that is being operated as listed on the Operator's AOC.

- ☐ **6.7.15** Intentionally left open

- ☐ **6.7.16** Should a disagreement arise between the Operator and the Assessment Team/IATA on the assessment of an ISARP:

- (i) The Operator shall communicate the disagreement to IATA's attention, if during the onsite phase of the Audit through the Lead Auditor or through the IATA Audit Manager, if after the closing meeting;
- (ii) The disagreement shall be communicated no later than five (5) calendar days following the official release of the Audit results by IATA;
- (iii) IATA shall review the matter and, if necessary, escalate it to the appropriate IATA specialists

### 6.8 Closing Meeting

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

### 6.9 Terminating an Assessment

**6.9.1** IATA shall have a process to terminate an Assessment if the Assessment Team makes an objective determination that any one of the following conditions exist:

- (i) the Operator is attempting to exert obvious and undue influence on the Assessment Team;
- (ii) the Operator is raising unacceptable barriers that significantly limit or inhibit the ability of the Assessment Team to discover factual evidence;
- (iii) a conflict of interest as specified in [ISPM 2.3](#), becomes evident;
- (iv) there is a significant breach of the Assessment Agreement;
- (v) Assessment objectives are not attainable; or
- (vi) no reliable and unrestricted internet access is provided to all Auditors and no alternative arrangements could be made.

### 6.10 Accepting a Corrective Action Plan (CAP)

**6.10.1** IATA shall have a process to review and reach agreement with the Operator on an acceptable CAP within forty-five (45) calendar days of the on-site closing meeting in accordance with applicable provisions contained in [ISPM 6.8](#). The CAP shall comprise an acceptable overall proposal by the Operator to implement corrective action to close all findings and/or observations as documented on each CAR. Implementation of corrective action to close an observation is optional for the Operator.

**6.10.2** An acceptable CAP shall ensure:

- (i) for initial ISSA registration, project closure of all findings plus Assessment Closure no later than twelve consecutive (12) months following the date of the on-site closing meeting;
- (ii) for renewal of an existing ISSA registration or Verification Assessment, project Assessment Closure within a period of time as specified in [ISPM 5.5.3](#), [5.5.4](#), or [5.5.5](#) as applicable;
- (iii) the inclusion of proposed implementation of comprehensive and permanent corrective action, ensuring full conformity with the applicable ISARP;
- (iv) the Root Cause Analysis (RCA) and the Planned Corrective Action to address each finding and/or observation (if the Operator decided to address the observation);
- (v) upon receipt from the operator, to be reviewed by IATA to ensure all information was properly uploaded to the audit software, and is ready for retrieval.

**Interim Corrective Action**

**6.10.3** Under unique circumstances, an acceptable CAP may, for renewal of an existing ISSA Registration or Verification Assessments, include implementation of interim corrective action. Interim corrective action shall be considered an exception to [ISPM 6.10.2](#) as a means for providing resolution of a Finding on a temporary basis.

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

- (i) the Operator must have undergone a Registration Renewal Assessment or a Verification Assessment;
- (ii) the request must have been made as soon as it has become known to the Operator that ICA is required;
- (iii) the request to IATA must contain sufficient evidence to provide reasonable assurance that permanent corrective action will be completed within the maximum allowable timeline of 180 days;
- (iv) necessary corrective actions must require services and/or participation from external entities such as external training providers, subcontracted service providers, or regulatory authorities, unless an exemption from this requirement has been received from IATA;
- (v) if requested by IATA, an ICA shall be accompanied by a risk assessment conducted by the Operator, confirming an acceptable level of risk for the Operator for the duration of the ICA validity;
- (vi) the ISARP(s), associated with non-conformities for which an ICA is requested, must not have been approved for an ICA in the past.

**6.11 Conducting Assessment Follow-up**

**6.11.1** For a period of twelve (12) consecutive months following the date of the on-site Assessment closing meeting, as provided in the Assessment Agreement, IATA shall be responsible for applicable Assessment follow-up activity, including verification that the Operator has implemented all comprehensive and permanent corrective action in accordance with the accepted CAP as specified in [ISPM 6.10.2](#).

**6.11.2** IATA shall be responsible for verifying that corrective action in accordance with the accepted CAP has been implemented by the Operator. The following shall apply:

- (i) the exact method of such verification by IATA is in accordance with IAH guidance issued by IATA; and
- (ii) the verification of the corrective action and CAR closure is done by an auditor qualified in the operational discipline associated with the Finding or Observation, the Lead Auditor of the Audit Team that conducted the Audit, or authorized personnell of IATA; and
- (iii) the corrective action ensures full conformity with the ISARP.

**6.11.3** IATA shall document in the Corrective Action Report (CAR):

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

*Note: IATA must ensure during the entire follow-up phase, the corrective action progress is continuously recorded in the audit software.*

### 6.12 Closing Findings/Observations

**6.12.1** IATA shall have a process for declaring a Finding/Observation closed after the implementation of comprehensive and permanent corrective action has been verified in accordance with [ISPM 6.11.1](#) and [ISPM 6.11.2](#).

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

- (i) for initial ISSA registration:

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

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

an Operator shall be removed from the ISSA Registry if Assessment Closure has not been achieved prior to the expiry date of the current ISSA registration, unless extenuating circumstances are determined to exist in accordance with applicable provisions in [ISPM 5.5](#) and [ISPM 5.9](#).

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

**6.12.3** IATA shall have a procedure to address findings/observations that have not yet been closed by the Operator when an associated ISSA Standard or Recommended Practice is changed as a result of a published revision to the ISSM. Details of such procedure are outlined in the IAH.

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

**6.12.4** IATA shall have a process to address a Finding that has not yet been closed by an Operator when the ISSA Standard associated with that Finding, or a specification within that ISSA standard, is suspended in accordance with the ISSA Standards Special Review Process. Details of such procedure are outlined in the IAH.

## **6.13 Closing an Assessment**

**6.13.1** IATA shall have a process to:

- (i) declare Assessment closure on a specific date, once:
  - (a) all Findings have been addressed by the Operator through implementation of corrective action(s) in accordance with an accepted CAP, as specified in [ISPM 6.10.2](#).
  - (b) implementation of all corrective actions has been verified by IATA.
  - (c) QC processes are complete.
- (ii) issue an Assessment closure notice to the Operator, that shall include language to inform the Operator that, although the Assessment has been declared closed, the Assessment is not valid for initial registration, registration renewal or registration reinstatement as applicable, until the ISAR has been released by IATA.

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## Section 7 Assessment Report

### Purpose

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

### 7.1 ISSA Assessment Report

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

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

**7.1.2** The Assessment Report is used by an Interested Party for the purpose of Assessment Sharing in accordance with provisions contained in [ISPM Section 8](#).

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

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

- ☐ **7.1.5** If an Initial or Registration Renewal Assessment is conducted as full remote Assessment in accordance with [ISPM 6.2.11](#), this shall be explicitly stated in the ISAR.

### 7.2 Quality Control of the Assessment Report

**7.2.1** IATA shall have an ISAR quality control process, the implementation of which ensures all documents comprising the ISAR as specified in [ISPM 7.1.1](#) and [ISPM 7.1.4](#) are completed accurately and in accordance with procedures contained in the IAH.

**7.2.2** IATA shall ensure the ISAR as specified in [ISPM 7.2.1](#), has been completed before issuing an ISAR to the Operator.

### 7.3 ISSA Assessment Report Ownership

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

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

- (i) a copy of the ISAR may be provided to relevant regulatory authorities in compliance with applicable law(s) of the State of the Operator;
- (ii) a copy of the ISAR may be relinquished as part of legal proceedings in compliance with applicable laws;
- (iii) a copy of the ISAR provided or relinquished in accordance with (i) or (ii) shall require notification to IATA.

**7.3.3** At the discretion of the Operator, the ISAR, or information contained therein, may be viewed by or verbally shared with another party on an informal basis under the following conditions:

- (i) such viewing or sharing shall not be used for the purpose of Assessment sharing under ISSA, and such viewing or sharing shall not be used as a mechanism for bypassing the provisions of the official ISAR access process specified in [ISPM 7.8](#);
- (ii) neither the ISAR nor a copy of the ISAR shall be furnished to any other party; the ISAR and any copies shall remain on the property of, and in the physical possession of, the Operator.

### 7.4 ISAR Custodianship

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

**7.4.2** The Operator that owns an ISAR, as specified in [ISPM 7.3.1](#), shall be the sole determiner and provider of authorization for access to the Assessment Report from the ISSA Database.

### 7.5 ISAR and Data Retention

**7.5.1** IATA shall have processes to:

- (i) retain a copy of the ISAR and all associated working documents in its own records for at least two (2) years after the completion of an Assessment;
- (ii) ensure the confidentiality and security of the report and all documents and data;
- (iii) preclude release of the ISAR, or a copy of the ISAR, to any other entity or party, except the Operator or an entity authorized by the Operator.

**7.5.2** IATA shall ensure all unofficial working documents that are not part of the ISAR as specified in [ISPM 7.1.1](#) are managed and if applicable disposed of, in accordance with its record keeping policy.

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

### 7.6 ISSA Database

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

**7.6.2** The ISSA Database shall be the sole source of official access to an ISAR in conformity with provisions contained in [ISPM 7.7](#); the Operator shall be the sole determiner and provider of authorization for official access to an ISAR.

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

**7.6.4** Any analysis of ISSA data by IATA shall always be accomplished in conformity with provisions contained in [ISPM 7.9](#).

## **7.7 Intentionally left open**

## **7.8 ISAR and Data Access**

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

**7.8.2** IATA shall not provide ISAR access to an interested party unless authorization for such access has been granted by the Operator that owns the ISAR, as specified in [ISPM 7.4.2](#).

**7.8.3** IATA shall not provide ISAR access to an interested party that is subject to laws or other legal provisions that could potentially either:

- (i) result in the public release or public disclosure of the ISAR; or
- (ii) otherwise compromise the security and confidentiality of the ISAR.

**7.8.4** IATA shall not provide ISAR access to an interested party unless such party has entered into a non-disclosure agreement with IATA that specifies the binding conditions associated with having access to an ISAR.

**7.8.5** IATA shall have a process to provide ISAR access, including access to archived ISAR, to entities other than an interested party as specified in [ISPM 7.8.1](#). Such process shall ensure:

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

*Note: Entities addressed in this provision include:*

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

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



**7.8.7** if an interested party requests access to Audit results, data and/or ISAR for and Assessment which Assessment Closure has not been declared by IATA as per [ISPM 6.13.1](#):

- (i) IATA shall review the request case by case; and
- (ii) if the request is accepted by IATA, the preliminary ISSA Assessment Report (ISAR) shall be issued, while clearly identifying that the Assessment has not been closed yet.

### 7.9 Assessment Report Sharing

- △ **7.9.1** An interested party that seeks to share an Assessment under ISSA shall gain access to the ISAR in accordance with provisions contained in [ISPM 7.8](#).
- △ **7.9.2** An interested party uses the assessment and data sharing process to achieve its own unique objective(s): therefore, any operational, commercial or business decision(s) based on assessment and data sharing shall always be the full responsibility of the interested party (e.g. decision to enter into a code share agreement with an ISSA Operator).
- △ **7.9.3** An interested party shall understand that, when it shares an Assessment of an Operator under ISSA 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.
- △ **7.9.4** An interested party shall understand that, when it shares an Assessment of an Operator under ISSA it bears responsibility for providing its own ongoing monitoring of the operations of the audited/assessed Operator.
- △ **7.9.5** An interested party shall understand that the ISAR, while designed to provide comprehensive information about an Assessment/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 ISSA Operator.

### △ 7.10 ISSA Data Analysis

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

- (i) industry conformity with ISSA standards and recommended practices (ISARPs) for statistical safety reporting;
- (ii) industry conformity with recommended practices in determining consideration for upgrade to a standard;
- (iii) ISAR content to evaluate Auditor performance and standardization;
- (iv) other ISSA program areas as necessary for quality assurance;
- (v) to provide insights in support of IATA's SMS program.

**7.10.2** The following restrictions shall apply to all data derived from analyses of ISARs and data conducted by IATA:

- ⊗ (i) analytical results shall always be de-identified; the name of a specific Operator shall never be included or revealed;
- (ii) analytical data shall never be structured, arrayed or arranged in a manner such that a specific ISAR, Operator could be identified.

**7.10.3** Any proposed future use of information from ISARs in the ISSA Database for purposes other than those contained in [ISPM 7.9.1](#), such as analyses as part of the IATA Global Aviation Data Management (GADM) safety research, shall be in conformity with restrictions contained in [ISPM 7.9.2](#).

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## Section 9      **Dispute Resolution**

### **Purpose**

This section of the ISPM sets out standards for resolution procedures to be followed whenever a dispute arises between an operator (referred to as the “Auditee”) and IATA.

### **9.1      Applicability**

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

### **9.2      Dispute Resolution**

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

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

*Note:      IATA shall facilitate any dispute resolution process.*

**9.2.2**      For the purposes of this subsection, the representatives of each party shall be the persons named in the notice provisions of the Assessment agreement, as the case may be.

**9.2.3**      Any dispute not resolved through implementation of the steps specified in [ISPM 9.2.1](#) within sixty (60) calendar days of the date of Notification will be exclusively and finally settled by arbitration under the Rules of Conciliation and Arbitration of the International Chamber of Commerce.

*Note:      The process may be extended beyond sixty (60) calendar days if all involved parties agree to this extension.*

**9.2.4**      In accordance with [ISPM 9.2.1](#), IATA may freeze the process described in [ISPM 5.4](#), [ISPM 5.5](#) and [ISPM 5.2](#) and resume the same process, after applicable criteria are satisfied and the agreed conditions for a resolution are met. The change in Assessment closure and other applicable deadlines shall not exceed the periods as defined in this ISPM.

**9.2.5**      IATA shall make annotations to the ISSA Registry in accordance with [ISPM 5.7.7](#) and [Table 5.1](#) if an ISSA Operator is involved in dispute resolution in accordance with [ISPM 9](#) that could affect ISSA registration.

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