IOSA Program Manual (IPM)

Operational Safety Audit

Edition 17

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Foreword

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

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

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

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

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

IATA will continue to update IOSA Program standards, as derived from accepted industry reference sources, as defined in IPM Section 1.6, Standards Management.

Applicability

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

The IPM contains primarily policies. The IOSA Audit Handbook (IAH) contains the more detailed requirements and procedures of many of the policies contained in the IPM.

Standards in this manual are applicable primarily to:

1.   All Operators audited under IOSA;

2.   IOSA Auditors, who conduct audits under IOSA; and

3.   The International Air Transport Association (IATA), who is the steward of the IOSA Program and is responsible for the planning and conduct of the IOSA Audits.

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Record of Editions

Edition Number	Issue Date	Effective Date
1st Edition	October 2003	October 2003
2nd Edition	November 2004	November 2004
3rd Edition	December 2007	March 2008
4th Edition	January 2011	April 2011
5th Edition	December 2011	April 2012
6th Edition	January 2014	May 2014
7th Edition	May 2015	September 2015
8th Edition	October 2016	January 2017
9th Edition	June 2017	September 2017
10th Edition	July 2018	October 2018
11th Edition	June 2019	September 2019
12th Edition	November 2019	January 2020
13th Edition	July 2021	October 2021
14th Edition	July 2022	October 2022
15th Edition	January 2023	April 2023
16th Edition	July 2023	October 2023
17th Edition	August 2024	October 2024

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Introduction

1) Purpose

(i) The IOSA Program Manual (IPM) is published in order to make the complete body of standards that govern all aspects of the IATA Operational Safety Audit (IOSA) Program available in a single source. Standards in the IPM provide the basis for program standardization, which ensures that each audit is conducted in a consistent manner.

(ii) IOSA Audits will only be conducted by IATA.

(iii) Additionally, the standards in this manual shall be the basis for the system used by IATA in providing quality oversight and management of the IOSA Program.

2) Examples of IOSA Documents and Forms

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

3) IOSA Documentation System

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

(i) IOSA Standards Manual (ISM);

(ii) IOSA Audit Handbook (IAH) (all parts);

(iii) IATA Reference Manual for Audit Programs (IRM);

(iv) Quality Management Manual (QMM);

(v) Auditor Performance Monitoring Framework (APMF);

(vi) IOSA Audit Software manuals.

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

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

4) English Language

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

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

(i) IATA will publish new editions and temporary revisions to this IPM as necessary, to ensure the content remains current and meets the needs of the IOSA Program.

(ii) During a regular revision cycle, where a change to the IPM is required:

(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 IPM will indicate the Edition number and the effectivity date, the page footer will indicate the Edition number and the effectivity date.

(c) a new Edition of the IPM becomes effective on the first day of the second month following the month of publication (e.g. an Edition published in July 2024 is effective on the first day of September 2024).

(iii) When a rapid change to the IPM 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 IPM 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.

(iv) If publication and/or editorial errors have been identified in any publication making up the IOSA documentation system, IATA can correct such errors through issue of an "errata list", which will be published in the same location as all the IOSA documents.

6) **Manual Approval Process**

(i) IATA will internally draft any required changes in consultation with applicable parties, if necessary.

(ii) A comment period will allow for external (e.g. IOG) feedback:

(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 - fourteen (14) calendar days with IATA senior management;

(b) For a TR cycle - up to fourteen (14) calendar days;

(v) The Head, IOSA is the final approving authority for new editions or temporary revisions for this manual;

(vi) Errors corrected according to 5) (iv) above are not subject to comment and review.

7) **Content Changes**

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

8)   Conflicting Information

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

(ii)   If there are inconsistencies between the IOSA documentation, namely the ISM, IPM and IAH, IATA should be contacted for clarification and correction.

(iii) If there are inconsistencies between the IPM, related content in the IAH, and the Audit Agreement, the Audit Agreement shall prevail.

9)   IOSA Documents and Forms

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

10) IRM for IOSA Abbreviations, Acronyms, Definitions

(i)   The terminology used in the IPM is consistent with that in the other manuals that comprise the IOSA documentation system. Any related terms, as they are used in the context of the IOSA Program and its documents, are defined in the IATA Reference Manual for Audit Programs (IRM).

(ii)   Where text within the IPM is blue as a hyperlink, this indicates that the word is defined in the IRM (e.g. *corrective action*), and the reader is encouraged to refer to the IRM reference. Hyperlinked references to other parts of the IPM (e.g., **IPM 1.2.3**) are also in blue.

11) IOSA Authority

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

12) Audit Scope

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

Description of Changes

IPM Ed 17 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	
Entire Document	
All Sections	Completely revised
Section 2	Entire Section removed
Section 5	Entire Section removed
Sections 1 - 9	Re-numbering of sections

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

Glossary of Symbols to Designate IPM Changes

☐   Addition of a new item.

△   Change to an item.

⊗   Deletion of an item.

Section 1   IOSA Program Management

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

1.1   Organization and Management System

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

    (i)   an Accountable Executive (in the case of IOSA, the Director, 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 IOSA program.

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

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

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

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

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

1.1.6   IATA shall have an Quality Management Manual that, as a minimum describes:

    (i)   the scope of the management system;

    (ii)   IOSA quality policy and objectives;

    (iii)   references for system processes and procedures;

    (iv)   the interaction among processes in the management system.

1.1.7 The Head, IOSA reserves the right to allow exemption(s), taking into account all circumstances, and is responsible for authorizing any such exemption(s). IATA shall log all exemptions granted by the 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 shall have a quality assurance (QA) program that operates independently from the IOSA program management system that:

    (i) monitors, assesses and measures, as applicable, performance in all areas of the IOSA program;

    (ii) is designed to fulfil the IATA commitment to continual improvement throughout the IOSA program.

1.2.2 The IATA QA Program shall include oversight processes that determine the level of conformity in all areas of published IOSA Program requirements. The IATA QA Program processes shall define requirements for:

    (i) the planning, implementation and follow up of the QA activities;

    (ii) the identification of the non conformities;

    (iii) the communication of the result or information collected from the oversight activities;

    (iv) the follow up of corrective actions;

    (v) the monitoring of effectiveness of corrective actions.

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

    (i) reviewing nonconformities;

    (ii) determining the root cause(s) of nonconformities;

    (iii) identifying and following up corrective action as necessary.

1.2.4 IATA shall appoint an appropriately qualified individual to have overall responsibility for implementation of the IOSA QA program. Such responsibilities shall include, as a minimum:

    (i) ensuring applicable quality management processes are developed, implemented and maintained;

    (ii) implementing oversight processes, applicable to all areas of the IOSA program;

    (iii) assessing and measuring the performance of the IOSA management system;

    (iv) acquiring and analyzing feedback and other information/data resulting from IOSA;

    (v) recommending corrective or preventive action, as applicable;

    (vi) reporting audit and other oversight results to senior management, including areas in need of improvement;

(vii)   ensuring awareness of customer requirements;

(viii) coordinating and communicating with external parties on matters relating to quality management and quality assurance systems;

(ix)   ensuring that any significant issues identified from oversight activities are communicated to all relevant stakeholders.

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

IAR/MAR Quality Control

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

(i)   details of the Audit 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 the English language, and in a manner understandable to any reader of the report;

(v)   checklist items of conformity have documented supporting references from controlled documents;

(vi)   checklist items of nonconformity (Findings and Observations) have documented supporting factual evidence;

(vii)   checklist items of non-applicability (N/As) have a documented explanation;

(viii) if applicable, the application of Active Implementation (AI) is correctly documented;

(ix)   closure of Findings in each Corrective Action Record (CAR) includes an accurate description and justification of the method(s) 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 an IAR/MAR as a result of implementation of the quality oversight process in accordance with IPM 1.2.6 are communicated for subsequent procedural and performance improvements, as applicable.

1.3 Customer Relations

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

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

(i) are provided with information and data in a manner that is both expected and timely through alerts, bulletins or other means;

(ii) receive appropriate and timely responses to inquiries and other communications;

(iii) have avenues for providing feedback, identifying problems and registering complaints.

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

(i) IATA Connect;

(ii) website;

(iii) email;

(iv) printed media;

(v) telephone.

1.4 Audit Administration

Audit Invalidation

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

(i) an Audit that was not conducted in accordance with standards in this IPM;

(ii) an Audit that was conducted with a non-approved auditor;

(iii) a conflict of interest existed in association with the conduct of an Audit;

(iv) revocation of the AOC of the Operator;

(v) a merger, takeover, or consolidation involving the Operator;

(vi) the validity of an open Audit has expired, as specified in IPM 5.2.2.

Audits of Affiliated Operators

1.4.2 IATA shall conduct an advanced review of Audits of affiliated Operators in accordance with IPM 6.2.6. Such review shall ensure a written planning notification is received from the Operator prior to the submission of an executed Audit Agreement, utilizing the IATA form for the Audit of affiliated Operators

Merger of Air Operators

1.4.3   IATA shall assess all information provided by the Operators, as specified in IPM 4.8 to address the merger of air operators when such merger includes one or more IOSA Operators. Such assessment shall provide for:

      (i)   a determination of the new or revised audit dates for the primary and/or parent Operator, as well as any additional requirements or conditions after the merge and/or takeover;

      (ii)   agreement between the Operator(s) and IATA on the changes and/or deletions on the IOSA Registry;

      (iii)   Monitoring of the merger, to confirm the issue of revised or new AOC(s) and/or Operations Specifications as planned.

Collection of Administration Fees

1.4.4   IATA shall collect the Audit Administration Fee for Non-Member Audit Agreements.

1.5   Auditor Approval and Administration

1.5.1   IATA shall assess exemption requests for auditors in accordance with IPM 2.3.5, to include:

      (i)   analysis of a candidate auditor's background and experience;

      (ii)   approval (or denial) of an exemption request when a candidate auditor meets (or does not meet) stated criteria.

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

1.5.2   IATA will review the AQR to provide an approval or non approval. IATA will ensure the AQR reflects:

      (i)   if applicable, the subject Auditor has satisfied all qualification prerequisites;

      (ii)   if applicable, the subject Auditor has completed the appropriate qualification process in accordance with IPM standards;

      (iii)   if applicable, the subject Auditor satisfies all qualification currency requirements in accordance with IPM standards;

1.5.3   Approval of an Auditor by IATA in accordance with IPM 1.5.2 shall result in the following:

      (i)   IATA will update the Master List of Approved IOSA Auditors with the change in Auditor qualification(s).

1.5.4   IATA shall maintain the IATA Master List of Approved IOSA Auditors in order to ensure the availability of an up-to-date qualification status of each Auditor in the IOSA system.

1.5.5   IATA shall retain all relevant records of an IOSA Auditor, to include information on pre-requisites, and records of initial and continuing training and qualification.

Auditor Qualifications Currency

1.5.5   IATA shall maintain a record of the status of the currency of Auditor qualifications as specified in provisions contained in 2.15, 2.16 and 2.17, applicable to each Auditor on the IATA Master List of Approved IOSA Auditors.

1.6   Standards Management

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

   (i)   are developed to maintain an up-to-date status, in accordance with:

      (a)   the IOSA Standards Change Management Process;

      (b)   applicable IATA governance rules;

      (c)   applicable internal procedures for the revision of the IOSA Standards Manual, and;

      (d)   IPM 1.6.

   (ii)   undergo review(s) by the IOSA Oversight Group (IOG), with feedback incorporated, as appropriate;

   (iii)   in case of disagreement between IATA and the IOG, are subject to review and recommendation from the Operations Advisory Council (OAC);

   (iv)   are published in a timely manner after final approval by the Head, IOSA is granted.

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

1.6.2   In accordance with IPM 1.6.1, IATA shall ensure:

   (i)   During a regular revision cycle, where a change to the ISM is required:

      (a)   a new Edition of the manual will be published and account for any applicable Temporary Revisions (TRs) issued since the previous Edition;

      (b)   the cover of the ISM will indicate the Edition number and the effectivity date, the page footer will indicate the Edition number and the effectivity date;

      (c)   a new Edition of the ISM becomes effective no earlier than the first day of the fifth month following the month of publication.

   (ii)   When a rapid change to the ISM is required, a Temporary Revision (TR) will be issued and will indicate:

      (a)   a unique reference number linking it to the appropriate Edition;

      (b)   an ISM reference number associated to the content requiring change;

      (c)   a date of issue and effectivity.

1.6.3   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 IOSA specifications.

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

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 IOSA Standards Special Review Process.

1.6.7 IATA shall have a process for the management of activities and membership of the IOSA Standards Task Forces in accordance with IATA Governance Rules.

1.7 Information and Data Management

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

(i) continuing development of the electronic system;

(ii) updating form templates housed within the system;

(iii) revising documents and checklists within the system;

(iv) training and registering Auditors in the use of the system.

1.7.2 IATA shall manage IATA Connect (IOSA Platform), including rules and procedures that ensure the security, confidentiality and data integrity of IAR information and data contained within IATA Connect.

1.8 Registration Management and Options

1.8.1 IATA shall manage the IOSA Registry in accordance with applicable provisions in IPM 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 IPM 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 only granted by the Head, IOSA.

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

    (i)   operational exclusions in accordance with IPM 5.1.5 and IPM 5.1.6;

    (ii)   aircraft and/or fleet exemptions in accordance with IPM 5.1.9 and IPM 5.1.10.

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

1.8.5 IATA shall make an annotation on the IOSA Registry and/or to notify Interested Parties, as applicable, in accordance with IPM 5.7.7.

1.9 Documentation Management

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

    (i)   approval prior to issue;

    (ii)   review and revision;

    (iii) archiving of previous versions;

    (iv) identification of change and revision status of current editions;

    (v)   user notification for issuance of temporary revisions and new editions;

    (vi) ready availability of current editions for applicable users;

    (vii) identification and distribution control for documents of external origin;

    (viii) identification of documents that are obsolete.

Legal Documents

1.9.2 IATA shall use appropriate legal resources and expertise to ensure contractual documents associated with IOSA are reviewed and maintained as necessary for fulfilment of IOSA program needs. Such contractual documents include the IOSA Audit Agreement.

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

IAR

1.9.4 IATA shall have a process to address requests for access to an IAR in accordance with provisions contained in IPM 7.7.

1.10 Records Management

1.10.1 IATA shall manage and control records associated with the IOSA 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

1.11.1   IATA shall develop, manage, deliver and maintain the IOSA training program including initial, recurrent and continuing training, to ensure IOSA Auditors are qualified and competent to conduct IOSA audits.

1.11.2   IATA shall deliver the IOSA training courses by utilizing internal instructors within the IOSA team.

1.11.3   IATA shall review and revise the IOSA training courses regularly, to ensure training objectives are met and course content and delivery is consistent with provisions contained in IOSA documentation.

1.11.4   IATA shall schedule and deliver training sessions, when deemed necessary, to address changes of the IOSA Program, IOSA documentation, and IOSA Standards and Recommended Practices (ISARPs).

1.12   IOG Administration

1.12.1   IATA shall ensure administration of the IOSA Oversight Group (IOG), to include:

(i)   coordinating and communicating with the IOG membership;

(ii)   scheduling and arranging IOG meetings;

(iii)   producing reports, meeting minutes and other documents associated with IOG activities.

1.13   ISARP Prioritization

1.13.1   IATA shall ensure all Standards and Recommended Practices in the IOSA Standards Manual (ISARPs) are categorized based on a priority scale to enable reduced scope Registration Renewal Audits. Categorization of all ISARPs shall be completed in two stages:

(i)   On an aggregate level for the whole industry, at least once per ISM edition;

(ii)   Adjusted for the operator, to be completed before a Registration Renewal Audit, within a timeline that allows for the effective planning and conduct of such Audit.

Note: Calculated priority ratings of ISARPs will not be published and will only be available to auditors conducting Registration Renewal Audits.

1.13.2   Standards and Recommended Practices shall be prioritized as either high, medium, or low priority. This prioritization shall be performed using an established method and shall be based on defined data.

1.13.3   IATA shall ensure the availability of a checklist, prior to each Registration Renewal Audit, with all ISARPs prioritized as defined in **IPM 1.13.1**.

1.13.4   IATA shall develop a methodology to assess an operator's maturity level of relevant systems. The detailed methodology shall be defined in the IOSA Audit Handbook applicable to Registration Renewal Audits and other documentation comprising the IOSA Documentation System.

1.13.5   IATA shall define maturity levels to be used during a maturity assessment. Such levels shall have, to the extent possible, objective criteria associated with them.

Section 2   Auditor Qualification

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

2.1   Categories of IOSA Auditors

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

(i)   *Auditor:* An experienced auditor that has completed the process for qualification as an Auditor in accordance with applicable provisions in IPM 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 IOSA Audit Team, and has completed the process for qualification as a Lead Auditor in accordance with provisions in IPM 2.11.

(iii)   *Evaluator:* An experienced Lead Auditor that has completed the process for qualification as an Evaluator in accordance with provisions in IPM 2.12, and has been designated to evaluate audit activities and auditor performance.

2.2   Competence of IOSA Auditors

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

(i)   meets all applicable qualification prerequisites;

(ii)   possesses the appropriate personal attributes;

(iii)   speaks, reads and writes English;

(iv)   demonstrates the ability to apply knowledge and skills that are necessary to effectively conduct Audits under the IOSA program;

(v)   successfully completes all steps in the process for qualification to the appropriate category of IOSA Auditor.

2.3   Qualification Prerequisites for IOSA Auditor Acceptance

Any candidate interested to become an IOSA Auditor shall submit the IOSA Curriculum Vitae (CV) and any other document as specified by IATA.

IATA will select the most suitable candidates in accordance with Program needs.

2.3.1   Prerequisite Education

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

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

2.3.2   Prerequisite Operational Experience

   (i)   A candidate for IOSA Auditor shall have a minimum of:

      (a)   five (5) years of total work experience in one or more of the IOSA operational disciplines;

      (b)   two (2) years of work experience in any single IOSA operational discipline;

      (c)   one (1) year of work experience in one or more IOSA operational disciplines within the four (4)-year period immediately prior to application as a candidate for IOSA Auditor.

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

   (i)   a candidate for IOSA Auditor shall satisfy one of the following prerequisites

      (a)   possess and furnish proof of *current* certification by a recognized national or international auditor certification authority, either as a quality auditor, quality management system auditor, lead auditor, or as an aerospace experienced auditor. Auditor certification shall be based on internationally recognized auditor certification standards; or

      (b)   if not currently a certified auditor as described above, furnish documented and verifiable evidence of completion of a formal quality auditor or lead quality auditor training course conducted in a classroom format with a curriculum in accordance with IPM 3.2.2. Acceptable evidence of training shall consist of a certificate of completion, confirming that the candidate has successfully completed all aspects of the course, including an examination or demonstration of proficiency;

   (ii)   a candidate for IOSA Auditor shall possess and provide evidence of certification of successfully completing a formal aviation-based SMS training course from a recognized airline-related training provider (e.g. ATA, IATA, Airline, Flight Safety Int'l, etc.), that has a curriculum based on the SMS components and elements contained in the ICAO Framework for Safety Management Systems;

Notes:

1.   A certificate of attendance is <u>not</u> acceptable.

2.   For (i) an IOSA Auditor Training certificate is not acceptable.

2.3.4   Prerequisite Audit Experience

   (i)   a candidate for IOSA Auditor shall furnish documented and verifiable evidence of having conducted a minimum of ten (10) aviation industry audits within the scope of IOSA in any of the following areas:

      (a)   Operations;

      (b)   Quality management systems;

      (c)   Safety management systems;

(d)   Regulatory compliance; or

(e)   Operational safety.

(ii)   Such audits shall have been conducted in the aviation operational disciplines included in the scope of IOSA; a minimum of one of the audits shall have been conducted within the 24-month period immediately prior to application as an IOSA Auditor.

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

2.3.5   A candidate for IOSA Auditor that provides documented evidence of audit and professional experience well in excess of the minimum specified in IPM 2.3.6 may be considered for an exemption from the qualification prerequisite contained in IPM 2.3. The candidate shall submit a written exemption request to IATA that shall include comprehensive professional background information supporting the request. IATA shall review and assess the request and provide its feedback. Any exemption granted under this provision shall be at the sole discretion of IATA who shall make a determination based on analysis of the quality and quantity of the professional background experience of an individual candidate.

Note: Active involvement in the IOSA program that is supported by documented evidence may be considered for exemptions as specified below:

(i)   audit recency as specified in IPM 2.17 and Table 2.9

(ii)   completion of the IOSA Auditor Training course as specified in IPM 2.10.1

(iii)   completion of any additional training as specified in IPM 2.10.1

(iv)   currency requirements as specified in IPM 2.15 and IPM 2.16

2.3.6   All candidate Auditors shall meet prerequisites contained in IPM 2.3.1 to IPM 2.3.6 and discipline-specific requirements in accordance with Table 2.1 to Table 2.8, as applicable.

Table 2.1   Experience Prerequisites for ORG Auditors

Auditor Experience/Training	Management Systems Experience
• Conducted a minimum of six (6) complete Audits as an IOSA Auditor;	At least two (2) years in a senior management position for an airline or organization that conducts operations for an airline with a role in the Safety Management System.

Table 2.2   Experience Prerequisites for FLT Auditors

Core Aviation Experience	Flight Operations Experience (see *Note*)
Holder of an ATPL and having at least Five (5) years' experience as a pilot on transport category aircraft with MTOW above 5700 kg; The Five (5) years experience above shall have occurred within the 10-year period immediately prior to application as an IOSA Auditor in the FLT discipline.	At least two (2) years: • In a flight operations management position for an operator utilizing transport category aircraft; **or** • As a pilot flight crew instructor or evaluator (aircraft and/or simulator) on transport category aircraft; **or** • As an airline flight operations inspector on transport category aircraft of a NAA; **or** • As a flight operational quality or safety auditor for an operator utilizing transport category aircraft.

Notes:

1. *In addition to the core aviation experience and flight operations experience above, Auditors seeking to conduct Mandatory Observations on Line Flight Operations must have the following additional experience/qualifications:*

   • *have operated as Pilot in Command on transport category aircraft (MTOW above 5700 kg) for at least 1 year; and*

   • *have held an ATPL (not 'frozen' ATPL).*

2. *In addition to the core aviation experience and flight operations experience above, Auditors seeking to conduct Mandatory Observations on Flight Simulator Operations must have the following additional experience/qualifications:*

   • *Must have qualifications to conduct Mandatory Observations on Line Flight Operations*

   • *Must have simulator operating experience as a full flight (dynamic) simulator pilot-instructor, or pilot-evaluator on transport category aircraft with MTOW above 5700 kgs in support of airline operations.*

Table 2.3   Experience Prerequisites for DSP Auditors

Operational Control and Flight Dispatch Experience

At least five (5) years:
• As an airline flight dispatcher or flight operations officer (FOO) or any operational and/or managerial role in the airline operational control center;
 	
   or
 	
• As an airline pilot flight crew member licensed by a national aviation authority (NAA);
 	
   or
 	
• As an airline flight operations inspector for a NAA.

Table 2.4   Experience Prerequisites for MNT Auditors

Aviation Experience	Quality Experience	Audit Experience

• Five (5) years performing a function in aircraft engineering and maintenance and/or in a maintenance quality function in support of airline operations.	Two (2) years:
	• Performing quality assurance audits of aircraft engineering and maintenance functions in support of airline operations;
	
	   or
	
	• Performing quality systems evaluations or aircraft maintenance programs in support of airline operations;
	
	   or
	
	• Performing operational quality audits of foreign airlines in the area of airline engineering and maintenance functions;
	
	   or
	
	• As an airline airworthiness inspector for a NAA.
		• Conducted four (4) audits in support of aircraft engineering and maintenance functions as described under the Quality Experience column.
		
		Note: All audits specified above shall have been conducted within the 24-month period immediately prior to application as an IOSA Auditor.
		
		• A minimum of one such audit shall have been conducted within the 12-month period immediately prior to application as an IOSA Auditor.

Table 2.5   Experience Prerequisites for CAB Auditors

Core Aviation Cabin Operations Experience
At least five (5) years: • as Airline Cabin Crew or Holder of an ATPL License or Airline flight operations inspector for an NAA.

Table 2.6   Experience Prerequisites for GRH Auditors

Core Aviation Ground Handling Operations Experience
At least two (2) years: • as manager in Ground Handling Operations; **or** • instructor in Ground Handling Operations; **or** • as an Auditor in Ground Handling Operations having completed at least ten (10) audits.

Table 2.7   Experience Prerequisites for CGO Auditors

Core Aviation Cargo Operations Experience
At least two (2) years: • as manager in Cargo Operations; **or** • instructor in Cargo Operations; **or** • as an Auditor in Cargo Operations having completed at least ten (10) audits.

Table 2.8   Experience Prerequisites for SEC Auditors

Core Aviation Security Experience	Auditor Experience/Training
• General knowledge of relevant national and/or supranational aviation security regulations; **and** • At least two (2) years operational experience as manager, instructor or auditor of aviation security.	Successful completion of the IATA SeMS Competency Test with at least 90% passing mark.

2.4 Personal Attributes of IOSA Auditors

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

(i)   honest and ethical in conduct;

(ii)   respectful with all stakeholders at all times;

(iii) objective, fair and impartial in applying judgement;

(iv)   selfconfident in knowledge and ability;

(v)   honest and firm in convictions;

(vi)   focused on achieving objectives;

(vii) observant of physical surroundings and activities;

(viii) dedicated to operating in a teamwork environment;

(ix)   open to alternative ideas or methods;

(x)   tactful in dealing with people;

(xi)   discreet in managing information;

(xii) insightful of and adaptable to different situations;

(xiii) analytical and logical in reaching conclusions;

(xiv) physically and mentally fit for duties as an auditor;

(xv)   well groomed, with good personal habits and hygiene;

(xvi) effective in time management.

2.5 Ethical Standards for IOSA Auditors

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

(i)   provided consulting services within the operational scope of IOSA to the Operator within the past two years;

(ii)   a direct or indirect financial interest in the Operator;

(iii) family members affiliated with the Operator, with such family members defined as parent, sibling, child, spouse, grandparent, or grandchild;

(iv)   any other form perceived as a potential conflict of interest.

Note: The operational scope of IOSA referred to in 2.5.1 (i) above shall be defined as follows: any content or material relating to the content of IOSA documentation which is provided as training courses or material, or as content of consultancy services.

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

2.6 Knowledge and Skills for IOSA Auditors

2.6.1 IOSA Auditors shall have a thorough knowledge of:

    (i)   quality and safety audit principles, procedures, and techniques;

    (ii)   the content of manuals that comprise the IOSA documentation system, including:

        (a)   this IOSA Program Manual (IPM);

        (b)   the IOSA Standards Manual (ISM);

        (c)   the IOSA Audit Handbook (IAH);

        (d)   the IATA Reference Manual for Audit Programs (IRM);

    (iii)   the audit software and applicable documentation;

    (iv)   typical organizational structure of airlines, including size, functions and relationships;

    (v)   relevant technical areas of airline operations;

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

    (i)   applicable laws, ICAO Annexes and regulatory requirements (e.g. U.S. Federal Aviation Regulations, European Union Regulations, European Aviation Safety Agency requirements (EASA));

    (ii)   airline operational business processes and related terminology;

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

    (i)   speaking, reading and writing English;

    (ii)   writing reports;

    (iii)   communicating;

    (iv)   working with people;

    (v)   using all applicable software, to include but not limited to the use of 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 Audit Team, such as:

    (i)   planning the Audit and making effective use of resources during the Audit;

    (ii)   representing the Audit Team in communications with the operator;

    (iii)   organizing and directing Audit Team members;

    (iv)   leading the Audit Team to reach audit conclusions;

    (v)   preventing and resolving problems and conflicts;

    (vi)   preparing and completing the Audit reports.

2.8 Special Qualities for Evaluators

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

 (i) leadership and respect;

 (ii) overall technical and business knowledge;

 (iii) adherence to standards;

 (iv) ability to exercise objective judgment;

 (v) multi-task capabilities;

 (vi) dedication to operational quality.

2.9 Responsibilities of Auditors, Lead Auditors and Evaluators

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 IPM 2.5.1;

 (iii) ensure that the appropriate skills, knowledge and fair judgement needed for the conduct of IOSA are applied;

 (iv) ensure that the audit is conducted in full adherence to methods and procedures as defined in the IOSA documentation, to include requirements as specified in the IATA Code of Ethics & business conduct for Auditors;

 (v) ensure continued performance improvement based on output from quality assurance oversight activities, quality control processes and in relation to feedback from customers;

 (vi) ensure that all IPM 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 audit process;

 (ii) ensure that all available resources and appropriate judgement is used to prevent or resolve any disagreements or conflicts;

 (iii) ensure that there is open, diplomatic and professional communication with the Operator.

2.9.3 Additional responsibilities for Evaluators:

(i) ensure that all IPM standards for the competence and quality of auditors and lead auditors are met when carrying out evaluations;

(ii) ensure that auditors and lead auditors being evaluated are applying appropriate skills, diplomacy and fair judgement during the audit process.

2.10 Qualification Process for Auditors

2.10.1 Each candidate for IOSA Auditor shall:

(i) complete the IOSA Auditor Training (IAT) course as specified in IPM 3.1.1;

(ii) complete additional training as applicable (e.g. use of the audit software);

(iii)

(a) observe a discipline and being coached by a qualified IOSA Auditor;

(b) on another Audit, conduct auditing of the operational discipline under the supervision and assessment of a qualified IOSA Auditor;

(c) complete mandatory observations while auditing under coaching or supervision and assessment, unless it is not logistically feasible (e.g. flight and simulator observations);

(iv) if required, receive additional training-to-proficiency and repeat step (iii) above;

(v) be recommended by the Auditor who supervised and assessed the candidate auditor.

Notes:

1. *Steps of this process shall be completed in sequence.*

2. *A candidate auditor undergoing qualification as specified in step (iii) cannot fulfill the role of the qualified auditor for the respective discipline.*

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

4. *The IOSA Auditor(s) conducting the coaching or supervision and assessment of the candidate auditor shall be qualified and shall have conducted at least four (4) Audits in the discipline(s) for which candidate's qualification is being sought.*

5. *The final responsibility for all Audit assessments remains with the auditor qualified in the discipline.*

6. *The qualification process shall be cancelled if the additional training-to-proficiency as specified in step (iv) is not successful.*

7. *The IAT in accordance with (i) above, has a validity period of 36 months in accordance with IPM 2.1.1.*

8. *The Audit for an initial discipline qualification shall be a full onsite (Audits with reduced scope like Verification Audits or Audits of affiliated operators are not applicable).*

2.10.2   When the candidate for IOSA Auditor has successfully completed all applicable steps in the Auditor qualification process in accordance with IPM 2.10.1, IATA shall enter the name of the new Auditor on the Master List of Approved IOSA Auditors.

2.11   Qualification Process for Lead Auditors

2.11.1   Prerequisities to become a Lead Auditor are as follows:

(i)   having conducted a minimum of six (6) complete Audits as an IOSA Auditor;

(ii)   having met applicable requirements as defined in the Auditor Quality Performance Program;

(iii)   having met experience prerequisites for ORG Auditors as specified in Table 2.1;

2.11.2   IATA shall perioriclly verify the needs for additional Lead Auditors. Upon positive conclusion, IATA will review Auditors on the Master List meeting prerequisites as in IPM 2.7 and select the ones identified as most suitable. IATA will then ensure that the selected Auditors successfully complete each of the following steps in the qualification process for upgrade to Lead Auditor:

(i)   successfully complete the IOSA Lead Auditor training as planned by IATA;

(ii)   conducts a minimum of one (1) complete onsite Audit acting as Lead Auditor while performance is evaluated by an Evaluator.

(iii)   completes the additional discipline qualification steps as in IPM 2.14 for the ORG discipline in the same audit;

(iv)   is recommended for approval as a Lead Auditor by the Evaluator specified in (ii).

Notes:

1.   The Evaluator specified in (ii) must function in the Audit Team as the ORG Auditor.

2.   The evaluation as specified in (ii) and (iii) shall include any task pertaining to the ORG and Lead Auditor role.

2.11.3   When the Auditor has successfully completed all steps in the Lead Auditor qualification process in accordance with IPM 2.11.2, IATA will update the status of the new Lead Auditor on the Master List of Approved IOSA Auditors.

2.12   Qualification Process for Evaluators

2.12.1   Prerequisites to become an Evaluator are as follows:

(i)   having conducted a minimum of three (3) complete Audits as a Lead Auditor;

(ii)   having performance as IOSA Lead Auditor meeting applicable requirements as defined in the Auditor Quality Performance Program.

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

2.12.2   IATA shall periodically verify the needs for additional Evaluators. Upon positive conclusion IATA will review auditors in the Master auditor list meeting prerequisites as in IPM 2.8 and select the ones identified as most suitable. IATA will then select them and update their status to Evaluators on the Master List of Approved IOSA Auditors.

2.13 Conduct of Evaluations

2.13.1 A performance evaluation shall last for at least half a day. Evaluators that are an active member of the audit team are limited to one evaluation per audit.

2.13.2 Evaluators that are not an active member of the audit team can conduct multiple evaluations by meeting following requirements:

(i) Complete all applicable auditor preparation activities;

(ii) Participate in the IOSA Audit Team Meeting;

(iii) Participate in the Opening Meeting;

(iv) Participate in at least 2 daily meetings and conduct a daily debriefing for each auditor being evaluated;

(v) Observe the auditor being evaluated during the ISARPs documentation review;

(vi) Observe the auditor being evaluated during the ISARPs implementation assessment;

(vii) Observe, as applicable, a part of the MOs carried out by the auditor being evaluated;

(viii) Conduct a final debriefing for each auditor being evaluated.

2.14 Qualification Process for Auditing Additional Operational Discipline(s)

2.14.1 IATA shall review the need to qualify auditors for additional disciplines. Upon positive conclusion, IATA will verify that the selected auditor:

(i) as a prerequisite, demonstrates knowledge and experience in the new operational discipline, in accordance with applicable provisions in IPM 2.3.6;

(ii) completes the qualification process as follows:

(a) observe a portion of the discipline;

(b) on the same Audit, conduct auditing of the entire remainder of the operational discipline under the supervision and assessment of a qualified IOSA Auditor (including attendance in daily Audit team meetings). The IOSA Auditor conducting the supervision and assessment of the candidate auditor shall be qualified and shall have conducted at least four (4) Audits in the discipline(s) for which candidate's qualification is being sought;

(c) complete mandatory observations unless it is not logistically feasible;

(iii) if required, receive additional training-to-proficiency and repeat step (ii) above;

(iv) be recommended by the Auditor who supervised and assessed the candidate auditor.

Notes:

1.   *A candidate auditor undergoing qualification as specified in step (iv) shall not be considered a member of the Audit team for the discipline being qualified for.*

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

3.   *The final responsibility for all Audit assessments remains with the auditor qualified in the discipline.*

4.   *The qualification process shall be cancelled if the additional training-to-proficiency as specified in step (v) is not successful.*

5.   *The Audit for an initial or additional discipline qualification shall be a full one (Audits with reduced scope like verification or affiliated audits are not applicable).*

6.   *For qualifications in ORG disciplines refer also to IPM 2.11 Qualification Process for Lead Auditors.*

2.14.2   When the candidate for the additional discipline has successfully completed all applicable steps, IATA will enter the additional discipline in the Master List of Approved IOSA Auditors.

2.15   Recurrent Training Currency

2.15.1   IATA shall ensure each Auditor on its list of approved IOSA Auditors completes the recurrent training course during each calendar year in accordance with IPM 3.4.

2.15.2   An Auditor that has not satisfied recurrent training requirements specified in IPM 2.15.1 shall be classified as non-current, and shall not be used to conduct an Audit until training currency has been re-established in accordance with IPM 2.18.1.

2.16   Performance Evaluation Currency

2.16.1   IATA shall ensure the performance of each Auditor on its Master List of Approved IOSA Auditors is evaluated a minimum of once during every two (2) calendar years, when an Auditor wants to re-establish Audit conduct currency as per IPM Table 2.9, or when required by IATA. Performance evaluations shall have satisfactory results and shall be accomplished by an Evaluator.

2.16.2   For the purpose of maintaining qualification in accordance with IPM 2.16.1, IATA shall conduct a satisfactory performance evaluation for each Auditor during each period of two (2) consecutive calendar years subsequent to the year in which the Auditor received initial approval as an IOSA Auditor in accordance with IPM 2.10.

Note: The minimum interval for Performance Evaluations of individual Auditors may be varied based on criteria established by IATA.

2.16.3   A performance evaluation associated with an upgrade to Lead Auditor, in accordance with IPM 2.11.1, shall satisfy the requirement to evaluate the performance of an Auditor as specified in IPM 2.16.1.

2.16.4   An Auditor that has not satisfied the requirement for a performance evaluation as specified in IPM 2.16.1 and 2.16.2 shall be classified as non-current and shall not be used to conduct an Audit until currency has been re-established in accordance with IPM 2.18.2.

2.17   Audit Conduct Currency

2.17.1   IATA shall ensure each Auditor on its Master List of approved IOSA Auditors conducts a minimum of three (3) Audits under IOSA during each calendar year.

2.17.2   IATA shall ensure each Lead Auditor on its Master List of approved IOSA Auditors conducts a minimum of one (1) Audit as Lead Auditor during each calendar year. Such Audit shall satisfy the requirement for the conduct of one of the three (3) Audits under IOSA during each calendar year as specified in IPM 2.17.1.

Note: The minimum number of audits may be reduced at the discretion of IATA, based on an auditor's demonstrated involvement in the IOSA Program, or based on factors established by IATA which are deemed equivalent to the performance of audits.

2.17.3   For the purpose of maintaining qualification in accordance with IPM 2.17.1 and 2.17.2, IATA shall ensure the Auditor conducts a minimum of three (3) audits starting from the year immediately following the calendar year in which an Auditor received its initial approval as an IOSA Auditor.

2.17.4   IATA shall ensure each Auditor on its list of approved IOSA Auditors, conducts an Audit of the discipline(s) for which they are approved, during every period of two (2) consecutive calendar years, commencing from the calendar year immediately following the year of approval of the operational discipline.

2.18   Re-Establishment of Qualifications

2.18.1   An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet recurrent training currency requirements as specified in IPM 2.15.1 shall re-establish qualification by completing the recurrent training course that is currently effective.

2.18.2   An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet performance evaluation currency requirements as specified in IPM 2.16.1 shall re-establish qualification by receiving a satisfactory performance evaluation by an Evaluator while conducting a full Audit.

2.18.3   An Auditor or a Lead Auditor, whose qualification has become non-current for failure to meet Audit conduct currency requirements as specified in IPM 2.17.1 or IPM 2.17.2, shall re-establish qualification as an IOSA Auditor as specified in IPM Table 2.9.

Table 2.9   Audit Conduct Re-Establishment

Rules for Re-establishing Audit Conduct or Discipline-specific Currency			
Type of Currency	**Within One (1) Calendar Year from the Date of Becoming Non-current**	**Starting from the Second Calendar Year Following the Date of Becoming Non-current**	**Starting From the third Calendar Year Following the Date of Becoming Non-current**
For Auditors in accordance with IPM 2.17.1 (three Audits per calendar year)	• Re-establish qualification as an IOSA Auditor by receiving satisfactory performance evaluation by an Evaluator, while conducting a complete Audit as an Auditor. *Note: During this re-qualification audit the auditor will be acting as an active member of the audit team.*	• If the Auditor has conducted at least 5 Audits, the same conditions as in the column to the left apply. • If the Auditor has conducted less than 5 Audits, complete all steps in IPM 2.10.1 (iii)	• Complete all steps in IPM 2.10.1.
For Lead Auditors in accordance with IPM 2.17.2 (one Audit as Lead Auditor per calendar year)	• For Lead Auditors in accordance with IPM 2.17.2, re-establish qualification as an IOSA Auditor by receiving satisfactory performance evaluation by an Evaluator, while conducting a complete Audit as a Lead Auditor, as specified IPM 2.11.1 (ii) and (iv), including Notes 1 and 2.		

Rules for Re-establishing Audit Conduct or Discipline-specific Currency			
Type of Currency	**Within One (1) Calendar Year from the Date of Becoming Non-current**	**Starting from the Second Calendar Year Following the Date of Becoming Non-current**	**Starting From the third Calendar Year Following the Date of Becoming Non-current**
For Auditors in accordance with IPM 2.17.4 (entire discipline every two calendar years while maintaining at least one discipline)	If the Auditor has conducted at least 5 Audits: • re-establish qualification as an IOSA Auditor by receiving a satisfactory performance evaluation by an Evaluator, while conducting a complete Audit as an Auditor. *Note: During this re-qualification audit the auditor will be acting as an active member of the audit team an active member of the audit team.* If the auditor has conducted less than 5 audits: • complete steps in IPM 2.14.1 (ii) to IPM 2.14.1 (iv) (including Notes 3, 4 and 5). *Note: The final responsibility for all assessments remains with the Auditor qualified in the discipline*	For Auditors in accordance with IPM 2.17.4, complete steps in IPM 2.14.1 (ii) to IPM 2.14.1 (iv) (including Notes 3, 4 and 5). *Note: The final responsibility for all assessments remains with the Auditor qualified in the discipline.*	

2.19 Suspension and Removal of IOSA Auditors

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

(i) invalidation of an Audit in accordance with applicable provisions in IPM 1.4.1;

(ii) the IOSA Auditor's demonstrated inability to adhere to personal attributes, ethical standards and/or to demonstrate knowledge and skills, additional skills for Lead Auditors and/or special qualities for Evaluators in accordance with IPM 2.4 to IPM 2.8;

(iii)   the IOSA Auditor's demonstrated inability to assume responsibilities in accordance with IPM 2.9;

(iv)   the IOSA Auditor's failure to attend or participate in applicable IATA trainings in accordance with IPM 3.4 or other Program-related matters;

(v)   the IOSA Auditor's failure to meet performance requirements as defined by the IATA Quality Assurance Program and/or Performance Monitoring Programs;

(vi)   gross assessment errors discovered in past and/or current IOSA Audit results; and

(vii)   other cases which lead to IATA's decision to suspend an IOSA Auditor.

Notes:

1.   *IATA will re-arrange planned or pending Audit activities which were assigned to the suspended Auditor.*

2.   *Depending on the change of circumstances, IATA may lift the suspension of the IOSA Auditor.*

3.   *An Auditor that has been suspended shall be considered non-current. That Auditor shall not be used until the suspension period is expired or lifted and such Auditor receives a satisfactory performance evaluation by an Evaluator, as specified in the "Auditor Performance Program" Manual Section 6 "Measurement and Actions".*

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

(i)   the suspension of an IOSA Auditor in accordance with IPM 2.19.1; and/or

(ii)   other cases which lead to IATA's decision to remove an IOSA Auditor from the IATA Master List of Approved IOSA Auditors.

Notes:

1.   *IATA will re-arrange planned or pending Audit activities which were assigned to the removed Auditor.*

2.   *An IOSA Auditor that was removed from the IATA Master List of Approved IOSA Auditors, will not be allowed to re-qualify as an IOSA Auditor.*

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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 Audit under IOSA. It is therefore necessary to establish an IOSA Auditor training program that ensures each IOSA Auditor attains, and maintains, a requisite level of standardization and competency. This section of the IOSA Program Manual (IPM) supports achievement of IOSA program goals, and sets out standards and guidance for the content and presentation of IOSA training activities.

3.1   IOSA Auditor Training (IAT)

3.1.1   Each candidate for an IOSA Auditor shall successfully complete the IOSA Auditor Training (IAT) course, and such course completion shall remain valid for a period of thirty-six (36) months as a means to satisfy IAT requirements as specified in IPM 2.10 (ii).

3.1.2   IAT attendance shall be arranged and scheduled by the IOSA Training Department in coordination with the applicable IATA Training Product Manager in accordance with the following:

    (i)   course coordination and logistics;

    (ii)   course scheduling;

    (iii)   advanced assessment of course attendance in accordance with IPM 3.1.3;

    (iv)   assignment of instructor(s), including a contingency reserve

    (v)   registration of trainees;

    (vi)   arrangements for suitable equipment and facilities;

    (vii)   communication of pre-course notifications and information;

    (viii)   provision of course materials;

    (ix)   facilitation of travel and accommodations, as applicable;

    (x)   invoicing and fee collection;

    (xi)   communication of post-course information, including course results.

3.1.3   The IOSA Training Department shall make an advanced assessment of IAT course attendance prior to the scheduled start date of a scheduled course. The IOSA Training Department shall:

    (i)   determine if a sufficient number of trainees are planning to attend the course;

    (ii)   if planned attendance appears to be insufficient, coordinate with IATA Training product manager in making a determination whether a scheduled course should be cancelled or not;

    (iii)   if planned attendance is sufficient, submit a list of trainees planning to attend the scheduled course to IATA Training product manager, to include name and organization for each trainee;

    (iv)   notify all affected parties immediately if a course is cancelled.

3.1.4   IATA shall record and retain acceptable documented evidence of the successful completion of IAT by each listed IOSA Auditor

3.1.5   IATA shall define minimum passing marks for IAT courses and shall have procedures in place in case a participant does not achieve the minimum passing mark.

3.1.5   IATA shall revise and continually improve the IAT course based on feedback received, to ensure training objectives are met and course delivery is consistent with provisions contained in applicable IOSA documentation.

3.2   Prerequisite Auditor Training

3.2.1   Each candidate for training as an IOSA Auditor shall have successfully completed a formal quality auditor training course in accordance with IPM 2.3.5.

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

  (i)   Auditor professional conduct and responsibilities;

  (ii)   Planning and preparation for an audit;

  (iii) Audit principles, procedures and techniques that an auditor may select and apply as appropriate to ensure audits are conducted in a consistent and systematic manner;

  (iv)   Management system and reference documents that enable an auditor to comprehend the scope of an audit and apply audit standards;

  (v)   Methods and techniques used by an auditor for effectively gathering evidence and other data necessary in determining conformance with standards;

  (vi)   Determination of root cause analysis, corrective action, and preparation of the audit report.

3.2.3   IATA shall record and retain acceptable documented evidence of prerequisite auditor training in accordance with IPM 2.3.5, and such records shall be retained by IATA in each Auditor's qualification file.

3.3   Lead Auditor Training

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

3.3.2   Lead Auditor Training attendance shall be arranged and scheduled by the IOSA Training Department in accordance with applicable provisions.

3.3.3   IATA shall record and retain documented evidence of the successful completion of Lead Auditor Training by each listed IOSA Lead Auditor in accordance with IPM 2.11.1.

3.4   Auditor Continuous Qualification

3.4.1   To ensure correct retention of a high level of competency among IOSA auditors, IATA shall design and maintain a training program by applying principles that assess the training needs, identify learning objective according to the target audience, and apply most suitable training methods and continual improvement concepts.

3.4.2   The training program according to the assessment needs shall use a combination of several methods to include regular onsite (in person) recurrent trainings as well as a suite of remote sessions, to include but not limited to eLearning and workshops.

3.4.3   The annual recurrent training will be developed and conducted every calendar year to ensure each Auditor on the approved list of IOSA Auditors maintains a current qualification in accordance with IPM 3.4.

3.4.4   The annual recurrent training shall include a test with a minimum passing mark defined by IATA. Any auditor failing to pass the recurrent training shall not be used for auditing and be subject to additional actions to ensure that the auditor meets the minimum competence requirements. IATA shall record and retain documented evidence of the successful completion of annual recurrent training for each approved IOSA Auditor

3.4.5   An IOSA Auditor shall maintain his/her continuous qualification as specified in IPM 3.4.3 through 3.4.5 to remain current.

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Section 4 The Operator's Responsibilities for IOSA Registration

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Purpose

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

4.1 Pre Audit Preparation

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

(i) download applicable IOSA manuals, IOSA Program Manual (IPM), IOSA Standards Manual (ISM) and IOSA Audit Handbook, from IATA Connect. New editions of the ISM are issued in accordance with IPM 1.16;

(ii) ensure applicable company manuals, and subsequent revisions are approved and/or accepted by the regulator (as required), are assembled and made available in preparation for and during the Audit;

(iii) ensure all company certificates are available (e.g. AOC, Ops specifications, etc) and all applicable aircraft meet applicable ISM requirements;

(iv) using the ISM, review each ISARP requirement and identify the latest company documentation, including sub references, which will cover the requirement (include manual revision and effective dates);

(v) perform an initial internal audit or gap analysis, using the ISM checklists, to identify any non-conformities and verify that the internal documentation structure is adequate;

(vi) plan the IOSA Audit in advance to have enough time to close potential internal findings.

4.2 IOSA Audit Planning

4.2.1 For initial registration Audits in accordance with IPM 5.4.1 the Operator shall submit an IOSA 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 Audit, with submissions made to IATA where required:

(i) sign an Audit Agreement;

(ii) provide the operational profile information, as requested, to include the Pre-Audit Questionnaire;

(iii) submit the AOC and Ops Spec and evaluate and inform/discuss with the audit planning representative which aircraft and/or fleet(s) could be out of the scope of IOSA, as defined in the ISM Introduction, which aircraft and/or fleet(s) may require a request for exemption in accordance with IPM 5.1.9 and IPM 5.1.10, or a request for operational exclusion in accordance with IPM 5.1.5, IPM 5.1.6 and IPM 5.1.7;

(iv) provide an up-to-date and complete ISARP/internal documentation cross-reference list (ref 4.1.1 iv) above), including sub references, and all relevant operational documents and manuals, a minimum of three (3) weeks prior to the start of the Audit;

(v)   ensure sufficient resources and logistical support are assigned during the Audit;

(vi)   ensure the Auditors are granted access to secure areas (e.g. security pass, ramp pass);

(vii)   liaise regarding the steps to obtain access to the audit software;

(viii) consider scheduling an IOSA Registration Renewal Audit as early as possible, and no less 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 IOSA Audit sufficient time in advance, to ensure the Auditors have access to relevant service providers during the Audit;

(xi)   submit completed and up-to-date equipment lists minimum of three (3) weeks prior to the start of the onsite Audit, as required by the IAH;

(xii)   provide information related to the type of internet access that will be provided during the on-site phase of the audit in accordance with IPM 4.3.1 (v).

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

4.2.3   A request for exemption of aircraft and/or fleet(s) in accordance with IPM 5.1.9 and IPM 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 Audit. 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 IPM 5.1.5 to IPM 5.1.7, the Operator shall provide an assessment of the risks associated with the operation that would lead to non-conformities with IOSA Standards. Such an application shall include the identification of applicable hazards and risk mitigation that will remain effective for the duration of the operational exclusion.

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

4.2.6   The Operator has the option to appeal without 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 Audit, provided such notification has been made by the operator at least 90 days prior to the start of the Audit.

4.3   During IOSA Audit

4.3.1   The Operator shall assist IATA during an Audit by:

(i)   being open and honest;

(ii)   providing the auditors with unhindered access to facilities & personnel as required;

(iii)   ensuring the responsible operational managers & applicable staff, including managerial and non-managerial personnel as applicable, are available, when required, during the Audit;

(iv)   if required, provide translators or interpreters during the Audit.

(v)   providing reliable internet access to all IOSA auditors and at all relevant locations for the entire duration of the on-site audit, to accommodate the execution of the audit process.

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

4.4   Audit Follow-up

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

4.4.2   The Operator shall keep 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 Audit, 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 Audit, the declaration of Audit closure is not the final step in the registration process. The IOSA Audit Report (IAR) must then be:

(i)   quality control checked;

(ii)   reviewed and released by IATA.

4.5.2   The Operator will be registered only after the process in IPM 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 IOSA Audit Reports (IARs) 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 IOSA 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 IPM 4.8.3;

    (iii)   continuously monitor the IOSA website and IOSA Platform for the purpose of identifying Program-relevant changes and publications, including revisions to manuals as well as relevant alerts and bulletins in accordance with IPM 1.3.2 (i);

    (iv)   as needed, actively communicate with IATA and provide any documents or evidence that IATA requests;

    (v)   Submit/maintain an up-to-date operator profile in accordance with IPM 4.8.1.

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 IPM 4.8 and within the time frames provided therein. Operators that do not report applicable circumstances in accordance with IPM 4.8 to IATA on time, increase the likelihood of a Verification Audit in accordance with IPM 5.7.3.

4.8   Reporting Responsibilities

4.8.1   Operators shall submit to IATA up-to date and complete operator profile information and reports through IATA Connect as follows:

    (i)   at least once every six (6) months;

    (ii)   for every reportable circumstance or event as outlined in IPM 4.8.3;

    (iii)   thirty (30) days prior to any Audit.

4.8.2   The operator profile information as required in IPM 4.8.1 shall be submitted through IATA Connect. Failure to keep the operator profile information up to date may result in the temporary suspension of an operator's IOSA Registration.

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 thirty (30) calendar days after the circumstance or condition becomes known to the Operator. Reports shall be submitted to IATA using IATA Connect as outlined in IPM 4.8.1. Reportable circumstances or conditions, applicable to the IOSA Operator, shall include, but not be limited to any of the following:

    (i)   cessation of operations;

    (ii)   Air Operator Certificate (AOC) changes, such as:

        (a)   suspensions;

        (b)   revocation; or

        (c)   restrictions;

    (iii)   changes to fleets/operations as follows:

        (a)   the addition of aircraft type(s) not being operated during the last IOSA Audit;

        (b)   commencement of any special operations that were not conducted during the last IOSA Audit (e.g. EDTO, transport of DG, etc.);

        (c)   return to service of any aircraft type(s) exempted during the most recent Audit.

      (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 IOSA; or

      (vi)   any takeover, merger, consolidation or other significant change to the management or operating structure of the organization; or

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

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

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 IOSA 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.

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Section 5   IOSA Registration

Purpose

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

5.1   IOSA Registry

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

5.1.2   To qualify for potential registration as an IOSA Operator, an airline organization shall have an AOC with a minimum of one eligible aircraft, and conduct operations within the audit scope of the IOSA program. Membership in IATA is not a prerequisite for IOSA Registration.

5.1.3   To be registered as an IOSA Operator, an airline organization shall have been audited by IATA, shall have demonstrated operational fitness through conformity with IOSA standards, and shall have successfully closed an Audit in accordance with rules contained in this IPM.

Auditing Fleets

5.1.4   A key IOSA program objective is to provide audits that clearly demonstrate the level of conformity with ISARPs for all aircraft within an operator's fleet(s). Therefore, 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 and will not conform to IOSA standards or that were audited and found not to be in conformity with IOSA standards;

(ii)   requests for such operational exclusions must be submitted by the Operator in accordance with IPM 4.2.4, and shall include the Operator's risk assessment if requested by IATA.

5.1.6   Segments of operations eligible for exclusion from the registration of an IOSA Operator in accordance with IPM 5.1.5 shall be readily distinguishable from those operations that have been audited and found to be in conformity with IOSA standards. Operational exclusions shall be limited to:

(i)   specific route segments;

(ii)   other areas of operations that can be clearly and unmistakably defined and identified.

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

IOSA Registration

IOSA Registration

5.1.7 Operational exclusions as specified in IPM 5.1.5 and 5.1.6 shall be reviewed and approved at the discretion of IATA in accordance with IPM 1.8.3.

5.1.8 Operational exclusions as specified in IPM 5.1.5 and 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 IPM 5.7.2 to IATA, and a subsequent Verification Audit of the defined operational segments that had been excluded; or

(ii) a subsequent initial registration Audit in accordance with IPM 5.4 or a subsequent registration renewal Audit accordance with IPM 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 Audit process, or part thereof. Such exemption shall identify aircraft and/or fleet(s) that are within the IOSA Audit scope but cannot be included in the Audit process, or part thereof. Exemption requests shall be made in accordance with provisions in the IAH.

5.1.10 Aircraft and/or fleet exemptions as specified in IPM 5.1.9 and 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 IPM 5.7.2 to IATA, and a subsequent Verification Audit of the affected aircraft and/or fleet(s) in accordance with IPM 5.7.5; or

(ii) a subsequent initial registration Audit in accordance with IPM 5.4 or a subsequent registration renewal Audit accordance with IPM 5.5 has been conducted.

5.1.11 Any aircraft within the scope of IOSA, which has been exempted and subsequently becomes operational while an Audit is still open, may be subject to a re-visit in accordance with IPM 5.7.6.

5.2 Audit Expiration

5.2.1 For the purpose of identifying deadlines, the reference time for any expiration date mentioned in this section shall be 23:59 local time at the location of the Operator as specified on the AOC.

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

Note: All findings must be closed at least 15 calendar days before audit expiration to allow sufficient time for IAR release.

5.2.3 An Audit for initial registration shall have a limited period of validity and shall expire as an instrument for IOSA 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 IPM 6.7.12 or extenuating circumstances in accordance with IPM 5.5.9 (i) (see Figure 5.1).

Figure 5.1   Initial Registration Audit Expiration

Initial Registration
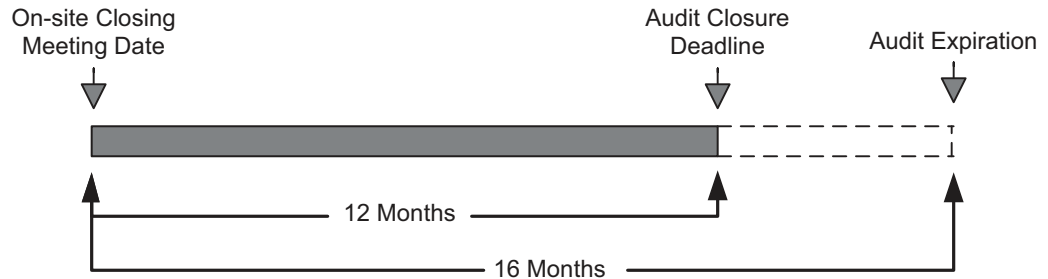
5.2.4   An Audit for a renewal of an existing registration shall have a limited period of validity and shall expire as an instrument for IOSA registration, on the date exactly one hundred eighty (180) consecutive days following the date of registration expiry, notwithstanding any delayed adjournment of such meeting in accordance with IPM 6.7.12 (see Figure 5.2).

Figure 5.2   Registration Renewal Audit Expiration

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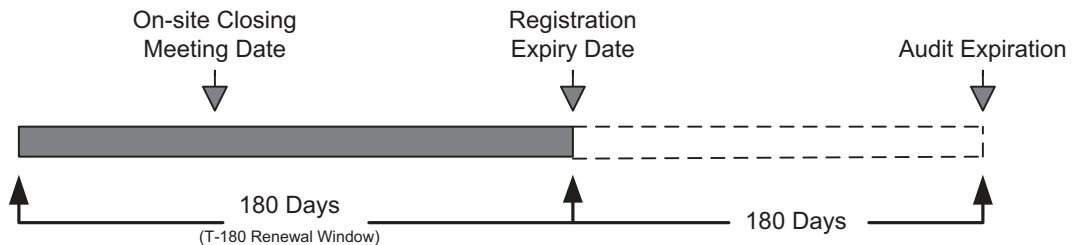
5.2.5   An Audit for a renewal of an existing registration in accordance with IPM 5.5.4 shall have a limited period of validity and shall expire as an instrument for IOSA registration, on the date exactly three hundred sixty (360) consecutive days following the date of the on-site closing meeting, notwithstanding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

Figure 5.3   Registration Renewal Audit Expiration

Early Renewal Registration Audit
(before T-180)
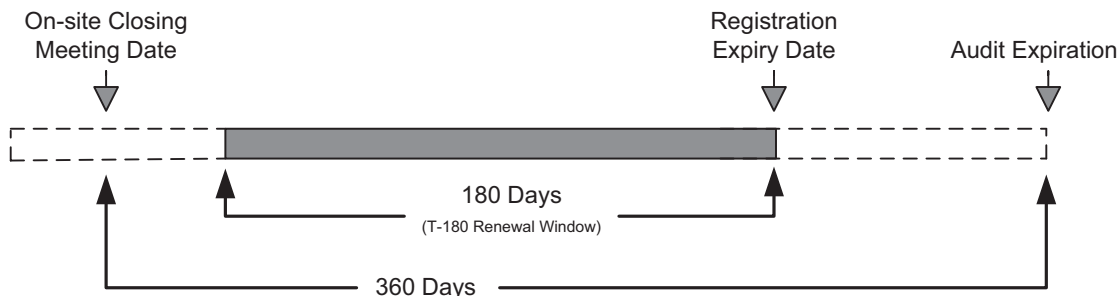
5.2.6   A Verification Audit in accordance with IPM 5.7.3 shall have a limited period of validity and shall expire as an instrument for IOSA registration, on the date exactly one hundred eighty (180) consecutive days following the deadline date determined by the SVP, OSS specified in IPM 5.7.3 (v), notwithstanding any delayed adjournment of such meeting in accordance with IPM 6.7.12 (see Figure 5.4).

Figure 5.4   Verification Audit Expiration

Verification Audit
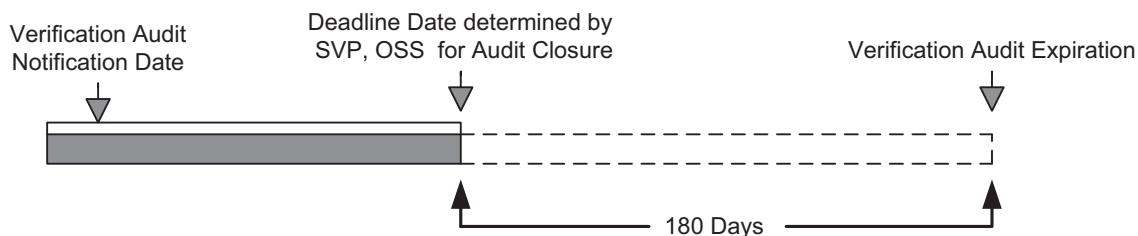
5.3   Registration Period

5.3.1   The IOSA 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 IOSA Registry after all findings, if any, have been closed through full implementation of corrective action in accordance with the accepted CAP and:

(i)   such implementation has been verified by IATA in accordance with provisions contained in IPM 6.12;

(ii)   IATA has declared audit closure to the Operator in accordance with IPM 6.13.1;

(iii)   the IOSA Audit Report (IAR) quality control processes have been completed in accordance with applicable provisions contained in IPM 7.2, and, if applicable, been amended accordingly.

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

5.5   Registration Renewal

5.5.1   An Operator that is currently registered as an IOSA Operator shall remain on the Registry and have such registration renewed when all findings, if any, resulting from a renewal Audit, have been closed in accordance with applicable provisions contained in IPM 6.12.

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

5.5.3   For renewal of a current IOSA registration in accordance with IPM 5.5.1 and 5.5.2:

(i)   the closing meeting of the on-site portion of the renewal Audit 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 should be closed no less than 15 calendar days prior to the current registration expiry date;

(iii)   if Findings are closed less than 15 days before the registration expiry date, completion of the IAR 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 IOSA Registry if a renewal Audit either:

(a)   has not been conducted prior to the expiry date of the current registration; or

(b)   has been conducted, but Audit Closure has not been achieved by the expiry date of the current registration, unless extenuating circumstances have been claimed and verified by IATA in accordance with IPM 5.5.6.

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

(i)   Audit 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 IOSA Registry if Audit Closure is not been achieved within 180 calendar days following the date of the on-site closing meeting, even if the previous IOSA Registration was still valid, unless extenuating circumstances have been claimed and verified by IATA in accordance with IPM 5.5.6.

5.5.5   In the case of a registration renewal Audit concluded *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 follow-up process that Audit Closure will not be achieved as specified in IPM 5.4.1, IPM 5.5.3 or 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 Audit process, uncompleted Audit activities, the status of open Findings and the prospects for Audit 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 IOSA 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 Audit shall be closed and the IAR released by IATA. The revised deadline date shall be indicated on the IOSA Registry through an annotation in accordance with Table 5.1, and shall not be more than 120 calendar days following the applicable deadline date.

Notes:

1.   *If Audit closure and IAR release have not been achieved prior to the revised deadline date, the Operator shall be removed from the IOSA Registry.*

2.   *All Findings must be closed at least 15 calendar days before expiry of the extenuating circumstances deadline to allow sufficient time for IAR 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 IOSA Registry on the applicable expiry date, subject to the possible implementation of the IOSA Dispute Resolution process in accordance with IPM 5.8.2.

5.5.10   An IOSA Operator that has been removed from the Registry in accordance with *applicable* provisions contained in this IPM 5.5 shall be subject to the possibility of reinstatement in accordance with provisions contained in IPM 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 Audit, that interim corrective action will be necessary to permit the closure of a finding of an Operator undergoing an IOSA registration renewal or verification Audit. The validity of a request for interim corrective action shall be determined by IATA based on the specification(s) contained in the relevant IOSA Standard, the prospects that implementation of permanent corrective action by the Operator to replace the interim corrective action will occur within the time period specified in IPM 5.5.13, and eligibility criteria contained in IPM 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 Audits for which a claim of extenuating circumstances was validated by IATA in accordance with IPM 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 IPM 5.5.12, the Operator shall remain on the IOSA Registry and implement permanent corrective action to replace the interim corrective action. The registration with Interim Corrective Action is subject to the following conditions:

    (i)   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 and verified by IATA within a maximum time period of one hundred and eighty (180) calendar 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 timelines above.

Notes:

1. *In the case of Audits of affiliated Operators as specified in IPM 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 IPM 5.5.12.*

2. *Final corrective actions must be submitted to IATA at least 15 calendar days before expiry of the ICA deadline to allow sufficient time for quality checks.*

Transfer of Registration

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

    (i)   The new AOC is established with the majority of the organization, assets, policies, and operational procedures of the current AOC;

    (ii)   There is a high degree of commonality between the existing and new AOC;

    (iii)   The new AOC was the result of an administrative change in the corporate register, or there was a change of name of the company.

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 Audit of the new AOC. The lifting of a temporary suspension of a transferred registration may be subject to the successful closure of a Verification Audit.

Temporary Suspension

5.5.15   An IOSA Operator unable to undergo a Registration Renewal Audit prior to the expiry date may request a temporary suspension from the IOSA 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 IPM 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 Audit must be conducted by the Operator within a maximum period of ninety (90) calendar days following the registration expiry date;

(iii)   Audit Closure of the Registration Renewal Audit in accordance with IPM 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 IOSA Registry if:

(i)   a Registration Renewal Audit has not been conducted as required by IPM 5.5.17 ii); or

(ii)   Audit Closure has not been achieved as required by IPM 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 audit efficiencies through a one-time harmonization of registration periods. Such harmonization shall be established and maintained through audits conducted concurrently as audits of affiliated operators on each of the affected operators.

5.6.2   Concurrent Audits of currently registered IOSA Operators, for the purpose of establishing harmonized registration periods in accordance with IPM 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 Audits of currently registered IOSA Operators are conducted for the purpose of registration harmonization in accordance with IPM 5.6.1, the following applies:

(i)   Audit closure for each Audit shall be achieved no more than 180 calendar days following the date of the on-site closing meeting;

(ii)   the registration period of each of the affected operators (i.e. harmonized registration periods) shall 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 audit has been successfully closed.

Figure 5.5   Initial IOSA Registration

(Timeline not to scale)

On-site audit conducted → (5 days) → On-site audit commences

Audit follow-up phase (operator must close all findings during this phase to be eligible for IOSA registration)

On-site closing meeting

The 24 month registration period begins on the day of the on-site closing meeting

(12 Months)

Audit becomes invalid for IOSA registration **(Note 1)**

Actual time on IOSA registry during initial registration period

(24 Months)

Renewal audit window is from 180 days to 30 days prior to expiration

Initial IOSA registration period expires 24 months from date of on-site closing meeting

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

Figure 5.6   IOSA Registration Renewal

Note: An Operator is removed from the IOSA Registry if Audit Closure has not been achieved prior to the current registration expiry date, unless extenuating circumstances have been claimed by the Operator and subsequently verified and approved by IATA in accordance with IPM 5.5.6 and 5.5.8.
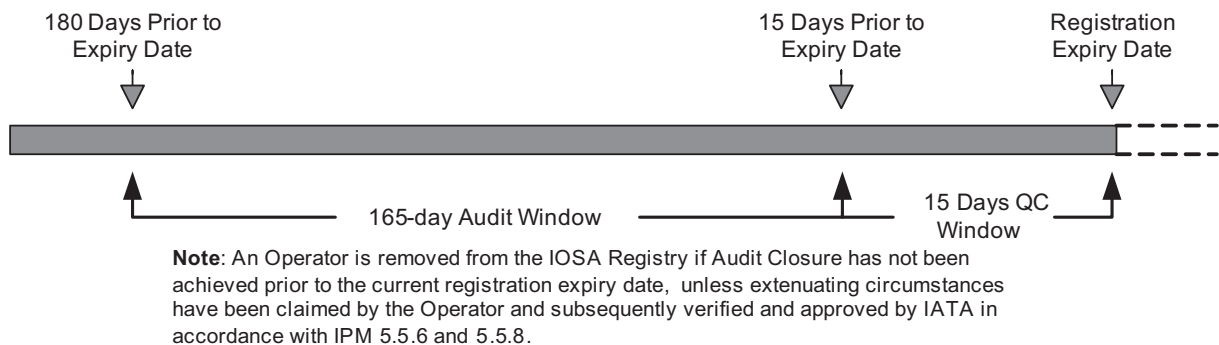
5.7   Reporting Responsibility

5.7.1   IATA shall review any information, circumstances, or conditions relevant to an IOSA Operator, whether such information was reported by the Operator or whether it was acquired from sources other than the Operator.

Note: An Operator that did not report applicable circumstances in accordance with IPM 4.8.3 to IATA on time, increases the likelihood of a Verification Audit in accordance with IPM 5.7.3.

5.7.2   IATA shall, once notified in accordance with IPM 6.8.3, or once it has become aware of any situation which may require further clarification, consider the nature of circumstances and/or conditions and make a determination, in consultation with the Operator, as to the continuation, temporary suspension or provisional registration of the IOSA registration or removal of the Operator from the IOSA Registry, or the conduct of a Verification Audit in accordance with IPM 5.7.3. In case of temporary suspension or provisional registration, an annotation will be added on the IOSA Registry for the Operator in accordance with Table 5.1.

Verification Audit and Re-Visit

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

(i)   The Verification Audit will be carried out by IATA.

(ii)   At its discretion, IATA will specify the time period within which the Verification Audit must be conducted.

(iii)   The Operator shall have the discretion to opt for a registration renewal Audit in accordance with IPM 5.5, instead of a Verification Audit within the time period specified above.

(iv)   Depending on the circumstances, a full Audit may not always be necessary. The Audit scope shall be determined on a case-by-case basis, to be in-line with the desired purpose and goal of the Audit. IATA shall determine the auditor days to conduct the Audit and shall define Focus Areas for the Audit as needed.

(v)   The closure period of any findings shall be limited to 90 days (maximum) following the closing meeting of the Verification Audit, unless the Operator has opted for a Registration Renewal Audit. The SVP, OSS reserves the right to adjust the closure period depending

on the circumstances. In case not all findings are closed within the prescribed closure period, the Operator will be removed from the registry in accordance with IPM 5.8.

(vi) The cost of the Verification Audit shall be borne by the Operator.

(vii) An annotation in accordance with Table 5.1 shall be placed on the IOSA 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 Audit has not been conducted within the period specified in IPM 5.7.5 (ii).

5.7.4 At the discretion of the SVP, OSS, alternatively to a Verification Audit in accordance with IPM 5.7.5, a re-visit or additional verification may be required, to ensure continuing conformity with the IPM. Such re-visit or additional verification shall:

(i) only be possible if reported circumstances and/or conditions requiring a Verification Audit, re-visit or additional verification occur *before* the Audit closure of an initial registration Audit in accordance with IPM 5.4 or a registration renewal Audit in accordance with IPM 5.5;

(ii) be conducted and be embedded in the Audit process and the Audit shall be closed in accordance with IPM 5.4 or IPM 5.5, as applicable;

(iii) be planned and performed by IATA in accordance with IPM 8, the IAH and ISM;

(iv) findings and observations resulting from the re-visit or additional verification shall be closed in accordance with IPM 6;

(v) be coordinated between the IATA and the Operator in accordance with the current Audit Agreement in place; and

(vi) be at the cost of the operator.

Registration Suspension

5.7.5 An Operator shall be suspended from the IOSA Registry, if a situation has been identified which renders an Operator temporarily ineligible for the IOSA registry. An annotation in accordance with Table 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 IOSA standards.

(iv) the conduct of more than one (1) full scope Audit with all or a significant part of the audit conducted remotely.

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 Audit prior to lifting a suspension. An Operator may be suspended for a maximum of six (6) months, after which time the Operator may be removed permanently. The SVP OSS reserves the right to extend such suspension beyond six (6) months, maximum until the registration expiry date.

Registry Annotations

5.7.7   IATA shall make annotations to the IOSA Registry as specified in Table 5.1:

(i)   as a result of conditions and/or circumstances contained in IPM 5.5.8, IPM 5.5.13, IPM 5.7.4, IPM 5.7.5; or

(ii)   if an IOSA Operator is involved in dispute resolution in accordance with IPM 5.8.2 and IPM 9 that could affect IOSA registration;

(iii)   at its own discretion, for circumstances that have been identified through other means, and which justify an annotation in the interest of the IOSA program.

Table 5.1   Registry Annotations

	Reason	Annotation	Description
1	Extenuating Circumstances	"Due to extenuating circumstances, XXX will remain on the IOSA Registry until dd mmm yyyy."	Describes revised deadline to close all findings as a result of validated extenuating circumstances in accordance with IPM 5.5.8.
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 IPM 5.7.4, 5.7.7 (iii), or if an IOSA Operator is involved in dispute resolution in accordance with IPM 9 that could affect IOSA registration. During this period, the Operator enjoys full registration status. The annotation only indicates that the registration is provisional due to circumstances pending verification.
3	Registration suspension	"Registration has been suspended until further notice."	Describes the temporary suspension of an IOSA registration as a result of circumstances identified as specified in IPM 5.7. 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 Audit	"The Operator is undergoing a Verification Audit."	Describes the status of an Operator that is undergoing a Verification Audit in accordance with IPM 5.7.5. During the period a Verification Audit is planned, performed or closed, the Operator enjoys full registration status. The statement will be removed from the Registry as soon as the Verification Audit is closed in accordance with Program rules.

	Reason	Annotation	Description
5	Audit Report QC	"The IOSA Audit Report is pending quality control and necessary approvals."	Describes the status when an Operator's Audit has been declared closed by IATA, however the IAR QC and approval process has not been completed yet. This could be the case when the Audit has been closed shortly before the expiry date, or if QC processes take more than average time to complete. In case of a renewal Audit, as described in IPM 5.5.3 (viii), the registration expiry date will not be updated until the required QC and final release process are complete. This annotation serves the purpose of informing that the IAR is pending QC and release.
6	Interim Corrective Action as per IPM 5.5.12	"The IOSA Audit Report contains Interim Corrective Actions"	Describes the status when the IAR contains one or more approved Interim Corrective Action(s). The annotation will remain as long as the Interim Corrective Action is active.
7	Early renewal in lieu of Verification Audit	"The Operator is undergoing a Registration Renewal Audit in lieu of a Verification Audit."	Describes the status when a Verification Audit has been requested for an Operator and the Operator has decided to complete a full scope Audit as an early renewal Audit instead, in accordance with IPM 5.7.5 (iii).
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 IPM 9. During this process, IATA may freeze the Operator's process described in IPM 5.4, IPM 5.5 and IPM 5.2, in accordance with IPM 9.2.4.
9	Any other reason or combinations of reasons.	Ad hoc	Describes an operator's specific circumstances related to registration status and required actions. The ad-hoc annotation is used if an operator's situation may not be reasonably or practically described by the above standard annotations.
10	Registration harmonization	"The Operator is undergoing a registration harmonization with another operator and will remain on the registry until dd mm yyyy."	Describes an operator's status while undergoing a registration harmonization, when the expiry date has passed and the harmonization audit is still open.

Notes:

1. Annotations to the Registry will be removed as a result of changes to the Operator's status and in accordance with this IPM.

2. Multiples annotations are possible depending on the individual case. For example, if a registration is provisional and a verification audit has been planned, both annotations will be added.

5.8 Registration Removal

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

    (i)   applicable provisions contained in IPM 5.5; or

    (ii)   IPM 5.7.4 or IPM 5.7.5 when a determination of removal has been made by IATA;

    (iii)   IPM 5.7.5, if an Operator has been suspended for six (6) months and no extension has been granted;

    (iv)   for failure to submit any required payments based on the Audit Agreement.

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

5.9 Registration Reinstatement

5.9.1 An IOSA Operator that:

    (i)   has been removed from the Registry in accordance with IPM 5.5.3 (iv)(b) shall be reinstated to the Registry once the IATA has declared Audit closure, and the IAR has been released within one hundred and twenty (120) calendar days following the registration expiry date;

    (ii)   has been removed from the Registry in accordance with IPM 5.7.3 (v) shall be reinstated to the Registry once the IATA has declared Audit closure, and the IAR has been released within 120 calendar days following the deadline date of the VA;

    (iii)   has been removed from the Registry in accordance with IPM 5.5.4 (ii) shall be reinstated to the Registry once the IATA has declared Audit closure, and the IAR has been released within one hundred and twenty (120) calendar days following the deadline date in accordance with IPM 5.5.4 (i). The period of renewed registration shall be determined in accordance with IPM 5.5.5;

    (iv)   has been removed from the Registry in accordance with IPM 5.8.1 (iv) shall be reinstated to the Registry once all obligations under the IOSA Audit 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 only upon completion of the IAR Quality Control and approval process.

5.9.3 An IOSA Operator that has been removed from the Registry in accordance with IPM 5.8 may be required to undergo a full or partial Audit, as determined by IATA, to demonstrate operational conformity in accordance with IPM 5.1.3 in order to regain registration as an IOSA Operator. Such Audit shall be performed by IATA.

5.10   IOSA Brand Promotion

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

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

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

5.10.2   IOSA Operators may request assistance from IATA in regard to creating content for public statements or news releases by contacting iosa@iata.org.

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

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Section 6   Audit Program

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

6.1   Organization and Management

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

    (i)   planning an Audit;

    (ii)   selecting and assembling an Audit Team;

    (iii)   preparing for an Audit;

    (iv)   providing resources and logistical support;

    (v)   conducting an Audit;

    (vi)   terminating an Audit;

    (vii)   accepting a Corrective Action Plan (CAP);

    (viii)   conducting Audit follow-up;

    (ix)   closing Findings;

    (x)   closing an Audit;

    (xi)   Auditor performance.

6.1.2   The policies, processes, and procedures specified in **IPM 6.1.1** shall ensure the Audit objectives are achieved. The Audit objectives of an IOSA Audit are:

    (i)   To establish an Operator's level of conformity with all ISARPs within the scope of the Audit;

    (ii)   For Registration Renewal Audits, in addition to i) above, to establish an Operator's level of maturity of relevant systems and processes, based on the Maturity Assessment methodology outlined in the IOSA Audit Handbook.

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

    (i)   for Initial Audits, a full onsite Audit;

    (ii)   for Registration Renewal Audits:

        (a)   offsite document and records review;

        (b)   onsite audit phase.

6.2   Audit Planning

6.2.1   IATA shall have a planning process designed to ensure the Audit is conducted in an efficient and standardized manner. This process shall ensure the Audit objectives are achieved. The process shall ensure planning for each Audit takes into account, as a minimum:

(i)   Audit scope and objectives;

(ii)   Identification of the ISM Edition to be used for the audit;

(iii)   Execution of the IOSA Audit Agreement;

(iv)   status of the IOSA registration of the Operator;

(v)   Auditor conflict of interest;

(vi)   the organization to be audited;

(vii) Audit location(s), including remote auditing, if applicable;

(viii) activities to be audited;

(ix)   availability of resources;

(x)   logistical requirements;

(xi)   cultural issues;

(xii) language issues;

Note: The onsite portion of an Audit must be performed at the operational headquarter or bases of the operator, except for the assessment of remotely located and/or outsourced functions as specified in the IAH.

6.2.2   IATA shall enter into an agreement (the "Audit Agreement") whenever an Audit is to be contracted (to include Verification Audits in accordance with IPM 5.7.3), which shall be made between IATA and the Operator (referred to as the "auditee"). The provisions of this IPM are, together with the provisions of the IOSA Standards Manual (ISM) and guidance from the IOSA Audit Handbook (IAH), and unless otherwise provided, incorporated by reference in the Audit Agreement and, in the event of any inconsistency between the terms of this IPM and the Audit Agreement, the Audit Agreement shall prevail to the extent of the inconsistency.

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

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

6.2.5   IATA shall ensure an Audit of a single operator is planned for a minimum usage of thirty (30) auditor days, except for Audits of affiliated operators.

6.2.6   IATA shall have communicate and coordinate with the Operator sufficiently in advance of the Audit to identify those Mandatory Observations listed in the IAH.

6.2.7   IATA shall provide the Operator with the names of the members of the Audit Team that have been selected in accordance with provisions contained in IPM 6.3.

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

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

6.2.10 Remote auditing is permissible for Registration Renewal Audits and, under certain conditions, for initial registration Audits. Remote auditing may be used for the following:

(i)   document review;

(ii)   records review;

(iii) conducting interviews.

Note: Remote auditing for initial registration Audits may be granted primarily to account for short-notice unavailability of auditors and/or travel restrictions.

6.3   Selecting and Assembling Audit Teams

6.3.1 IATA shall ensure an Audit Team comprises only fully qualified Auditors that are on its list of approved IOSA Auditors.

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

Note: A trainee is considered part of the required Audit Team.

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

6.3.4 IATA shall ensure selection of Audit Team members takes into account:

(i)   Audit scope and objectives;

(ii)   auditor potential conflict of interest;

(iii) size of the organization to be audited;

(iv)   location(s) and activities to be audited;

(v)   previous audit history of the organization to be audited, if known;

(vi)   cultural environment(s) and language(s) spoken;

(vii) requirements for specialized operational and/or audit skills;

(viii) appropriate blend of auditor experience levels.

6.3.5 IATA shall designate a Lead Auditor for each Audit that takes into account considerations in IPM 6.3.4, and also considers the total experience of Audit Team members.

6.4   Audit Preparation

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

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

6.4.3   To enhance preparation for an Audit, IATA shall ensure that each Auditor in the Audit Team invests at least one half day preparation time for the Audit. The Lead Auditor shall invest at least one (1) full day for preparation. The preparation shall include a review of relevant information and documentation from the Operator as far in advance of the Audit as possible, and shall include all items identified in the IAH.

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

6.4.5   To assist the Audit Team in assessing IOSA documentation requirements, thus enhancing audit efficiency and reducing audit 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 IPM 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 Audit Team prior to the Opening Meeting of the osite Audit for the purpose of preparing team members to conduct the Audit in a coordinated and efficient manner in accordance with IAH requirements.

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

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 Audit team, IATA shall ensure communication with the Operator in sufficient time prior to an audit to identify and coordinate the availability of all on-site resources and facilities necessary for implementation of the Audit.

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

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

6.6   Opening Meeting

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

6.6.2   IATA shall conduct a Stakeholder meeting with the Operator's main contatct person or persons prior to the offsite documentation assessment for a Registration Renewal Audit.

6.7 Conducting the Audit

6.7.1 IATA shall ensure Auditors:

(i) correctly use the IOSA checklist and complete the checklist in accordance with procedures and guidance contained in the IAH;

(ii) apply effective methods for gathering of objective evidence during an Audit, to include proficiency in interviewing, reviewing documentation, observing activities and noting operational conditions;

(iii) establish conformity based on the degree to which the Operator has documented and implemented specifications contained in the ISARPs;

(iv) understand the need and are competent to conduct Mandatory Observations during every Audit as specified in the IAH;

(v) identify all outsourced functions and assess conformity with associated ISARPs by determining the level of documentation and implementation in accordance with the IAH. For assessing the level of conformity associated with outsourcing, and to complement the verification of oversight of the Operator over outsourced functions, relevant external service providers should be accessed to the extent possible and/or feasible;

Note: The Auditors shall ensure that applicable staff is interviewed during the assessment of each ISARP. Such staff shall include responsible managerial and non-managerial personnel representing various functions that are addressed during the assessments. Refer to IPM 4.3.1 (ii).

6.7.2 IATA shall ensure that:

(i) only the current official English language version of the ISM and/or IOSA checklists are used by the Audit Team as the basis for the final determination of conformity or nonconformity with ISARPs during the conduct of an Audit;

(ii) the Audit Team enters all applicable and relevant information concurrently into the audit software during the offsite as well as onsite portion of the Audit between the Opening and Closing meeting; and

(iii) the Audit results, to include, as a minimum, the IOSA Checklist and the IOSA Audit Summary are completed in the audit software within seven calendar days of the closing meeting.

Notes:

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

2. *The IOSA checklists contained within the audit software are part of the IAR, and shall be considered as the official working documents for an Audit.*

3. *If an ISM, IPM, or IAH, including Temporary Revisions thereof, becomes effective after the start date of the Audit, but before the closing meeting, the version of each manual which was valid at the time of the Audit start shall be used.*

6.7.3 IATA shall ensure there are regular, scheduled and frequent meetings of the Audit Team during an Audit to exchange information and assess progress of the Audit. Such meetings shall focus on the development of findings and observations, including assessment of specific areas of real or

potential nonconformity identified to date and the need to gather additional objective evidence to substantiate the development of findings and/or observations.

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

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)   Audit objectives are not attainable.

6.7.6   IATA shall ensure findings and observations are:

(i)   generated against a specific IOSA Standard or Recommended Practice;

(ii)   based on factual evidence discovered during the Audit;

(iii)   discussed with the Operator during the Audit in an attempt to achieve agreement;

(iv)   if necessary, discussed with the Lead Auditor and Audit Team members;

(v)   documented along with supporting factual evidence on the IOSA checklist.

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 IOSA provisions; or

(ii)   subject to prior approval from IATA, IOSA 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 Audit(s), IATA shall:

(i)   identify those in the IAR, in accordance with IPM 6.4.2;

(ii)   assess their continuity and, if applicable, apply and document AI in accordance with IPM 6.7.7.

6.7.9   Once the on-site assessment phase of the Audit has started, that assessment of the Operator shall continue uninterrupted until Audit completion, except:

(i)   when a Audit activity must be completed in accordance with IPM 6.7.12;

(ii)   the Audit is terminated in accordance with provisions contained in IPM 6.9.

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

6.7.10   IATA shall ensure at least one of each of the Mandatory Observations as specified in the IAH are accomplished during each Audit. IATA has the option to perform more than one of each of the Mandatory Observations. IATA shall identify outsourced functions and, by accessing relevant external service providers, assess the MOs in accordance with the IAH. Only when operational functions have been outsourced and, in applicable cases, a conventional assessment of the third party providing the service cannot be accomplished, the Auditor will verify that the Operator is carrying out adequate oversight of the outsourced functions, to ensure conformity with IOSA standards.

Note: Mandatory Observations may be exempted as outlined in the IAH.

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

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

(i)   under such circumstances, the Lead Auditor shall notify the Operator that the closing meeting will not be adjourned until all mandatory audit activities have been completed, at which time the meeting will resume and be adjourned via teleconference with only selected individuals participating. If applicable, potential participants in a teleconference meeting should be identified during the on-site closing meeting.

(ii)   such delayed adjournment of the closing meeting shall have no effect on the Audit validity period as specified in IPM 5.2.1, which is based on the date of the closing meeting held at the end of the on-site phase of the Audit.

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

(i)   prepare and issue a preliminary summary of any finding and/or observation to the Operator at the closing meeting or immediately following the date of adjournment; and

(ii)   create applicable Corrective Action Record(s) (CAR), which will be made available to the Operator within the week following the date of the closing meeting.

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

6.7.15   IATA shall ensure Auditors are competent and correctly apply the following for each Registration Renewal Audit:

(i)   Auditing and sampling of ISARPs based on the assigned priority ratings;

(ii)   Maturity Assessment methodology based on the methodology described in the applicable IOSA Audit Handbook.

6.8   Closing Meeting

6.8.1   IATA shall ensure the on-site assessment phase of the Audit is concluded with a formal closing meeting with the Operator's management team. The spokesperson for the Audit Team shall be the designated IOSA Lead Auditor. The closing meeting shall be conducted in accordance with requirements specified in the IAH.

6.9 Terminating an Audit

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

(i)   the Operator is attempting to exert obvious and undue influence on the Audit Team;

(ii)   the Operator is raising unacceptable barriers that significantly limit or inhibit the ability of the Audit Team to discover factual evidence;

(iii)   a conflict of interest as specified in IPM 2.3, becomes evident;

(iv)   there is a significant breach of the Audit Agreement;

(v)   Audit objectives are not attainable; or

(vi)   no reliable internet access is provided to all auditors and no alternative arrangements could be made.

6.10 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 IPM 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 IOSA registration, project closure of all findings plus Audit Closure no later than twelve consecutive (12) months following the date of the on-site closing meeting;

(ii)   for renewal of an existing IOSA registration or Verification Audit, project Audit Closure within a period of time as specified in IPM 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 address each finding and/or 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 (ICA)

6.10.3   Under unique circumstances, an acceptable CAP may, for renewal of an existing IOSA Registration or for Verification Audits, include implementation of interim corrective action. Interim corrective action shall be considered an exception to IPM 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 Audit or a Verification Audit;

(ii)   the request must have been made as soon as it has become known to the Operator that ICA is required;

(iii) the request to 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 requsted 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 Audit Follow-up

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

6.12   Closing Findings/Observations

6.12.1   IATA shall declare a Finding/Observation closed after the implementation of complete, comprehensive, and permanent corrective action has been verified in accordance with IPM 6.11.1 and 6.11.2.

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

(i) for initial IOSA registration:

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

(ii)   for renewal of an existing IOSA registration:

an Operator shall be removed from the IOSA Registry if Audit Closure has not been achieved prior to the expiry date of the current IOSA registration, unless extenuating circumstances are determined to exist in accordance with applicable provisions in IPM 7.5 and 7.9.

Effect of ISM 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 IOSA Standard or Recommended Practice is changed as a result of a published revision to the ISM. Details of such procedure are outlined in the IAH.

Effect of a Standards Special Review

6.12.4   IATA shall have a procedure to address a Finding that has not yet been closed by an Operator when the IOSA Standard associated with that Finding, or a specification within that IOSA standard, is suspended in accordance with the IOSA Standards Special Review Process (refer to IPM Section 1, Figure 1.4). Details of such procdure are outlined in the IAH.

6.13   Closing an Audit

6.13.1   IATA shall have a process to:

(i)   declare Audit Closure on a specific date, once:

(a)   all Findings have been addressed by the Operator through implementation of corrective action(s) in accordance with an accepted CAP, as specified in IPM 6.10.2.

(b)   implementation of all corrective actions has been verified by IATA.

(c)   QC processes are complete.

(ii)   issue an Audit closure notice to the Operator, that shall include language to inform the Operator that, although the Audit has been declared closed, the Audit is not valid for initial registration, registration renewal or registration reinstatement as applicable, until the IAR has been released by IATA.

Section 7   IOSA Reports (IAR/MAR) and Data

Purpose

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

7.1   IOSA Reports (IAR/MAR)

7.1.1   The IAR is the official record of an Audit conducted on an Operator by IATA in accordance with IOSA standards. Essential information and the results of an Audit are documented in the IAR, which comprises the following documents:

      (i)   IOSA Audit Summary (IAS);

      (ii)   Information Sources (IS);

      (iii)   IOSA Checklist;

      (iv)   Corrective Action Report (CAR);

7.1.2   The IAR is used by an Interested Party for the purpose of Audit Sharing in accordance with provisions contained in IPM Section 8.

7.1.3   IATA shall have a process to ensure the IAR is completed and submitted in accordance with the IPM and IAH.

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

7.1.5   For Registration Renewal Audits, a separate Maturity Assessment Report (MAR) shall be created by IATA and shared with the Operator.

7.2   Quality Control of the IAR/MAR

7.2.1   IATA shall have an IAR/MAR quality control process, the implementation of which ensures all documents comprising the IAR/MAR as specified in IPM 7.1.1 and IPM 7.1.5 are completed accurately and in accordance with procedures contained in the IOSA Audit Handbook and other guidance.

7.2.2   IATA shall ensure the quality control process, as specified in IPM 7.2.1, has been completed prior to issuance of an IAR/MAR to the Operator.

7.3   IAR Ownership

7.3.1   Once the final version of the IAR has been issued to the Operator the IAR shall become the sole and exclusive property of the Operator in accordance with provisions in the IOSA Audit Agreement.

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

(i)   a copy of the IAR may be provided to relevant regulatory authorities in compliance with applicable law(s) of the State of the Operator;

(ii)   a copy of the IAR may be relinquished as part of legal proceedings in compliance with applicable laws;

(iii)   a copy of the IAR provided or relinquished in accordance with i) or ii) shall require notification to IATA.

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

(i)   such viewing or sharing shall not be used for the purpose of audit sharing under IOSA, nor shall such viewing or sharing be used as a mechanism for bypassing the provisions of the official IAR access process specified in IPM 7.8;

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

7.4   IAR Custodianship

7.4.1   IATA shall be the official custodian of all IARs and shall have a establish the IATA Connect (IOSA Platform), as defined in IPM 7.6, which shall be the repository for the IARs from every Audit conducted under IOSA.

7.4.2   The Operator that owns an IAR, as specified in IPM 7.3.1, shall be the sole determiner and provider of authorization for access to the IAR from IATA Connect.

7.5   IAR and Data Retention

7.5.1   IATA shall have processes to:

(i)   retain a copy of the IAR and all associated working documents in its own records for at least two (2) years after the completion of an Audit;

(ii)   ensure the confidentiality and security of the report and all documents and data;

(iii)   preclude release of the IAR, or a copy of the IAR, 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 IAR as specified in IPM 7.1.1 are managed, and if applicable disposed of, in accordance with its record keeping policy.

7.5.3   Once finalized, the final IAR shall be loaded into IATA Connect and retained with the IARs from at least the previous two Audits of the Operator.

7.6   IATA Connect

7.6.1   IATA shall establish IATA Connect (IOSA Platform), which shall enable the capturing, retention, and management of all relevant data associated with the IOSA Program and IOSA registered operators. Information contained in IATA Connect may include, but is not limited to the following:

(i)   IOSA documentation and general program information;

(ii)   operator profile information;

(iii)   IOSA Audit Reports;

(iv)   audit data gathered during an Audit;

(v)   general IOSA Auditor information.

7.6.2   IATA shall ensure access to data on IATA Connect is managed and data on IATA Connect is secured against unauthorized access.

7.6.3   IATA shall ensure an Operator retains control over its data and can manage, grant, and restrict access to its non-public profile and audit related data to other users of IATA Connect.

7.6.4   IATA shall ensure IATA Connect supports the retention and analysis of data resulting from IOSA Audits, plus the IAR sharing process.

7.6.5   IATA Connect shall be the sole source of official access to an IAR in conformity with provisions contained in IPM 7.8; the Operator shall be the sole determiner and provider of authorization for official access to an IAR.

7.6.6   IATA Connect shall be managed by IATA in a manner that ensures the security, confidentiality and integrity of information contained in IARs.

7.6.7   Any analysis of IOSA data by IATA shall always be accomplished in conformity with provisions contained in IPM 7.9.

7.7   Operator Profile

7.7.1   The operator profile in accordance with IPM 4.8.1 shall be stored in IATA Connect for the purpose of information sharing and operator reporting.

7.7.2   Except for data related to reportable circumstances in accordance with IPM 4.8.3, the Operator is the sole owner of the data contained in the operator profile. IATA is the custodian of the data and will ensure security of the data in accordance with the same requirements as applicable to IARs.

7.7.3   IATA shall ensure an Interested Party can request access to an operator profile in the same way as an IAR.

7.8   IAR and Data Access

7.8.1   An interested party seeking access to an IAR or operator profile shall make such a request in accordance with policies and procedures applicable for such requests, as outlined on the IOSA website and/or IATA Connect.

7.8.2   IATA shall not enable IAR access to an interested party unless authorization for such access has been granted by the Operator that owns the IAR, as specified in IPM 7.4.2.

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

(i)   result in the public release or public disclosure of the IAR; or

(ii)   otherwise compromise the security and confidentiality of the IAR.

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

7.8.5   IATA shall have a process to enable IAR access, including access to archived IARs, to entities other than an interested party as specified in IPM 7.8.1. Such process shall ensure:

      (i)   access to the IAR(s) by the requestor is authorized by IATA;

      (ii)   the purpose and conditions of the use of the IAR(s) are authorized by IATA;

      (iii)   if applicable, information contained in the IAR(s) is de-identified by IATA;

      (iv)   such access is authorized by the Operator that owns the IAR(s).

Note: Entities addressed in this provision include IATA, for the purpose of analyzing safety data

7.8.6   IATA shall have a process to enable IAR access for regulatory authorities. The process shall ensure IATA enables access to the IAR(s) to the requestor subject to:

      (i)   specification of the reason for the request by the requestor;

      (ii)   authorization from the Operator that owns the IAR(s).

7.9   IOSA Data Analysis

7.9.1   IATA at its discretion may conduct analyses of IARs, MARs, and operator profile information contained in IATA Connect as a function of its responsibility for IOSA program management and promotion of industry safety. Analyses of IARs, MARs, and data shall be accomplished for the purpose of monitoring, among other things:

      (i)   industry conformity with IOSA standards and recommended practices (ISARPs) for statistical safety reporting;

      (ii)   industry conformity with recommended practices in determining consideration for upgrade to a standard;

      (iii)   IAR content to evaluate Auditor performance and standardization;

      (iv)   other IOSA program areas as necessary for quality assurance.

7.9.2   The following restrictions shall apply to all data derived from analyses of IARs and data conducted by IATA:

      (i)   data shall be quantitative and results shall be of a statistical nature only;

      (ii)   analytical results shall always be de-identified; the name of a specific Operator shall never be included or revealed;

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

7.9.3   Any proposed future use of information from IARs in IATA Connect for purposes other than those contained in IPM 7.9.1, such as analyses conducted as part of the IATA Global Aviation Data Management (GADM) safety research, shall be in conformity with restrictions contained in IPM 7.9.2.

Section 8   Audit Sharing

> ### Purpose
>
> One goal of IATA Operational Safety Audit (IOSA) is to eliminate the redundancy of operational audits within the airline industry and concurrently to provide an effectively managed and controlled system for the sharing of audits and data. The IOSA Audit Report (IAR), and the operator profile, which are retained in IATA Connect that is managed by IATA, provide the comprehensive information necessary to allow Interested Parties to participate in IOSA audit and data sharing. This section of the IOSA Program Manual (IPM) sets out the standards associated with audit and data sharing.

8.1   Description

8.1.1   IOSA audit and data sharing is a process whereby an interested party uses the Audits or data from the operator profile of an IOSA Operator derived from IATA Connect to satisfy its need for:

    (i)   an audit of that same Operator;

    (ii)   detailed information about the operations of that same Operator.

8.2   The Interested Party

8.2.1   An interested party that seeks to share an Audit and/or data under IOSA shall gain access to the IAR or the operator profile information in accordance with provisions contained in IPM 7.8.

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

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

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

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

8.3   IATA

8.3.1   IATA is the official custodian of IARs and data in IATA Connect, and shall enable controlled IAR and profile access to an interested party in accordance with provisions contained in IPM 7.8.

8.4   The Operator

8.4.1   The IAR and operator data on IATA Connect are the sole and exclusive property of the IOSA Operator and access to an IAR and/or non-public section of an operator profile shall be enabled for an interested party by IATA only after the Operator that owns the IAR and profile data has specifically authorized such access in accordance with applicable provisions contained in IPM Section 7.

Section 9   Dispute Resolution

Purpose
This section of the IOSA Program Manual (IPM) sets out standards for resolution procedures to be followed whenever a dispute arises between any party.

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 IPM 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 to 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 Audit Agreement.

9.2.3   Any dispute not resolved through implementation of the steps specified in IPM 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 IPM 9.2.1, IATA, at its discretion, may freeze the process described in IPM 5.4, IPM 5.5 and IPM 5.2 and resume the same process, after applicable criteria are satisfied and the agreed conditions for a resolution are met. The change in Audit closure and other applicable deadlines shall not exceed the periods as defined in this IPM.

9.2.5   IATA shall make annotations to the IOSA Registry in accordance with IPM 5.7.7 and Table 5.1 if an IOSA Operator is involved in dispute resolution in accordance with IPM 9 that could affect IOSA registration.

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