



IOSA Audit Handbook Procedures & Guidance
Temporary Revision 2021-1
IAH Edition 11

Reference:	TR.IAH.2021-1
Issue date:	6 Dec 2021
Effective date:	13 Dec 2021

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Approval Section

Step	Name	Date
Reviewed by:	Serkan Simitcioglu Head, IOSA	December 2021
Approved by:	Mark Searle Director, Safety	December 2021

1. General Overview

This Temporary Revision ('TR') to the IOSA Audit Handbook Procedures and Guidance ('IAH P&G') Edition 11 is issued to address the following.

In the 'Procedures for the Audit Organization' section, subparagraph 2.8.2 outlines options for the type of the audit plan and 2.8.3 similarly describes trainee role options available in the audit software.

Both subparagraphs have been revised to simplify the process and provide more clear guidance to audit software users. Additionally, a new field is added in the trainee selection to record the name of the assessor.

All necessary changes will also be performed in the audit software and any audit as of 13 December 2021 shall be in built in accordance with this TR.

2. Effective Date of the Temporary Revision

This TR will become effective as of 13 December 2021.

3. Temporary Revision

2.8.2 Auditor Selection'

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Item	Field Name	Completion Instructions
2B	Audit Plan – Evaluation Plan (if applicable)	...
2C	Audit Plan – Qualification Plan (if applicable)	...

...



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△ **2.8.3 Trainee Selection**

There are several options that are applicable to auditor under training. The step recording of each of these categories in the 'Trainee Selection' are as follows:

Item	Field Name	Completion Instructions									
1	Team Member	<p>This is a mandatory field. The auditor(s) under training needs to be selected as a Member from the database. If any new auditors need to be added, the information of the users shall be submitted to IATA at least 1 week before the user access can be granted.</p> <p>The applicable selection options shall include the followings:</p> <ol style="list-style-type: none"> 1. Initial qualification as an auditor, see IPM 3.10; 2. Lead Auditor (LA) qualification, see IPM 3.11; 3. Auditors adding an additional discipline(s), see IPM 3.14; 4. Auditors under performance evaluation, see IPM 3.16; 5. Auditors re-establishing qualification, see IPM 3.18; 6. Lead Auditors re-establishing qualification, see IPM 3.18; and 7. Auditors re-establishing discipline(s) currency, see IPM 3.18. 									
2	Assessor	<p>The Assessor(s), if applicable, needs to be selected from the database.</p> <p>The assessor here is either the IOSA Auditor conducting the supervision and assessment during an initial / discipline qualification or the Evaluator for all other applicable conditions.</p>									
3	Trainee Role/ Qualification Step	<p>There are several options that are applicable to the trainee role and the relevant qualification step. The following table outlines the possible combinations and the corresponding information available in the drop-down field.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 45%;">Qualification Step</th> <th style="width: 25%;">Trainee Role</th> <th style="width: 30%;">Additional Info.</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> • Initial qualification as an Auditor • Auditor(s) adding additional discipline(s) • Auditors re-establishing discipline(s) currency </td> <td> <ul style="list-style-type: none"> • Observing • Auditing while under supervision </td> <td style="text-align: center;">Not Applicable</td> </tr> <tr> <td> <ul style="list-style-type: none"> • Auditors under performance evaluation (PE) • Auditors re-establishing qualification </td> <td> <ul style="list-style-type: none"> • Auditing while under evaluation </td> <td> Auditor under any of these conditions: <ul style="list-style-type: none"> • Under bi-annual performance evaluation. • Auditor that failed to maintain the bi-annual performance evaluation • Auditor that failed to maintain audit conduct currency (within 1 year) </td> </tr> </tbody> </table>	Qualification Step	Trainee Role	Additional Info.	<ul style="list-style-type: none"> • Initial qualification as an Auditor • Auditor(s) adding additional discipline(s) • Auditors re-establishing discipline(s) currency 	<ul style="list-style-type: none"> • Observing • Auditing while under supervision 	Not Applicable	<ul style="list-style-type: none"> • Auditors under performance evaluation (PE) • Auditors re-establishing qualification 	<ul style="list-style-type: none"> • Auditing while under evaluation 	Auditor under any of these conditions: <ul style="list-style-type: none"> • Under bi-annual performance evaluation. • Auditor that failed to maintain the bi-annual performance evaluation • Auditor that failed to maintain audit conduct currency (within 1 year)
Qualification Step	Trainee Role	Additional Info.									
<ul style="list-style-type: none"> • Initial qualification as an Auditor • Auditor(s) adding additional discipline(s) • Auditors re-establishing discipline(s) currency 	<ul style="list-style-type: none"> • Observing • Auditing while under supervision 	Not Applicable									
<ul style="list-style-type: none"> • Auditors under performance evaluation (PE) • Auditors re-establishing qualification 	<ul style="list-style-type: none"> • Auditing while under evaluation 	Auditor under any of these conditions: <ul style="list-style-type: none"> • Under bi-annual performance evaluation. • Auditor that failed to maintain the bi-annual performance evaluation • Auditor that failed to maintain audit conduct currency (within 1 year) 									



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				<ul style="list-style-type: none"> • Applicable to Lead Auditors that failed to maintain the audit conduct currency
		<ul style="list-style-type: none"> • Lead Auditor qualification • Lead Auditors re-establishing qualification 	<ul style="list-style-type: none"> • Acting Lead Auditor under evaluation 	Applicable to auditors that are: <ul style="list-style-type: none"> • doing their first qualification as LAs. • Regaining their LA qualification.
<p><u>Note:</u> For the purpose to retrieve PE conduct currency both the trainee roles of “Auditing while under evaluation” and “Acting Lead Auditor under evaluation” would be taken as input and the most recent date would be used.</p>				