



IOSA Operator Alert 8

Issue date: 4-JAN-2018

Auditing Effectiveness of Implementation

Effective date: 4-JAN-2018

Introduction

IOSA requires a two-stage auditing function, the assessment of the provision being documented, followed by an assessment of the provision being implemented. This core IOSA principle is to ensure that the implementation assessment is based on standard operating practices and not on undocumented operating practices, for which standardization cannot be assured.

To improve the quality and completeness of the IOSA evaluations, the element of effectiveness will be introduced into the assessment of the ISARP implementation. The purpose of the assessment is to validate if an ISARP has been implemented effectively or not, in accordance with criteria established in the IOSA Standards Manual (ISM).

Conformity with an ISARP will still be based on documentation and implementation and the method to assess these will not change. No new requirements will be introduced for an operator to obtain or to renew an IOSA registration. The assessment of effectiveness will be performed in addition to the existing auditing and will initially be limited to only a small number of ISARPs.

It is important to stress at this point that an effective implementation should be achieved by the operators for all ISARPs, not only the ones covered by this method. For practical purposes, the formal assessment by the auditors is initially limited to the specified ISARPs.

Standards Assessment

Auditing effective implementation will initially be applied only to a selected number of ISARPs. The overall result assessing these ISARPs for effective implementation will be captured in a single recommended practice, which will be introduced into the ISM. Hence, this is not a standard and therefore will not be mandatory. The conformity of the assessed ISARPs is not dependant on the auditor's assessment of effectiveness.

The methodology will initially be applied to the following ISARPs:

- ORG 3.1.2 – Risk Assessment and Mitigation and all its repeated provisions
- ORG 3.3.13 – Flight Data Analysis



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- ORG 3.5.4 – Monitoring of wet lease, code share and capacity purchase agreements

The assessment of effectiveness will be based on the two aspects of suitability and specific effectiveness criteria. Suitability will be reviewed using general criteria, whereas the effectiveness criteria will be specifically listed and individually assessed.

The recommended practice, as well as the suitability and effectiveness criteria will be released through a Temporary Revision to the ISM in early 2019.

To ensure an objective and consistent assessment of effectiveness, IATA, the IOSA Oversight Council, and the relevant IOSA Technical Groups are in the process of developing detailed guidance and procedures for the Audit Organizations, IOSA auditors, as well as the operators. This guidance will be made available in due time to ensure all parties have sufficient time to study and familiarize themselves with it. The auditors will also be trained specifically in this new method.

Implementation Plan

It is planned to implement the methodology for audits taking place in the second quarter of 2019. The first three months will serve as a proof-of-concept period with close monitoring of the method for potential adjustments, to be completed with the effective date of ISM Edition 13 in September 2019.

IATA will distribute all guidance material well in advance of the beginning of the proof of concept phase and the implementation of the methodology.

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