



IOSA Operator Alert 11

Conformance Report vs Internal Auditing

Issue date: 09-AUG-2019

Effective date: 09-AUG-2019

1. Reason for the Alert

IATA has received feedback about the recently revised standards ORG 3.4.6, ORG 3.4.7 and ORG 3.4.8 in the IOSA Standards Manual (ISM) Edition 13. The former ORG 3.4.8 was incorporated into ORG 3.4.6 by means of Table 1.2. ORG 3.4.7 which required the submission of a Conformance Report has been eliminated in ISM Edition 13.

This Operator Alert is to clarify the intent of the revision to the ISARPs and to explain their correct interpretation and application.

2. Background

The revision responds to feedback received on the complications that the submission of the Conformance Report to the Audit Organization (AO) caused. The IOSA Audit Handbook (IAH) procedures on pre-onsite evaluation of the Conformance Report (CR) were limited to verifying the completeness of the CR, whereas the detailed assessment of the CR was always performed on-site.

3. Explanation of Changes

The four E-IOSA pillars are 1) continuous conformity with the ISARPs during the registration period, 2) focus on implementation, 3) reliability of the quality assurance, and 4) standardization. All of them continue to be followed and the elimination of ORG 3.4.7 does not affect the validity of the pillars.

3.1 Changes Affecting the Operators

The internal auditing against the ISARPs remains a basis for the pillars and therefore, the requirement to conduct internal auditing against the ISARPs during the registration period remains unchanged (ref. ORG 3.4.6).

For simplicity, former ORG 3.4.6 and ORG 3.4.8 have been merged and the required information to be recorded and retained as result of the internal audits against the ISARPs remains unchanged (ref. ISM Table 1.2). All required information may be recorded either in the operator's database or controlled procedural documents. Furthermore, operators are still required to train their internal auditors to audit the ISARPs (ref. ORG 3.4.13).

The only change is that the operator is no longer required to submit the abovementioned internal audit results to the AO prior to the on-site audit (former ORG 3.4.7). The AO will continue to audit these internal audit results during the onsite audit.

Note: Operators continue to have the possibility to request and exchange 'Conformance Reports' from and with each other for the purposes of continuously monitoring each other's safety program, e.g. for codeshare purposes. IATA also continues to make the CR Template available in Excel format which the Operator may use at their discretion.

Note: The Conformance Report is an Operator's report, compiled for the purpose of sharing the results of the internal audits that were conducted against the ISARPs in accordance with applicable IOSA standards. Such report will typically contain information as required in ISM Table 1.2.



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3.2 Changes Affecting the AOs

The IOSA Auditor's role during the audit regarding the assessment of the internal audit results remains unchanged. The auditors will still apply a strong focus on the internal quality assurance and continue to promote an understanding of the auditing methodology.

The IOSA Auditors will continue to verify the internal audit results as in the past. The procedure for the review of the CR prior to the on-site audit falls away. This pre-onsite review of the CR focused on the completeness of the submitted documents and not on the content. The results of the completeness review were passed on to the Lead Auditor. The IOSA Auditors will determine the focus areas and verify the completeness of the internal audits while they are on-site and in accordance with the AO's procedures.

4. Conclusion

The principles introduced through Enhanced IOSA remain valid. Operators are still required to audit all ISARPs during the registration period and to record all relevant information for the IOSA Auditor's perusal.

All changes to procedures and guidance will be reflected in the upcoming IOSA Audit Handbook (IAH) Edition 10.

In order to address issues of complication when submitting a Conformance Report, the topic will be re-tabled in the context of the IOSA Digital Transformation/Collaboration Platform.



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