ISSA Program Manual

Effective 1 February 2019

2nd Edition

NOTICE

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Foreword

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

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

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

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

IATA will continue to update ISSA Program standards, as derived from accepted industry reference sources, as defined in ISPM Section 1.7, Standards Management.

IATA Standard Safety Assessment Program Manual (ISPM) Edition 2 has been accepted by Director, Audit Programs and approved by Senior Vice President, Safety and Flight Operations of IATA.

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Applicability

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

Standards in this manual are applicable primarily to:

(i)   Audit Organizations (AOs), that will conduct Assessments under ISSA;

(ii)   All Operators assessed under ISSA and;

△ (iii)   The International Air Transport Association (IATA), who are the stewards of the ISSA Program.

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

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Introduction

1) Purpose

(a) The ISSA Program Manual (ISPM) is published in order to make the complete body of standards that govern all aspects of the ISSA Program available in a single source. Standards in the ISSA Program Manual provide the basis for program standardization, which ensures that each Assessment is conducted in a consistent manner.

△ (b) ISSA Assessments will only be conducted by Audit Organizations (AOs) that have been accredited by IATA. To successfully complete the accreditation process, an AO shall be required to structure its organization, management systems, and operational processes, including administration of its audits and auditor programs in conformity within IPM and this ISPM.

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

2) Examples of ISSA Documents and Forms

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

3) ISSA Documentation System

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

(i) ISSA Standards Manual (ISSM);

(ii) IOSA Program Manual (IPM);

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

(iv) IOSA Audit Handbook (IAH).

☐ (v) SFO Quality Assurance Program Manual (QAPM)

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

4) English Language

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

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5)   Manual Revision-Regular & Temporary

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

(ii)   During a regular revision cycle, where a detailed change to the ISSA Program Manual is required:

(a)   A new Edition of the manual will be published, and incorporate any Temporary Revisions (TRs) issued since the previous Edition.

△ (b)   The cover of the ISSA Program Manual and the page footer will indicate the Edition number and the effective date;

△ (c)   A revision to the ISSA Program Manual becomes effective on the first day of the third month following the month of publication (e.g. a revision published in October 2018 is effective on the first day of January 2019).

(iii)   When a rapid change to the ISSA Program Manual is required, a Temporary Revision (TR) will be issued, and will indicate:

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

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

(c)   a date of issue and effectivity;

(d)   the date of the approval by the SVP, Safety & Flight Operations (SFO).

△ **6)   Manual Approval Process**

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

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

△ (a)   For a regular revision cycle-twenty–one (21) calendar days;

△ (b)   For a TR cycle-up to seven (7) calendar days;

(iii)   An internal review of feedback and incorporation of final changes will occur;

(iv)   A final approval period:

△ (a)   For a regular revision cycle-up to fourteen (14) calendar days with IATA senior management;

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

(v)   The Senior Vice President (SVP), SFO is the final approving authority for new editions or temporary revisions for this manual.

7)   Content Changes

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

8)   Conflicting Information

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

△   (ii)   In the case of conflicting information in different ISSA manuals, namely the ISSM, ISPM and IAH, IATA should be contacted for clarification and correction.

☐   (iii)   If there are inconsistencies between the ISPM, related content in the IAH, and the Assessment Agreement, the Assessment Agreement shall prevail.

9)   ISSA Documents and Forms

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

10)   IRM for ISSA Abbreviations, Acronyms, Definitions

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

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

☐ **11)   ISSA Authority**

The ISSA Program operates under the authority of the IATA SVP, SFO.

△ **12)   Assessment Scope**

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

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Description of Changes

The following table provides a brief description of the changes contained in ISPM Ed. 2.

Introduction		
Area Changed	**Description of Change(s)**	**Date of changes (dd.mm.yyy)**
Purpose	• Wordings were added for better clarification of sub section (ii). • The verb should was changed to shall in sub section (iii)	November 2018
ISSA Documentation System	• Sub item (v) related to QAPM was added. Unnecessary wordings were deleted.	November 2018
Software platforms	• Was eliminated.	November 2018
Manual Revision–Regular & temporary	• Tame frame of effective date of manual was changed from fife to three month.	November 2018
Manual Approval Process	• Comment period of external (AO) feedback was changed form 21 days to 14 days.	November 2018
Content Changes	• Wordings were revised for better clarification.	November 2018
Conflict of information	• Wordings were added to sub item (ii) to give better clarification of the action to be done when there is inconsistency between ISSA documentation. • Sub item (iii) was added to clarify the privilege of the documentation in case of inconsistency between ISPM, IAH and Assessment Agreement	November 2018
ISSA Authority	• Was moved from item 13) to item 11)	November 2018
Exemption	• The item was eliminated	November 2018
Assessment Scope	• New item was written ant the reference to ISSM Part 4 was given	November 2018
Description of Changes	• New wordings and glossary of symbols to designate ISPM changes were added.	November 2018
Section 1–ISSA Program Management		
Purpose	• The content was revised in order to make it simple and clearer.	November 2018
1.1.1	• Note about appointment of responsible individual/s was added	November 2018
1.2.9	• The number of provision was changed to 1.2.10 and 1.2.9 is intentionally left open.	November 2018
1.3.1	• The verb should was changed to shall.	November 2018
1.3.2	• Wording was added to sub provision (i).	November 2018
1.5.1	• Using the same AO for Assessment was changed from 1 to two ISSA Assessment	November 2018
1.5.2	• Sub provision (vi) was revised and the reference was corrected.	November 2018
1.5.3	• Editorial change was done.	November 2018

1.5.4	•	Editorial changes was done and also references in sub provision (i) and (iv) was corrected.	November 2018
1.5.5	•	Sub provision (i) was eliminated and it was included to main provision.	November 2018
1.5.6	•	The information about the collection of administration fee was revised.	November 2018
1.6	•	Reference was given to IPM 1.6	November 2018
1.7.4	•	New provision related to ISARPs was added.	November 2018
1.7.5	•	New provision related to ISO standards serving as a guiding principle was added.	November 2018
1.7.6	•	New provision related to creation of new ISSA standards was added.	November 2018
1.7.7	•	New provision related to special review process was added.	November 2018
1.8.1	•	The wording related to Q5AIMS was changed to audit software.	November 2018
1.8.2	•	The verb should was changed to shall and some editorial changes was done for better clarification.	November 2018
1.9.1	•	Sub provision (iv) and (v) related suspension and annotations were added.	November 2018
1.9.3	•	Wording was revised for better clarification.	November 2018
1.9.4	•	Wording was revised for better clarification.	November 2018
1.9.5	•	Wording was revised for better clarification.	November 2018
1.9.6	•	Wrong reference was corrected.	November 2018
1.10.2	•	MoU, working arrangements were added as an example	November 2018
1.10.4	•	Editorial change was done.	November 2018
1.12.1	•	The reference to IPM was revised.	November 2018
1.13.5	•	The verb should was changed to shall.	November 2018
1.15.1	•	Provision related to Assessment related Fees was eliminated.	November 2018
Section 2–AO Accreditation			
Purpose	•	The content was revised in order to make it clearer.	November 2018
2.4.1	•	Sub section (iii) and (vi) related to conflict of interest were added.	November 2018
	•	Note 2 related to the clarification of sub section (i) was added.	
2.5.2	•	Provision was revised and information related to written authority prior to the issuance of any verbal statements or written material about ISSA was added.	November 2018
2.12.1	•	Sub sections c) and d) were deleted.	November 2018
2.12.3	•	Provision was revised and new wording was added for better clarification.	November 2018
2.12.6	•	Incorrect reference was deleted.	November 2018

Section 3–Auditor Qualification			
Purpose	•	Was slightly revised for better clarification.	November 2018
3.1.1	•	The reference to IPM on sub provision (ii) was corrected.	November 2018
3.2.1	•	Sub provision (iii) related to the knowledge of English and (vi) related to receiving ISSA initial and recurrent trainings were added.	November 2018
3.6.1	•	Sub provision (iii) related to knowledge of audit software and applicable documentation was re-vised.	November 2018
	•	Sub provision (vi) related to knowledge of AO alerts and Bulletins was added.	
3.7.1	•	Sub provision (ii) was slightly revised.	November 2018
3.8	•	Numbering was changed.	November 2018
3.9.1	•	Reference numbers to IPM was revised in sub provision (i)	November 2018
3.10–3.21	•	Unnecessary info was deleted and reference to IPM was given.	November 2018
Section 4–Auditor Training			
	•	All Provisions of this section refer to IPM section 4	N/A
Section 5–Intentionally Left Open			
Section 6–The Operator's Responsibilities for ISSA Registration			
Purpose	•	The content was revised in order to make it clearer.	November 2018
6.1.1	•	Sub provision (iii) was revised and wording was added for better explanation.	November 2018
6.2.1	•	Intentionally left open	November 2018
6.2.2	•	Sub provision (iv) was revised and references to 7.1.5, 7.1.6, 7.1.7, 7.1.9 and 7.1.10 was given accordingly	November 2018
	•	Sub provision (xi) related to submission of equip-ment lists to AO was added.	
	•	Sub provision (xii) related to internet access during the on-site phase of the assessment was added.	
	•	Note related to conduction of ISSA Assessment was added.	
6.2.3	•	Sub provision (ii) was revised and new wording was added.	November 2018
	•	Sub provision (iii) was eliminated.	
	•	Note related to 6.2.3 (ii) was added.	
6.2.4	•	New provision related to the provision of risk assessment during request of operational ex-clusion was added.	November 2018
6.2.5	•	Provision related payment of ISSA Assessment fee was revised.	November 2018

6.3.1	• Sub provision (v) and not related to the ISSA auditors' internet excess was added.	November 2018
6.4.1	• Sub provision (i) was slightly revised.	November 2018
6.4.3	• Wording - Q5AIMS was changed to audit software	November 2018
6.6.2	• Provision revised and the performance of final QC of Assessment Report (ISAR) by IATA was added.	November 2018
6.7.1	• Provision was revised and wording related to continuously monitoring of ISSA website was added.	November 2018
Section 7–ISSA Registration		
7.1.2	• Sub provisions (i) and (ii) was deleted.	November 2018
7.1.4	• Provision was slightly revised to be clearer. • Note related to the assessment of specific aircraft was deleted.	November 2018
7.1.5	• Provision was revised and references to other Provision of ISPM was added.	November 2018
7.1.9	• Provision was slightly revised for better clarification. • Sub provision (iv) related to aircraft or fleet exception was added	November 2018
7.1.10	• Sub provision (i) and (iii) was revised and references were corrected.	November 2018
7.2.1	• Provision was revised and assessment expiration time (period of validity) was changed from 12 to 16 months following the date of on-site closing meeting.	November 2018
Figure 7.1	• New Figure related to Initial registration Assessment Expiration was added.	November 2018
7.2.2	• Reference to new Figure 7.2 was added and renewal assessment expiration time (period of validity) was changed from 90 to 120 days following the date of registration expiry. • Wording was added for better clarification.	November 2018
Figure 7.2	• New Figure related to registration renewal Assessment Expiration was added.	November 2018
7.2.3	• New provision related to registration renewal Assessment Expiration was added.	November 2018
Figure 7.3	• New Figure related to registration renewal Assessment Expiration was added.	November 2018
7.2.4	• New provision related to verification Assessment Expiration was added.	November 2018
Figure 7.4	• New Figure related to Verification Assessment Expiration was added.	November 2018
7.4.1	• References to ISPM and Figure were corrected	November 2018
7.4.2	• Reference to Figure was corrected.	November 2018
7.5.1	• References to ISPM and Figure were corrected	November 2018

7.5.3	• Restriction of using the same AO was changed from one to two. • Sub provision (c) of (vii) related operation of aircraft with MTOW 5,700 kg at the time of registration was eliminated.	November 2018
7.5.4	• Provision was revised and wordings were added for better clarification. • Sub provision (i) and (ii) were revised and the time for assessment closure was changed from 120 to 150 days. • Note related to notification of early registration renewal Assessment by AO was added.	November 2018
7.5.6	• Reference to ISPM was added and the reference to the Figure was corrected.	November 2018
7.5.8	• Unnecessary wordings were deleted in order to make it clearer.	November 2018
7.5.9	• New provision related to extenuating circumstances was added.	November 2018
7.5.12	• Notes related to interim corrective actions were added.	November 2018
7.5.13	• Provision was revised and wordings were extended for better clarification.	November 2018
7.5.14	• Provision was eliminated because it was included to ISPM 7.5.13	November 2018
7.6.4	• Wording was added for better clarification. • Note related to Assessment of affiliated operators was added.	November 2018
7.7.1	• Provision revised and some additional reportable circumstances and note were added.	November 2018
7.7.3	• ISPM reference and Note were added.	November 2018
7.7.4	• Note was revised in order to give better clarification.	November 2018
7.7.5	• Wordings were added for better clarification.	November 2018
Table 7.1	• Table was revised and notes were added.	November 2018
7.8.1	• Sub provision (iii) related to the ISSA Operator's removal from ISSA registry was added.	November 2018
7.8.2	• Provision was eliminated.	November 2018
7.9.1	• Provision was revised and additional wordings and sub provisions were added for better clarification.	November 2018
7.9.2	• ISPM reference was added.	November 2018
7.9.3	• Provision was eliminated and intentionally left open.	November 2018
7.10.1	• Note related to exception for usage of ISSA logo was added.	November 2018
Figures 7.3, 7.4 and 7.5	• The numbers of Figures were changed to 7.7, 7.8 and 7.9 accordingly	November 2018

Section 8–Assessment Program			
8.2.1	•	Note related to Assessment location or remote location was added.	November 2018
8.2.5	•	Sub provision was revised and wording was changed.	November 2018
8.2.6	•	Sub provision (iii) was revised and some wordings were added for better clarification.	November 2018
8.2.7	•	Note related to ISPV was revised and wording was added for better clarification.	November 2018
8.2.8	•	Note related to the consultancy that is within the operational scope of ISSA was added.	November 2018
8.2.12	•	Provision was eliminated and the numbering was changed.	November 2018
8.2.16	•	New provision related to AO re-visits was added.	November 2018
8.2.17	•	New provision related to Assessment planning was added.	November 2018
8.2.18	•	New provision related to utilization of on-site auditor-days was added	November 2018
8.2.19	•	New provision related to planning of audit activities was added.	November 2018
8.4.4	•	The list of the documentation which needs to be obtained and reviewed in advance by AO was added.	November 2018
8.6	•	Title of the sub-section was changed from Auditor Performance to Opening meeting	November 2018
8.6.1	•	Provision was replaced by new provision which is related to opening meeting.	November 2018
8.7.1	•	New provision related to auditors actions while conducting the Assessment was added.	November 2018
8.7.2	•	Sub provision (ii) was revised and wordings were added for better clarification.	November 2018
	•	Sub provision (iii) related uploading QRR and IAS to the audit software be the end of closing meeting was added.	
8.7.7	•	Provision related to AI was eliminated.	November 2018
8.7.13	•	Provision was revised and some wordings were changed for better clarification.	November 2018
	•	Note following the provision was deleted.	
8.8.1	•	Sub provision (xvi) was revised and new information was provided.	November 2018
	•	Note for this provision was deleted.	
8.8.2	•	Reference to ISPM was corrected and some wordings were added in sub provision (i)	November 2018
	•	Sub provision (iii) was revised and wordings were slightly changed for better understanding.	

8.9.1	•	Sub provision (vi) related to the termination of assessment in case of no reliable or unrestricted internet access provision to the auditors was added.	November 2018
8.9.2	•	Sub provisions related to AO responsibilities while terminating an Assessment were added.	November 2018
8.10.2	•	Wordings was changed for better clarification.	November 2018
8.10.4	•	Wording "Verification Assessment" was added.	November 2018
8.11.2	•	Sub provision (ii) related to the verification of corrective action and CAR closure was revised.	November 2018
8.11.3	•	Note related to corrective action progress re-cording was added.	November 2018
8.12.4	•	Sub provision related to effect of ISSM revision was added.	November 2018
8.12.5	•	Reference to ISPM was added.	November 2018
8.13.1	•	Sub provision (ii) was revised and information about ISAR quality control by IATA and its approval was added.	November 2018
Section 9–Assessment Report			
Purpose	•	It was slightly revised for better understanding	November 2018
9.1.1	•	Provision was slightly revised.	November 2018
9.2.2	•	Provision was revised and sub provision (i) and (ii) was added.	November 2018
9.4.1	•	Sub provision (ii) was revised and wording Q5AMIS was changed.	November 2018
9.5.2	•	Sub provision (i) related to provision of ISAR to regulatory authority was added.	November 2018
9.5.3	•	Sub section (i) was revised to be clearer.	November 2018
9.9.1	•	Provision was slightly reviewed to make it clearer.	November 2018
9.10.3	•	Provision was slightly reviewed to make it clearer	November 2018
Figure 9.1	•	New Figure related ISAR quality control was added.	November 2018
Section 10–Assessment Sharing			
10.4.1	•	Provision was slightly revised to make it clearer.	November 2018
Figure 10.1	•	Figure was revised and new wording was added.	November 2018
Section 11–Dispute Resolution			
Purpose	•	Was revised and unnecessary information was deleted	November 2018
11.2	•	Title was changed to Dispute Resolution between AO and Operator	November 2018
11.2.1	•	Notes 2 and 3 related to potential cost in the dispute resolution process and the role of IATA during dispute resolution process between AO and Operator were added.	November 2018
11.2.4	•	New provision related to freezing the process and resuming the same process was added.	November 2018

| 11.2.5 | • | New provision related to the annotations to the ISSA Registry was added. | November 2018 |
| Figure 11.1 | • | Figure was revised and new wording was added. | November 2018 |

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

Glossary of Symbols to Designate ISPM Changes

☐   Addition of a new item.

△   Change to an item.

⊗   Deletion of an item.

Section 1   ISSA Program Management

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

1.1   Organization and Management System

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

    (i)   an Accountable Executive (in the case of ISSA, the Director, Audit Programs);

    (ii)   defined lines of managerial authority and responsibilities;

    (iii)   documented policies, processes and procedures;

    (iv)   provision of appropriate resources, to include personnel, equipment and facilities, information and other direct and ancillary resources necessary to effectively manage and control the ISSA Program.

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

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

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

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

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

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

    (i) the scope of the management system;

    (ii) ISSA quality policy and objectives;

    (iii) references for system processes and procedures;

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

☐ **1.1.7** The IATA Senior Vice-President (SVP) SFO 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 SVP SFO in accordance with this provision.

1.2 Quality Assurance

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

    (i) assesses and measures, as applicable, the processes that support the program management and its performance in all areas of the ISSA program;

    (ii) is designed to fulfill the IATA commitment to continual improvement throughout the ISSA program.

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

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

    (ii) the identification of the nonconformities;

    (iii) the communication of the results or information collected from the oversight activities to the IOSA Program Management;

    (iv) the follow up of potential corrective actions;

    (v) the monitoring of effectiveness of corrective actions.

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

    (i) reviewing nonconformities;

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

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

1.2.4 The IATA QA program should include oversight of each Audit Organization (AO) to ensure ongoing conformity with the ISPM requirements and any other applicable process. Such oversight should include headquarter audits and/or on-site evaluations conducted on a periodic basis, with a focus on conformity and standardization in the following areas:

    (i) management structure and internal processes;

    (ii) implementation of the ISPM provisions related to the conduct of an ISSA Assessment;

    (iii) implementation of the internal quality assurance program;

    (iv)   management of documentation and data;

    (v)   qualifications and currency of Auditors;

    (vi)   maintenance of Auditor records;

    (vii)   production and quality control of the ISSA Assessment Report;

1.2.5-1.2.7   Intentionally left open.

1.2.8   IATA should have standards that apply to personnel that perform AO headquarter audits and/or on-site assessment/training evaluations under the ISSA QA program. Such standards should specify prerequisites that ensure personnel that perform QA audits and evaluations have, prior to conducting such activities:

    (i)   been selected by Safety and Flight Operations Quality Department;

    (ii)   sound knowledge of the IOSA Program;

    (iii)   had experience in airline operational audits;

    (iv)   completed the IAT course;

    (v)   completed relevant special training conducted by IATA.

△   **1.2.9**   Intentionally left open.

△   **1.2.10**   The QA program should include a process for oversight of internal and external providers who provide services and products that contribute to, or are element of the ISSA program, or that are necessary for the functionality of the Assessment process.

Assessment Report Quality Control

1.2.11   IATA should have an Assessment Report quality control process that is implemented in full or in part at the discretion of IATA. This QC process is not intended to substitute quality control processes performed by the AOs.

1.2.12   IATA should have a process to ensure any discrepancies found in an Assessment Report as a result of implementation of the quality control process in accordance with ISPM 1.2.11 are conveyed to the AO that conducted the Assessment for subsequent resolution, revision and re-issuance, as applicable.

1.3   Customer Relations

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

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

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

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

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

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

    (i)   website;

    (ii)   email;

    (iii)   printed media;

    (iv)   telephone;

    (v)   fax.

1.4 Accreditation Management

1.4.1 Only AOs that are currently accredited under the IOSA Program are authorized to conduct Assessments under the ISSA program. For the accreditation management of AOs in accordance with Section 2, refer to IPM 1.4.

1.5 Assessment Administration

AO Selection Monitoring

△ **1.5.1** IATA shall ensure Operators are restricted from consecutively using the same AO for more than two (2) ISSA Assessment.

Assessment Invalidation

1.5.2 IATA shall have a process to declare an Assessment invalid under justifiable circumstances as determined by IATA. Circumstances that could lead to Assessment invalidation include, but are not limited to:

    (i)   an Assessment that was not conducted in accordance with standards in this ISPM;

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

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

    (iv)   revocation of the AOC of the Operator;

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

△   (vi)   the validity of an open Assessment has expired, as specified in ISPM 7.2.1.

Assessment Funnel

△ **1.5.3** IATA shall provide each AO with an Assessment Funnel template, which shall be used by the AO to provide a weekly Assessment status report to IATA in accordance with ISPM 2.12.8.

Assessments of Affiliated Operators

△ **1.5.4** IATA shall have a process for conducting an advanced review of Assessments of affiliated Operators that are being planned by an AO, in accordance with ISPM 8.2.6. Such review shall ensure:

△
(i) a written planning notification is received from the AO prior to the submission of an executed Assessment Agreement in accordance with ISPM 8.2.6, utilizing the IATA form for the Assessment of affiliated Operators;

(ii) such Assessments are permitted only if the Operator that provides the majority of the shared operational functions for the affiliated Operators is an ISSA Operator being assessed for registration renewal;

(iii) a response to the planning notification specified in i), including applicable direction from IATA, is provided to the AO a minimum of two (2) weeks prior to the planned start of the first Assessment;

(iv) IATA reserves the right to request the AO to provide additional assessing when either:

△
(a) the planning notification has not been submitted within the time period specified in ISPM 8.2.6);

(b) post-assessment analysis of the assessment report(s) indicate insufficient resources were used for the Assessment of one or more of the affiliated Operators.

Merger of Air Operators

△ **1.5.5** IATA shall assess all information provided by the Operators, as specified in ISPM 6.8 to address the merger of air operators when such merger includes one or more ISSA Operators. Such assessment shall provide for:

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

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

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

Collection of Assessment Fixed Fees

△ **1.5.6** IATA shall have a process for collecting the ISSA Administration Fee for Assessment Agreements from AO.

△ 1.6 Auditor Approval and Administration

For requirement regarding to Auditor Approval and Administration refer to IPM 1.6 accordingly.

1.7 Standards Management

1.7.1 IATA shall have a process for the effective management of all standards contained in the ISSA Standards Manual (ISSM) and the ISPM to ensure ISSA is responsive to and meets the needs of the airline industry. Standards management processes shall be managed by IATA to ensure applicable changes and upgrades to the IOSA Standards Manual (ISM) shall be reflected in the ISSM in a timely manner. ISSA standards are published after final approval by the SVP, SFO.

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

1.7.3 Intentionally left open.

1.7.4 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.

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

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

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

1.8   Information and Data Management

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

  (i)   continuing development of the electronic system;

  (ii)   updating form templates housed within the system;

  (iii)   revising documents and checklists within the system;

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

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

1.9   Registration Management

1.9.1 IATA shall have a process for the management of the ISSA Registry in accordance with applicable provisions in ISPM 7, which shall address, as a minimum, registration:

  (i)   initiation;

  (ii)   renewal;

  (iii)   reinstatement;

  (iv)   suspension;

  (v)   annotations;

  (vi)   removal.

1.9.2 Intentionally left open.

△   **1.9.3**   IATA shall evaluate and determine the validity of a claim of extenuating circumstances submitted in accordance with ISPM 7.5.6, to ensure:

        (i)   The applicable Operator and AO are 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 SVP, SFO.

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

        (i)   operational exclusions in accordance with ISPM 7.1.5 and ISPM 7.1.6;

        (ii)   aircraft and/or fleet exemptions in accordance with ISPM 7.1.9 and ISPM 7.1.10.

△   **1.9.5**   IATA shall review and approve or reject a request for usage of interim corrective action in the acceptance of a Corrective Action Plan (CAP) in accordance with ISPM 7.5.12 and ISPM 8.10.3.

△   **1.9.6**   IATA shall make an annotation on the ISSA Registry and/or to notify Interested Parties, as applicable, in accordance with ISPM 7.7.7.

1.10   Documentation Management

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

        (i)   approval prior to issue;

        (ii)   review and revision;

        (iii)   archiving of previous versions;

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

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

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

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

        (viii)   identification of documents that are obsolete.

Legal Documents

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

        (i)   the ISSA Assessment Agreement;

        (ii)   various non-disclosure agreements;

△   (iii)   other service agreements as applicable (such as MoUs, working arrangements and etc)

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

△   *ISSA Assessment Report (ISAR)*

△   **1.10.4**   IATA shall have a process for receipt and acceptance of the final Assessment Report (ISAR) from an AO upon completion of the ISAR's QC cycle. Such process shall ensure:

(i)   the AO receives confirmation of receipt of the final Assessment Report by IATA;

(ii)   the Assessment Report is entered into the ISSA Database;

(iii) minimum the previous two (2) reports are retained, as applicable;

(iv)   the ISSA Registry is updated accordingly.

△   **1.10.5**   IATA shall have a process to address requests for access to an ISAR in accordance with provisions contained in ISPM 9.9.

1.11   Records Management

1.11.1   IATA shall have a process for management and control of records associated with the ISSA program, which ensures records are legible, easily identifiable, and retrievable. The process shall define the following controls:

(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.

1.12   Training Management

IOSA Auditor Training (IAT)

△   **1.12.1**   The auditors that conduct Assessments under the ISSA Program are trained in accordance with the IOSA Auditor Training provisions. For the management of the IOSA Auditor Training, see IPM 1.12.1 to 1.12.3.

1.13   Communication and Marketing

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

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

1.13.3   IATA shall have a process for maintaining applicable password-restricted ISSA web pages for the purpose of posting information, documents, references, and other material relevant to the ISSA program. A restricted website shall be made available for use by designated individuals from each AO.

1.13.4   IATA shall respond to an AO and/or ISSA Operator that seeks written authority for the issuance of any communication releases or marketing material in accordance with ISPM 7.10.1.

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

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Section 2   AO Accreditation

Purpose
Only Audit Organizations that are accredited by IATA in accordance with the IOSA Program Manual are authorized to conduct Assessments under the ISSA Program. Accreditation of an Audit Organization (AO) is the process used by IATA to regulate and control the conduct of Audits or Assessments to ensure the necessary level of ISSA Program quality and standardization.

△ **2.1–2.3 Refer to IPM accordingly**
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2.4   Conflict of Interest

△   **2.4.1**   An AO shall not be allowed:

△   (i)   to conduct an Assessment on an Operator for whom the AO, or an entity affiliated with or commissioned by the AO, has provided consulting services within the operational scope of ISSA within 24 months (or 2 years) preceding the date of the opening meeting of the ISSA.

            (a)   training, workshops or any other consultancy based services that are related to operations within the operational scope of the ISSA program;

            (b)   assistance in conforming to the ISSA Standards and Recommended Practices (ISARPs).

△   (ii)   to conduct an Assessment of the operations of its own organization or those operations of any Group Company;

☐   (iii)   to conduct an Assessment on an Operator if, in the opinion of IATA, that AO has an interest in the outcome of that Assessment, the existence of such an interest to be determined by IATA at its sole discretion;

△   (iv)   provide consulting services related to operations within the operational scope of ISSA while being engaged in the Assessment closure of the Operator.

        Notes:

        1.   An AO shall disclose to IATA such documents or information as IATA deems necessary in order to make a determination for the conflict of interest.

☐   *2.   The operational scope of ISSA referred to in 2.4.1 (i) shall be defined as follows: any content or material relating to the content of ISM or the IAH which is provided as training courses or material, or as content of consultancy services.*

        3.   As IAT/ISPV are based on specific training content controlled by IATA, an IAT/ISPV course presented to an airline before an assessment will not be subject to conflict of interest rules.

2.4.2 An Auditor on the List of Approved IOSA Auditors for an AO shall not be allowed to:

(i) conduct an Assessment of an Operator for which such Auditor is either:

(a) an employee; or

(b) a provider of services; or

(c) on the List of Approved IOSA Auditors of an AO affiliated with that Operator;

(ii) participate in the Assessment of an Operator for whom he or she has provided consulting services related to operations within the operational scope of ISSA within the past two years;

(iii) participate in the Audit of an Operator by whom he or she was employed within the past two years;

(iv) participate in an Assessment if either or both of the following circumstances exist:

(a) the Auditor has direct or indirect financial interest in the assessed Operator; and/or

(b) the Auditor has family members affiliated with the assessed Operator, with such family members defined as parent, sibling, child, spouse, grandparent, or grandchild.

Notes:

1. An Auditor shall disclose to IATA such documents or information as IATA deems necessary in order to make a determination for the conflict of interest.

2. The operational scope of ISSA referred to in 2.4.2 (ii) shall be defined as follows: any content or material relating to the content of ISSM, IAH which is provided as training courses or material, or as content of consultancy services.

2.4.3 An AO shall, as soon as reasonably practicable, assess whether there is, or might appear to be a conflict of interest for any reason arising from a proposed Assessment under ISSA and, if applicable, then proactively disclose, in writing, such actual or potential conflict to IATA for determination and confirmation. Any information disclosed will be held by IATA in the strictest confidence. An AO shall not be allowed to conduct the proposed Assessment unless and until a confirmation has been issued by IATA.

2.4.4 In circumstances where an AO fails to assess whether there is, or might be, an actual or potential conflict of interest and to proactively disclose such conflict to IATA for determination, IATA reserves the right to issue a determination if, in the view of IATA, there is sufficient information, including, without limitation, publicly available information or industry knowledge, for it to issue such a determination. IATA shall inform the AO as soon as reasonably practicable of its decision to issue a determination; the AO shall not be allowed to conduct the proposed Assessment unless and until a determination has been issued by IATA.

2.4.5 Without prejudice to any right or remedy that may arise or accrue from the Agreement or the Assessment Agreement, an Assessment that has been conducted prior to a determination by IATA pursuant to ISPM 2.4.3 and ISPM 2.4.4 shall be null and void, and IATA reserves the right to refuse to register an Operator on the ISSA Registry.

2.4.6 Failure of an AO to comply with the provisions of this ISPM 2.4 shall be regarded as a material breach of the Agreement.

2.5   General Requirements

2.5.1   An AO shall have processes to ensure:

(i)   as a minimum, one principal manager, as designated by the AO, attends all biannual AO Meetings arranged by IATA;

(ii)   as a minimum, one principal representative, as designated by the AO, attends one AO meeting in each calendar year;

(iii)   as a minimum, one principal manager, as designated by the AO, participates in AO conference calls, which are arranged periodically by IATA;

(iv)   in the event of a major accident involving an ISSA Operator, media inquiries and/or requests pertaining to that accident are referred to IATA;

(v)   compliance with and/or implementation of appropriate action in response to AO Alerts and AO Bulletins issued by IATA.

△   **2.5.2**   AOs shall receive written authority from IATA prior to the issuance of any verbal statements or written material designed to promote ISSA registration for the purpose of commercial or competitive gain. This includes the usage of the ISA word and logo on the AO's promotional company documents or any other type of promotional material or medium.

Note: When used, the word and logo shall not be portrayed in such a way suggesting that IATA favors *a specific product or service of an AO*.

△ 2.6–2.11 Refer to IPM accordingly
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2.12   Notifications and Submissions

2.12.1   An AO shall have a process:

(i)   for providing written notifications to IATA as specified in applicable provisions in this ISPM. Acceptable methods for such written notifications include email, fax, or other method(s), as agreed to by IATA;

(ii)   to submit an executed Assessment Agreement (between the AO and Operator) to IATA a minimum of thirty (30) calendar days prior to the scheduled commencement date of the on-site phase of an Assessment (Opening Meeting). Such executed Assessment Agreement shall be submitted in triplicate and set out the commercial arrangements and all other terms, conditions and restrictions associated with the relevant Assessment (including Verification Audits in accordance with ISPM 7.7). The Assessment Agreement shall include an option for the Operator to receive an ISSA Preparation Visit and the costs for such optional ISSA Preparation Visit shall be negotiated between the Operator and the AO;

(iii) to submit, along with the Assessment Agreement as specified in ii) above, a Request For Proposal (RFP) Summary Sheet, or equivalent summary, to IATA, that specifies costs associated with the Assessment, to include, as a minimum:

(a) variable costs (travel, accommodations, per diem, translator/interpreter, on-site supplies and services, other miscellaneous costs);

(b) total cost.

2.12.2 An AO shall proactively disclose to IATA whether any Assessment-related consulting services, referred to in ISPM 2.4, form part of their business operation. By making such information available, IATA can make an appropriate determination. Any information disclosed will be held by IATA in the strictest confidence.

2.12.3 An AO shall submit a request for IATA's approval for::

(i) operational exclusions in accordance with ISPM 7.1.5, ISPM 7.1.6 and ISPM 7.1.7. Such request shall include the operator's risk assessment of not conforming to applicable ISSA Standards in accordance with IPM 6.2.4 and be submitted as soon as it becomes known to the AO that a registration with exclusions will be required for a specific Operator;

(ii) the acceptance of interim corrective action in accordance with ISPM 8.10.3 and ISPM 8.10.4. Such a request shall be submitted as soon as it becomes known to the AO, but before submission of the ISAR, that interim corrective action will be necessary to close a finding of an Operator for an ISSA registration renewal Assessment.

Note: As soon as it becomes known to the AO that aircraft and/or fleet exemption is required and the Operator did not submit such request in accordance with ISPM 6.2.2, the AO shall inform the operator accordingly.

2.12.4 An AO shall have a process whereby, upon renewal of any required insurance policy as set out in the Assessment Agreement, a copy of each certificate evidencing insurance renewal is submitted to IATA within seven (7) calendar days following receipt of the certificate by the AO.

2.12.5 An AO shall have a process for the submission of a claim of extenuating circumstances to IATA for approval, as specified in ISPM 7.5.6, when applicable during the registration renewal process.

2.12.6 An AO shall have a policy and/or a process to ensure a request is submitted and written authority is received from IATA, prior to the AO issuing any verbal statements or written material designed to promote the ISSA Program for commercial or competitive gain.

2.12.7 The AO shall notify IATA, and the Operator, immediately if it has been determined that the Operator will not, or cannot, meet ISSA standards within a time frame necessary to attain or maintain ISSA registration.

Assessment Funnel

2.12.8   An AO shall have a process to submit a weekly ISSA Assessment Funnel to IATA prior to the close of business every Friday. Such submission shall provide IATA with:

    (i)   an overview of the operators that are scheduled for a future Assessment;

    (ii)   information to plan on-site Assessment evaluations of the AOs;

    (iii) tracking of Assessment progress.

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△ **2.13–2.15 Refer to IPM accordingly**

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Section 3   Auditor Qualification

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

△ **3.1   Categories of Auditors**

3.1.1   For the ISSA Program, two (2) categories of approved IOSA Auditors are applicable, each based on experience, knowledge, and demonstrated skill.

(i)   *Auditor:* An experienced auditor that has completed the process for qualification as an Auditor in accordance with applicable provisions in IPM 3.10, and has been formally approved by IATA to conduct Audits in a minimum of one operational discipline.

△

(ii)   *Lead Auditor:* An experienced Auditor that has demonstrated the competence to successfully lead an ISSA Assessment Team, and has completed the process for qualification as a Lead Auditor in accordance with provisions in IPM 3.11.

△ **3.2   Competence of Auditors**

△

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

(i)   meets all applicable qualification prerequisites in the IPM;

(ii)   possesses the appropriate personal attributes;

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(iii)   speaks, read and writes English

(iv)   demonstrates the ability to apply knowledge and skills that are necessary to effectively conduct Assessments under the ISSA Program;

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

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(vi)   Receives ISSA initial and recurrent trainings

△ **3.3   Qualification Prerequisites for Auditor Acceptance**

3.3.1   For qualification prerequisites for IOSA Auditor Acceptance, see IPM 3.3. Prior to utilizing of any IOSA Auditor in ISSA Assessments, the AO shall deliver an initial familiarization training course approved by IATA. Only current auditors qualified in ORG, FLT, or MNT can conduct assessments under ISSA in accordance with ISPM 8.3.1.

△ **3.4   Personal Attributes of Auditors**

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

(i)   ethical in conduct;

(ii)   objective, fair and impartial in applying judgment;

(iii)   self confident in knowledge and ability;

(iv)   honest and firm in convictions;

(v)   focused on achieving objectives;

(vi)   observant of physical surroundings and activities;

(vii)   dedicated to operating in a teamwork environment;

(viii)   open to alternative ideas or methods;

(ix)   tactful in dealing with people;

(x)   discreet in managing information;

(xi)   insightful of and adaptable to different situations;

(xii)   analytical and logical in reaching conclusions;

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

(xiv)   well groomed, with good personal habits and hygiene.

△ **3.5   Ethical Standards for Auditors**

△

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

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

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

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

△ **3.6   Knowledge and Skills for Auditors**

△

3.6.1   Auditors shall have a thorough knowledge of:

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

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

(a)   this Program Manual (ISPM);

(b)   the ISSA Standards Manual (ISSM);

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

△   (iii)   the audit software and applicable documentation;

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

         (v)   relevant technical areas of airline operations.

△   (vi)   effective AO Alerts and Bulletins.

△   **3.6.2**   Auditors shall have a general knowledge of the following:

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

         (ii)   airline operational business processes and related terminology;

         (iii)   cultural and social customs of the countries in which they will be assessing.

△   **3.6.3**   Auditors shall have effective skills in the following areas:

         (i)   speaking, reading and writing English;

         (ii)   writing reports;

         (iii)   communicating;

         (iv)   working with people;

         (v)   using applicable computer programs.

3.7   Additional Skills for Lead Auditors

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

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

△   (ii)   representing the Assessment Team in communications with the operator;

         (iii)   organizing and directing Assessment Team members;

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

         (v)   preventing and resolving problems and conflicts;

         (vi)   preparing and completing the Assessment reports.

△ 3.8   Intentionally Left Open

3.9   Responsibilities of Auditors and Lead Auditors

3.9.1   Responsibilities for Auditors:

△   (i)   ensure that all qualification and currency requirements are satisfied, as specified in IPM 3.10 to 3.17;

         (ii)   ensure that conflict of interest restrictions and requirements are satisfied, as specified in ISPM 3.5.1;

△

(iii)   ensure that the appropriate skills, knowledge and fair judgment needed for the conduct of ISSA are applied.

3.9.2   Additional responsibilities for Lead Auditors:

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(i)   ensure firm control of the planning, progress and completion of the Assessment process;

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

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

3.10–3.21 Refer to IPM Accordingly

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Section 4 Auditor Training

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

For requirements regarding auditor training, see IPM Section 4.

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Section 6   Airline Responsibilities for ISSA Registration

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

6.1   Pre Assessment Preparation

6.1.1   The Operator shall have an Assessment preparation process that includes:

(i)   the download of applicable ISSA manuals (ISSM, ISPM) from IATA website (www.iata.org/issa);

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

(iii)   ensure all company certificates are available (e.g. AOC, Ops specifications, etc.) and all applicable aircraft meet applicable ISM requirements (refer also to IPM 8.7.14);

(iv)   using the ISSM, review each ISARP requirement and identify the company documentation, including sub references, which cover the requirement (include manual revision and effective dates). In most cases the selected AO will provide a spreadsheet in advance, to be completed prior to the Assessment;

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

(vi)   plan the ISSA Assessment in advance to have enough time to close potential internal findings;

6.2   ISSA Assessment Planning

6.2.1   Intentionally left open.

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

(i)   select an Audit Organization (AO);

(ii)   consider an optional ISSA Preparation Visit (ISPV) by the AO, for assistance with Assessment preparation (refer to ISPM 8.2.7);

(iii)   provide the AO with operational profile information, as requested;

(iv)   submit the AOC and Ops Spec to the AO and evaluate and inform/discuss with the AO 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 7.1.9 and IPM 7.1.10, or a request for operational exclusion in accordance with IPM 7.1.5, IPM 7.1.6 and IPM 7.1.7;

△   (v)   provide the AO with a completed ISARP/internal documentation cross-reference list (ref ISPM 6.1.1 iv) above), a minimum of four (4) weeks prior to the start of the Assessment;

      (vi)   ensure sufficient resources and logistical support are assigned during the Assessment;

      (vii)   ensure the AO is granted access to secure areas (e.g. security pass, ramp pass);

△   (viii) liaise with the AO regarding the steps to obtain access to the assessment/audit software. The AO will then contact IATA;

      (ix)   consider scheduling an ISSA Registration Renewal Assessment not later than 120 days before the Registration Expiry Date;

      (x)   ensure translators or interpreters are available if required.

☐   (xi)   submit completed equipment lists to the AO minimum of two (2) weeks prior to the start of the Assessment, as required by the AO and the IAH;

☐   (xii) inform the AO of the type of internet access that will be provided during the on-site phase of the assessment in accordance with IPM 6.3.1 (v).

Note: The Assessment must be performed at the operational headquarters or bases of the Operator where all relevant line personnel and management representatives are available. The Assessment may not be conducted from a remote location.

6.2.3 A request for exemption of aircraft and/or fleet(s) in accordance with ISPM 7.1.9 and ISPM 7.1.10 shall be submitted by the Operator's CEO or Accountable Executive, to IATA, as soon as it becomes known that aircraft and/or fleet exemptions will be required for a specific Assessment. The request for exemption of aircraft and/or fleet(s) shall state, as a minimum:

△   (i)   the rationale for the request, including the aircraft registration of all affected aircraft or the whole affected fleet and if applicable, the ISARP, assessment process or operational requirements that are the subject of the request;

△   (ii)   that the affected aircraft and/or fleet(s) will not be utilized or returned to commerical operations for the entire duration of the new registration period; without notification to IATA.

⊗

☐ *Note: ISPM 6.2.3 (ii) is not applicable for exemption requests in accordance with ISPM 7.1.9 (iv).*

☐ **6.2.4** Prior to seeking an operational exclusion, in accordance with ISPM 7.1.5, ISPM 7.1.6 and ISPM 7.1.7, the Operator shall provide an assessment of the risks associated with the operation that would lead to non-conformities with ISSA Standards. Such an application shall include the identification of applicable hazards and risk mitigation that will remain effective for the duration of the operational exclusion.

△ **6.2.5** In accordance with Schedule A of the current Assessment Agreement, operators shall pay the full cost of an ISSA Assessment directly to the AO.

6.3 During the Assessment

6.3.1 The Operator shall assist the AOs during an Assessment by:

(i) being open and honest;

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

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

(iv) if required, provide translators and interpreters during the Assessment.

☐ (v) Provide reliable internet access to all ISSA auditors and at all relevant locations for the entire duration of the on-site assessment, to accommodate the execution of the assessment process.

☐ *Note: In case the AO determines that a reliable internet connection in accordance with (v) is not available during the on-site assessment phase, the AO might arrange alternative access to internet at the cost of the operator or terminate the assessment in accordance with IPM 8.9.1, if needed.*

6.4 Assessment Follow-up

△ **6.4.1** Upon receipt of the Corrective Action Records (CAR)(s) from the AO, the Operator shall provide the AO with a comprehensive Corrective Action Plan (CAP) in the English language, to address each finding and/or observation within the time frame outlined in ISPM 8.7.13. The CAP shall include the Root Cause Analysis (RCA) and the Planned Corrective Action, as per ISPM 8.10.2. Before submitting the CAP to the AO, the Operator shall verify:

(i) that a thorough Root Cause Analysis of the problem has been carried out and a root cause identified;

(ii) that the planned corrective actions contain all details needed;

(iii) that proper English spelling and grammar has been used;

(iv) the completeness of all required areas of the CAP.

6.4.2 The Operator shall keep the AO 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.

△ **6.4.3** The Operator shall enter root cause(s) and planned and final corrective actions(s) into the audit software.

6.5 Registration

△ **6.5.1** Following an Assessment, the declaration of Assessment closure by the AO is not the final step in the registration process. The Assessment Report (ISAR) shall be:

(i) quality control checked by the AO;

(ii) reviewed, then approved by IATA senior management.

6.5.2 The Operator will be registered only after the process in ISPM 6.5.1 is completed.

6.6   Quality Control

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

6.6.2   The role of:

(i)   the Operator is to provide the AO with any information requested during the QC process, in a timely manner;

△

(ii)   the AO and IATA is to ensure that their respective internal QC process is effective and performed in accordance with ISPM 9.2. During this period communication is ongoing between both parties;

△

(iii)   IATA is to ensure that all Assessment Reports can be released to an approved third party without any risk of misinterpretation, incompleteness, or inaccuracy. Any of these errors would affect the quality of the report, and may challenge the credibility or reputations of the ISSA Program, the AO, or the Operator.

6.6.3   The overall objective of the QC process is to ensure that the Assessment Report is operationally accurate, easily understood, and has a standard of presentation in keeping with the industry expectation of a high-level safety assessment that may be subject to worldwide review and analysis.

6.7   Registration Maintenance

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

△

(i)   inform IATA in case of any significant changes to the organization (e.g. operational or management, fleet changes, ownership changes, mergers, etc.) in accordance with ISPM 7.7;

(ii)   actively communicate with the AO and provide any documents or evidence that the AO requests, in order to coordinate commercial, operational, or regulatory arrangements predicated on Assessment sharing (e.g. code-share agreements).

☐

(iii)   regularly monitor the ISSA website for the purpose of identifying Program-relevant changes and publications, including revisions to manuals as well as relevant alerts and bulletins in accordance with ISPM 1.3.2 (i).

☐

(iv)   as needed, actively communicate with the AO and provide any documents or evidence that the AO requests.

6.8   Merge, Takeover or Acquisition of an Operator

6.8.1   Operators planning a merge, takeover or any commercial arrangement which will result in a change to the AOC(s) or Operating Specification(s) shall provide the following information to IATA:

(i)   a description of the merge or takeover process for all involved Operators on the ISSA Registry or undergoing ISSA, with specific details of the transfer of responsibilities to, from or between the Operators involved;

(ii)   specific dates for the transfer(s), issue, merging or revocation of all affected AOC(s) or Operating Specification(s), including effectivity dates, in accordance with ISPM 7.7.1;

(iii)   time lines for the transfer or merging of all operational functions and responsibilities and names of all new or revised operating entities.

Section 7 ISSA Registration

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Purpose

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

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7.1 ISSA Registry

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

7.1.2 To qualify for potential registration as an ISSA Operator, an airline organization shall conduct operations within the Assessment scope of the ISSA Program as stated in the ISSM Introduction.

7.1.3 To be registered as an ISSA Operator, an airline organization shall have been audited by an accredited Audit Organization (AO), and shall have demonstrated operational fitness through conformity with ISSA standards.

Assessing Fleets

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

Exception: Where an ISSA standard or recommended practice contains a conditional phrase that limits applicability to aircraft that are used to conduct a specific or unique type of operation (e.g. international flights, long-range overwater flights, passenger flights), the AO shall assess:

1. only those aircraft that are identified to conduct the type of operation specified, and:

2. the operator's process that ensures the identified aircraft are used to conduct the specified operation. Should exceptional local circumstances create difficulties in applying this objective, the AO shall contact IATA before the Assessment for a joint assessment of the situation and options available.

Note: Assessments relating to specific aircraft only will not be accepted and will have to be re-assessed by the AO.

△ *Operational Exclusions*

△ **7.1.5** 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 ISSA standards or that were audited and found not to be in conformity with ISSA standards or

    (ii) requests for such operational exclusions must be submitted by the AO in accordance with IPM 2.12.3 (i) and must include the Operator's risk assessment in accordance with IPM 6.2.4.

△ **7.1.6** Segments of operations eligible for exclusion from the registration of an ISSA Operator in accordance with ISPM 7.1.5 shall be readily distinguishable from those operations that have been assessed and found to be in conformity with ISSA standards. Operational exclusions shall be limited to:

    (i) specific route segments;

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

7.1.7 Operational exclusions as specified in ISPM 7.1.5 and ISPM 7.1.6 shall be:

    (i) requested by the AO in accordance with ISPM 2.12.3;

    (ii) approved at the sole discretion of IATA in accordance with ISPM 1.9.4.

7.1.8 Operational exclusions as specified in ISPM 7.1.5 and ISPM 7.1.6 shall be removed only after:

    (i) the Operator's reporting of the operational changes in regards to the operational exclusions in accordance with ISPM 7.7.2 to IATA, and a subsequent Verification Assessment of the defined operational segments that had been excluded; or

    (ii) a subsequent initial registration Assessment in accordance with ISPM 7.4 or a subsequent registration renewal Assessment accordance with ISPM 7.5 has been conducted.

Aircraft And/Or Fleet Exemptions

△ **7.1.9** IATA, at its discretion, may approve the exemption of an operator's aircraft and/or fleet(s) from the Assessment process or part thereof. Such exemption shall identify aircraft and/or fleet(s) that are within the ISSA Assessment scope but cannot be included in the Assessment process, or part thereof. Typical reasons for aircraft and/or fleet exemptions include, but are not limited to:

    (i) aircraft and/or fleet(s) which are in the process of being phased out from the Operator's AOC during the Assessment;

    (ii) aircraft and/or fleet(s) which are in the process of being phased in, but not yet being operated during the Assessment;

    (iii) aircraft and/or fleet(s) which are grounded and in long-term storage during the Assessment.

□   (iv) aircraft and/or fleet(s) which have incorporated an Airworthiness Directive issued by the State of Registry as a direct result of an Airworthiness Directive issued by the State of Manufacture/State of Design, which results or may result in a nonconformity with ISSA provisions, or part thereof.

7.1.10 Aircraft and/or fleet exemptions as specified in ISPM 7.1.9 shall be:

  (i) requested by the Operator's CEO or Accountable Executive in accordance with ISPM 3;

  (ii) approved at the sole discretion of IATA in accordance with ISPM 1.9.4;

  (iii) identified in the IAR, for each aircraft registration, in accordance with the IAH.

7.1.11 Aircraft and/or fleet exemptions as specified in ISPM 7.1.9 and ISPM 7.1.10 shall have such exemption(s) removed only after:

  (i) the Operator's reporting of the operational changes in regards to the exempted aircraft and/or fleets in accordance with ISPM 7.7.2 to IATA, and a subsequent Verification Assessment of the affected aircraft and/or fleet(s) in accordance with ISPM 7.7.5; or

  (ii) a subsequent initial registration Assessment in accordance with ISPM 7.4 or a subsequent registration renewal Assessment accordance with ISPM 7.5 has been conducted.

7.2 Assessment Expiration

7.2.1 An Assessment for initial registration shall have a limited period of validity and shall expire as an instrument for ISSA registration at 23:59 local time, at the location where the on-site portion of the Assessment was conducted, 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 or extenuating circumstances in accordance with ISPM 7.5.9 (i) (see Figure 7.1).

Figure 7.1 **Initial Registration Assessment Expiration**

Initial Registration
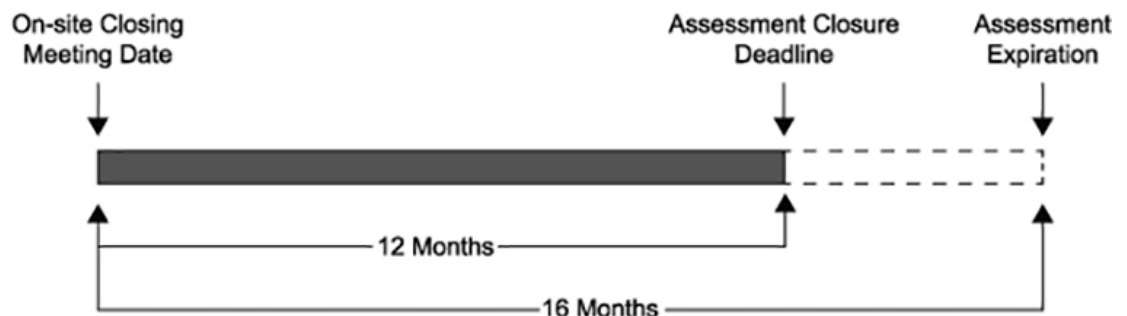
7.2.2 An Assessment for a renewal of an existing registration shall have a limited period of validity and shall expire as an instrument for ISSA registration at 23:59 local time, at the location where the on-site portion of the Assessment was conducted, on the date exactly one hundred twenty (120) consecutive days following the date of Registration expiry (see Figure 7.2).

Should corrective action in accordance with the accepted Corrective Action Plan (CAP) not be implemented by the Operator and verified by the AO prior to the above expiry dates, the Assessment becomes invalid as a means for the Operator to renew the ISSA Registration.

Figure 7.2   Registration Renewal Assessment Expiration

Renewal Registration
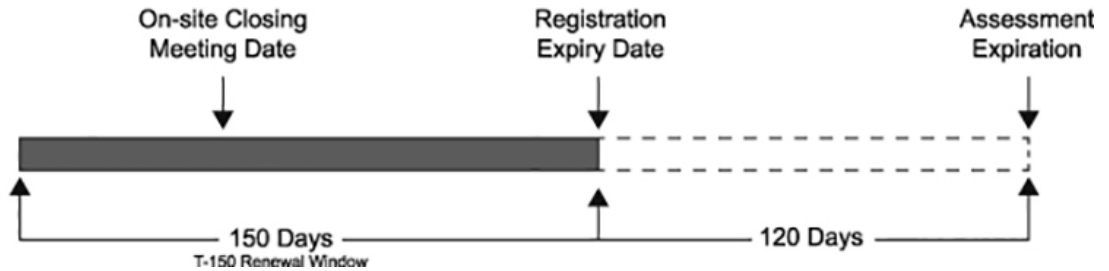
7.2.3   An Assessment for a renewal of an existing registration in accordance with ISPM 7.5.4 shall have a limited period of validity and shall expire as an instrument for ISSA registration at 23:59 local time, at the location where the on-site portion of the Assessment was conducted, on the date exactly two hundred seventy (270) consecutive days following the date on-site closing meeting (see Figure 7.3).

Should corrective action in accordance with the accepted Corrective Action Plan (CAP) not be implemented by the Operator and verified by the AO prior to the above expiry dates, the Assessment becomes invalid as a means for the Operator to renew registration or to be reinstated to the ISSA Registry.

Figure 7.3   Registration Renewal Assessment Expiration

**Early Renewal Registration Assessment
(before T-150)**
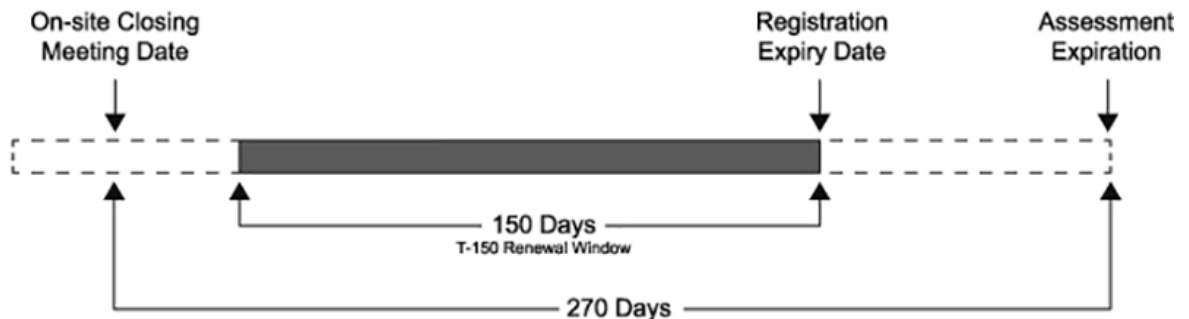
7.2.4   A Verification Audit in accordance with ISPM 7.7.5 shall have a limited period of validity and shall expire as an instrument for ISSA registration at 23:59 local time, at the location where the on-site portion of the Audit was conducted, on the date exactly one hundred twenty (120) consecutive days following the deadline date determined by the SVP, SFO specified in ISPM 7.7.5 (v) (see Figure 7.4).

Should corrective action in accordance with the accepted Corrective Action Plan (CAP) not be implemented by the Operator and verified by the AO prior to the above expiry dates, the Assessment becomes invalid as a means for the Operator to renew registration or to be reinstated to the ISSA Registry.

Figure 7.4   Verification Assessment Expiration

Verification Assessment
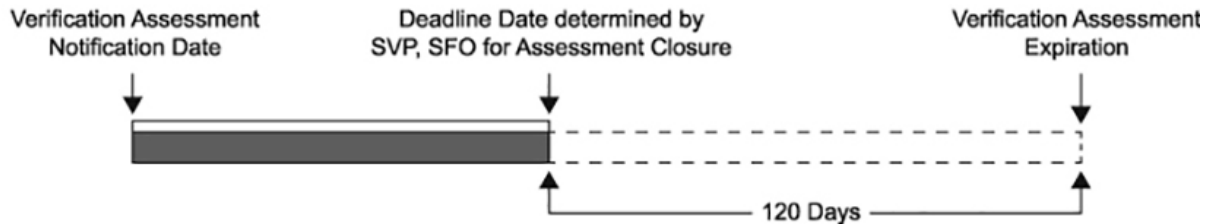
7.3   Registration Period

7.3.1   The ISSA registration period shall be twenty four (24) months and, if not successfully renewed, expire at 23:59 local time on the expiry date at the location of the Operator as specified on the AOC.

7.4   Initial Registration

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

(i)   such implementation has been verified by the AO in accordance with provisions contained in ISPM 8.12;

(ii)   the AO has declared assessment closure to the Operator in accordance with ISPM 8.13.1;

(iii)   the ISSA Assessment Report (ISAR) quality control processes have been completed in accordance with applicable provisions contained in ISPM 9.2, and, if applicable, been amended accordingly (see Figure 7.7).

7.4.2   For initial registration of an ISSA Operator, the period of registration shall begin once the quality control (QC) process is completed, and shall expire exactly twenty-four (24) consecutive months following the date of the on-site closing meeting. The exact time of such expiry shall be 23:59 local time on the expiry date at the location of the Operator as specified on the AOC (see Figure 7.5).

7.5   Registration Renewal

7.5.1   An Operator that is currently registered as an ISSA Operator shall remain on the Registry and have such registration renewed when all findings resulting from a renewal Assessment, if any, have been closed in accordance with applicable provisions contained in ISPM 8.12 (see Figure 7.6).

7.5.2   Except as provided in ISPM 7.5.5, the period of renewed registration for a current ISSA Operator shall become effective on the date that the current ISSA registration expires, and such renewed registration shall expire exactly twenty-four (24) consecutive months following the current expiry date. The exact time of such expiry shall be 23:59 local time on the expiry date at the location of the Operator as specified on the AOC.

7.5.3   For renewal of a current ISSA registration in accordance with ISPM 7.5.1 and ISPM 7.5.2:

(i)   Operators are restricted from consecutively using the same AO for the conduct of more than two Assessment;

(ii) After the conduct of two ISSA Assessments, the same AO may conduct an ISSA Assessment on the same Operator only after a different AO conducted the next Assessment (e.g. AO "X" conducts an Assessment in 2016 and 2018. The same AO cannot conduct ISSA Assessment of the same Operator in 2020 and only can assess the same Operator in January 2022, the ISSA Assessment of that Airline shall be conducted by AO "Y" in 2020);

(iii) The on-site portion of the renewal Assessment process shall commence not earlier than 150 calendar days prior to the expiry date of the Operator's current registration, in order to maintain the same registration anniversary;

(iv) Assessment closure notification and the Assessment Report (ISAR) should be provided to IATA on the same date; no less than 30 calendar days prior to the current registration expiry date (refer to ISPM 8.13.2);

(v) If the Assessment Report (ISAR) is submitted less than 30 days before the registration expiry date, completion of a QC process may not be possible within the remaining time frame. In such a case, the registration expiry date for the Operator may only be updated once a QC and final approval process by the SVP or Director Audit Programs are complete.

(vi) the Operator shall be removed from the ISSA Registry if a renewal Assessment either:

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

(b) has been conducted, but Assessment closure has not been achieved by the expiry date of the current registration, unless extenuating circumstances have been claimed and verified by IATA in accordance with ISPM 7.5.6 (see Figure 7.5), or

Note: Figure 7.6, Figure 7.8 Note 2 and ISPM 8.12.2 (ii) contain statements advising the Operator will be removed from the registry if Assessment closure is not achieved by the current registration expiry date. These statements shall not be interpreted as an option to submit the Assessment Report less than 30 days before the registration expiry date.

7.5.4 For renewal of a current ISSA registration, the Operator shall have the option to conclude the on-site portion of the Assessment process including on-site closing meeting *more than* 150 calendar days prior to the expiry date of the Operator's current registration; however, under such circumstances:

(i) Assessment closure shall be achieved within no more than 150 calendar days of the on-site closing meeting;

(ii) the Operator shall be removed from the ISSA Registry if Assessment closure has not been achieved within 150 calendar days following the date of the on-site closing meeting, even if the previous ISSA Registration was still valid, unless extenuating circumstances have been claimed and verified by IATA in accordance with ISPM 7.5.6.

Note: The AO shall notify IATA as soon as it becomes certain that an early registration renewal Assessment will take place

7.5.5 In the case of a registration renewal Assessment conducted *more than* 150 calendar days prior to the expiry date of the Operator's current registration, the period of renewed registration shall become effective 150 calendar days following the date of the on-site closing meeting and expire exactly twenty-

four (24) consecutive months following that date. The exact time of such expiry shall be 23:59 local time on the expiry date at the location of the Operator as specified on the AOC.

Extenuating Circumstances

△   **7.5.6**   When it becomes known during the registration renewal process that Assessment closure will not be achieved as specified in ISPM 7.4.1, ISPM 7.5.3 or ISPM 7.5.4, as applicable, a claim of extenuating circumstances may be submitted to IATA by the Operator or the AO. The validity of a claim of extenuating circumstances shall be determined by IATA, based on the history and background of the particular Assessment process, uncompleted Assessment activities, the status of open Findings and the prospects for Assessment closure. (See Figure 7.9)

7.5.7   Intentionally left open.

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

△   **7.5.9**   Should a claim of extenuating circumstances be validated by IATA, a revised deadline date shall be communicated by IATA to the Operator and the AO that specifies when the Assessment shall be closed. The revised deadline date shall be indicated on the IOSA Registry through an annotation in accordance with Table 7.1, and:

(i)   for initial registration Assessment in accordance with ISPM 7.4, the revised deadline date shall not exceed one hundred and twenty (120) calendar days from deadline date specified in ISPM 8.10.2 (i);

(ii)   for registration renewal Assessment in accordance with ISPM 7.7.5 (vi), the revised deadline date shall not exceed one hundred and twenty (120) calendar days from the registration expiry date;

(iii)   for early registration renewal Assessment in accordance with ISPM 7.5.4, the revised deadline date shall not exceed one hundred and twenty (120) calendar days from the deadline date in accordance with ISPM 7.5.4 (i).

(iv)   for Verification Assessment in accordance with ISPM 7.5.5, the revised deadline date shall not exceed one hundred and twenty (120) calendar days from the original deadline date for the Assessment closure as communicated to the Operator.

Note: If Assessment closure has not been achieved prior to the revised deadline date, the Operator shall be removed from the ISSA Registry.

7.5.10   A decision by IATA that a claim of extenuating circumstances is not valid shall result in the Operator being removed from the ISSA Registry, subject to the possible implementation of the ISSA Dispute Resolution process in accordance with ISPM 7.8.2.

7.5.11   An ISSA Operator that has been removed from the Registry in accordance with applicable provisions contained in ISPM 7.5 shall be subject to the possibility of reinstatement in accordance with provisions contained in ISPM 7.9.

Interim Corrective Action

7.5.12   A request for approval of interim corrective action shall be submitted to IATA by the AO in accordance with ISPM 2.12.3, when it becomes known during or after an Assessment, but before the submission of the IAR, that interim corrective action will be necessary to permit the closure of a finding of an Operator undergoing an ISSA registration renewal Assessment. The validity of a request for interim corrective action shall be determined by IATA based on the specification(s) contained in the relevant ISSA Standard and the prospects that implementation of permanent corrective action by the

Operator to replace the interim corrective action will occur within the time period specified in ISPM 7.5.13.

Notes:

☐ *1. In the case of Assessment for which a claim of extenuating circumstances was validated by IATA in accordance with ISPM 7.5.9, a request for approval of interim corrective action is not possible.*

☐ *2. Interim corrective actions are not allowed for the purpose of initial registration.*

△ **7.5.13** In the event a request for interim corrective action is approved by IATA in accordance with ISPM 7.5.12, the Operator shall remain on the ISSA Registry and implement permanent corrective action to replace the interim corrective action, and the AO shall verify such implementation, within the time frames specified below:

(i) For registration renewal Assessment in accordance with ISPM 7.5.3 (vi), the AO shall verify implementation of permanent corrective action within a maximum of 120 calendar days following the expiry date of the current registration;

(ii) for early registration renewal Assessment in accordance with ISPM 7.5.4, the AO shall verify implementation of permanent corrective action within a maximum of one hundred and twenty (120) calendar days from the deadline date in accordance with ISPM 7.5.4 (i).

(iii) for Verification Assessment in accordance with ISPM 7.5.5, the AO shall verify implementation of permanent corrective action within a maximum of one hundred and twenty (120) calendar days from the original deadline date for the Assessment closure as communicated to the Operator.

Notes:

1. In the case of Assessment of affiliated Operators as specified in ISPM 1.5.4, the 120 calendar day period for the implementation and validation of a permanent corrective action shall commence following the expiry date of the Operator that performs the function related to the nonconformity being closed in accordance with ISPM 7.5.12.

2. In the event permanent corrective action to replace interim corrective action has not been implemented and verified within the time frames specified above, the Operator shall be removed from the ISSA Registry at the end of the applicable time period in accordance with IPM 7.8.

3. An annotation shall be made to the Operator's registry in accordance with IPM Table 7.1 for the duration of the interim corrective action.

⊗

7.6 Registration Harmonization

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

7.6.2 Concurrent Assessments of currently registered ISSA Operators, for the purpose of establishing harmonized registration periods in accordance with ISPM 7.6.1, shall be:

(i) scheduled to ensure the registration period of each of the affected Operators never exceeds 24 months as specified in ISPM 7.3.1;

(ii) conducted during the 150-day period as specified in ISPM 7.5.4, as applicable, prior to the *first* registration expiry date of any of the affected Operators.

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.

7.6.3   When concurrent Assessments of currently registered ISSA Operators are conducted for the purpose of registration harmonization in accordance with ISPM 7.6.1:

△

(i)   Assessment closure for each Assessment shall be achieved no more than 120 calendar days following to the date of the on-site closing meeting, or within a time frame that permits the ISAR to be submitted to IATA by the AO no less than 30 calendar days prior to the *first* registration expiry date of any of the affected Operators, whichever is the shorter time period;

(ii)   the registration period of each of the affected Operators (i.e. harmonized registration periods) shall all be effective on the *first* registration expiry date of any of the affected Operators.

△

Note: Findings not closed by the first registration expiry date of any of the affected Operators will result in removal of the affected Operator from the ISSA Registry unless a claim of extenuating circumstances is verified by IATA in accordance with ISPM 7.5.6.

7.6.4   When concurrent Assessments of Operators are conducted for the purpose of registration harmonization in accordance with ISPM 7.6.1, and one or more of the Operators is *not* a currently registered ISSA Operator:

(i)   for the Operator that is *not* currently registered, the closure of findings and the establishment of ISSA registration shall be in accordance with provisions contained in ISPM 7.4.

(ii)   for the Operator that is currently registered, the closure of findings and the renewal of ISSA registration shall be in accordance with applicable provisions contained in ISPM 7.5.

☐

Note: For Assessment of affiliated operators, refer to ISPM 1.5.4

Figure 7.5   Initial ISSA Registration

(Timeline not to scale)

On-site Assessment commences

On-site Assessment conducted

(2 days)

On-site closing meeting

The 24 month registration period begins on the day of the closing meeting of the Assessment.

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

(12 Months)

Assessment becomes invalid for ISSA registration (Note 1)

Actual time on ISSA registry during initial registration period after findings are closed

(24 Months)

Renewal Assessment window is from 150 days to 30 days prior to expiration

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

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

Figure 7.6   ISSA Registration Renewal

ISSA Registration Renewal
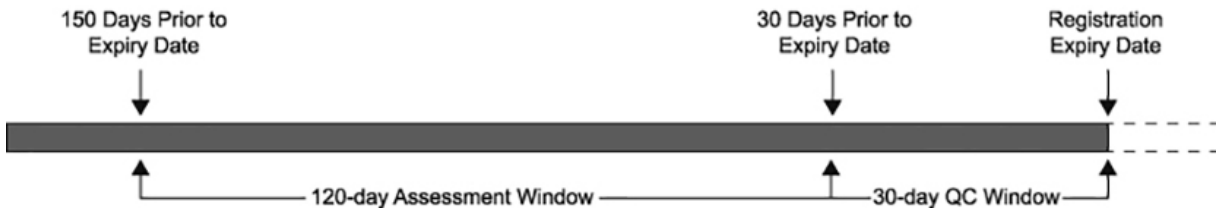
Note: An Operator is removed from ISSA registry if Assessment Closure has not been achieved prior to the current registration expire date, unless extenuating circumstances have been claimed by the Operator and subsequently verified and approved by IATA in accordance with ISPM 7.5.6 and 7.5.8

7.7   Reporting Responsibility

△   **7.7.1**   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 immediately, but not more than seven (7) calendar days after the circumstance or condition becomes known to the Operator. Reportable circumstances or conditions, applicable to the ISSA Operator, shall include, but not be limited to, any of the following:

   (i)   cessation of operations;

   (ii)   changes to the Air Operator Certificate (AOC) or equivalent documents, as per State requirements, such as:

      (a)   suspensions;

      (b)   revocation;

      (c)   restrictions;

△   (iii)   changes to fleets/operations as follows:

      (a)   disposal of the fleet(s) on the AOC which were audited during the last Assessment;

      (b)   the addition of aircraft type(s) not being operated during the last ISSA Assessment;

      (c)   commencement of any special operations that were not conducted during the last ISSA Audit (e.g. dangerous goods, etc.).

   (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, or

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

☐   *Note: Operators are required to report circumstances and conditions as described above within the provided time frames.*

7.7.2   A registered ISSA Operator with exclusions as specified in ISPM 7.1.5 and ISPM 7.1.6, shall report to IATA within twenty (20) calendar days of completion, any operational changes directly relevant to such exclusions, to include, but not limited to, change(s) in the status of one or more of the following:

           (i)   operations over excluded routes; or

           (ii)   any other excluded area(s) of operations.

△   **7.7.3**   The IATA Senior Vice President, Safety and Flight Operations (SVP SFO) shall be notified immediately when circumstances or conditions relevant to an ISSA Operator (as specified in ISPM 7.7.1 or 7.7.2) are known to IATA, whether reported by the Operator or from sources other than the Operator.

☐   *Note: An Operator that did not report applicable circumstances in accordance with ISPM 7.7.1 to IATA on time, increases the likelihood of a Verification Assessment in accordance with ISPM 7.7.4 (ii)*

7.7.4   The SVP, SFO should, once notified in accordance with ISPM 7.7.3:

           (i)   if needed, require the Operator to complete IATA's "Self Evaluation" Form, and return it to IATA within twenty (20) calendar days from date of receipt;

           (ii)   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 ISSA registration, or removal of the Operator from the ISSA Registry. In case of temporary suspension or provisional registration, an appropriate comment will be added on the ISSA Registry for the Operator.

△   *Note: The Airline Self Evaluation Form for reporting circumstances or conditions as per ISPM 7.7 can be found at: www.iata.org/issa and shall be sent to issa@iata.org*

Verification Assessment

7.7.5   At the discretion of the SVP, SFO, at any time in consideration of an Operator's operational circumstances outlined in ISPM 7.7, a Verification Assessment may be required to ensure continuing conformity with the ISSM and ISPM. This Assessment may be applied in conjunction with a registration suspension or provisional registration, as a way to determine if any subsequent action is required (i.e. Registry retention or removal).

△   (i)   The Verification Assessment will be carried out by an AO selected by the SVP, SFO. Relevant criteria such as, but not limited to potential conflicts of interest of the AO, the AO's ability to conduct the Verification Assessment within the required timeframe will be considered in the process to select an AO.

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

           (iii)   The Operator shall have the discretion to opt for a registration renewal Assessment in accordance with ISPM 7.5, instead of a Verification Assessment within the time period specified above. In such case, the SVP SFO shall determine the AO in accordance with ISPM 7.7.5(i) above.

(iv)   Depending on the circumstances, a full Assessment 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 Assessment. IATA shall determine the auditor days to conduct the on-site phase of the Assessment in accordance with ISPM 8.2.15.

(v)   The Verification Assessment will be carried out by an AO selected by the SVP, SFO.

(vi)   The closure period of any findings shall be limited to 90 days (maximum) following the closing meeting of the Verification Assessment. The SVP, SFO reserves the right to adjust the closure period depending on the circumstances.

(vii)   An annotation in accordance with Table 7.1 shall be placed on the IOSA Registry for the Operator as soon as the Operator has been notified by IATA.

(viii)   The AO selected to perform the Verification Assessment shall plan and conduct the Assessment in accordance with the IAH, ISSM and ISPM (see ISPM 8.2.14).

Note: In case an Operators opts for a registration renewal assessment in accordance with ISPM 7.7.5(iii) above, no annotation shall be made to the Registry.

7.7.6   At the discretion of the SVP, SFO, alternatively to a Verification Assessment in accordance with ISPM 7.7.5, a re-visit by the AO may be required, to ensure continuing conformity with the ISPM. Such re- visit shall:

(i)   only be possible if reported circumstances and/or conditions requiring a Verification Assessment or re-visit occur before the Assessment closure of an initial registration Assessment in accordance with ISPM 7.4 or a registration renewal Assessment in accordance with ISPM 7.5;

(ii)   be conducted and be embedded in the Assessment process and the Assessment shall be closed in accordance with ISPM 7.4 or ISPM 7.5, as applicable;

(iii)   be planned and performed by the AO in accordance with ISPM 8, the IAH and ISSM;

(iv)   findings and observations resulting from the re-visit shall be closed in accordance with ISPM 8;

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

(vi)   be at the cost of the operator.

Registry Annotations

7.7.7   IATA shall make annotations to the ISSA Registry as specified in Table 7.1:

(i)   as a result of conditions and/or circumstances contained in ISPM 7.5.8, ISPM 7.7.4 or ISPM 7.7.5; or

(ii)   If an ISSA Operator is involved in dispute resolution in accordance with ISPM 11 that could affect ISSA registration.

Table 7.1   Registry Annotations

	Reason	Annotation	Description
1	Extenuating Circumstances	"Due to extenuating circumstances, XXX will remain on the ISSA Registry until dd mmm yyyy".	Describes revised deadline to close all findings as a result of validated extenuating circumstances in accordance with IPM 7.5.8.
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 ISPM 7.7 or if an ISSA Operator is involved in dispute resolution in accordance with ISPM 11 that could affect ISSA registration. During this period, the Operator enjoys full registration status. The annotation only indicates that the registration is provisional due to circumstances pending verification.
3	Registration suspension	"Registration has been suspended until further notice".	Describes the temporary suspension of an ISSA registration as a result of circumstances identified as specified in ISPM 7.7. 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 Assessment".	Describes the status of an Operator that is undergoing a Verification Assessment in accordance with ISPM 7.7.5. During the period a Verification Assessment is planned, performed or closed, the Operator enjoys full registration status. The statement will be removed from the Registry as soon as the Verification Assessment is closed in accordance with Program rules.

	Reason	Annotation	Description
5	Late submission of ISAR as per ISPM 7.5.3 (v)	"The ISSA Assessment Report has been submitted less than 30 days prior to the registration expiry date and is pending quality control and necessary approvals".	Describes the status when an Operator's Assessment has been declared closed by the AO, however the ISAR was submitted to IATA less than 30 days before the registration expiry date as per ISPM 8.13.2. In such case, as described in ISPM 7.5.3 (v), the registration expiry date will not be updated until the required QC and final approval process by the SVP, SFO or Director, Audit Programs are complete. This annotation serves the purpose of informing that the IAR is pending QC and approval before release.
6	Interim Corrective Action as per ISPM 7.5.13	"The ISSA Audit Report contains Interim Corrective Action(s)".	Describes the status when the ISAR contains one or more approved Interim Corrective Action(s). The annotation will remain as long as the Interim Corrective Action is active.
7	Early renewal in lieu of Verification Assessment	"The Operator is undergoing an early renewal Assessment in lieu of a Verification Assessment".	Describes the status when a Verification Assessment has been requested for an Operator and the Operator has decided to complete a full scope Assessment as an early renewal Assessment instead, in accordance with ISPM 7.7.5 (iii).

Notes:

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

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.

7.8 Registration Removal

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

(i) applicable provisions contained in ISPM 7.5; or

(ii) ISPM 7.7.4 when a determination of removal has been made by IATA.

(iii) for failure to comply with ISSA Audit Agreement, Schedule A, Item 3 "Special Conditions", the payment of the Assessment Fixed Fees two weeks after the closing meeting of the on-site Audit.

7.8.2 Should there be a defined disagreement associated with removal from the ISSA Registry between a registered ISSA Operator and either IATA and/or an AO, IATA shall not take any action to remove an Operator from the ISSA Registry until the appropriate ISSA Dispute Resolution process as described in ISPM Section 11 has been completed.

7.9 Registration Reinstatement

7.9.1 An ISSA Operator that:

(i) has been removed from the Registry in accordance with ISPM 7.5.3 (vi) (b) shall be reinstated to the Registry once the AO has declared Assessment closure, IATA QC has been completed the ISAR has been approved in accordance with ISPM 8.13.1 (i) and ISPM 8.13.1 (ii) within one hundred and twenty (120) calendar days following the registration expiry date;

(ii) has been removed from the Registry in accordance with ISPM 7.5.3 (vi) (a) shall undergo an initial registration Assessment in accordance with ISPM 7.4 leading to a new registration;

(iii) has been removed from the Registry in accordance with ISPM 7.5.4 (i) shall be reinstated to the Registry once the AO has declared Assessment closure, IATA QC has been completed the ISAR has been approved in accordance with ISPM 8.13.1 (i) and ISPM 8.13.1 (ii) within one hundred and twenty (120) calendar days following deadline date in accordance with ISPM 7.5.4 (i). The period of renewed registration shall be determined in accordance with IPM 7.5.4 (ii);

(iv) has been removed from the Registry in accordance with ISPM 7.5.9 shall undergo an initial registration Assessment in accordance with ISPM 7.4 leading to a new registration;

7.9.2 The registration of an Operator shall be reinstated upon completion of the Assessment Report Quality Control process, in accordance with applicable provisions contained in ISPM 9.2 and ISPM 8.13.1 (ii).

7.9.3 Intentionally left open.

7.9.4 An ISSA Operator that has been removed from the Registry in accordance with ISPM 7.8 may be required to undergo a full or partial Assessment, as determined by IATA, to demonstrate operational conformity in accordance with ISPM 7.1.3 in order to regain registration as an ISSA Operator. Such Assessment shall be performed by an AO designated by IATA.

7.10 ISSA Brand Promotion

7.10.1 An ISSA Operator shall request and receive written authority from IATA prior to the issuance of any verbal statements or written material designed to promote ISSA registration for the purpose of commercial or competitive gain. Included would be any statements or material that use the IATA name, display the IATA logo and/or make reference to the Assessment under ISSA, ISSA Standards and Recommended Practices (ISARPs), the ISSA Registry, or ISSA registration. Examples include, but are not limited to:

   (i)   verbal or written media releases;

   (ii)   media conferences and/or public statements;

   (iii)   television, radio or printed media advertising;

   (iv)   business cards, stickers or letterheads;

   (v)   websites, email headers or footers;

   (vi)   signs, notices, billboards or similar public displays;

   (vii)   markings or decals on an aircraft or on aircraft equipment or components;

△   (viii) markings, writing or decals on customer service material or items; or

   (ix)   brochures, magazines, newsletters or other printed material.

△   *Note: Use of the IATA and ISSA logos by an ISSA Operator are strictly prohibited. Exceptions for usage of ISSA logo may be made for press releases or other temporary publications, for which cases prior approval from IATA is required.*

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

Figure 7.7   Initial ISSA Registration, Process Flowchart
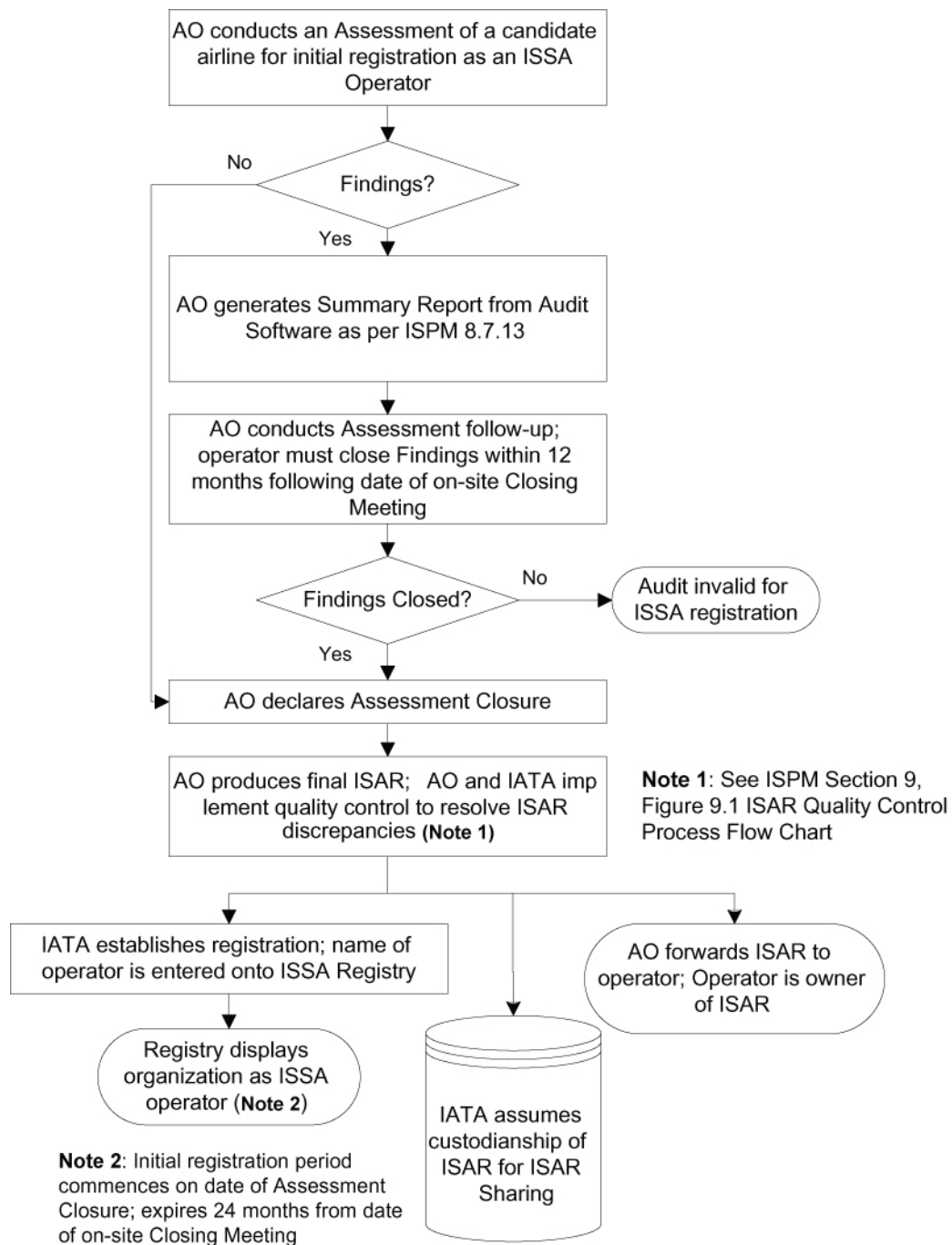
Figure 7.8   ISSA Renewal Registration, Process Flowchart
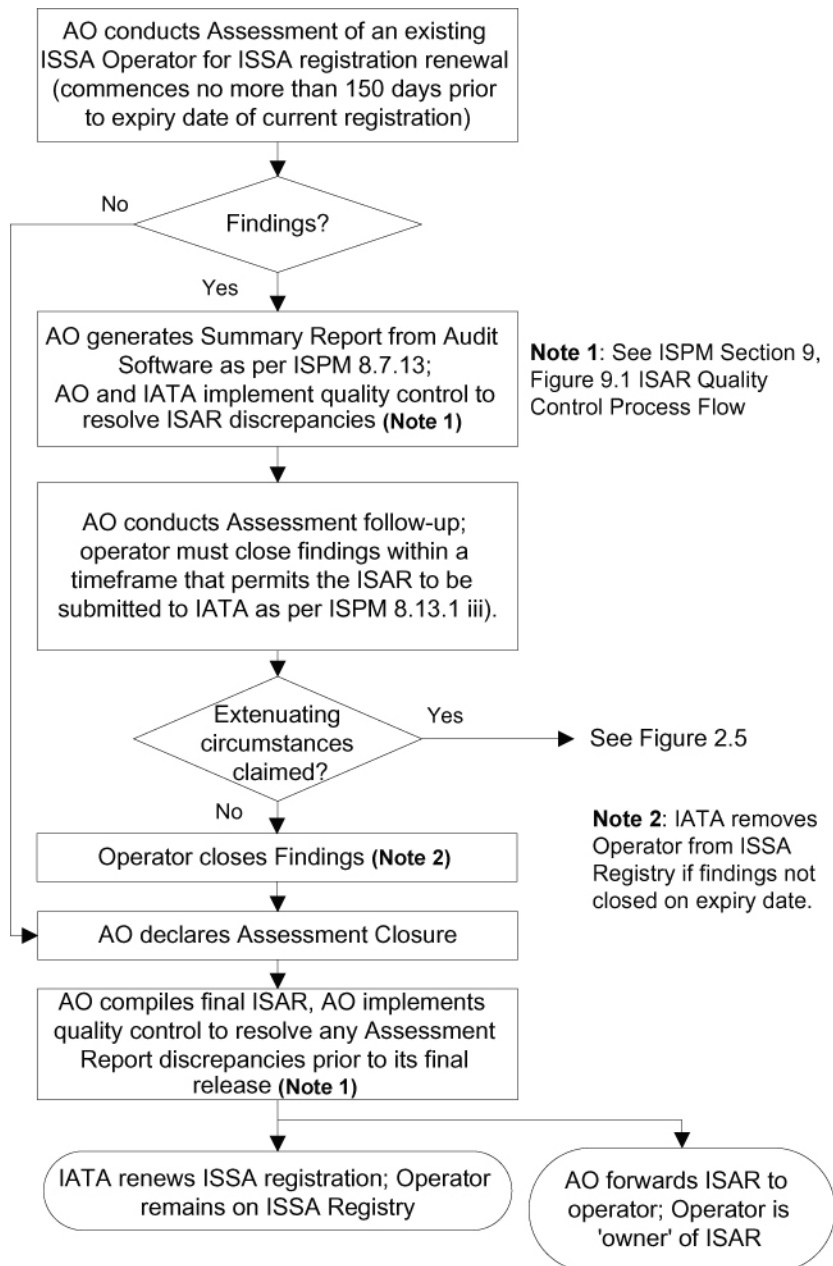
Figure 7.9   Consideration of Extenuating Circumstances, Process Flowchart
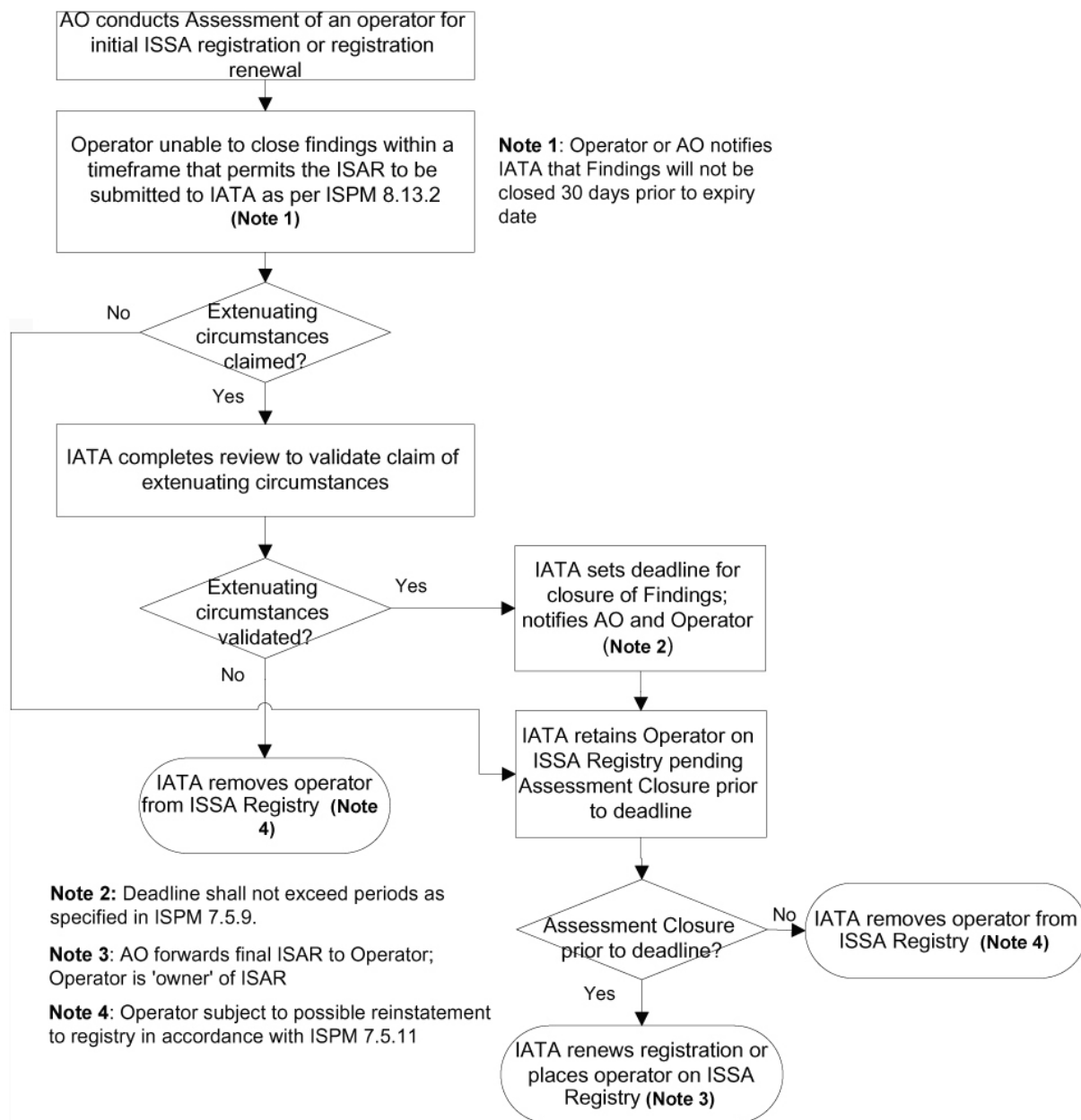
Section 8   Assessment Program

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

8.1   Organization and Management

△

8.1.1   The Audit Organization (AO) shall ensure the organization and management system specified in ISPM 2.6.1, clearly delineates authorities and responsibilities related to all aspects of the Assessment program.

8.1.2   The AO shall have policies, processes and procedures to ensure effective implementation, control and standardization of the Assessment program, including:

(i)   planning an Assessment;

(ii)   selecting and assembling an Assessment Team;

(iii)   preparing for an Assessment;

(iv)   providing resources and logistical support;

(v)   conducting an Assessment;

(vi)   terminating an Assessment;

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

(viii)   conducting Assessment follow-up;

(ix)   closing Findings;

(x)   closing an Assessment;

(xi)   Auditor performance.

8.2   Assessment Planning

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

(i)   Assessment scope and objectives;

(ii)   identification of the ISSM Edition to be used for the Assessment;

(iii)   execution of the ISSA Assessment Agreement;

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

(v)   AO and auditor conflict of interest;

(vi)   the organization to be assessed;

(vii)   assessment location(s);

(viii)   activities to be assessed;

(ix)   availability of resources;

(x)   logistical requirements;

(xi)   cultural issues;

(xii)   language issues.

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

8.2.2   The AO shall have a process to enter into an agreement (the "Assessment Agreement") whenever an Assessment is to be contracted (to include Verification Assessments in accordance with ISPM 7.7.5), which shall be made between IATA, the AO and the Operator (referred to as the "auditee"). The provisions of this ISPM are, together with the provisions of the ISSA Standards Manual (ISSM), and unless otherwise provided, incorporated by reference in the Assessment Agreement and, in the event of any inconsistency between the terms of this ISPM and the Assessment Agreement, the Assessment Agreement shall prevail to the extent of the inconsistency.

8.2.3   The AO shall have a process to coordinate with the Operator to ensure the Assessment Information portion of the ISSA Assessment Summary specifies the version of the ISSM to be used as the basis for the Assessment. The Operator shall have the option to select the edition of the ISSM to be used for the Assessment, which shall be either:

(i)   the edition that is currently effective on the day before the on-site phase of the Assessment is scheduled to begin; or

△

(ii)   an edition that has been published (by IATA) prior to the day the on-site phase of the Assessment is scheduled to begin, but has not yet become effective.

8.2.4   The AO shall have a process to ensure the Operator is supplied with an executed Assessment Agreement prior to the scheduled start date of the on-site phase of an Assessment (opening meeting).

8.2.5   The AO shall have a process to ensure an Assessment of a single Operator is planned for a minimum usage of five (5) auditor days, which includes:

(i)   Four (4) auditor days for the conduct of the on-site phase of the Assessment;

(ii)   One (1) auditor day for preparation and assessment follow-up.

8.2.6   The AO shall have a process for scheduling and conducting Assessments of one or more affiliated Operators that have a significant level of shared operational functions. Such process shall utilize the IATA form for the Audit of affiliated Operators and ensure the AO:

(i)   agrees to schedule and conduct such Assessments only if the affiliated Operator that provides the majority of the shared operational functions is an ISSA Operator being assessed for registration renewal;

(ii)   schedules the Assessment to be conducted either:

(a)   sequentially (one immediately after the other); or

(b)   simultaneously (both at the same time).

△   (iii)   provides applicable notifications and submissions to IATA as in accordance with ISPM 1.5.4 and ISPM 2.12 and not after the submission of an executed Assessment Agreement in accordance with ISPM 2.12.1;

         (iv)   provides an advanced written notification to IATA for approval a minimum of four (4) weeks before the planned start of the first Assessment, and such notification contains details specific to the Assessments, to include:

             (a)   the total number of man days to conduct the Assessment;

             (b)   a description of the relationship and operational functions shared between/among the affiliated Operators.

△   (v)   provides an overview in the Executive Summary of the ISAR that describes the:

             (a)   shared operational functions of the affiliated Operators;

             (b)   time frame in which the Assessments were conducted.

Note: IATA reserves the right to request the AO to provide additional assessments as specified in ISPM 1.5.4.

8.2.7   The AO shall have a process for conducting an ISSA Preparation Visit (ISPV), which is a preliminary activity at the operator's discretion that would be accomplished only upon mutual agreement between AO and Operator in advance of the on-site assessment phase of the Assessment. An ISPV shall provide guidance that will assist the Operator in preparing itself for an Assessment, and shall not include any activities with respect to the operations of the Operator that could be construed as a conflict of interest associated with consulting services as set out in ISPM 2.4. The AO shall use the IATA standard presentation for all ISPVs, structured to provide the operator with the understanding of:

         (i)   ISSA concepts, including terminology, documentation and Assessment objectives;

         (ii)   the complete Assessment process from initial preparation through ISSA registration;

         (iii)   the ISSM and the emphasis on management and control of operations, particularly with respect to outsourced functions;

         (iv)   techniques for conducting self-preparation activities (e.g. the operator performing their own gap analysis via internal audit information).

The duration of an ISPV shall be limited to a maximum of one working day by one person, conducted by a qualified auditor or a person very familiar with the ISSA process. The person conducting the ISPV may participate in the Assessment of the Operator, if suitably qualified.

△ *Note: An ISPV is not a mandatory requirement of the ISSA Program. It is intended as an opportunity for the AO to guide the operator through the expectations of an ISSA Assessment. An ISPV being used to perform pre-assessment activities would be a clear conflict of interests. An ISPV being used to perform other types of pre-audit activities not related to audit preparation would be a clear conflict of interest.*

8.2.8   In accordance with ISPM 2.4 an AO shall not conduct an Assessment on an Operator for which it has provided any form of consultancy that is within the operational scope of ISSA, within the previous two years.

☐ *Note: The operational scope of ISSA referred to in 8.2.8 above shall be defined as follows. Any content or material relating to the content of ISSM, IAH which is provided as training courses or material, or as content of consultancy services.*

8.2.9–8.2.10   Intentionally left open.

8.2.11   The AO shall provide the Operator with the names of the members of the Assessment Team that have been selected in accordance with provisions contained in ISPM 8.3.

8.2.12   Once the scheduled Assessment process has begun, an AO shall have a process to notify IATA immediately should there be any changes to the scheduled activities associated with that Assessment.

8.2.13   In the case of an Assessment for the renewal of a ISSA registration, the planning process of the AO shall ensure the Assessment is scheduled such that:

(i)   the on-site portion of the Assessment does not commence more than 150 calendar days prior to the expiry date of the Operator's current registration;

(ii)   under normal circumstances, the ISAR must be submitted to IATA no less than 30 calendar days prior to the expiry date of the current registration.

8.2.14   The AO shall ensure that Verification Assessments in accordance with ISPM 7.7.5 are:

(i)   implemented in accordance with the Assessment program as specified in ISPM 8.1.2;

(ii)   conducted in accordance with ISPM 2.12.1 and ISPM 8.2.2;

(iii)   conducted with changes to the Assessment scope as described in ISPM 7.7.5;

8.2.15   As a result of a determined Verification Assessment in accordance with ISPM 7.7.5 or ISPM 7.7.6 the AO shall have a process to provide IATA with the following upon request:

(i)   a list of identified ISARPs to be included in the Verification Assessment in accordance with the determined Assessment scope and purpose; and

(ii)   an estimate of the auditor man days as a result of the determined Assessment disciplines.

8.2.16   The AO shall ensure that re-visits, in accordance with ISPM 7.7.6, are:

(i)   performed in accordance with IPM 8.1.2;

(ii)   conducted under assessment agreements that are already in place in accordance with ISPM 2.12.1 and ISPM 8.2.2.

8.2.17   When planning an ISSA Assessment in accordance with ISPM 8.2, the AO shall ensure:

(i)   an Assessment is not planned if the on-site phase of the Assessment or a portion of it as specified in IPM 8.2.5 (i) cannot take place at the operator's headquarters; and

(ii)   IATA is notified within twenty-four hours of the moment when it becomes known to the AO during the assessment planning phase that the on-site phase cannot take place as specified in (i).

8.2.18   The AO shall ensure that the assigned four (4) on-site auditor-days in accordance with ISPM 8.2.5 shall not be used for the conduct of ISAR QC activities. The AO and the Assessment Team shall ensure that the prescribed minimum of four (4) auditor-days are utilized for the following activities:

(i)   Conduct of the opening meeting;

(ii)   the assessment of all ISARPs by utilizing the Auditor Actions and recording of the assessment in the audit software;

(iii) the preparation and conduct of the closing meeting. The preparation of the closing meeting needs to be limited to essential coordination and administration tasks.

☐ **8.2.19** The AO shall:

(i) plan auditing activities until as late as possible on the last day of the audit;

(ii) hold the on-site closing meeting as close as possible to the Close of Business of the Operator; and

(iii) ensure that on-site QC activity must not form part of the assessing schedule of the auditors.

8.3 Selecting and Assembling Assessment Teams

8.3.1 The AO shall have a process to ensure an Assessment Team comprises, as a minimum,

(i) one fully qualified FLT Auditor;

(ii) one fully qualified MNT Auditor;

(iii) a minimum of one of the above Auditors must also be a qualified ORG Auditor;

(iv) both Auditors must be on the IATA Master List of Approved IOSA Auditors and be current and qualified to conduct Audits under the ISSA Program as per section 3.3.

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

8.3.3 The AO shall ensure the process for selection of Assessment Team members takes into account:

(i) Assessment scope and objectives;

(ii) auditor potential conflict of interest;

(iii) size of the organization to be audited;

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

(v) previous Assessment history of the organization to be assessed, if known;

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

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

(viii) appropriate blend of auditor experience levels.

8.3.4 The AO shall have a process for designating a Lead Auditor for each Assessment that takes into account considerations in ISPM 8.3.3, and also considers the total experience and competency of Assessment Team members.

8.4 Assessment Preparation

8.4.1 Once an Assessment is planned, the AO shall have a process for establishing communication with the Operator to identify and coordinate logistical and operational needs associated with implementation of the Assessment.

△ **8.4.2** The AO shall have a process to request access to previous ISSA Assessment Reports (ISAR) from IATA in accordance with ISPM 9.9.5, when preparing to assess an organization that is currently a registered ISSA Operator.

8.4.3 The AO shall have a process for preparing an Assessment plan detailing all requirements necessary for a successful Assessment, such as:

(i) Assessment scope and objectives;

(ii) general assessment methodology, including Assessment report and follow-up;

(iii) identification of ISARPs not applicable to the Assessment, including Standards suspended for special review, if any;

(iv) dates and locations for the Assessment and associated activities;

(v) roles and responsibilities of the Assessment Team;

(vi) identification of trainees and/or observers that may accompany the Assessment Team;

(vii) key points of contact of AO and Operator;

(viii) working arrangements with representatives of Operator;

(ix) resource and location requirements;

(x) logistical requirements and arrangements;

(xi) cultural issues;

(xii) any need for translators or interpreters;

(xiii) operations with the potential for being excluded from the ISSA registration of the Operator;

(xiv) other requirements, as necessary.

△ **8.4.4** To enhance preparation for an Assessment, the AO shall have a process to obtain and review relevant information and documentation from the Operator as far in advance of the Assessment as possible, including but not limited to:

(i) the Operator's Air Operator Certificate and all applicable Operations Specifications;

(ii) relevant operational documents;

(iii) completed and submitted equipment tables in accordance with IAH and IPM 6.2.1 (xii);

(iv) the previous ISARs if applicable;

(v) the regulatory environment of the Operator;

(vi) any significant operational or management changes occurred since the last Audit;

(vii) the identification of outsourced functions;

(viii) potential regulatory sanctions and/or safety concerns;

(ix) any other relevant information.

8.4.5   To assist the Assessment Team in assessing ISSA documentation requirements, thus enhancing Assessment efficiency and reducing Assessment time, the AO shall coordinate with the Operator for provision of a detailed list of references from its own documentation system that correspond to ISARPs.

8.4.6   The AO 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, the AO shall ensure the on-site availability of an appropriate complement of competent and objective translators and/or interpreters.

8.4.7   The AO shall have a process to assemble the full Assessment Team prior to the start of the on-site assessment phase for the purpose of preparing team members to conduct the Assessment in a coordinated and efficient manner. Such a process shall include a preparatory meeting of the full Assessment Team to:

(i) review the Assessment plan;

(ii) discuss roles and responsibilities;

(iii) coordinate a strategy and procedures for effective teamwork during the Assessment;

(iv) ensure a contingency plan is in place.

8.5   Providing Resources and Logistical Support

8.5.1   In addition to having the capability for provision of its own resources to support the Assessment team, the AO shall have a process that ensures communication with the Operator in sufficient time prior to an Assessment to identify and coordinate the availability of all on-site resources and facilities necessary for implementation of the Assessment.

8.5.2   The AO shall provide necessary logistical support for the Assessment Team, including arrangements for scheduling, communication, travel, lodging, financial, medical and any other support necessary to ensure efficient and successful Assessment implementation. In particular, the AO shall ensure travel arrangements are such that Auditors arrive on site in a fit state for duty.

8.5.3   The AO shall provide an official identification badge for each member of the Assessment Team and further ensure each team member:

(i) is in possession of an identification badge;

(ii) displays the identification badge at all times when conducting the on-site assessment phase of the Assessment.

8.5.4   The AO shall have a process to ensure each member of the Audit Team is supplied with and always has the required ISSA documents at his or her immediate disposal during the conduct of an Assessment. Each member of the Audit Team shall possess:

(i) current and applicable sections of the ISSM relevant to the specific operational area(s) to be assessed;

△

(ii) current and applicable ISSA checklists relevant to the specific operational area(s) to be assessed;

△

(iii) current and applicable versions of all other relevant IOSA documents.

△ ## 8.6 Opening Meeting

△

8.6.1 The AO shall have a process for the conduct of a formal opening meeting with the Operator's management team at the beginning of the on-site assessment phase. The spokesperson for the Audit Team shall be the designated Lead Auditor. The opening meeting shall have attendance recorded, and be conducted using a formal presentation format, either projected or on paper, and shall address the following:

(i) introduction of members of the Audit Team and representatives of the Operator;

(ii) roles and responsibilities of the Audit Team and the Operator;

(iii) exchange of contact information and lines of communication during the Assessment;

(iv) Assessment objective: establishment of the level of conformity with ISARPs;

(v) scope of ISARPs and application to the Assessment;

(vi) planned schedule of all Assessment activities, including the closing meeting;

(vii) methods and procedures used to conduct the Assessment;

(viii) criteria for establishing conformity with ISARPs: "documented" and "implemented";

(ix) summary of the Conformance Report submitted by the Operator, including the AO's pre-assessment review and related planned on-site activities;

(x) administrative arrangements and facilities to be used during the Assessment;

(xi) arrangements for travel to, and security/ramp passes for, various Assessment venues;

(xii) language to be used during the Assessment;

(xiii) method of keeping the Operator informed of Assessment progress;

(xiv) method of reporting ISSA findings or observations to the Operator;

(xv) confidentiality of the ISSA program;

(xvi) safety, security or emergency procedures applicable to the Audit Team;

(xvii) availability and roles of guides or escorts during the Assessment;

(xviii) conditions that may lead to termination of the Assessment;

(xix) ISSA dispute resolution process;

(xx) ISSA Audit Feedback Survey.

8.7 Conducting the Assessment

△ **8.7.1** The AO ensure Auditors:

(i) correctly use the ISSA checklist and are proficient in completing the checklist in accordance with procedures and guidance contained in the IAH;

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

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

(iv) identify outsourced functions and, verify that the Operator is carrying out adequate oversight of the outsourced functions, to ensure conformity with ISSA standards.

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

8.7.2 The AO shall ensure that:

(i) only the current official English language version of the ISM and/or ISSA 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 Assessment;

△ (ii) the Audit Team enters all applicable and relevant information, including but not limited to the assessments and Auditor Actions, concurrently into the audit software during the onsite portion of the Assessment between the Opening and closing meeting; and

□ (iii) The Assessment results, to include, as a minimum, the completed ISSA Checklist (QRR) and the ISSA Audit Summary (IAS) are uploaded to the audit software by the end of the Assessment closing meeting date and exceptionally within three calendar days thereafter.

Notes:

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

△ *2. The ISSA checklists contained within the audit software are part of the Assessment Report (ISAR), and shall be considered as the official working documents for an Assessment.*

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

8.7.4 The AO shall ensure the establishment of formal lines of communication between the Assessment Team and representatives of the Operator, which will permit effective communication among all concerned parties during an Assessment.

8.7.5 The AO shall ensure the Operator is appropriately informed when any of the following exist:

(i)   a finding or observation is verified;

(ii)   there is objective evidence indicating a potential finding or observation;

(iii)   Assessment objectives are not attainable.

8.7.6 The AO shall ensure findings and observations are:

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

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

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

(iv)   discussed with and, as necessary, agreed by the Lead Auditor and Assessment Team member;

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

8.7.7 Once the on-site phase of the Assessment has started, the AO shall ensure the Assessment of the Operator continues uninterrupted to completion, except the Assessment is terminated in accordance with provisions contained in ISPM 8.9

8.7.8–8.7.12 Intentionally left open.

8.7.13 The AO shall have a process, using the audit software, for Assessment to:

(i)   prepare and issue a 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 following the closing meeting.

8.8   Closing Meeting

8.8.1 The AO shall ensure the on-site assessment phase is completed with a formal closing meeting with the Operator's management team. The spokesperson for the Assessment Team shall be the designated ISSA Lead Auditor. The closing meeting shall have attendance recorded and be conducted using a formal presentation format, either projected or on paper, and the following topics shall be presented, or addressed:

(i)   an overview of the performed Assessment activities;

(ii)   ISSA findings and observations;

(iii)   supporting objective evidence (may be presented by individual Auditors);

(iv)   the summary of findings and observations;

(v)   the Corrective Action Report (CAR);

(vi)   follow-up process, including timelines for corrective action;

(vii)   process for verification of corrective action implementation;

(viii) closure of findings;

(ix)   the final ISAR;

(x)   Assessment Report quality control process;

(xi)   requirements for ISSA registration;

(xii) confidentiality of the ISSA program;

(xiii) IATA policy for marketing of ISSA registration;

(xiv) the ISSA Assessment Feedback Survey;

(xv) the program requirement to report any significant changes to operational and management structures to IATA, as per the events specified in ISPM 7.7.

(xvi) the program requirement that if, at the time of the registration expiry date, an operator operates aircraft with a maximum certificated takeoff mass in excess of 5,700 kg (12,566 lb), those aircraft will be assessed as out of scope during renewal assessment.

8.8.2   The Lead Auditor shall ensure the Operator understands that findings and observations presented in a "Summary of Findings and Observations" during the on-site closing meeting:

(i)   shall not be revised or withdrawn, except in accordance with ISPM 8.12.5 or ISAR quality control processes in accordance with ISPM 9.2 and ISPM 1.2.12;

(ii)   are to be used by the Operator to begin development of the Corrective Action Plan (CAP);

(iii) may not represent the total number of findings and observations; changes may be made, as identified during application of the ISAR quality control processes.

8.8.3   The designated Lead Auditor shall ensure the Operator understands the following:

(i)   the Operator and the AO will make every effort to reach agreement on a CAP in accordance with provisions contained in ISPM 8.10;

(ii)   Assessment closure will not be declared until corrective action in accordance with the accepted CAP has been implemented by the Operator and verified by the AO in accordance with provisions contained in ISPM 8.12.

8.9   Terminating an Assessment

8.9.1   The AO shall have a process to terminate an Assessment if the Assessment Team makes an objective determination that any one of the following conditions exist:

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

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

(iii) a conflict of interest as specified in ISPM 2.4, becomes evident;

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

△   (v)   Assessment objectives are not attainable; or

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

8.9.2   When terminating an Assessment in accordance with ISPM 8.9.1, the AO shall ensure:

☐   (i)   IATA and the Operator are advised of a potential Assessment termination and related consequences in writing as soon as reasonably practicable; and

△   (ii)   IATA and the Operator are notified in writing within twenty four (24) hours of such termination action.

8.10 Accepting a Corrective Action Plan (CAP)

8.10.1   The AO shall have a process to review and reach agreement with the Operator on an acceptable CAP within forty-five (45) calendar days of the on-site closing meeting in accordance with applicable provisions contained in ISPM 8.8. 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.

△   **8.10.2**   An acceptable CAP shall ensure:

△   (i)   for initial ISSA registration, project closure of all findings no later than twelve consecutive (12) months following the date of the on-site closing meeting;

△   (ii)   for renewal of an existing ISSA registration or Verification Assessment, project closure of all findings within a period of time as specified in ISPM 7.5.3, 7.5.4, or 7.7.5 as applicable;

△   (iii) the inclusion of proposed implementation of comprehensive and permanent corrective action;

△   (iv) the Root Cause Analysis (RCA) and the Planned Corrective Action to address finding and/or observation.

△   (v)   upon receipt from the operator, be reviewed by the AO to ensure all information was properly uploaded to the audit software, and is ready for retrieval.

Interim Corrective Action

8.10.3   Interim corrective action shall only be accepted by the Assessment Team once the AO has formally requested and received approval from IATA in accordance with ISPM 2.12.3.

△   **8.10.4**   Under unique circumstances, an acceptable CAP may, for renewal of an existing ISSA Registration or Verification Assessments, include implementation of interim corrective action. Interim corrective action shall be considered an exception to ISPM 8.10.2 as a means for providing resolution of a Finding on a temporary basis.

8.10.5   In a case where the AO has received approval to include interim corrective action in an accepted CAP in accordance with ISPM 8.10.3, the AO shall:

△   (i)   provide for continued Assessment follow-up to verify the implementation by the Operator of permanent corrective action to replace the interim corrective action within a period of one hundred twenty (120) calendar days following the expiry date of the current registration;

               (ii)   notify IATA in writing within seven (7) calendar days following the date the AO has verified the implementation of permanent corrective action to replace interim corrective action.

8.11   Conducting Audit Follow-up

8.11.1   For a period of twelve (12) consecutive months following the date of the on-site Assessment closing meeting, as provided in the Assessment Agreement, the AO shall be responsible for applicable Assessment follow-up activity, including verification that the Operator has implemented all comprehensive and permanent corrective action in accordance with the accepted CAP as specified in ISPM 8.10.2.

8.11.2   The AO 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 the AO is in accordance with guidance issued by IATA; and

△

    (ii)   the verification of the corrective action and CAR closure is done by an auditor qualified to conduct ISSA Assessments or the Lead Auditor of the Audit Team that conducted the Audit.

8.11.3   The AO shall document in the Corrective Action Report (CAR):

    (i)   a description of the method used for verification of corrective action implementation;

    (ii)   the justification for the use of the method described in (i) above;

    (iii)   a description of the evidence that provides proof corrective action has been implemented.

□

    Note: The AO must ensure that during the entire follow-up phase, the corrective action progress must be continuously recorded in the audit software.

8.12   Closing Findings/Observations

8.12.1   The AO shall have a process for declaring a Finding/Observation closed after the implementation of comprehensive and permanent corrective action has been verified in accordance with ISPM 8.11.1 and ISPM 8.11.2.

8.12.2   Should all findings not be closed by the AO in accordance with ISPM 8.11.1, the Assessment shall become invalid as a means for the Operator to be added to the ISSA Registry, or renew an existing ISSA registration:

    (i)   for initial ISSA registration:

    an Operator shall not be added to the ISSA Registry until all findings have been closed, and the Assessment Report quality control processes have been completed in accordance with provisions contained in ISPM 8.2;

    (ii)   for renewal of an existing ISSA registration:

    except as provided in ISPM 7.5.4 and ISPM 7.9.3, an Operator shall be removed from the ISSA Registry if all findings have not been closed prior to the expiry date of the current ISSA registration, unless extenuating circumstances are determined to exist in accordance with applicable provisions in ISPM 7.5 and ISPM 7.9.

△

8.12.3   For renewal Assessment, the AO may require closure of the Assessment Findings by the Operator up to a maximum of fifteen (15) days earlier than the scheduled dates stated in ISPM 8.13.2.

Effect of ISSM Revisions

8.12.4   The AO shall have a process to address findings/observations that have not yet been closed by the Operator when an associated ISSA Standard or Recommended Practice is changed as a result of a published revision to the ISSM. When a new Edition or Temporary Revision of the ISSM is published, the following apply to existing open findings and/or observations if an associated:

(i)   standard or recommended practice is *eliminated*, the finding or observation record remains and is closed by the AO by insertion of a standard phrase that refers to this ISPM 8.12.4, thereby relieving the Operator of the obligation to implement corrective action;

(ii)   standard or recommended practice is *revised*, and the Operator is *in conformity* with the revised provision, or the revised provision is no longer applicable to the Operator, the finding or observation record remains and is closed by the AO by insertion of a standard phrase that refers to this ISPM 8.12.4, thereby relieving the Operator of the obligation to implement corrective action;

(iii) standard or recommended practice is *revised*, and the Operator is *not in conformity* with the revised provision, the Operator has the option to close the Finding or Observation through implementation of corrective action to satisfy either the old or new (revised) provision;

(iv)   recommended practice is upgraded to a standard, the Operator has no obligation to implement corrective action to close an observation.

(v)   standard or recommended practice is revised, and the revised specification becomes applicable to the Operator, the Operator has the option either to close the Finding or Observation through implementation of corrective action, or to remain with the original assessment as "Not applicable" by insertion of a standard phrase that refers to this ISPM 8.12.4.

Effect of a Standards Special Review

8.12.5   The AO shall have a process to address a Finding that has not yet been closed by an Operator when the ISSA Standard associated with that Finding, or a specification within that ISSA standard, is suspended in accordance with the ISSA Standards Special Review Process. An existing open Finding associated with such suspension is addressed as follows:

(i)   if an Operator has an open Finding against an ISSA standard that is suspended, the Finding is withdrawn and the standard becomes not applicable (N/A) for that Assessment; a description of such withdrawal is documented in the ISAR;

(ii)   if an Operator has an open Finding against a ISSA standard solely as a result of non-conformity with suspended specifications within that standard, the Finding is withdrawn and the standard becomes not applicable (N/A) for that Assessment; a description is documented in the ISAR;

(iii) if an Operator has an open Finding against an ISSA standard solely as a result of non-conformity with non-suspended specifications within that standard, the Finding is closed when the Operator is in conformity with all non-suspended specifications; a description of such closure is documented in the ISAR;

(iv)   if an Operator has an open Finding against an ISSA standard as a result of non-conformity with a combination of non-suspended *and* suspended specifications within that standard, the Finding is closed when the Operator is in conformity with all non-suspended specifications; a description of such closure is documented in the ISAR.

8.13 Closing an Assessment

8.13.1 The AO shall have a process to:

(i) declare Assessment closure on a specific date, once:

(a) all Findings have been addressed by the Operator through implementation of corrective action(s) in accordance with an accepted CAP, as specified in ISPM 8.10.2.

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

(c) internal QC processes are complete.

(ii) issue an Assessment closure notice to the Operator, that shall include language to inform the Operator that, although the Assessment has been declared closed, the Assessment is not valid for initial registration, registration renewal, or registration reinstatement as applicable, until the ISAR quality control processes by the AO and IATA have been completed and ISAR has been approved by the SVP, Safety & Flight Operation (SFO).

Assessment Report Submission Deadlines

8.13.2 The AO shall ensure that Assessment Reports are submitted to IATA by the following deadlines:

(i) for an initial Assessment, within 15 calendar days of Assessment closure;

(ii) for a renewal Assessment, no less than 30 days prior to registration expiry.

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Section 9   Assessment Report

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Purpose

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

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9.1   ISSA Assessment Report

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

    (i)   Assessment Summary;

    (ii)   Information Sources (IS);

    (iii)   ISSA Checklist (QRR);

    (iv)   Corrective Action Report (CAR);

9.1.2   The Assessment Report is used by an Interested Party for the purpose of Assessment Sharing in accordance with provisions contained in ISPM Section 10.

9.1.3   The AO shall have a process to ensure the Assessment Report (ISAR) is completed and submitted in accordance with the ISPM and IAH.

9.1.4   The AO shall have a process to make the final ISAR available to the Operator once it is released by IATA.

9.2   Quality Control of the Assessment Report

9.2.1   The AO shall have an ISAR quality control process, the implementation of which ensures all documents comprising the ISAR as specified in ISPM 9.1.1 are completed accurately and in accordance with any procedures and guidance issued by IATA. The ISAR quality control process conducted by the AO shall ensure, as a minimum:

    (i)   details of the Assessment are accurately described;

    (ii)   documents comprising the ISAR contain all required information and signatures;

    (iii)   checklists are completed and all items are appropriately addressed;

    (iv)   information is documented in the English language in a manner understandable to any reader of the report;

    (v)   checklist items of conformity have documented, traceable references from operational manuals;

    (vi)   checklist items of nonconformity (findings and observations) have documented supporting factual evidence;

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

      (viii)   closure of findings in each CAR includes an accurate description and justification of the method(s) used by the AO to verify implementation of corrective action, to include interim corrective action, if applicable;

△   **9.2.2**   The AO shall ensure the ISAR as specified in ISPM 9.2.1, has been completed prior to:

      (i)   issuance of an ISAR to the Operator;

      (ii)   submission of an ISAR to IATA, for further quality control.

9.2.3   The AO shall have a process to address Assessment issues and amend an Assessment report as necessary to resolve discrepancies that have been identified during the ISAR quality control conducted by either the AO or IATA. The AO may be required to conduct further assessment of the operations of an Operator in order to resolve discrepancies involving an omission, error or misapplication of an ISSA checklist provision by the Audit Team during the original on-site Assessment.

9.3   Intentionally Left Open

9.4   ISAR Security

9.4.1   The AO shall have a process in agreement with IATA that ensures:

△   (i)   secure transfer of an ISAR (or any document that is part of the ISAR) from the AO to IATA or to the Operator;

      (ii)   a confirmation of receipt is provided to the AO when IATA has received an Assessment Report that was transferred using the audit management software in accordance with (i).

9.5   ISSA Assessment Report Ownership

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

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

☐   (i)   a copy of the 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 ISAR may be relinquished as part of legal proceedings in compliance with applicable laws;

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

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

△   (i)   such viewing or sharing shall not be used for the purpose of Assessment sharing under ISSA, and such viewing or sharing shall not be used as a mechanism for bypassing the provisions of the official ISAR access process specified in ISPM 9.9;

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

9.6   ISSA Assessment Report Custodianship

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

△   **9.6.2**   The Operator that owns an ISAR, as specified in ISPM 9.5.1, shall be the sole determiner and provider of authorization for access to the Assessment Report from the ISSA Database.

9.7   Assessment Report Retention

9.7.1   The AO shall have processes to:

△   (i)   retain a copy of the ISAR in its own records for two (2) years after the completion of an Assessment;

△   (ii)   ensure the confidentiality and security of the ISAR;

△   (iii)   preclude release of the ISAR, or a copy of the Assessment Report, to any other entity or party, except the Operator.

△   **9.7.2**   The AO shall ensure all unofficial working documents that are not part of the ISAR as specified in ISPM 9.1.1 (e.g. working checklists, field notes, manuals, electronic working files) and which have not been uploaded to the repository in accordance with IPM 8.13.3 are disposed of when the QC processes conducted by the AO are complete and the Assessment Report is finalized.

9.7.3   In cases when the Operator has not been able to successfully close findings within the specified maximum time frame specified in ISPM Section 8, the AO shall retain the information and data associated with the Assessment for a minimum of 30 calendar days beyond the nominal closure deadline.

△   **9.7.4**   Once received by IATA, the final ISAR shall be loaded into the secure ISSA Database and retained with the Assessment Reports from the previous two Assessments of the Operator.

9.8   ISSA Database

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

△   **9.8.2**   The ISSA Database shall be the sole source of official access to an ISAR in conformity with provisions contained in ISPM 9.5 and ISPM 9.9; the Operator shall be the sole determiner and provider of authorization for official access to an ISAR.

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

9.8.4   Any analysis of IOSA data by IATA shall always be accomplished in conformity with provisions contained in ISPM 9.10.

△ **9.9   ISAR Access**

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

△   **9.9.2**   IATA shall not provide ISAR access to an interested party unless authorization for such access has been granted by the Operator that owns the ISAR, as specified in ISPM 9.6.2.

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

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

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

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

△   **9.9.5**   IATA shall have a process to provide ISAR access, including access to archived ISAR, to entities other than an interested party as specified in ISPM 9.9.1. Such process shall ensure:

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

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

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

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

Note: Entities addressed in this provision include:

(a)   an AO, for the purpose of conducting a subsequent Assessment of the Operator that owns the ISAR(s), provided that the AO and Operator have already signed an Assessment Agreement for that subsequent Assessment;

(b)   IATA, for the purpose of analyzing safety data.

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

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

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

9.10   ISSA Data Analysis

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

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

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

      (iii)   ISAR content to evaluate AO and Auditor performance and standardization;

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

△   **9.10.2**   The following restrictions shall apply to all data derived from analyses of ISARs 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 ISAR, Operator or AO could be identified.

△   **9.10.3**   Any proposed future use of information from ISARs in the ISSA Database for purposes other than those contained in ISPM 9.10.1, such as analyses as part of the IATA Global Aviation Data Management (GADM) safety research, shall be in conformity with restrictions contained in ISPM 9.10.2.

Figure 9.1   ISAR Quality Control, Process Flowchart

```
┌─────────────────────────────────────┐
│ AO conducts an Assessment, and       │
│ generates Summary Report from Audit  │
│ Software for Operator at on-site     │
│ closing meeting per ISPM 8.8.4       │
└─────────────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────────┐
│ AO implements quality control        │
│ process to ensure accuracy of the    │
│ ISAR, & takes appropriate corrective │
│ action to resolve any discrepancies, │
│ as applicable                        │
└─────────────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────────┐
│ AO continues assessment process and  │
│ conducts assessment follow-up        │
│ activity.                            │
└─────────────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────────┐
│ AO closes findings, when completed   │
│ AO declares assessment closure       │
└─────────────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────────┐
│ AO produces final ISAR; implements   │
│ quality control process to ensure    │
│ accuracy of all documents            │
└─────────────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────────┐
│ AO takes appropriate corrective      │◄────┐
│ action to resolve ISAR               │     │
│ discrepancies, as applicable         │     │
└─────────────────────────────────────┘     │
                 │                           │
                 ▼                           │
┌─────────────────────────────────────┐     │
│ AO submits final ISAR to IATA        │     │
└─────────────────────────────────────┘     │
                 │                           │
                 ▼                           │
┌─────────────────────────────────────┐     │
│ IATA implements quality control      │     │
│ process to identify any              │     │
│ discrepancies to ensure proper       │     │
│ completion of final ISAR;            │     │
└─────────────────────────────────────┘     │
                 │                           │
                 ▼                           │
           ╱─────────╲      Yes    ┌──────────────────────────────┐
          ╱Discrepancies?╲────────►│ IATA returns final ISAR to AO │
          ╲             ╱          │ for resolution of             │
           ╲─────────╱            │ discrepancies and amendment,  │
                 │                 │ as applicable                 │
                 │ No              └──────────────────────────────┘
                 ▼
┌─────────────────────────────────────┐
│ IATA enters ISAR into ISSA Database, │
│ and releases the report to the       │
│ Operator. (Note 1)                   │
└─────────────────────────────────────┘
```

Note 1: Operator is eligible for registration or re-registration as an ISSA Operator, refer to ISPM Section 7.

Section 10   Assessment Sharing

> ## Purpose
>
> One goal of IATA Standard Safety Assessment (ISSA) is to eliminate the redundancy of operational Assessment within the airline industry and concurrently to provide an effectively managed and controlled system for the sharing of Assessments. The ISSA Assessment Report (ISAR), which is retained in a central ISSA Database that is managed by IATA, provides the comprehensive information necessary to allow Interested Parties to participate in ISSA Assessment sharing. This section of the ISPM sets out the standards associated with Assessment sharing.

10.1   Description

10.1.1   ISSA Assessment sharing is a process whereby an interested party uses the Assessment of an Operator conducted by a third party under ISSA to satisfy its need for:

(i)   an Assessment of that same Operator;

(ii)   detailed information about the operations of that same Operator. (See Figure 10.1)

10.2   The Interested Party

10.2.1   An interested party that seeks to share an Assessment under ISSA shall gain access to the ISAR in accordance with provisions contained in ISPM 9.9.

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

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

10.2.4   An interested party shall understand that, when it shares an Assessment of an Operator under ISSA, it bears the responsibility for providing its own ongoing monitoring of the operations of the assessed Operator.

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

10.3   IATA

10.3.1   IATA is the official custodian of ISAR in the ISSA database and shall provide controlled ISAR access to an interested party in accordance with provisions contained in ISPM 9.9.

10.4   The Operator

10.4.1   The ISAR is the sole and exclusive property of the ISSA Operator and access to an ISAR shall be granted to an interested party by IATA only after the Operator that owns the ISAR has specifically authorized such access in accordance with applicable provisions contained in ISPM Section 9.

Figure 10.1   ISSA Assessment Sharing Process Flow
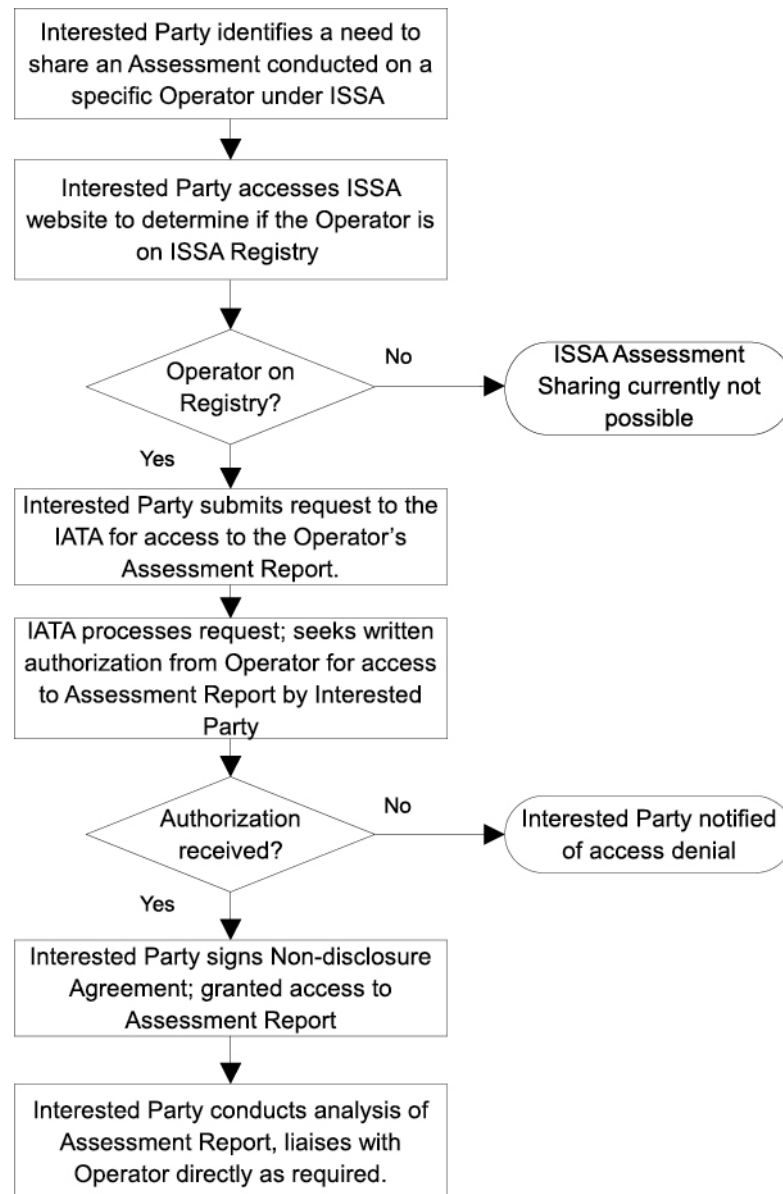
Section 11　　Dispute Resolution

Purpose

This section of the ISPM sets out standards for resolution procedures to be followed whenever a dispute arises between an operator and an AO (referred to as the "Auditee"). (see Figure 11.1)

11.1　Applicability

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

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11.2　Dispute Resolution between AO and Operator

11.2.1　Before a party (Operator or AO) seeks to initiate any external resolution in relation to a dispute, such initiating party shall follow the escalation procedure as set out below:

　　(i)　the initiating party shall notify the other relevant parties in writing (the "Notification"), setting out the reasons for dissatisfaction and/or disagreement (the "issue");

　　(ii)　the representatives of all parties involved shall conference (including but not limited teleconference call) to discuss the issue;

　　(iii)　if the representatives cannot resolve the issue within thirty (30) calendar days of the Notification as specified in (i), each representative shall notify their respective superiors;

　　(iv)　the superiors of all parties shall then conference and attempt to resolve the issue.

Notes:

1.　The primary IATA point of contact for the dispute resolution process shall be the Director, Audit Programs.

2.　IATA shall act impartially to facilitate the dispute resolution process between the AO and the Operator.

3.　Any potential cost occurred in the dispute resolution process shall be borne by the AO and/or the Operator.

11.2.2　For the purposes of this subsection, the representatives of each party shall be the persons named in the notice provisions of the Accreditation Agreement and/or the ISSA Assessment Agreement, as the case may be.

11.2.3　Any dispute not resolved through implementation of the steps specified in ISPM 11.2.1 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.

11.2.4　In accordance with IPM 11.2.1, IATA, at its discretion, may freeze the process described in ISPM 7.4, ISPM 7.5 and ISPM 7.2 and resume the same process, after applicable criteria are satisfied and the agreed conditions for a resolution are met. The change in Assessment closure and other applicable deadlines shall not exceed the periods as defined in this ISPM.

☐   **11.2.5**   IATA shall make annotations to the ISSA Registry in accordance with ISPM 7.7.7 and Table 7.1 if an ISSA Operator is involved in dispute resolution in accordance with ISPM 11 that could affect ISSA registration.

Figure 11.1   **ISSA Dispute Resolution, Process Flowchart**
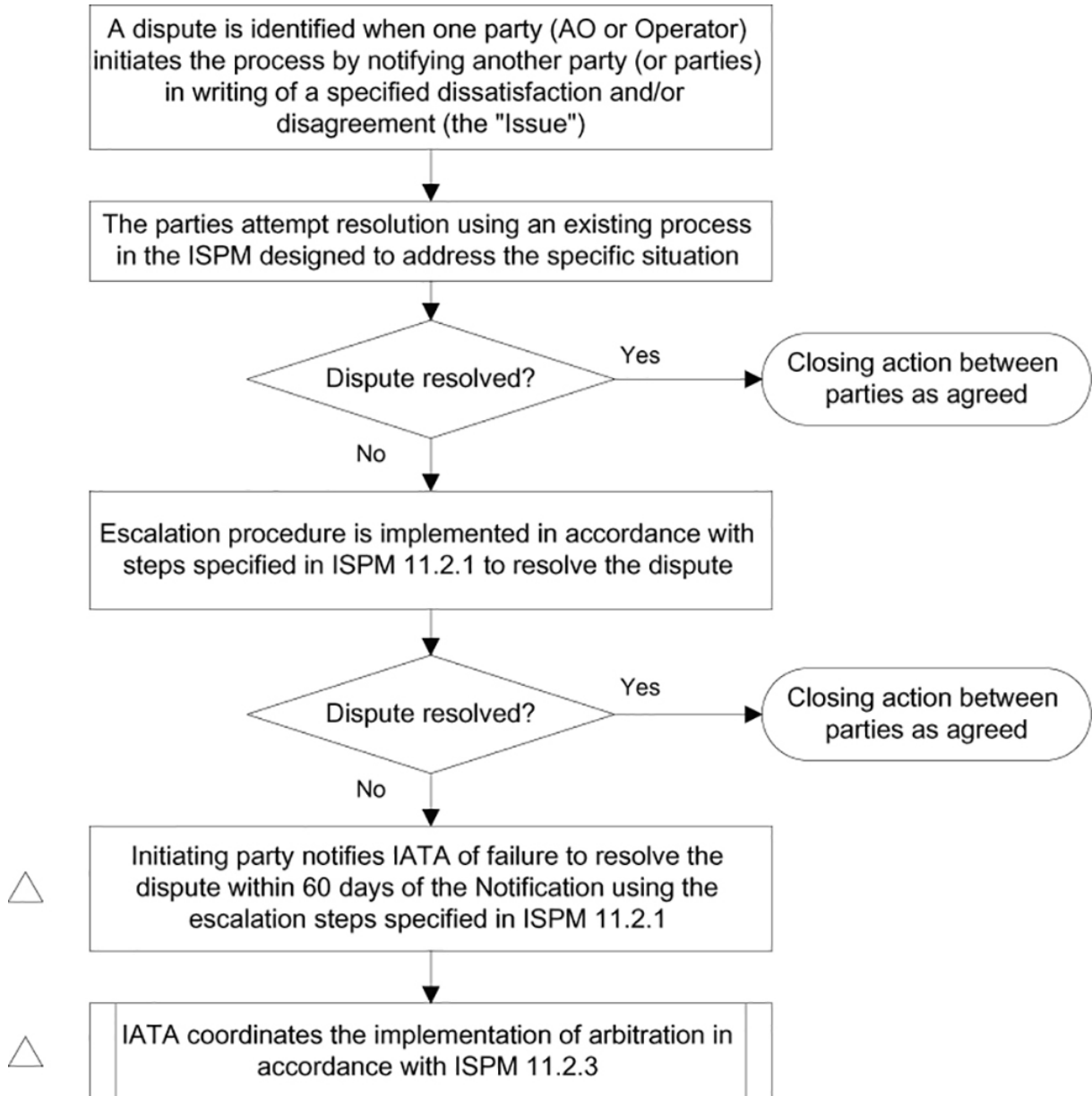
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