

## Section 3 Auditor Qualification

### Purpose

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

### 3.1 Categories of IOSA Auditors

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

- (i) *Auditor*: An experienced auditor that has completed the process for qualification as an Auditor in accordance with applicable provisions in [IPM 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 IOSA Audit Team, and has completed the process for qualification as a Lead Auditor in accordance with provisions in [IPM 3.11](#).
- (iii) *Evaluator*: An experienced Lead Auditor that has completed the process for qualification as an Evaluator in accordance with provisions in [IPM 3.12](#), and has been designated by the Audit Organization (AO) to evaluate audit activities and auditor performance.

### 3.2 Competence of IOSA Auditors

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

- (i) meets all applicable qualification prerequisites;
- (ii) possesses the appropriate personal attributes;
- (iii) speaks, reads and writes English;
- (iv) demonstrates the ability to apply knowledge and skills that are necessary to effectively conduct Audits under the IOSA program;
- (v) successfully completes all steps in the process for qualification to the appropriate category of IOSA Auditor.

### 3.3 Qualification Prerequisites for IOSA Auditor Acceptance

**3.3.1** The AO shall require a candidate for IOSA Auditor to submit the IOSA curriculum vitae (CV), which documents the candidate's professional background in terms of education, operational experience, auditor certification and/or training and audit experience.

**3.3.2** The AO shall have a process for application of due diligence in verifying that a candidate for IOSA Auditor has met the appropriate qualification prerequisites in terms of education, operational experience, auditor certification and training, and audit experience *before* the candidate can be approved as an IOSA Auditor. Such prerequisites are indicators of auditor competence and ensure that an auditor has acquired the necessary knowledge and skills to become an IOSA Auditor.



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When the AO has determined that a candidate for IOSA Auditor meet the prerequisites qualification requirements the AO shall:

- (i) submit an Auditor Prerequisite Record (APR) and a completed IOSA Auditor CV to IATA for review and approval;
- (ii) once the APR has been approved by IATA, the AO can continue with the qualification process.

*Note: The APR shall also be submitted for the Qualification Process for Auditing Additional Operational Discipline(s).*

### 3.3.3 Prerequisite Education

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

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

### 3.3.4 Prerequisite Operational Experience

- (i) A candidate for IOSA Auditor shall have a minimum of:
  - (a) five (5) years of total work experience in one or more of the IOSA operational disciplines;
  - (b) two (2) years of work experience in any single IOSA operational discipline;
  - (c) one (1) year of work experience in one or more IOSA operational disciplines within the four (4)-year period immediately prior to application as a candidate for IOSA Auditor.

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

- (i) a candidate for IOSA Auditor shall satisfy one of the following prerequisites
  - (a) possess and furnish proof of *current* certification by a recognized national or international auditor certification authority, either as a quality auditor, quality management system auditor, lead auditor, or as an aerospace experienced auditor. Auditor certification shall be based on internationally recognized auditor certification standards; or
  - (b) if not currently a certified auditor as described above, furnish documented and verifiable evidence of completion of a formal quality auditor or lead quality auditor training course conducted in a classroom format with a curriculum in accordance with [IPM 4.2.2](#). Acceptable evidence of training shall consist of a certificate of completion, confirming that the candidate has successfully completed all aspects of the course, including an examination or demonstration of proficiency;
- (ii) a candidate for IOSA Auditor shall possess and provide evidence of certification of successfully completing a formal aviation-based SMS training course from a recognized airline-related training provider (e.g. ATA, IATA, Airline, AO, Flight Safety Int'l, etc.), that has a curriculum based on the SMS components and elements contained in the ICAO Framework for Safety Management Systems;

Notes:

1. A certificate of attendance is not acceptable.
2. For (i) an IOSA Auditor Training certificate is not acceptable.

**3.3.6** Prerequisite Audit Experience

- (i) a candidate for IOSA Auditor shall furnish to the AO documented and verifiable evidence of having conducted a minimum of four (4) aviation industry audits within the scope of IOSA in the any of the following areas:
  - (a) Operations;
  - (b) Quality management systems;
  - (c) Safety management systems;
  - (d) Regulatory compliance; or
  - (e) Operational safety.
- (ii) Such audits shall have been conducted in the aviation operational disciplines included in the scope of IOSA; a minimum of one of the audits shall have been conducted within the 24-month period immediately prior to application as an IOSA Auditor.

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

**3.3.7** A candidate for IOSA Auditor that provides documented evidence of audit and professional experience well in excess of the minimum specified in [IPM 3.3.6](#) may be considered for an SVP exemption from a maximum of one other qualification prerequisite contained in [IPM 3.3](#). The AO shall submit a written exemption request to IATA that shall include comprehensive professional background information supporting the request. IATA shall review and assess the request and provide its feedback. Any SVP exemption granted under this provision shall be at the sole discretion of IATA who shall make a determination based on analysis of the quality and quantity of the professional background experience of an individual candidate.

*Note: Active involvement in the IOSA program that is supported by documented evidence may be considered for an exemption from the currency requirements as specified in [IPM 3.15](#) to [IPM 3.18](#).*

**3.3.8** All candidate Auditors shall meet prerequisites contained in [IPM 3.3.1](#) to [IPM 3.3.6](#) and discipline-specific requirements in accordance with [Table 3.1](#) to [Table 3.8](#), as applicable.



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**Table 3.1 Experience Prerequisites for ORG Auditors**

Auditor Experience/Training	Management Systems Experience
<ul style="list-style-type: none"> <li>• Conducted a minimum of four (4) complete Audits as an IOSA Auditor;</li> </ul>	<p>Two (2) years:</p> <ul style="list-style-type: none"> <li>• As an auditor conducting audits of airline management systems;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• As an airline management systems inspector of a NAA;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• In a senior management position for an airline or an organization that conducts operations for an airline.</li> </ul>

**Table 3.2 Experience Prerequisites for FLT Auditors**

Core Aviation Experience	Flight Operations Experience (see Note)
<ul style="list-style-type: none"> <li>• Holder of an ATPL and having at least Five (5) years' experience as a pilot on transport category aircraft with MTOW above 5700 kg;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• Holder of a flight engineer license/rating and Five (5) years' experience as a flight engineer on transport category aircraft with MTOW above 5700 kg.</li> </ul> <p>All experience shall have occurred within the 10-year period immediately prior to application as an IOSA Auditor in the FLT discipline.</p>	<p>At least two (2) years:</p> <ul style="list-style-type: none"> <li>• In a flight operations management position for an operator utilizing transport category aircraft;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• As a pilot flight crew instructor or evaluator (aircraft and/or simulator) on transport category aircraft;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• As an airline flight operations inspector on transport category aircraft of a NAA;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• As a flight operational quality or safety auditor for an operator utilizing transport category aircraft.</li> </ul>

Core Aviation Experience	Flight Operations Experience (see Note)
<p>Notes:</p> <ol style="list-style-type: none"> <li>1. <i>In addition to the core aviation experience and flight operations experience above, Auditors seeking to conduct Mandatory Observations on Line Flight Operations must have the following additional experience/qualifications:</i> <ul style="list-style-type: none"> <li>• <i>have operated as Pilot in Command on transport category aircraft (MTOW above 5700 kg); and</i></li> <li>• <i>have held an ATPL (not 'frozen' ATPL).</i></li> </ul> </li> <li>2. <i>In addition to the core aviation experience and flight operations experience above, Auditors seeking to conduct Mandatory Observations on Flight Simulator Operations must have the following additional experience/qualifications:</i> <ul style="list-style-type: none"> <li>• <i>Must have qualifications to conduct Mandatory Observations on Line Flight Operations</i></li> <li>• <i>Must have simulator operating experience as a full flight (dynamic) simulator pilot-instructor, or pilot-evaluator on transport category aircraft with MTOW above 5700 kgs in support of airline operations, or</i></li> <li>• <i>Must provide documented evidence of having successfully completed a formal training course on flight simulator operations in accordance with <a href="#">IPM 3.3.9</a>.</i></li> </ul> </li> </ol>	

**3.3.9** Alternatively to a qualification as a flight simulator instructor or evaluator in support of airline operations, an IOSA Flight Operations (FLT) Auditor may also qualify to conduct evaluations of flight simulator sessions by completing a formal course on flight simulator operations in accordance with specifications in [IPM Table 3.1](#). If applicable, the FLT Auditor shall provide applicable AOs with documented evidence that describes course content and certifies course completion by the FLT Auditor, and the AO shall retain such evidence in the individual Auditor's qualification file. An acceptable flight simulator familiarization course shall have a published curriculum and course content shall include:

- (i) Instruction in simulator operations;
- (ii) Practical experience in actual simulator operations;
- (iii) Demonstration of knowledge and competency in simulator operations.



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**Table 3.3 Experience Prerequisites for DSP Auditors**

<b>Operational Control and Flight Dispatch Experience</b>
<p>At least three (3) years:</p> <ul style="list-style-type: none"> <li>• As an airline flight dispatcher or flight operations officer (FOO) or any operational and/or managerial role in the airline operational control center;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• As an airline pilot flight crew member licensed by a national aviation authority (NAA);</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• As an airline flight operations inspector for a NAA.</li> </ul>

**Table 3.4 Experience Prerequisites for MNT Auditors**

<b>Aviation Experience</b>	<b>Quality Experience</b>	<b>Audit Experience</b>
<ul style="list-style-type: none"> <li>• Five (5) years performing a function in aircraft engineering and maintenance and/or in a maintenance quality function in support of airline operations. All above experience shall have occurred within the 10-year period immediately prior to application as an IOSA Auditor in the MNT discipline.</li> </ul> <p><i>Note: Prerequisites in the Quality Experience column shall be included as part of the combined requirements in this Aviation Experience column.</i></p>	<p>Two (2) years:</p> <ul style="list-style-type: none"> <li>• Performing quality assurance audits of aircraft engineering and maintenance functions in support of airline operations;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• Performing quality systems evaluations or aircraft maintenance programs in support of airline operations;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• Performing operational quality audits of foreign airlines in the area of airline engineering and maintenance functions;</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li>• As an airline airworthiness inspector for a NAA.</li> </ul>	<ul style="list-style-type: none"> <li>• Conducted four (4) audits in support of aircraft engineering and maintenance functions as described under the Quality Experience column</li> </ul> <p><i>Note: All audits specified above shall have been conducted within the 24-month period immediately prior to application as an IOSA Auditor.</i></p> <ul style="list-style-type: none"> <li>• A minimum of one such audit shall have been conducted within the 12-month period immediately prior to application as an IOSA Auditor</li> </ul>

**Table 3.5 Experience Prerequisites for CAB Auditors**

<b>Core Aviation Cabin Operations Experience</b>
At least two (2) years: <ul style="list-style-type: none"><li>• as Airline Cabin Crew or Holder of an ATPL/CPL/Flight Engineer License or Airline flight operations inspector for an NAA</li></ul>

**Table 3.6 Experience Prerequisites for GRH Auditors**

<b>Core Aviation Ground Handling Operations Experience</b>
At least two (2) years: <ul style="list-style-type: none"><li>• as manager in Ground Handling Operations</li></ul> <b>or</b> <ul style="list-style-type: none"><li>• instructor in Ground Handling Operations;</li></ul> <b>or</b> <ul style="list-style-type: none"><li>• as an Auditor in Ground Handling Operations having completed at least ten (10) audits.</li></ul>

**Table 3.7 Experience Prerequisites for CGO Auditors**

<b>Core Aviation Cargo Operations Experience</b>
At least two (2) years: <ul style="list-style-type: none"><li>• as manager in Cargo Operations;</li></ul> <b>or</b> <ul style="list-style-type: none"><li>• instructor in Cargo Operations;</li></ul> <b>or</b> <ul style="list-style-type: none"><li>• as an Auditor in Cargo Operations having completed at least ten (10) audits.</li></ul> operational experience as manager in Cargo Operations or Instructor in Cargo Operations or Auditor in Cargo Operations.

**Table 3.8 Experience Prerequisites for SEC Auditors**

Core Aviation Security Experience	Auditor Experience/Training
<ul style="list-style-type: none"> <li>• General knowledge of relevant national and/or supranational aviation security regulations;</li> </ul> <p><b>and</b></p> <ul style="list-style-type: none"> <li>• At least two (2) years operational experience as manager, instructor or auditor of aviation security.</li> </ul>	<p>Holder of a SeMS training</p> <p><b>and</b></p> <p>one of the following:</p> <ul style="list-style-type: none"> <li>• ICAO AvSec PM certification;</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>• All of the following IATA Trainings;               <ul style="list-style-type: none"> <li>• Aviation Security Management (Advanced)</li> <li>• Security Audit and Quality Control</li> <li>• Airport Security Operations Optimization</li> </ul> </li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>• EU/ECAC certified Aviation Security Inspector;</li> </ul> <p><b>or</b></p> <p>Training with elements as listed in Appendix A to this Section.</p> <p><i>Note: Training as per Appendix includes all elements of a SeMS training</i></p>

### 3.4 Personal Attributes of IOSA Auditors

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

- (i) ethical in conduct;
- (ii) objective, fair and impartial in applying judgement;
- (iii) selfconfident 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;
- (xv) effective in time management.



### 3.5 Ethical Standards for IOSA Auditors

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

- (i) provided consulting services within the operational scope of IOSA to the Operator within the past two years;
- (ii) a direct or indirect financial interest in the Operator;
- (iii) family members affiliated with the Operator, with such family members defined as parent, sibling, child, spouse, grandparent, or grandchild.

*Note: The operational scope of IOSA referred to in 3.5.1 (i) above shall be defined as follows: any content or material relating to the content of ISM or IAH which is provided as training courses or material, or as content of consultancy services.*

### 3.6 Knowledge and Skills for IOSA Auditors

**3.6.1** IOSA Auditors shall have a thorough knowledge of:

- (i) quality and safety audit principles, procedures, and techniques;
- (ii) the content of manuals that comprise the IOSA documentation system, including:
  - (a) this IOSA Program Manual (IPM);
  - (b) the IOSA Standards Manual (ISM);
  - (c) the IOSA Audit Handbook (IAH);
  - (d) the IATA Reference Manual for Audit Programs (IRM);
- (iii) the audit software and applicable documentation;
- (iv) typical organizational structure of airlines, including size, functions and relationships;
- (v) relevant technical areas of airline operations;
- (vi) AO Alerts and Bulletins.





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

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

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

- (i) speaking, reading and writing English;
- (ii) writing reports;
- (iii) communicating;
- (iv) working with people;
- (v) using 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 Audit Team, such as:

- (i) planning the Audit and making effective use of resources during the Audit;
- (ii) representing the Audit Team in communications with the operator;
- (iii) organizing and directing Audit Team members;
- (iv) leading the Audit Team to reach audit conclusions;
- (v) preventing and resolving problems and conflicts;
- (vi) preparing and completing the Audit reports.

### **3.8 Special Qualities for Evaluators**

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

- (i) leadership and respect;
- (ii) overall technical and business knowledge;
- (iii) adherence to standards;
- (iv) ability to exercise objective judgment;
- (v) multi-task capabilities;
- (vi) dedication to operational quality.

## 3.9 Responsibilities of Auditors, Lead Auditors and Evaluators

### 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 [IPM 3.5.1](#) and [IPM 5.4](#);
- (iii) ensure that the appropriate skills, knowledge and fair judgement needed for the conduct of IOSA are applied;
- (iv) ensure continued performance improvement based on output from quality assurance oversight activities, quality control processes and in relation to feedback from customers

### 3.9.2 Additional responsibilities for Lead Auditors:

- (i) ensure firm control of the planning, progress and completion of the audit process;
- (ii) ensure that all available resources and appropriate judgement is used to prevent or resolve any disagreements or conflicts with the Operator;
- (iii) ensure that there is open, diplomatic and professional communication with the Operator.

### 3.9.3 Additional responsibilities for Evaluators:

- (i) ensure that all IPM standards for the competence and quality of auditors and lead auditors are met when carrying out evaluations;
- (ii) ensure that auditors and lead auditors being evaluated are applying appropriate skills, diplomacy and fair judgement during the audit process.

## 3.10 Qualification Process for Auditors

**3.10.1** As part of the *initial* accreditation process, a candidate for accreditation as an AO shall propose a group of initial auditors, each limited to qualification in a maximum of four (4) operational disciplines in addition to the ORG discipline, if applicable, for approval by IATA. The proposed initial auditors shall complete the following qualification process and be approved by IATA in order for the AO to establish its initial group of approved IOSA Auditors. Each proposed initial auditor shall:

- (i) submit the IOSA curriculum vitae (CV) to the AO;
- (ii) at the discretion of IATA, complete a personal interview by IATA to verify that auditor prerequisite qualifications are in accordance with applicable provisions in [IPM 3.3](#);
- (iii) if approved by IATA, successfully complete the IOSA Auditor Training (IAT) course, as specified in [IPM 4.1.1](#);
- (iv) complete training by the AO in the use of the audit software and AO internal procedures.

**3.10.2** Once an AO has completed initial accreditation:

- (i) only the initial group of IOSA Auditors approved in accordance with [IPM 3.10.1](#) shall be permitted to conduct Audits for the AO;
- (ii) all candidates for IOSA Auditor subsequently selected shall be required to complete the full auditor qualification process in accordance with [IPM 3.10.3](#) and [3.10.4](#);
- (iii) the initial group of IOSA Auditors may be changed provided:
  - (a) approval of such change(s) is requested and received from IATA;
  - (b) no audits have yet been conducted by the AO;
  - (c) proposed replacement initial auditors complete the qualification process and are approved by IATA in accordance with [IPM 3.10.1](#).

**3.10.3** An AO shall have a process to ensure a candidate for IOSA Auditor, selected subsequent to the initial accreditation of the AO, is limited to qualification in a maximum of four (4) operational disciplines in addition to the ORG discipline. Each such candidate for IOSA Auditor shall successfully complete the following qualification process in order to be added to the list of approved IOSA Auditors for the AO. Each candidate for IOSA Auditor shall:

- (i) complete the IOSA Auditor Training (IAT) course as specified in [IPM 4.1.1](#);
- (ii) complete training by the AO in the use of the audit software and AO internal procedures;
- (iii) As applicable, complete training on any program changes introduced since the completion of the IAT;
- (iv)
  - (a) observe a portion of the discipline. The portion of the Audit to be observed shall cover one (1) full day for each, FLT, MNT and ORG, as well as half a day for all other disciplines;
  - (b) on the same or additional Audits, conduct auditing of the entire remainder of the operational discipline under the supervision and assessment of a qualified IOSA Auditor (including attendance in daily Audit team meetings). The IOSA Auditor conducting the supervision and assessment of the candidate auditor shall be qualified and shall have conducted at least four (4) Audits in the discipline(s) for which candidate's qualification is being sought;
  - (c) complete mandatory observations while auditing under supervision and assessment (step iii) (b) above), unless it is not logistically feasible (e.g. flight and simulator observations);
- (v) if required, receive additional training-to-proficiency and repeat step (iii) above;
- (vi) be recommended by the Auditor who supervised and assessed the candidate auditor.

Notes:

1. Steps of this process shall be completed in sequence (see [Figure 3.1](#)).
2. All steps of this process, except (i), shall be completed within the 12-month period immediately after the date of Auditor Prerequisite Record (APR) approval.

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

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

4. *The Auditor qualified in the discipline(s) will assume two main functions: 1. Supervise: Observe the trainee and coach him/her (learn on the job); 2. Assess: Observe the trainee perform on his/her own without any support. These two functions will be covered throughout the phase the candidate is conducting auditing of the entire remainder of the discipline with an even time distribution (50 per cent each). The Auditor qualified in the discipline(s) will complete the IATA form in accordance with [IPM 3.10.5](#).*
5. *The amount of disciplines a candidate auditor can be qualified for in the same Audit requires approval from IATA sufficiently in advance of the Audit. Such approval shall be sought at time of audit build.*
6. *The final responsibility for all Audit assessments remains with the auditor qualified in the discipline.*
7. *The qualification process shall be cancelled if the additional training-to-proficiency as specified in step (iv) is not successful.*

△ 8. *The IAT in accordance with (i) above, has a validity period of 36 months in accordance with [IPM 4.1.1](#).*

**3.10.4** An auditor is limited to qualification in a maximum of four (4) operational disciplines in addition to the ORG discipline, as described in [IPM 3.10.1](#) and [3.10.3](#).

△ *Note: Any disciplines acquired apply to the auditor, not to the AO for which they work (e.g. if auditor moves AO, it applies to the person).*



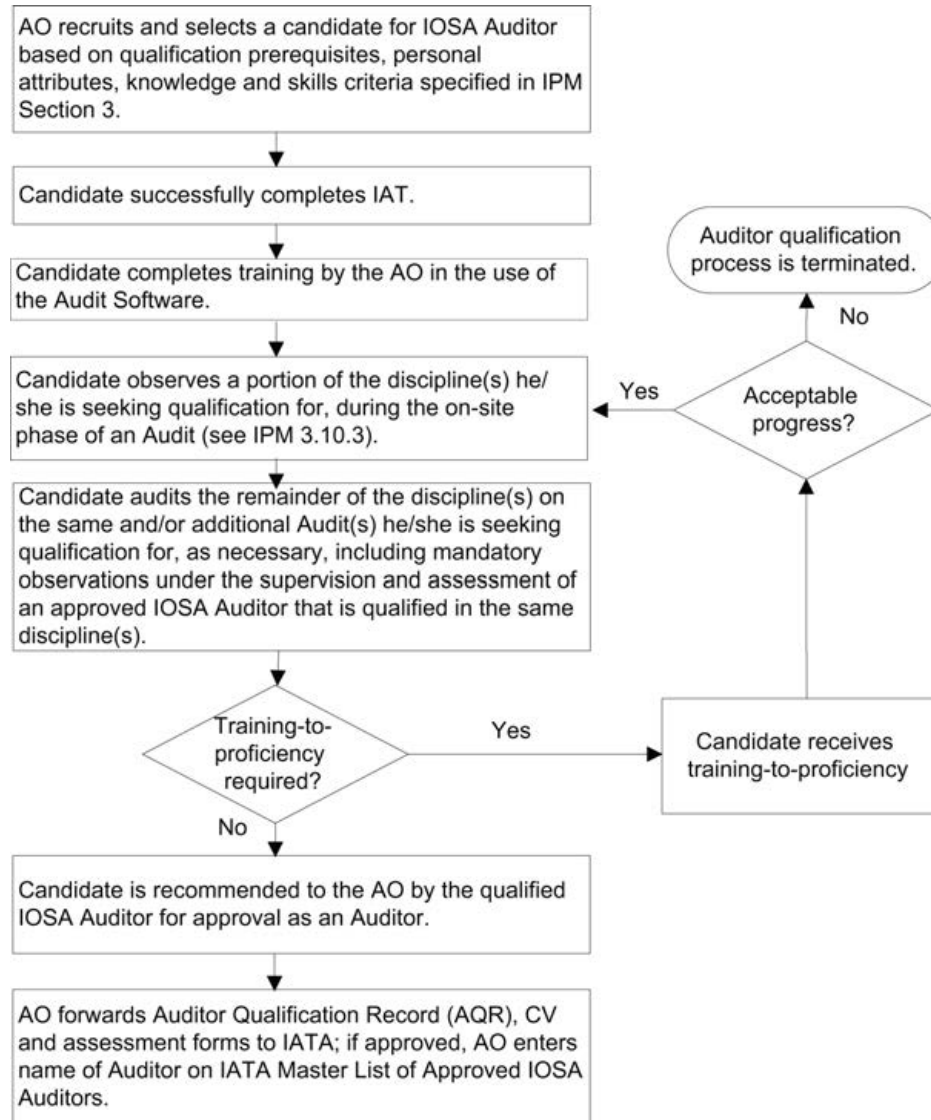
**3.10.5** When the AO has determined that a candidate for IOSA Auditor has successfully completed all applicable steps in the Auditor qualification process in accordance with [IPM 3.10.3](#), the AO shall:

- △ (i) submit an Auditor Qualification Record (AQR) and the complete form containing details pertaining to the qualification steps described in [IPM 3.10.3 \(iv\)](#) to IATA for review and approval;
- △ (ii) once the AQR has been approved by IATA, the name of the new Auditor will be entered on the Master List of Approved IOSA Auditors.

Notes:

- △ 1. *An Auditor shall not be planned to conduct an Audit without supervision until the AQR has been approved by IATA and the Auditor has been entered onto the IATA Master List of Approved IOSA Auditors.*
2. *An Auditor shall be used to audit only in those operational disciplines that have been approved by IATA.*

**Figure 3.1 IOSA Auditor Qualification Process Flow**



### 3.11 Qualification Process for Lead Auditors

**3.11.1** After the AO has completed the selection process based on criteria set out in [IPM 3.7](#), the AO shall ensure the selected Auditor successfully satisfies and completes each of the following steps in the qualification process for upgrade to Lead Auditor:

- △ (i) as a prerequisite, has conducted a minimum of eight (8) complete Audits as an IOSA Auditor;
- (ii) as a prerequisite, performance as IOSA auditor is below the control limit 1 as defined in the Auditor Quality Performance Program;
- (iii) as a prerequisite, has successfully completed a formal lead auditor training course in accordance with provisions in [IPM 4.3](#);

- (iv) is recommended by a Lead Auditor based on demonstration of competencies;
- (v) conducts a minimum of one (1) complete Audit acting as Lead Auditor while performance is evaluated by an Evaluator;
- (vi) is recommended for approval as a Lead Auditor by the Evaluator specified in iv).

**Notes:**

1. *The Evaluator as specified in (iv) must function in the Audit Team as a productive Auditor and must be the official Lead Auditor and must sign the IOSA Audit Report.*
2. *Steps of this process shall be completed in the specified sequence within the 12-month period immediately prior to the date AQR submission.*
3. *The evaluation as specified in (iv) shall, as a minimum, include all team meetings, QC activities and any other task pertaining to the lead auditor role.*

**3.11.2** When the AO has determined that an Auditor has successfully completed all steps in the Lead Auditor qualification process in accordance with [IPM 3.11.1](#), the AO shall:

- (i) submit an AQR including the completed form containing details pertaining to the qualification steps described in [IPM 3.11.1](#) to IATA for review and approval;
- (ii) once the AQR has been approved by IATA, the Master List of Approved IOSA Auditors for the AO will be updated.

*Note: An Auditor shall not be planned for use as a Lead Auditor until the AQR has been approved by IATA and the new qualification has been entered onto the IATA Master List of Approved IOSA Auditors.*

**3.11.3** Exemptions to the above Lead Auditor qualification requirements may be permitted, at the discretion of IATA, during the initial accreditation of an AO. The AO shall ensure any exceptions are requested from, coordinated with, and approved by IATA.

## 3.12 Qualification Process for Evaluators

**3.12.1** After the AO has completed the selection process based on criteria set out in [IPM 3.8](#), the AO shall ensure the selected Auditor successfully satisfies each of the following:

- (i) as a prerequisite, has conducted a minimum of three (3) complete Audits as a Lead Auditor;
- (ii) as a prerequisite, performance as IOSA auditor is below the control limit 1 as defined in the Auditor Quality Performance Program.

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

**3.12.2** When the AO has determined that the selected Auditor has satisfied all qualification requirements for an Evaluator in accordance with [IPM 3.12.1](#), the AO shall:

- (i) submit an AQR to IATA for review and approval;
- (ii) an IATA committee will conduct an interview with the selected Auditor aimed at verifying the candidate special qualities for evaluators as stated in [IPM 3.8](#) and responsibilities as stated in [IPM 3.9.3](#);
- (iii) if the AQR has been approved by IATA, the Master List of Approved IOSA Auditors for the AO will be updated.



△ *Note: An Auditor shall not be planned for use as an Evaluator until the AQR has been approved by IATA and the new qualification has been entered onto the IATA Master List of Approved IOSA Auditors.*



### 3.13 Conduct of Multiple Evaluations

**3.13.1** Evaluators are limited to one of the following combinations of evaluations on the same audit:

- (i) the evaluation of a Lead Auditor as per [IPM 3.11.1](#), (or a Lead Auditor re-establishing qualification, as per [IPM 3.18.4](#)), combined with the performance evaluation of one auditor, as per [IPM 3.16](#); or
- (ii) the evaluation of a Lead Auditor as per [IPM 3.11.1](#), (or a Lead Auditor re-establishing qualification, as per [IPM 3.18.4](#)), combined with the performance evaluation of one auditor, for the purpose of re-establishment of a qualifications, as per [IPM 3.18.4](#); or
- (iii) performance evaluations for two auditors, as per [IPM 3.16](#).

*Note: Evaluators are expected to apply professional judgement when planning the allocation of the multiple roles of Evaluator, Lead Auditor and Auditor.*

### 3.14 Qualification Process for Auditing Additional Operational Discipline(s)

**3.14.1** The AO shall have a process to ensure an Auditor successfully completes the following qualification process and is approved by IATA to audit in an operational discipline in addition to any previously approved operational discipline(s). The AO shall ensure each Auditor that seeks approval to qualify to audit in an additional operational discipline:

- (i) as a prerequisite, demonstrates knowledge and experience in the new operational discipline being requested, in accordance with applicable provisions in [IPM 3.3.8](#);
- (ii) completes the qualification process as specified in [IPM 3.10.3 \(iv\) to \(vi\)](#).



*Note: All steps related to [IPM 3.10.3 \(iv\) to \(vi\)](#) above, shall also consider Notes 3. to 7. to those paragraphs and include the submission of an AQR and related documents in accordance with [IPM 3.10.5](#).*

**3.14.2** When the AO has determined that the Auditor has completed all qualification requirements for auditing in a new operational discipline in accordance with [IPM 3.14.1](#), the AO shall:

- (i) submit an Auditor Qualification Record (AQR) and the complete form containing details pertaining to the qualification steps described in [IPM 3.14.1 \(ii\)](#) to IATA for review and approval;
- (ii) once the AQR has been approved by IATA, the new operational discipline(s) will be entered to the qualifications of the Auditor on the Master List of Approved IOSA Auditors for the AO.



*Note: An Auditor shall not be used to conduct an Audit in the new operational discipline without supervision until the AQR has been approved by IATA and the new qualification has been entered onto the IATA Master List of Approved IOSA Auditors.*



## 3.15 Recurrent Training Currency

**3.15.1** The AO shall have a process to ensure each Auditor on its list of approved IOSA Auditors completes the AO's recurrent training course during each calendar year in accordance with [IPM 4.5.1](#).

**3.15.2** An Auditor that has not satisfied recurrent training requirements specified in [IPM 3.15.1](#) shall be classified as non-current by the AO, and shall not be used by the AO to conduct an Audit until training currency has been re-established in accordance with [IPM 3.18.1](#).

## 3.16 Performance Evaluation Currency

**3.16.1** The AO shall have a process to evaluate the performance of each Auditor on its list of approved IOSA Auditors a minimum of once during every two (2) calendar years, when an Auditor wants to re-establish Audit conduct currency as per [IPM Table 3.9](#), or when required by IATA. Performance evaluations shall have satisfactory results and shall be accomplished by an Evaluator while the Auditor is conducting a full or partial Audit.

**3.16.2** For the purpose of maintaining qualification in accordance with [IPM 3.16.1](#), the AO shall require a satisfactory performance evaluation for each Auditor:

- (i) initially during the calendar year immediately following the calendar year in which the Auditor received initial approval as an IOSA Auditor in accordance with [IPM 3.10](#);
- (ii) during each period of two (2) consecutive calendar years subsequent to the calendar year of the initial performance evaluation as specified in i).

**3.16.3** A performance evaluation associated with an upgrade to Lead Auditor, in accordance with [IPM 3.11.1](#), shall satisfy the requirement for an AO to evaluate the performance of an Auditor as specified in [IPM 3.16.1](#).

**3.16.4** An Auditor that has not satisfied the requirement for a performance evaluation as specified in [IPM 3.16.1](#) and [3.16.2](#) shall be classified as non-current by the AO and shall not be used by the AO to conduct an Audit until currency has been re-established in accordance with [IPM 3.18.2](#).

**3.16.5** The AO shall use evaluation forms provided by IATA for the evaluation process in accordance with [IPM 3.16](#).

## 3.17 Audit Conduct Currency



**3.17.1** The AO shall have a process to ensure each Auditor on its Master List of approved IOSA Auditors conducts a minimum of two (2) full Audits (5 days on-site) under IOSA during each calendar year.

**3.17.2** The AO shall have a process to ensure each Lead Auditor on its Master List of approved IOSA Auditors conducts a minimum of one (1) full Audit as Lead Auditor during each calendar year. Such Audit shall satisfy the requirement for the conduct of one (1) full Audit under IOSA during each calendar year as specified in [IPM 3.17.1](#).

**3.17.3** For the purpose of maintaining qualification in accordance with [IPM 3.17.1](#) and [3.17.2](#), the AO shall ensure the Auditor conducts a minimum of two (2) audits, as specified in [IPM 3.17.1](#):

- (i) during the calendar year immediately following the calendar year in which an Auditor received initial approval as an IOSA Auditor in accordance with [IPM 3.10](#);
- (ii) during each calendar year subsequent to the calendar year specified in i).

**3.17.4** Intentionally left open.



**3.17.5** The AO shall have a process to ensure each Auditor on its list of approved IOSA Auditors, conducts an Audit of the entire discipline for which they are approved, during every period of two (2) consecutive calendar years.

**3.17.6** For the purpose of maintaining currency in accordance with [IPM 3.17.5](#), the first period of two (2) consecutive calendar years commences the calendar year immediately following the calendar year in which the Auditor was approved to audit in the additional operational discipline.

### 3.18 Re-Establishment of Qualifications

**3.18.1** An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet recurrent training currency requirements as specified in [IPM 3.15.1](#) shall re-establish qualification for an AO by completing the recurrent training course that is currently effective for that AO.

**3.18.2** An Auditor, or a Lead Auditor, whose qualification has become non-current for failure to meet performance evaluation currency requirements as specified in [IPM 3.16.1](#) shall re-establish qualification for an AO by receiving a satisfactory performance evaluation by an Evaluator from the AO while conducting a complete on-site Audit.

**3.18.3** Intentionally left open.

**3.18.4** An Auditor or a Lead Auditor, whose qualification has become non-current for failure to meet Audit conduct currency requirements as specified in [IPM 3.17.1](#), [IPM 3.17.2](#) and/or [IPM 3.17.5](#), shall re-establish qualification as an IOSA Auditor as specified in [IPM Table 3.9](#).

**Table 3.9 Audit Conduct Re-Establishment**

Rules for Re-establishing Audit Conduct or Discipline-specific Currency			
Type of Currency	Within a Period of One (1) Calendar Year from the Date of Becoming Non-current	Within the Second Calendar Year Following the Date of Becoming non-current	Starting From the Third Calendar Year Following the Date of Becoming Non-current
For Auditors in accordance with <a href="#">IPM 3.17.1</a> (two Audits per calendar year)	<ul style="list-style-type: none"> <li>For Auditors in accordance with <a href="#">IPM 3.17.1</a>, re-establish qualification as an IOSA Auditor by receiving satisfactory performance evaluation by an Evaluator, while conducting a complete on-site Audit as an Auditor.</li> </ul> <p><i>Note: During this re-qualification audit the auditor will be acting as an active member of the audit team.</i></p>	<ul style="list-style-type: none"> <li>The Auditor will also lose discipline specific currency as per <a href="#">IPM 3.17.5</a>. For this reason, the Auditor shall complete steps in <a href="#">IPM 3.10.3 (iii)</a> to <a href="#">IPM 3.10.3 (v)</a> (including Notes 3, 4 and 5) for each discipline the Auditor is seeking re-qualification.</li> </ul> <p><i>Note: The final responsibility for all assessments remains with the Auditor qualified in the discipline.</i></p>	<ul style="list-style-type: none"> <li>Complete all steps in <a href="#">IPM 3.10.3</a>.</li> </ul>



<b>Rules for Re-establishing Audit Conduct or Discipline-specific Currency</b>			
<b>Type of Currency</b>	<b>Within a Period of One (1) Calendar Year from the Date of Becoming Non-current</b>	<b>Within the Second Calendar Year Following the Date of Becoming non-current</b>	<b>Starting From the Third Calendar Year Following the Date of Becoming Non-current</b>
For Lead Auditors in accordance with <a href="#">IPM 3.17.2</a> (one Audit as Lead Auditor per calendar year)	<ul style="list-style-type: none"> <li>For Lead Auditors in accordance with <a href="#">IPM 3.17.2</a>, re-establish qualification as an IOSA Auditor by receiving satisfactory performance evaluation by an Evaluator, while conducting a complete on-site Audit as a Lead Auditor, as specified <a href="#">IPM 3.11.1 (iv) and (v)</a>, including Notes 1 and 3.</li> </ul>		
For Auditors in accordance with <a href="#">IPM 3.17.5</a> (entire discipline every two calendar years while maintaining at least one discipline)	<ul style="list-style-type: none"> <li>For Auditors in accordance with <a href="#">IPM 3.17.5</a>, complete steps in <a href="#">IPM 3.10.3 (iii) to IPM 3.10.3 (v)</a> (including Notes 3, 4 and 5).</li> </ul> <p><i>Note: The final responsibility for all assessments remains with the Auditor qualified in the discipline</i></p>		
For Auditors in accordance with <a href="#">IPM 3.17.5</a> (loss of all disciplines)	<ul style="list-style-type: none"> <li>Complete steps in <a href="#">IPM 3.10.3 (iii) to IPM 3.10.3 (v)</a> (including Notes 3, 4 and 5) for each discipline(s) the Auditor is seeking re-qualification.</li> </ul> <p><i>Note: The final responsibility for all assessments remains with the Auditor qualified in the discipline</i></p>	<ul style="list-style-type: none"> <li>Complete all steps in <a href="#">IPM 3.10.3</a>.</li> </ul>	
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>Upon completion of the above steps, the AO shall submit an Auditor Qualification Record (AQR) and related forms to IATA for review and approval.</li> <li>Once the AQR has been approved by IATA, the Auditor status will be updated on the Master List of approved IOSA Auditors for the AO.</li> <li>An Auditor shall not be planned for use as a member of the Audit team for the respective discipline, the entire Audit or as a Lead Auditor, as applicable, until the AQR has been approved by IATA and the Auditor status has been updated onto the IATA Master List of Approved IOSA Auditors.</li> </ol>			

**3.18.5** Intentionally left open.

### 3.19 Auditor Transfer or Sharing

**3.19.1** If an auditor, in any categories as defined in [IPM 3.1.1](#), transfers from one AO to another (e.g. whether on his/her own initiative or because the original AO has been terminated as per [IPM 2.1](#)) or wants to work for more than one AO (Auditor sharing), he/she shall be permitted to be added to the list of approved IOSA Auditors of an AO within the same category after such AO has complied with applicable specifications and restrictions contained in [IPM 3.19.2](#).

□ *Note: As long as an auditor meets the currency requirements as per [IPM 3.15](#), [3.16](#) and [3.17](#) even if he/she has been removed from the MAL of an AO, because the qualifications stay with the auditor and not with the AO, he/she is still eligible for a transfer.*

**3.19.2** An AO seeking to add an Auditor to its list of approved IOSA Auditors as specified in [IPM 3.19.1](#) shall have processes to ensure:

- (i) the Auditor has completed initial qualification and approval as an IOSA Auditor in accordance with provisions contained in [IPM 3.10](#);
- (ii) the qualifications of the Auditor are current in accordance with provisions contained in [IPM 3.15](#), [3.16](#) and [3.17](#);
- (iii) If the qualifications of the Auditor are not current, the Auditor shall re-establish qualification with the new AO in accordance with requirements in [IPM 3.18](#);
- (iv) the Auditor completes a familiarization program as specified in [IPM 2.11.3](#);
- (v) an AQR is submitted to IATA for approval;
- (vi) once the AQR has been approved by IATA, the Auditor is entered on the list of approved IOSA Auditors for the AO;

△ *Note: An Auditor shall not be planned to conduct an Audit without supervision until the AQR has been approved by IATA and the Auditor has been entered onto the IATA Master List of Approved IOSA Auditors.*

### 3.20 Intentionally Left Open

### 3.21 Suspension and Removal of IOSA Auditors

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

- (i) invalidation of an Audit in accordance with applicable provisions in [IPM 1.5.2](#);
- (ii) the IOSA Auditor's demonstrated inability to adhere to personal attributes, ethical standards and/or to demonstrate knowledge and skills, additional skills for Lead Auditors and/or special qualities for Evaluators in accordance with [IPM 3.4](#) to [IPM 3.8](#);
- (iii) the IOSA Auditor's demonstrated inability to assume responsibilities in accordance with [IPM 3.9](#);
- (iv) the IOSA Auditor's failure to attend or participate in applicable IATA trainings in accordance with [IPM 4.5.5](#) or other Program-related matters;
- (v) the IOSA Auditor's failure to meet performance requirements as defined by the IATA Quality Assurance Program and/or Performance Monitoring Programs;

- (vi) gross assessment errors discovered in past and/or current IOSA Audit results; and
- (vii) other cases which lead to IATA's decision to suspend an IOSA Auditor.

*Notes:*

1. *The AO is responsible for the timely re-arrangement of planned or pending Audit activities which were assigned to the suspended Auditor.*
2. *Depending on the change of circumstances, IATA may lift the suspension of the IOSA Auditor through written notice to the AO.*
3. *An Auditor that has been suspended shall be considered non-current for all AOs. That Auditor shall not be used by any AO until the suspension period is expired or lifted and such Auditor receives a satisfactory performance evaluation by an Evaluator, as specified in the "Auditor Performance Program" Manual [Section 6](#) "Measurement and Actions".*

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

- (i) the suspension of an IOSA Auditor in accordance with [IPM 3.21.1](#); and/or
- (ii) other cases which lead to IATA's decision to remove an IOSA Auditor from the IATA Master List of Approved IOSA Auditors.

*Notes:*

1. *The AO is responsible for the timely re-arrangement of planned or pending Audit activities which were assigned to the removed Auditor.*
2. *An IOSA Auditor that was removed from the IATA Master List of Approved IOSA Auditors, will not be allowed to re-qualify as an IOSA Auditor.*

## Appendix A—IOSA Security Training Syllabus

1. Introduction
<u>General awareness</u> <ul style="list-style-type: none"> <li>• Major past and recent events</li> <li>• Evolving threat landscape</li> <li>• Security reporting (<b>SeMS</b>)</li> <li>• Major security definitions as per ICAO and IRM</li> </ul>
<u>Organization of responsibilities and obligations within the aviation security</u> <ul style="list-style-type: none"> <li>• International organizations and their role</li> <li>• Other AVSEC entities</li> <li>• Airports vs Airlines responsibilities</li> <li>• Security Policy, objectives and culture (<b>SeMS</b>)</li> </ul>



<u>Legal framework for aviation security</u> <ul style="list-style-type: none"><li>• International Conventions</li><li>• National Civil Aviation Security Programs</li><li>• Aircraft Operator Security Program (<b>SeMS</b>)</li><li>• Aircraft Operator security related documentation structure (<b>SeMS</b>)</li><li>• Outcome based procedures (Risk Management Approach) vs compliance (prescriptive measures) (<b>SeMS</b>)</li></ul>
<b>2. Security Controls</b>
<u>Access Control</u> <ul style="list-style-type: none"><li>• Recruitment and background checks for staff, crew members, and other personnel with security responsibilities</li><li>• Aircraft access control and aircraft search</li><li>• Terminal zones and airside access control and oversight (including hold baggage protection)</li><li>• Personnel and vehicles access to airside/security restricted area</li><li>• Cargo warehouse access control</li><li>• Other access controlled areas</li></ul>
<u>Screening</u> <ul style="list-style-type: none"><li>• Procedures for standard, enhanced, and expedite screening for passengers, cabin baggage, hold baggage, cargo, supplies, staff, and items carried</li><li>• Methods and equipment used for screening: Manual screening, X-ray, dual-view, 3D, Explosive Detection Systems, Explosive Trace detection, Walk-Through Metal Detectors, Security/Body Scanners, Explosive Detection Dogs, Observation/interview-based techniques</li><li>• Concealment methods on person, in baggage, cargo, mail, supplies</li></ul>
<u>Cargo security controls (security supply chain)</u>
<u>Supplies (including catering), co-mail, co-mat security controls</u>

<b>3. Security Management System</b>
<u>Senior management and corporate commitment</u> <ul style="list-style-type: none"> <li>• Security Policy</li> <li>• Accountability and responsibilities</li> </ul>
<u>Security Quality Control and Assurance</u> <ul style="list-style-type: none"> <li>• AVSEC Services and contracts (accountability and oversight of outsourced services)</li> <li>• Airline partnership agreements (code-sharing, wet-lease)</li> <li>• Quality Control requirements, definitions, measures</li> </ul>
<u>Security Risk Management</u> <ul style="list-style-type: none"> <li>• Security Risk Management requirements</li> <li>• Applying Risk Management to AVSEC (Vulnerabilities, Threats, Risk Assessment, Residual Risk)</li> <li>• Increased threat information handling</li> <li>• Introduction of enhanced security measures</li> </ul>
<u>Contingency Planning/Management of emergencies and incidence</u> <ul style="list-style-type: none"> <li>• Security related emergencies (in-flight vs on-the-ground attacks)</li> <li>• Crisis management</li> </ul>
<b>4. Security Training</b>
<ul style="list-style-type: none"> <li>• Scope and target groups</li> <li>• Managing of training content</li> <li>• AVSEC Training Quality Control</li> </ul>