International Civil Aviation Organization
ICAO South American Regional Office
Thirteenth Meeting of the Civil Aviation Authorities of the SAM Region (RAAC/13)
(Bogota, Colombia, 4 - 6 December 2013)

Agenda Item 2: **Global and regional civil aviation requirements and challenges**

IATA Operational Safety Audit (IOSA) and Enhanced IOSA

(Presented by IATA)

SUMMARY

The IATA Operational Safety Audit (IOSA) program is an internationally recognized and accepted evaluation system designed to assess the operational management and control systems of an airline. IOSA complements the ICAO Universal Safety Oversight Audit Program (USOAP) and IOSA Standards and Recommended Practices (ISARPs) are based on ICAO provisions and industry best practices (e.g. Standards and Recommended Practices in Annexes 1, 6, 8, 13, 17, 18 and 19 to the Convention on International Civil Aviation). IATA presented a working paper at the 38th ICAO General Assembly (A38-WP/110) providing an update on the enhanced IATA Operational Safety Audit (IOSA). The Assembly expressed its support for the IOSA programme and recommended that ICAO continue its support of IOSA and the additional elements under Enhanced IOSA as a complementary source of information for State safety oversight activities, as well as to encourage its use by Member States.

IOSA registration is a condition for IATA membership, although there are numerous non-member airlines which have elected to become IOSA registered. IOSA has registered operators from 131 countries worldwide.

Enhanced IOSA (as described in Paragraph 3) introduces additional elements to the Program providing operators with tools to conform to ICAO and industry standards. IOSA will have an increased focus on the implementation of the Standards and will ensure a standardized assessment by the auditors.

Enhanced IOSA will enable operators to implement a reliable program that will contribute to an increasing safety performance worldwide.

Reference:

- Assembly — 38th session report of the Technical Commission on the general section of its report and on Agenda Items 26, 27, 28 and 29.

ICAO Strategic Objectives:	*A - Safety*

1.   **Introduction**

1.1   IATA has a proactive and sustained history of cooperation with ICAO on safety. On 17 March 2006, ICAO and IATA signed a Memorandum of Cooperation (MOC) for the exchange of safety information and mutual assistance, based on the commonalities of purpose in USOAP and IOSA.

1.2   IATA presented a working paper at the 38th ICAO General Assembly (A38-WP/110) providing an update on the enhanced IATA Operational Safety Audit (IOSA). The Assembly expressed its support for the IOSA programme and recommended that ICAO continue its support of IOSA and the additional elements under Enhanced IOSA as a complementary source of information for State safety oversight activities, as well as to encourage its use by Member States.

1.3   As of 30 April 2013, IOSA had 384 Operators on its Registry. Since 2003, over 1500 IOSA Audits have been completed. In 2012, the safety performance of IOSA registered operators was four times better than that of Non-IOSA registered operators. Initial goals pertaining to the establishment of   a broad foundation for improved operational safety and security and the elimination of redundant industry audits have already been reached.

1.4   Although IOSA Standards have been updated with every ICAO Annex amendment, the IOSA audit principles and protocols have basically remained unchanged since the introduction of IOSA in 2003.

2.   **Discussion**

2.1   **ENHANCED IOSA**

2.1.1   Enhanced IOSA will introduce significant new elements into the IOSA process which have been applied and evaluated during proof-of-concept workshops and tested during live trial audits.

2.1.2   Operators on the IOSA Registry incorporate an on-going internal assessment process using IOSA provisions in their Quality Assurance Programs and provide a Conformance Report as a record of on-going evaluations against IOSA provisions, between recurrent IOSA audits. The information in the Conformance Report will be reviewed, verified and used by the Audit Organisation (AO) as input for the IOSA assessment.

2.1.3   The Enhanced IOSA process takes advantage of a significantly broader information base, thus providing enhanced value and continuity to the audit result.

2.1.4   The overall objectives of Enhanced IOSA are based on supplementing and strengthening the four "pillars" of effective airline operations:

       a) Continuity: Operators will maintain continuing conformity with all IOSA standards throughout the registration period by conducting ongoing assessments as an integral part of their internal assurance programs. The results will be analysed internally and any areas of concern will be addressed, thus leading to increased levels of continuity in all aspects of operations;

       b) Implementation: Audit Organizations will focus on the implementation of specific IOSA standards through the observation of operational activities. The direct link between operational observations and IOSA standards will facilitate and enhance the overall assessment of operational policies, plans, processes and procedures;

       c) Reliability: Operators will demonstrate the reliability and integrity of their internal quality assurance system by conducting ongoing internal assessments against ISARPs using trained and qualified auditors; and

       d) Standardization: Operators as well as Audit Organizations will use published Auditor Actions. The world-wide use of the Auditor Actions by all auditors will introduce a level of standardization second to none.

2.2   **DESCRIPTION OF THE ENHANCED IOSA PROCESS**

2.2.1   The key elements and changes to the current audit model are described below:

a) Operators will utilize the Enhanced IOSA orientation and information modules provided by IATA to prepare internal auditors for assessments using IOSA provisions;
b) Operators' internal assurance programs will incorporate a process to assess conformity with IOSA standards;
c) A Conformance Report as a current record of the internal assessment of IOSA standards will be produced during the 24 months of the registration period and provided to the Audit Organization before each IOSA Audit;
d) The Audit Organization will review, verify and incorporate the information from the Conformance Report into the overall IOSA assessment. Emphasis will be on confirmation of an effective assurance system; and
e) The focus on the implementation of the standards will be increased by emphasizing the observation of selected front line operational activities by the Audit Organization.

2.2.2   IOSA will remain a third party audit by independent Audit Organizations ensuring that all relevant ICAO standards are assessed every two years.

2.3   **BENEFITS OF ENHANCED IOSA**

2.3.1   Operators will demonstrate an increased continuity of conformity with IOSA and thus with ICAO Standards and Recommended Practices, through the implementation of ISARPs in daily operations and the adoption of ongoing assessments during the two year Registration period.

2.3.2   Enhanced IOSA will provide benefits to regulators and enable increased confidence in the capability of airline management systems in the use of proven and transparent IOSA standards and auditing techniques to effectively implement standardized internal assessment programs.

2.3.3   Operators will increase the reliability of their assurance programs through improved auditing skills and regular internal assessments of the ISARPs, which will be achieved amongst others through, specific auditor training.

2.4   **IMPLEMENTATION SCHEDULE FOR ENHANCED IOSA**

2.4.1   Enhanced IOSA audits will begin in 2013 for operators willing to participate. For these audits, AOs will make extensive use of the information in the Conformance Report while auditing ISARPs.

2.4.2   The conduct of Enhanced IOSA audits will increase in 2014. Enhanced IOSA will formally replace the current audit model for renewal audits done from September 2015 onwards and the "Enhanced" descriptor will eventually cease to be used.

2.5   **SUPPORT FOR THE IMPLEMENTATION OF ENHANCED IOSA**

2.5.1   In support of this significant upgrade, IATA will provide the following:

a) Two web based orientation and information modules for use by airline management and internal Quality Assurance Departments, which will enable internal auditors to prepare for assessments using IOSA provisions;

b) A comprehensive procedures and guidance document specifically for use by airline assurance departments for the preparation and conduct of Enhanced IOSA. This document will contain operating principles, procedures and guidance for the Enhanced IOSA program;

c) Auditor Actions for all IOSA disciplines, to assist in assessing implementation, as well as other supporting documentation and checklists to meet all requirements associated with Enhanced IOSA;

d) Eight workshops covering all regions to familiarize operators in preparing for Enhanced IOSA;

e) An initiative called "Partnership for Quality" in which IATA will support operators' quality assurance programs in complying with the new IOSA requirements.

2.6   **ADDITIONAL INFORMATION ON IOSA**

2.6.1   Further information can be obtained from iosa@iata.org.

2.7   **CONCLUSION**

2.7.1   IOSA is one of the mechanisms to support global aviation safety and fully complements USOAP through an extensive assessment of air operators. Through the use of IOSA, the States can have access to comprehensive Audit Reports of the operators in their country and utilize the information to complement their oversight activities.

3.   **Suggested action**

3.1   The meeting is invited to acknowledge the contributions of IOSA to the global aviation safety performance. Moreover, the meeting is invited to continue its support to IOSA and its additional elements under Enhanced IOSA as a complementary source of information for State safety oversight activities, as well as to encourage its use by member States.

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