

Effective January 2021

# ISAGO Program Manual

Edition 3



# COVID-19

## Resources for Airlines and Air Transport Professionals

In response to the unprecedented challenges currently facing the industry, IATA is strongly advocating for ICAO's **Takeoff Plan** to restart aviation. The plan is designed to ease potential concerns associated with flying and encourage governments to reopen borders through a globally harmonized approach.

Working with global experts like the ICAO Council's Aviation Recovery Taskforce (CART) and the World Health Organization (WHO), IATA has put together industry guidance covering airports, aircraft, passengers, crew and cargo, as well as analyses and forecasts of the economic impact of COVID-19 on the industry, and summaries of the relief measures being rolled out by governments around the globe.

This information is being updated often as conditions evolve and regulations change, so consult the [iata.org](http://iata.org) resources often!

## INDUSTRY GUIDANCE

[www.iata.org/covid-19](http://www.iata.org/covid-19)

### CART/IATA Guidance:

#### Airport

- [ICAO Guidelines](#)
- [Ground handling return to service](#)
- [Guidance for ground handling during COVID-19](#)
- [Ground Handling](#) – information about conducting ground operations in time of COVID-19
- [Regulatory Approval Status](#) for Mobile Boarding Pass, Electronic Bag Tag, Home Printed Bag Tag

#### Aircraft

- [ICAO Guidelines](#)
- [Aircraft cleaning & disinfection](#) during & post-pandemic
- [Guidance for cabin operations during & post-pandemic](#) also available in [Spanish](#)
- [Guidance for Flight Operations](#) during and Post Pandemic

#### Crew

- [ICAO Guidelines](#)
- [Guidance for crew health precautions](#) during pandemic
- [IATA Guidance for Managing Pilot Training & Licensing](#) during COVID

#### Cargo

- [ICAO Guidelines](#)
- [Carriage of cargo in the passenger cabin](#)
- [Guidance for Operators of Dangerous Goods](#) during COVID-19
- [Air Cargo comprehensive FAQ](#) on cargo operations
- [Airline Air Cargo Operations Status](#): this section covers over 370 airlines worldwide, to capture the Operational Status, current Cargo Restrictions, Passenger to Cargo ("P2C") & Cargo In Cabin ("CIC") information
- [Country Air Cargo Operations Status](#): this section covers over 200 countries, to capture the current Cargo Restrictions, Cargo In Cabin ("CIC") and other important updates to regulations
- Air Cargo Schedules: this section will be released soon (planned Q4 2020)

#### Passenger

- Latest COVID-19 travel documentation requirements and health restrictions from around the world updated in real time: [www.iata.org/timatic](http://www.iata.org/timatic)
- Instant updates of travel restrictions via Timatic COVID-19 Alerts [www.iata.org/timatic-alerts](http://www.iata.org/timatic-alerts)
- Interactive COVID-19 Travel Regulations Map provides the latest travel restrictions per country via the IATA TravelCentre: [www.iatatravelcentre.com/map](http://www.iatatravelcentre.com/map)





## Government Measures

- Access the Government measures related to COVID-19 to learn out more about the entry/exit requirements as aviation heads into a re-start phase (listed per country).
- [COVID-19 Dashboard on state & airport restrictions](#) (NOTAM and AIS data)
- [COVID-19 Contingency related differences](#) (CCRD) presenting alleviations in safety operational measures

## Relief Measures for Airlines

IATA is appealing to governments for relief measures to support the industry in the face of collapsing travel demand, owing to the COVID-19 pandemic and mandated border closures and restrictions on mobility. See below areas of action:

### Airline Taxes

- [Governments ticket tax change measures](#) - tax relief measures and payment deferrals

### Airport Infrastructure & Charges

- [Airport charges reduction](#) - temporary reduction of airport charges for airlines - per country, collected in our Aviation Charges Intelligence Center (ACIC) COVID 19: Slots - to find out the latest IATA's position in the are of slots

### Relief Measures News

- [COVID-19 news](#) a collection of news stories on government relief measures as well as airport and airline news

## IATA Position Papers

- [Temperature Screening: A Public Health Responsibility](#)
- [Collection of Self-Declared Passenger Health Data](#)
- [Harmonization of Health Declaration Form/Data Set](#)

## Other Guidance Materials

### Safety & Flight Operations

- [Guidance for managing aircraft airworthiness for operations](#) during and post pandemic Ed.1, 12 June 2020
- [IOSA Guidance for Safety Monitoring](#) under COVID-19 Ed.2

IATA has launched a service for its member airlines that addresses operational reports, questions and information related to COVID restart operations: COVID Reporting Process for Member Airlines

### Customer Vouchers Initiatives

- [Airline vouchers & ticket exchange policies](#) repository

## Industry Impact

### Data & Economic Analysis

Analysis of COVID-19 impacts on the financial and traffic performance and outlook for the global air transport industry.

### Economics

- [All reports on COVID-19 published by IATA Economics](#)

### COVID-19 media kit

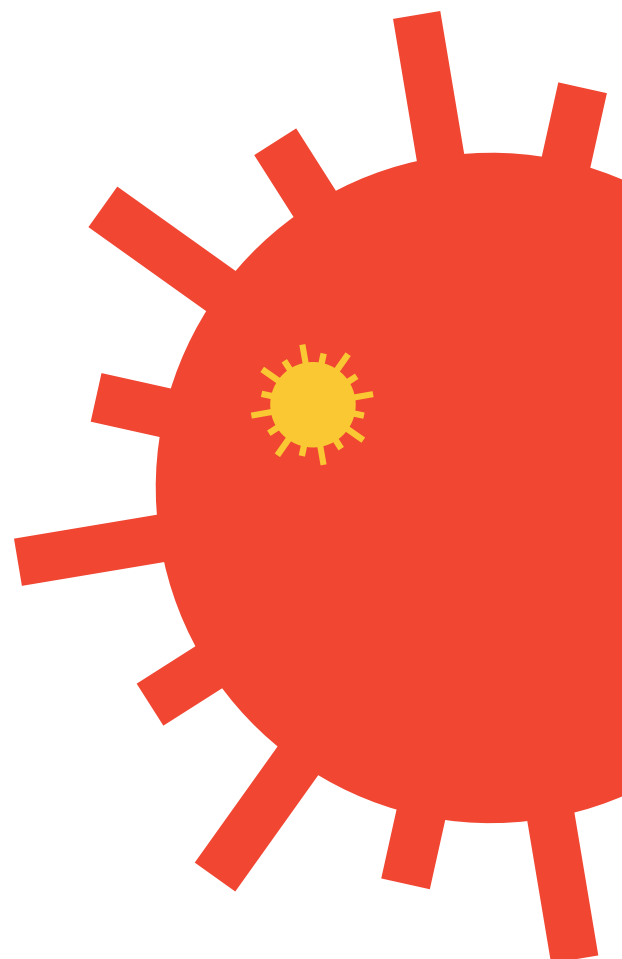
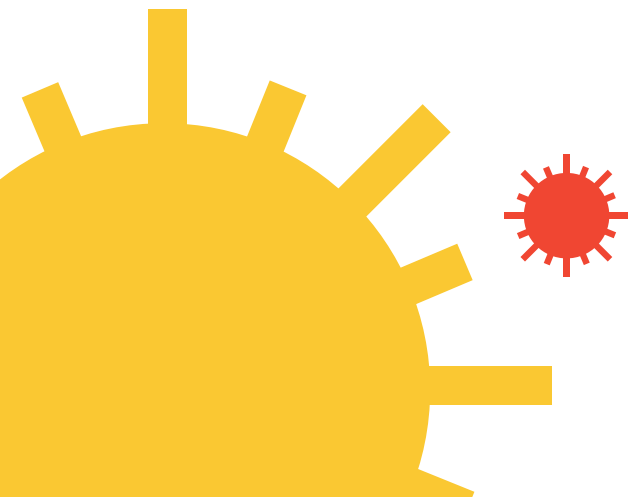
- [Press Releases & Speeches](#)
- [Financial impact](#)
- [Traveler Advice](#)
- [Professional resources](#)

**COVID-19 news** – a collection of news stories from airlines and airports as well as government relief measures.

## Comms Materials

### Communication Assets for Industry's Re-Start

As the industry moves into the re-start phase following the COVID-19 pandemic, IATA has developed infographics, visuals, and videos to help restore the travel confidence. Any industry stakeholder can download, use, and promote these assets through their own communication channels as images are copyright free.



## **NOTICE**

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## Approval Page

This Edition was reviewed by the IATA Audit Programs Department and the ISAGO Oversight Council.

It was approved for use, after due diligence as indicated below.

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## Abbreviations

Abbreviations, acronyms and definitions are outlined in full in the IATA Reference Manual for Audit Programs (IRM); however have been included here for ease of use.

AQPP	Auditor Quality Performance Program
CAP	Corrective Action Plan
CAR	Corrective Action Record
CBT	Computer-based Training
CoPA	IATA Charter of Professional Auditors
FAT	Final Action Taken
GOA	ISAGO Agent
GOGUIDE	Guidelines for ISAGO Auditors
GOPM	ISAGO Program Manual
GOSARPs	ISAGO Standards and Recommended Practices
GOSM	ISAGO Standards Manual
GSP	Ground Service Provider
IATA	International Air Transport Association
IGOM	IATA Ground Operations Manual
ISAGO	IATA Safety Audit for Ground Operations
ISAGO Disciplines	Ground operations covered within the scope of ISAGO
AGM	Aircraft Ground Movement
CGM	Cargo and Mail Handling
HDL	Aircraft Handling and Loading
LOD	Load Control
ORM	Organization and Management
PAB	Passenger and Baggage Handling
NoToCM	Notice to CoPA Members
QAPM	IATA Quality Assurance Program Manual
TR	Temporary Revision



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## Foreword

The IATA Safety Audit for Ground Operations (ISAGO) is an industry global standard for the oversight and audit of ground service providers (GSPs). It is complementary to the internationally recognized and accepted IATA Operational Safety Audit (IOSA) designed to assess the operational management and control systems of an air operator.

The ISAGO program was started by IATA in 2007 in response to an industry request to address the safety risks and incident costs of ground operations. The number of GSPs requesting audits increased steadily year on year to the point where the established pool member model was unable to meet the demand for audits. A new operational audit model was introduced in September 2017, designed to cope with future needs, enhance the benefits on offer and to ensure the audit scope, quality and costs were managed efficiently.

The primary objective of ISAGO is to improve the safety of ground operations through the oversight of the implementation of management systems within a GSP and standardized operational procedures. With the growth of air traffic, airport operations have become increasingly complex. More and larger aircraft, an increase in the ground support equipment needed and the demand for faster turnaround times all contribute to the challenge of improving the safety of aircraft ground operations. The industry recognizes that the standardization of many areas of ground operations covered by the ISAGO Audit is where safety improvements and cost savings can be achieved. In the absence of regulations similar to those applied to air and airport operators, ISAGO requires a GSP to implement a safety management system (SMS).

The secondary objective of ISAGO is to provide an accepted cost-effective alternative to the audits conducted by airlines of ground operations and hence reduce duplication. IATA aims to establish regulatory authority recognition of ISAGO such that it can be used by air operators and airports as an acceptable means of compliance with relevant regulations for the oversight of ground handling activities.

ISAGO is conducted in a standardized and consistent manner using internationally recognized standards and quality auditing principles. The ISAGO Audits are based on an assessment of conformity with applicable ISAGO Standards and Recommended Practices (GOSARPs) that are outlined in the ISAGO Standards Manual (GOSM). The GOSARPs are reviewed annually and derived from international standards and recommended practices such as published by the International Civil Aviation Organization (ICAO) and state/regional regulatory authorities and can be applied to the management activities and specific ground operations of any GSP worldwide. The technical content of the GOSARPs contained in the GOSM are under continual review and maintenance by a technical group comprising operational, safety, security and quality experts from airlines and providers.

ISAGO is not a certification scheme, such as provided by agencies that certify compliance with design or process standards. ISAGO goes further, encompassing and providing an independent assessment of all aspects of managing and providing safe ground handling services. Upon completion of an ISAGO Audit the GSP is awarded a certificate as recognition that it has in place management systems and operational practices that conform to all applicable GOSARPs. ISAGO Registration or Station Accreditation is, however, only valid if accompanied by a current ISAGO Audit Report.



This ISAGO Program Manual (GOPM) sets out the processes and procedures for the management, administration and conduct of ISAGO Audits and for the purpose of achieving a standardized and consistent Audit product.

Stakeholders are invited to provide, by Email, feedback on the content of this manual to the following address:

[isago@iata.org](mailto:isago@iata.org)

## Applicability

This GOPM applies to:

1. IATA, the managers of the ISAGO Program;
2. All GSPs and Aerodrome Operators audited under ISAGO;
3. ISAGO Agents contracted by IATA to provide audit administration services;
4. ISAGO Auditors that conduct the ISAGO Audits;
5. Airlines that make use of the ISAGO Audit Reports; and
6. IOSA Registered Airlines applying for ISAGO Registration.

Taking due consideration and in the interests of the program, the IATA Senior Vice President Safety & Flight Operations (SVP SFO) reserves the right to make a decision, take action, exempt or override any clause of this GOPM.



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## Record of Editions

<b>Edition Number</b>	<b>Issue Date</b>	<b>Effective Date</b>
1st Edition	December 2017	January 2018
2nd Edition	December 2018	January 2019
3rd Edition	December 2020	January 2021



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## Description of Changes

The following table provides a brief description of the main changes (in addition to updating and editorial changes) contained in GOPM Edition 3.

<b>Section</b>	<b>Description of Change</b>
Applicability	Applicability added for IOSA registered airlines.
Section 2	Revised ISAGO registration and Station accreditation requirements and process
Section 5	Revision of CoPA qualification and ISAGO Auditor training process
Section 7	New ISAGO Airline Membership category added.
Section 8	Revision of IATA Quality practices and auditor performance oversight and results,
Section 10	Clarification provided for invoicing method, payment terms reinforced, clarity on reimbursement of audit fees and addition of non-refundable IATA admin fee.
Annex F	New logos incorporated.
Annex G	New Annex outlining provisions for IOSA registered airlines applying for ISAGO registration.
Annex H	New annex outlining the ISAGO Program Privacy Policy
Annex I	New Annex outlining the ISAGO COVID-19 Support Program and the temporary introduction of Remote and Onsite follow-up Audits



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# Introduction

## Purpose

This GOPM shall be the basis for the quality oversight and management of the ISAGO Program.

The GOPM is published to provide the basis for standardization of the ISAGO program, such that each audit is organized and conducted in a consistent manner.

ISAGO Audits will only be conducted by members of the IATA Charter of Professional Auditors (CoPA) that have successfully completed the training and qualification process as detailed in this GOPM.

## ISAGO Documentation System

This GOPM used in association with the documentation listed at [Annex A](#) and supporting notices, bulletins and forms, comprise the ISAGO documentation system. Policies, guidelines, resolutions, and additional strategy and position papers complementary to the GOPM may be published by IATA.

The current version of the ISAGO document or form shall be used.

## Language

International English as per the Merriam-Webster dictionary is the official language of the ISAGO Program and used in all ISAGO documentation.

## Manual Revision

IATA will update this GOPM and publish a new Edition as necessary to ensure the content remains current and meets the needs of the ISAGO Program. The Edition number and its effective date is indicated on the front cover, recorded on page xi, and is repeated throughout in the page footer.

Revisions are developed by IATA, in consultation with industry representatives and subject matter experts. A Temporary Revision (TR) will be issued if the implementation of a revision to this GOPM becomes necessary before a new Edition can be published. The TR will address one or more specific items and include a reference to the GOPM content to which it refers. The TR will, unless notified otherwise, be effective upon publication.

A new Edition will include a TR issued since the previous Edition was published and still applicable.



## Manual Approval

The IATA Senior Vice President Safety & Flight Operations (SVP SFO) approves a new Edition of this GOPM or a TR for publication.

## Content Changes

A “Description of Changes” table on page xiii highlights the significant changes that appear in the new Edition of the GOPM.

## Conflicting Information

ISAGO documentation is not usually revised concurrently and conflicting information may appear in the publications. IATA should be contacted for clarification of an inconsistency in the ISAGO documentation, and correction will be made as soon as possible. The GOPM shall prevail if there are inconsistencies in the GOPM and a signed Agreement with IATA.

## ISAGO Documents

This GOPM and other referenced documents will be made available on the ISAGO website, at <http://www.iata.org/isago>, and other online sources as notified.

## ISAGO Abbreviations, Acronyms, Definitions

The terminology used in this GOPM is explained in the text or defined on page vii or in the IATA Reference Manual for Audit Programs (IRM).

# Section 1— ISAGO Program Management

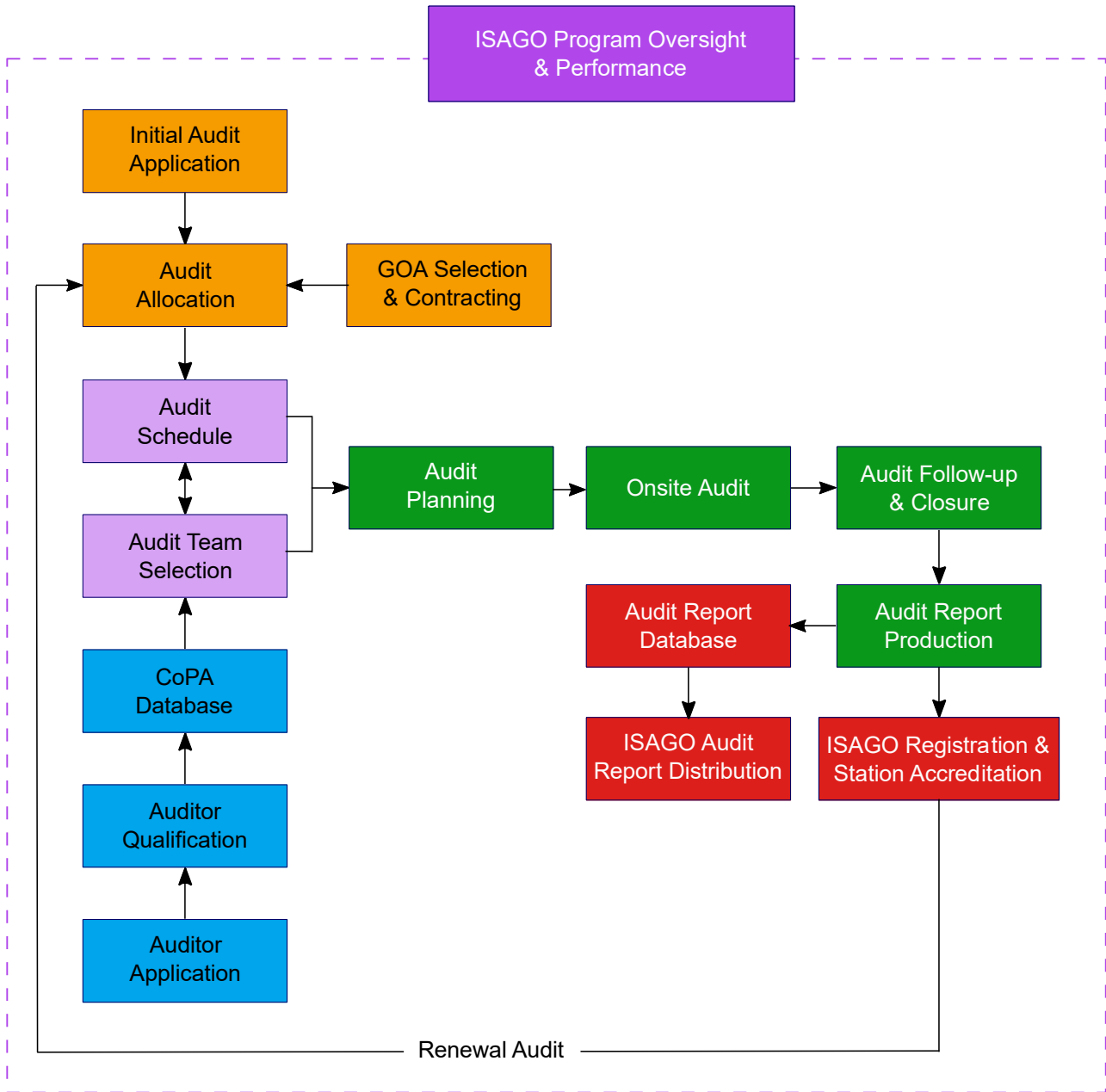
## 1.1 Purpose & Scope

- 1.1.1 The purpose of this Section of the GOPM is to outline the high-level functionality, roles and responsibilities of ISAGO and the processes implemented to manage the audit program. The majority of the processes and procedures that are managed internally by IATA, and those associated with the administration and conduct an ISAGO Audit, are outlined in detail in the other Sections of this Manual.
- 1.1.2 ISAGO comprises an organization Registration and Station Accreditation scheme built upon a schedule of audits.

## 1.2 ISAGO Framework

- 1.2.1 ISAGO Registration is the formal recognition that the GSP has been audited, by IATA recognized ISAGO Auditors, and has demonstrated conformity with the applicable ISAGO Standards and Recommended Practices (GOSARPs) specified in the ISAGO Standards Manual (GOSM). ISAGO Registration applies to the GSP's organization as a whole and requires the GSP to demonstrate that ground operations conducted at one or more of its Stations are also in conformity with applicable GOSARPs. In this respect, a Station that has been successfully audited will receive a Station Accreditation.
- 1.2.2 GSPs are expected to maintain conformity with the applicable GOSARPs at both their Headquarters and all accredited Stations throughout the period of ISAGO Registration.
- 1.2.3 The functional components of the ISAGO program are illustrated in [Figure 1.1](#) and the primary roles and responsibilities are described in the following paragraphs.

Figure 1.1 – ISAGO Functional Overview



## 1.3 Role & Responsibilities of IATA (ISAGO Management & Administration)

- 1.3.1 IATA's role is, on a routine basis, to manage and administer and, periodically, to oversee and develop the ISAGO program.
- 1.3.2 IATA is primarily responsible in ISAGO for the:
- a) registration of a GSP and accreditation of a Station;
  - b) allocation of audits;
  - c) contracting of an ISAGO Agent (GOA) to administer an audit allocation on IATA's behalf;
  - d) training and qualification of ISAGO Auditors, and management of the IATA Charter of Professional Auditors (CoPA);
  - e) development of the audit processes and procedures;
  - f) control of ISAGO document and record management, including the recording, distribution and sharing of ISAGO Audit Reports;
  - g) oversight through performance assessments of ISAGO Auditors and the GOA(s);
  - h) improvement through quality assurance of the ISAGO program;
  - i) provision of IT applications, including websites and audit software;
  - j) safety performance and business analysis;
  - k) resolution of a dispute;
  - l) administration of the scheme of charges;
  - m) management of the ISAGO program, standards and other provisions; and
  - n) management of the ISAGO governance structure.
- 1.3.3 An efficient and effective ISAGO, with all stakeholders playing their part, will improve the chance of realizing the benefits all round. IATA will actively pursue its member airlines to use the ISAGO Audit Reports as intended, eliminate duplicate audits and require ISAGO Registration of its GSPs. Regulatory acceptance of ISAGO may be needed; hence, IATA will continue to maintain a close relationship with state, regional and global regulators, promoting the benefits of industry-led safety oversight of ground operations. Equally, IATA will seek similar recognition of ISAGO for airport oversight obligations.
- 1.3.4 IATA will maintain and develop the ISAGO program and the scope of the ISAGO Audit to meet industry needs.
- 1.3.5 IATA abides by the legal statutes relating to sanctions applied to states and organizations and persons of specified states, which may prevent obtaining or maintaining CoPA membership, becoming a GOA and/or obtaining or maintaining ISAGO Registration and/or Station Accreditation.

## 1.4 Role & Responsibilities of a GSP

1.4.1 For the purpose of the ISAGO Audit, the role of the GSP is to prepare, in coordination with the GOA, for the audit and to address any Findings within the audit closure period or before an existing ISAGO Registration or Station Accreditation expiry date, whichever comes first.

1.4.2 The GSP is primarily responsible for:

- a) application of a request for an Initial Headquarters and Initial Station Audit, and ensuring that Renewal Audits are conducted to maintain ISAGO Registration and Station Accreditation;
- b) submission of and updating its Organization Exposition (see [3.3.4](#));
- c) coordination with the GOA to schedule, prepare for an audit and assistance in organizing the audit team;
- d) to assist the Lead Auditor to complete the Audit Plan;
- e) facilitation of the onsite portion of the audit;
- f) coordination with the Lead Auditor for the conduct of the audit;
- g) provision of requested documentation relating to the audit, including provision of documentation prior to the onsite audit if applicable;
- h) providing the ISAGO Auditor access to operational areas to perform observations of the ground operations;
- i) providing IATA with feedback on the performance of each member of the audit team;
- j) development and implementation of the Corrective Action Plan (CAP) to close all Findings, providing assistance to the ISAGO Auditor as necessary;
- k) keeping up-to-date with ISAGO developments and familiarizing its management and relevant employees with all applicable GOSARPs and other provisions applicable to the GSP's ground operations;
- l) maintaining conformity with the applicable GOSARPs at both their Headquarters and all accredited Stations throughout the period of ISAGO Registration;
- m) maintaining its documented references, accounting for any significant change in management or operations and amendments to applicable GOSARPs;
- n) notifying IATA with changes in circumstances;
- o) providing IATA information regarding benefits gained and airline requests for ISAGO Registration status and other details as specified in [7.4.16](#); and
- p) ensuring compliance with IATA policies and requirements as defined in this manual and respective agreements.

1.4.3 The responsibilities of the GSP are outlined in full in Sections 2, 3 and 6, and as per an executed Audit Agreement.



## 1.5 Role & Responsibilities of a GOA (Audit Administration)

- 1.5.1 A GOA acts as an extension of IATA to provide an administrative service to organize ISAGO Audits. The ISAGO Audits are allocated to a GOA by IATA.
- 1.5.2 A GOA is primarily responsible, normally in coordination with the relevant GSPs, for:
- a) making arrangements for an audit allocated by IATA, considering the needs of the GSP and the audit team, including travel and accommodation;
  - b) selecting the audit teams, including the nomination of a Lead Auditor, while ensuring that there is no conflict of interest;
  - c) organizing the audit build in the audit software according to the audit scope;
  - d) making arrangements, where necessary, for audit onsite follow-up activities;
  - e) submitting specified reports to IATA;
  - f) providing feedback to IATA aimed at improving the program; and
  - g) ensuring compliance with IATA policies and requirements as defined in this manual and respective agreements.
- 1.5.3 The responsibilities of the GOA are outlined in full in Sections 3 and 4, and as contracted.

## 1.6 Role & Responsibilities of an ISAGO Auditor

- 1.6.1 The role of an ISAGO Auditor is foremost to conduct an ISAGO Audit of specified disciplines. In this GOPM, the term ISAGO Auditor includes both types of auditors: Auditors and Lead Auditors (that are nominated as the Lead Auditor for an ISAGO Audit) that form the audit team. The term audit team applies also where there is only one ISAGO Auditor (as the Lead Auditor) conducting the ISAGO Audit.
- 1.6.2 The ISAGO Auditor is primarily responsible for:
- a) maintaining CoPA membership and ensuring that he/she is authorized to conduct the audit of the specified disciplines;
  - b) maintaining awareness of the ISAGO program and competence in the disciplines in which an authorization is held, including the GOSARPs and operational practices;
  - c) ensuring that there is no conflict of interest or breach of confidentiality requirements and informing the relevant GOA if circumstances change such that a conflict of interest or breach of confidentiality is possible;
  - d) ensuring that the audit build in the audit software is correct for the disciplines the Auditor will be responsible for;
  - e) conducting the audits in a consistent manner, adhering to the audit guidelines and using the forms, templates and software provided;

- f) conducting follow-up activities, closing Findings and quality control of the respective disciplines he/she covered in the audit;
- g) providing feedback to IATA on each member of the audit team after each audit;
- h) adhering to the contracted terms and conditions of the CoPA;
- i) ensuring that his/her CoPA details and audit records are complete, correct and updated; and
- j) ensuring compliance with IATA policies and requirements as defined in this manual and respective agreements.

**1.6.3** One qualified Lead Auditor will be assigned by the GOA the role of the Lead Auditor for each audit. In addition to the responsibilities assigned to an ISAGO Auditor, a nominated Lead Auditor is primarily responsible for:

- a) development of an Audit Plan for each audit, including proper management of all phases of the audit;
- b) ensuring that the audit build in the audit software is correct;
- c) management and direction of the audit team in conducting the onsite audit, including leading the opening and closing meetings;
- d) keeping the GSP regularly informed of audit progress and developments (including the identification of non-conformities);
- e) smooth running of the audit, according to plan, prevention of distractions and resolution of conflict;
- f) development of an Audit Summary Report for the onsite audit closing meeting;
- g) liaison with the GSP for all audit activities but excluding those which the GOA is responsible;
- h) closure of the audit and the production of a quality-controlled ISAGO Audit Report; and
- i) delivery of the ISAGO Audit Report to IATA Quality Control within the required time period.

**1.6.4** An ISAGO Auditor may be requested by IATA to perform an onsite evaluation of a Candidate Auditor or Candidate Lead Auditor or another Auditor/Lead Auditor.

**1.6.5** The responsibilities of an ISAGO Auditor and the Lead Auditor are outlined in full in Sections 5 and 6, and as contracted.

## **1.7 Responsibilities of an Airline**

**1.7.1** The primary responsibility of an Airline is to support the ISAGO program by executing an agreement with IATA that requires the Airline to:

- a) contract a GSP with an ISAGO Registration and Station Accreditation at the airport where the ground operations that fall within the scope of the program are provided;
- b) provide IATA with details of the GSPs that it contracts;

- c) use an available ISAGO Audit Report in lieu of conducting its own audit of the GSP concerned and covering the same scope;
- d) provide IATA with feedback on the quality of the ISAGO Audit Reports and ISAGO benefits gained (e.g. audit reduction, man-days reduction, cost reduction);
- e) provide IATA with a list of GSPs that it contracts to provide ground handling services and update the list on an annual basis;
- f) propose its regulatory authority accepts the ISAGO Audit Report as equivalent compliance with the airline's oversight of ground operations, as required, and to use the ISAGO Audit Report for that purpose; and
- g) actively promote the ISAGO program by engaging with regulatory authorities, airports, GSPs and their representatives.

**1.7.2** It is recognized that the ISAGO Audit may not cover all areas of an airline's ground operations oversight obligations; however, the principle expectation of ISAGO is that the airline will not audit those areas that are covered by an ISAGO Audit and an associated ISAGO Audit Report is available.

**1.7.3** An Airline will not share an ISAGO Audit Report or the information contained therein with any other party unless permitted by the terms and conditions of receiving the ISAGO Audit Report, or without the permission of IATA and the GSP concerned.

**1.7.4** An Airline may also encourage or sponsor its employee auditors to become members of the CoPA and participate in ISAGO Audits.

**1.7.5** The responsibilities of an Airlines are outlined in full in Section 7 and as per an executed Airline Agreement.

## **1.8 Conflict of Interest and Confidentiality of Intellectual Property**

**1.8.1** A contract or agreement between IATA and a GSP; IATA and a GOA; IATA and an ISAGO Auditor, and the terms and conditions of membership of the CoPA will specify what constitutes a conflict of interest or the requirements to protect confidential information or intellectual property.

**1.8.2** A conflict of interest will be if the ISAGO Auditor:

- a) within the previous two years provided the GSP being audited with a training course, workshops or other consultancy based services related to the audit or provided assistance in conforming to any content of the GOSM; or
- b) is participating in an audit within the scope of ISAGO of his/her own organization, or any Group Company, or for whom was employed within the past two years; or
- c) is participating in an audit of a GSP for whom a family member or a close relative is affiliated and might influence or gain from the outcome of the audit; or

- d) receives payment or payment-in-kind from the GSP that could have an influence on the outcome of an audit that the ISAGO Auditor is participating or has participated in; or
- e) is providing consulting services to a GSP while engaged in an audit or an audit closure of that GSP.

**1.8.3** A conflict of interest as defined in **1.8.2 a)** and **1.8.2 e)** may not apply if there is no association with previously provided consultancy based services. This might occur where the GSP is a large multi-national organization and the service provided is in a different region with no relationship to the Headquarters or the Station being audited.

**1.8.4** While the ISAGO Auditor has an obligation to inform the GOA of a conflict of interest, every effort should be made by the GOA to prevent a conflict of interest before a contract is signed with the ISAGO Auditor. The GOA or ISAGO Auditor should consult IATA in all cases of doubt regarding conflict of interest.

**1.8.5** The GOA or ISAGO Auditor shall not disclose or use any confidential information, including documents and information that access may be given to before, during or after an ISAGO Audit or pertaining to ISAGO or a GSP without the explicit permission of the owner. All ISAGO GOAs and all ISAGO Auditors are subject to non-disclosure, ethics and business conduct requirements, see [Annex D](#).

**1.8.6** All information provided to IATA as a result of executing ISAGO Agreements shall be held in confidence and protected against theft, loss or misuse. Confidential Information will be used by IATA solely for the purpose of managing the ISAGO program, and enhancing or improving the ISAGO program and the benefits that can be achieved.

**1.8.7** Anyone associated with ISAGO shall notify IATA as soon as practicable if he or she becomes aware of a potential or an actual conflict of interest or a breach of confidentiality.

**1.8.8** Audits are conducted using specific procedures and bespoke auditing tools developed and maintained by IATA. The data recorded in the auditing tools is used only to compile the ISAGO Audit Report and to compute de-identified audit statistics used as part of activity verification and improvement measures.

## **1.9 Scheme of Charges**

**1.9.1** A scheme of charges is implemented and maintained by IATA to recover the costs associated with the operation and maintenance of ISAGO.

**1.9.2** The fees and charges, as outlined in Section 10, are levied on those stakeholders that benefit the most, proportionate to the benefits received. The fees and charges must be fair and competitive but also sufficient to safeguard against any reduction in the quality, integrity and impartiality of the audits and the ISAGO program.

## **1.10 Reference Documentation**

**1.10.1** In dispensing its responsibility for the management of ISAGO provisions, a framework of regular work exists to develop ISAGO processes and procedures, and to develop the GOSARPs and guidance material.

The framework is managed by IATA, integrated with industry and regulatory expertise and consultation with the Ground Handling Technical Group (GRH TG). IATA is also responsible for the development of provisions for the inclusion of additional ground operations in the scope of the ISAGO Audits. Processes also exist for the suspension or special review of GOSARPs that may not be fit for purpose, and require further evaluation with the potential for amendment or deletion.

1.10.2 Reference documentation that may be needed to conduct an ISAGO Audit are listed in [Annex A](#).

## 1.11 Documentation/Records Management

1.11.1 All documentation and records associated with ISAGO, including manuals, ISAGO Audit Reports, contracts and ISAGO Registration and Station Accreditation records are administered and maintained by IATA.

1.11.2 ISAGO activities and record management processes are mostly internet-based. The ISAGO Audit management system is a web-based tool for the organization and management of the ISAGO audits, and provides authorized external users access to information such as organization ISAGO Registration and Station Accreditation details and ISAGO Audit Reports. The websites and databases have appropriate levels of security, confidentiality and integrity.

1.11.3 The CoPA is a dedicated web-based application that Auditors and Lead Auditors use to record their audit activities, membership and currency status and recurrent training attendance. It also incorporates the ISAGO Auditor application, training and qualification process. Further details are outlined in Section 5. As a member of the CoPA an ISAGO Auditor will agree to the use by IATA of de-identified membership and auditing data for quality assurance purposes and other forms of business analysis.

1.11.4 Auditing tools and software is provided by IATA and its use is mandatory. The software contains audit checklists and report writing applications.

## 1.12 Agreements

1.12.1 IATA manages the ISAGO program through the execution of Agreements that specify the contractual arrangements between IATA and the parties involved (the GSPs, ISAGO Auditors, ISAGO Agents and Airlines).

1.12.2 An Audit Agreement is executed between IATA and a GSP that wishes to schedule an ISAGO Audit. The Audit Agreement specifies the terms and conditions of scheduling the audit or audits and the subsequent ISAGO Registration or Station Accreditation. The Audit Agreement is signed once but is updated every year, or as necessary, when determining the audit schedule for that year is started. An Audit Agreement and the update has to be signed by the GSP before any work on the administration proper of an audit commences.

1.12.3 An Auditor Agreement is executed between IATA and an ISAGO Auditor for the services that the auditor will perform. The services include performing an ISAGO Audit assigned by an ISAGO Agent. The ISAGO Auditor also signs an Agreement that specifies the terms and conditions of membership of the CoPA.

1.12.4 An ISAGO Agent Agreement is executed between IATA and an ISAGO Agent upon a successful tender bid. The ISAGO Agent Agreement specifies the services that the GOA will perform and every year, or as necessary, the audits allocated by IATA.

1.12.5 An Airline Agreement is executed between IATA and an Airline that wishes to subscribe to receive access to, or purchase individually, an ISAGO Audit Report. An Airline Agreement also specifies the ISAGO membership obligations of the Airline.

## 1.13 Communications

1.13.1 The primary means of communicating ISAGO matters to stakeholders will be a dedicated ISAGO website and other forms of digital media. It is recommended that the organization establishes a generic Email address for all correspondence with IATA related to ISAGO, and any contact change is notified (by Email reply) as soon as practicable to IATA, see 3.3.4 e). This way communications are not linked to an individual, subject to frequent change or work schedules.

1.13.2 IATA notifies any addition or amendment to the ISAGO program or provisions, by:

- a) a GSP Bulletin for an ISAGO matter that requires the attention of GSPs.
- b) a Notice to CoPA Members (NoToCM) for matters that require the attention of an ISAGO Auditor.

1.13.3 IATA will endeavor to provide a response to an inquiry or other communication regarding ISAGO in a timely manner.

1.13.4 IATA will review, as necessary, any contractual document associated with ISAGO and will communicate any change to affected parties before the change becoming effective as specified in the contract.

1.13.5 IATA will, in collaboration with the parties concerned, provide an official response to a media inquiry and/or request regarding a GSP that is ISAGO registered or in the process of obtaining ISAGO Registration or a Station Accreditation. IATA will only respond with an answer that relates directly to the ISAGO Registration and/or Station Accreditation, and will consult the relevant GSP before doing so.

## 1.14 ISAGO Audit Program management

1.14.1 IATA will have an organization and management system that supports all operations associated with the ISAGO program. The system shall include:

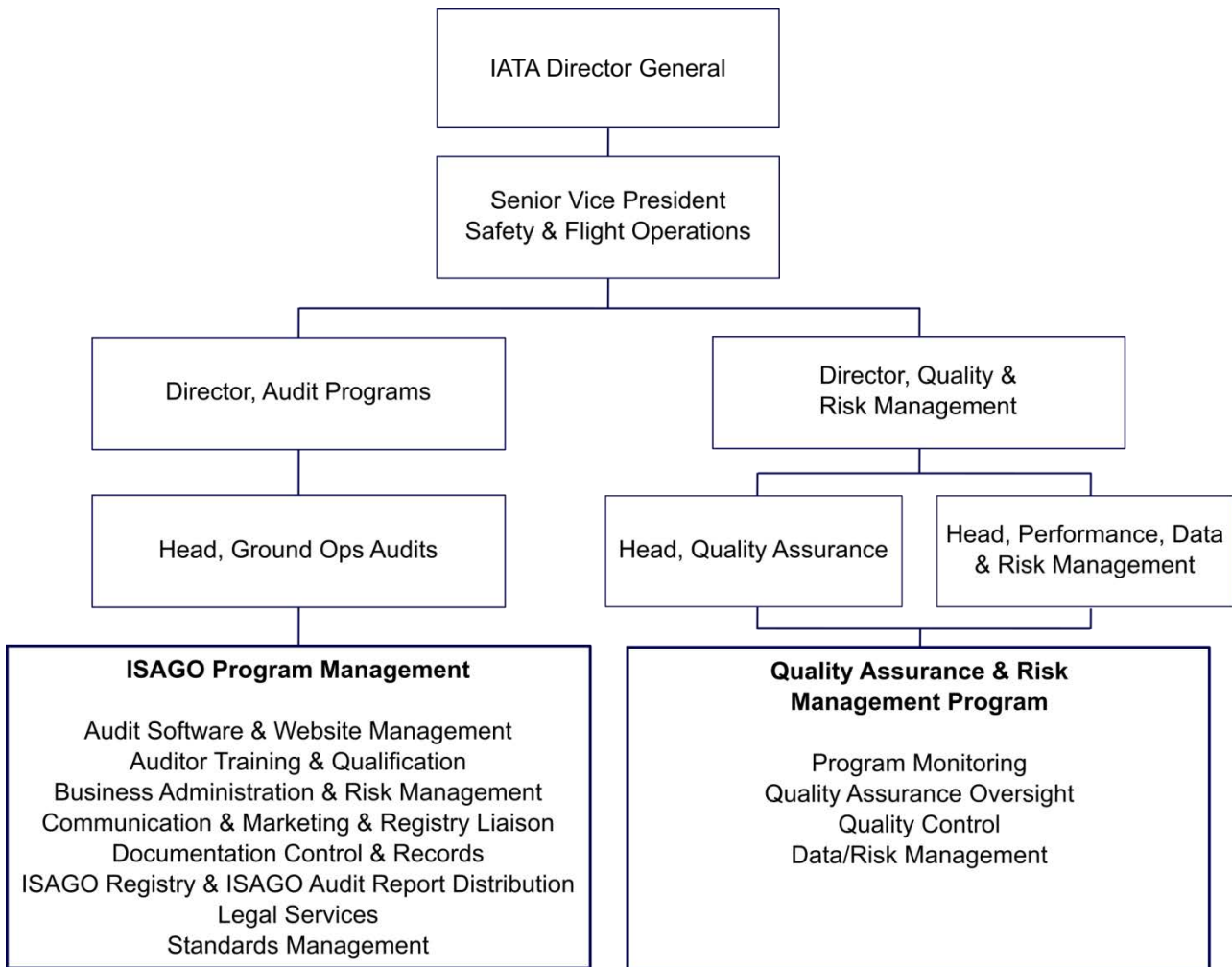
- a) an Accountable Executive (in the case of ISAGO, the IATA Senior Vice President Safety & Flight Operations (SVP SFO);
- b) defined lines of managerial authority and responsibilities;
- c) documented policies, processes and procedures; and

- d) provision of appropriate resources (personnel, equipment and facilities, information and other direct and ancillary resources) necessary to effectively manage and control the ISAGO program (see [Figure 1.2](#)).

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

- 1.14.2 IATA will 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 ISAGO program. Processes will be documented, structured and implemented in a manner consistent with accepted quality management principles.
- 1.14.3 IATA will have defined methods for monitoring, measuring and analyzing ISAGO management and control processes to ensure they are producing desired outcomes and there is continual improvement of all processes.
- 1.14.4 IATA will have a process for a review of the ISAGO quality management system to ensure continuing suitability and effectiveness. The review will be scheduled and conducted a minimum of once during each calendar year, and will be designed to identify opportunities for improvement and areas within the management system in need of change.
- 1.14.5 IATA will permit a review of the ISAGO management system by designated representatives from qualified interested entities. Such review will be accommodated only after verification that the requesting entity has demonstrated an appropriate need, or requirement, to conduct such a review.
- 1.14.6 IATA will have policies, regulations and requirements, as amended from time to time, regarding security, ethics, data privacy and information. Such policies, regulations and requirements are incorporated by reference into agreements between IATA and ISAGO program participants, this program manual or user manual, as the case may be.
- 1.14.7 IATA will process all personal information in accordance with applicable data protection laws, and IATA's Audit Programs' Privacy Policy referenced in [Annex H](#).

Figure 1.2 – ISAGO Program Management System (Functional Overview)



## 1.15 Improvement of ISAGO

- 1.15.1 IATA Quality Assurance, as outlined in Section 8, may periodically review the functionality and performance of the ISAGO management and administration, present QA oversight audit and performance results to IATA and other relevant persons and recommend improvements.

## 1.16 Governance

- 1.16.1 The ISAGO program is maintained and developed by IATA in collaboration with the ISAGO Oversight Council (GOC), the Safety Flight and Ground Operations Advisory Council (SFGAOC) and industry stakeholders. IATA will advise the GOC, SFGAOC and any other relevant body on all matters that relate to ISAGO.



## Section 2—ISAGO Registration & Station Accreditation

### 2.1 Purpose & Scope

- 2.1.1 This Section of the GOPM outlines the GSP ISAGO Registration and Station Accreditation schemes.
- 2.1.2 ISAGO is a registration scheme for GSPs. ISAGO Registration is the formal recognition that the GSP has been audited at its Headquarters and its processes, procedures and operations have demonstrated conformity with the applicable GOSARPs. ISAGO Registration is granted to a GSP as an organization.
- 2.1.3 A Station Accreditation is granted to a Station where the GSP provides ground operations and the Station has been audited and its processes, procedures and operations have demonstrated conformity with the applicable GOSARPs. The GSP may apply to accredit as many Stations as it wishes.
- 2.1.4 It is essential that the GSP understands the processes involved in gaining and maintaining an ISAGO Registration or Station Accreditation. The processes require attention to the sequence of activities involved and the timelines needed to complete all required activities within the given deadlines. Failure to do so may compromise the audit, the ISAGO Registration or Station Accreditation and, potentially, incur additional costs
- 2.1.5 An Operator that provides ground operations to itself and/or other Operators and seeks ISAGO Registration would be subject to the same requirements as a GSP, except where the Operator is IOSA-registered in which case the requirements outlined in [Annex G](#) will apply.
- 2.1.6 An Aerodrome Operator that provides ground operations either at one or more airports seeking ISAGO Registration would be subject to the same requirements as a GSP.

### 2.2 The Ground Service Provider as an Organization

- 2.2.1 For the purpose of ISAGO Registration (and subsequent Station Accreditation) the GSP will be a legally registered or wholly-owned organization with its own management structure that is directly accountable for the provision of ground operations.
- 2.2.2 The GSP Organization Exposition, see [3.3.4](#), will be used by IATA to determine the applicable type and scope of the audits to be conducted.
- 2.2.3 The information contained in the GSP Organization Exposition will also be used by IATA to understand the size and structure of the GSP as an organization. A subsidiary, partnership, joint venture, franchise or other form of organizational agreement will require a separate ISAGO Registration if an independent management authority and structure exists, even if the same management systems and procedures are in place.

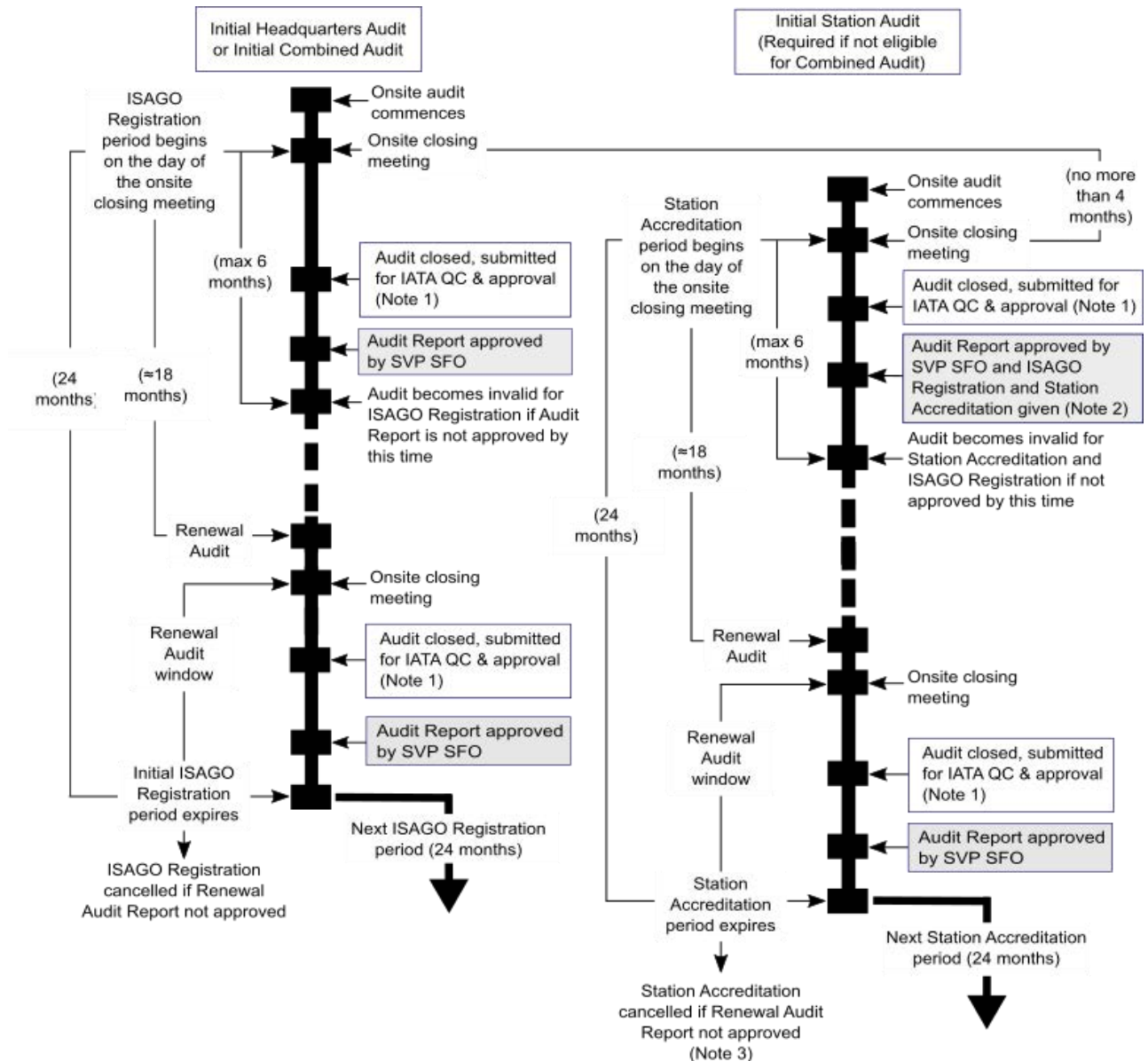
- 2.2.4 The GSP Organization Exposition shall be kept up-to-date, including if the GSP is subject to or the beneficiary of a merger or an acquisition and the ISAGO audit requirements to maintain ISAGO Registration and Station Accreditation will need to be determined.

## 2.3 ISAGO Registration/Station Accreditation

- 2.3.1 An initial ISAGO Registration involves the initial audit of the organization's Headquarters followed by the initial audit of a Station or, where eligible, the registration can be achieved through an Initial Combined Audit (see 3.4). Each audit has to be closed see (6.7.2), then quality-checked and approved by IATA.
- 2.3.2 A Station has to be accredited to be associated with a GSP's ISAGO Registration. The Initial Station Accreditation Audit for initial ISAGO Registration purposes has to take place within four calendar months of the date of the Initial Headquarters Audit onsite closing meeting. The GSP may accredit an additional Station by an Initial Station Accreditation Audit.
- 2.3.3 An Initial ISAGO Registration is given when the ISAGO Audit Reports of both the Initial Headquarters Audit and an Initial Station Audit are approved by IATA SVP SFO. An Initial Station Accreditation will be given to the station where the Initial Station Audit took place. An Initial ISAGO Registration can also be given, where eligible, when the ISAGO Audit Report of an Initial Combined Audit is approved by IATA SVP SFO. In the case of a Combined Audit, the Station Accreditation applies to the station where the Initial Combined Audit took place
- 2.3.4 The ISAGO Audit Reports for the Initial Headquarters Audit and Initial Station Audit, or the Initial Combined Audit, have to be submitted to IATA by the Lead Auditor within five days of the closure of the audit. The audit reports have to be approved by IATA SVP SFO within six calendar months of the date of the respective onsite closing meeting. The process for an Initial ISAGO Registration must therefore be completed in full within 10 months of the closing meeting of the Initial Headquarters Audit or six months of the closing meeting of the Initial Combined Audit. The ISAGO Registration process will be cancelled if the audit report for the Initial Headquarters Audit or the Initial Combined Audit is not approved or if the audit report for an Initial Station Audit is not approved within that period of time, see [Figure 2.1](#).
- 2.3.5 The audit team will conduct a quality control check of all the audit details in the audit software prior to closure of the audit. The Lead Auditor will conduct a final quality control check when closing the audit and prior to submission of the audit report to IATA. These QC checks are necessary to minimize the risk of an IATA QC finding and delay in the approval of the audit report.
- 2.3.6 The Lead Auditor will close the audit report in the audit software when all the findings have been satisfactorily closed, and the quality control checks are completed. The Lead Auditor will, at the time of audit closure, notify IATA Quality by email, and copy the relevant ISAGO Agent, that the audit has been closed. Submission of the ISAGO Audit Report to IATA less than 20 calendar days before the ISAGO Registration or Station Accreditation expiry date may not give enough time for completion of the IATA QC process and approval of the audit report before the ISAGO Registration or Station Accreditation expiry date, see 2.1.5.
- 2.3.7 The Initial ISAGO Registration of the GSP will be notified on the ISAGO Registry when both the audit report for the Initial Headquarters Audit and an Initial Station Audit or the Initial Combined Audit is approved by SVP SFO. An applicable Station Accreditation will also be notified on the ISAGO Registry at the same time.

2.3.8 ISAGO Registration and Station Accreditation is a continuous process of renewal by undertaking and closing Renewal Audits before the current ISAGO Registration or Station Accreditation period expires. A GSP's continuous ISAGO Registration or Station Accreditation is subject to the conditions specified in this GOPM and the executed Audit Agreement.

Figure 2.1 – ISAGO Registration & Station Accreditation Timelines



(Timeline not to scale)

Note 1: Allow enough time (at least 20 days) within the give audit closure period for IATA QC and approval.

Note 2: ISAGO Registration is suspended if not completed with 10 months of Initial Headquarters Audit onsite closing meeting.

Note 3: ISAGO Registration is suspended if no other station has a Station Accreditation.

## 2.4 Period of ISAGO Registration & Station Accreditation

- 2.4.1 An initial ISAGO Registration expires 24 calendar months from the date of the onsite closing meeting of the Initial Headquarters Audit. Upon renewal and thereafter upon each subsequent renewal, the ISAGO Registration will be valid for a period of 24 calendar months.
- 2.4.2 An initial ISAGO Registration acquired by means of an Initial Combined Audit (see 3.4) expires 24 calendar months from the date of the onsite closing meeting. Upon renewal by another Combined Audit and thereafter upon each subsequent renewal, the ISAGO Registration will be for a period of 24 calendar months.
- 2.4.3 An initial Station Accreditation expires 24 calendar months from the date of the onsite closing meeting of the Initial Station Audit. Upon renewal and thereafter upon each subsequent renewal, the Station Accreditation will be for a period of 24 calendar months.
- 2.4.4 ISAGO Registration and Station Accreditation should be renewed on a continuous basis. Each new period of ISAGO Registration and Station Accreditation starts from the expiry date of the previous ISAGO Registration and Station Accreditation, see [Figure 2.1](#).

## 2.5 Renewal of ISAGO Registration & Station Accreditation

- 2.5.1 ISAGO Registration and Station Accreditation Renewal Audits are automatically scheduled by IATA and allocated to a GOA for completion in the appropriate year and before their expiry date. However, the GSP is responsible for ensuring that a Renewal Audit takes place and is closed without a break in ISAGO Registration or Station Accreditation.
- 2.5.2 ISAGO Registration and Station Accreditation will be renewed if the respective Renewal Audits are closed, IATA's quality control check is completed and the ISAGO Audit Reports are approved by the IATA SVP-SFO before the applicable expiry date IATA may, at its discretion, notify the renewal of the ISAGO Registration or Station Accreditation on the ISAGO Registry upon declaration of audit closure to IATA's quality by the Lead Auditor.
- 2.5.3 An ISAGO Audit is valid for 6 calendar months from the date of the onsite closing meeting. Renewal Audits should therefore be scheduled to give sufficient time to close the Renewal Audit and deliver the ISAGO Audit Report prior to the ISAGO Registration or Station Accreditation expiry date.
- Note:** Submission of the ISAGO Audit Report to IATA less than 20 calendar days before the ISAGO Registration or Station Accreditation expiry date may not give enough time for completion of the IATA QC process and approval of the audit report before the ISAGO Registration or Station Accreditation expiry date, The Registry will only be updated once the IATA QC is completed and approval is obtained from the SVP SFO, see [2.1.5](#) and [Figure 2.1](#).
- 2.5.4 The Lead Auditor should complete a final quality check of the ISAGO Audit Report before submission to IATA.

## 2.6 Maintaining ISAGO Registration & Station Accreditation

- 2.6.1 Once the GSP receives initial ISAGO Registration and the initial Accreditation of a Station, at least one Station has to be accredited at all times during the registration period. The GSP's ISAGO Registration will be suspended in accordance with 2.7 if the GSP does not have at least one Station Accreditation.
- 2.6.2 Failure of a GSP to maintain its ISAGO Registration will automatically cancel all Station Accreditations.
- 2.6.3 The GSP shall, as far as practicable, maintain conformity with the applicable GOSARPs as audited at the most recent Headquarters or Station Audit. Circumstances may, however, occur that affect, or have the potential to affect, the validity of the ISAGO Registration or a Station Accreditation, and shall be notified by the GSP to IATA (see also 3.3.5). Such circumstances may typically be:
- a) a change in the management of the organization or a change in the scope of ground operations provided at a Station;
  - b) a change in the organization and management processes and procedures or the imposition of restrictions or sanctions imposed by an airline or a regulatory or airport authority that impact upon safety or conformity;
  - c) cessation of its operations either at a Station, in part or as a whole; and
  - d) any takeover, merger, consolidation or other organizational/structural change.
- 2.6.4 The GSP shall also notify IATA within 30 days with details of an occurrence that relates directly to an ISAGO provision. The occurrence could be an accident or other safety event, or a management or legal matter. The purpose of the notification is solely to determine if the credibility of the GSP's ISAGO Registration or a Station Accreditation could be called into question. It is not IATA's intention to take any position or action in investigating or analyzing the occurrence other than to understand any potential ISAGO impact, which could be the appropriateness of a GOSARP or a questionable aspect of an audit, and it is possible that auditing action or an amendment to the ISAGO documentation is needed to mitigate or prevent a re-occurrence. As much detail as possible should be provided about why or how an ISAGO provision or a GOSARP was implicated in the occurrence. Notification of an occurrence involving ground damage does not negate the need, if a member, to file a report to the IATA Ground Damage Database.
- 2.6.5 All information provided by the GSP to IATA with respect to 2.6.3 and 2.6.4 will be treated as confidential, as covered by an Audit Agreement.
- 2.6.6 A significant change or safety occurrence might initiate a Verification Audit, see 2.9, to determine and address any impact on the GSP's Registration or Station Accreditation.
- 2.6.7 The GSP should notify IATA if it's ISAGO Registration or a Station Accreditation, or the renewal thereof is no longer required.

## 2.7 Suspended ISAGO Registration

- 2.7.1 ISAGO Registration will be suspended if the GSP is unable to obtain (by closing all Findings of the Initial Station Audit) or maintain at least one Station Accreditation.
- 2.7.2 Suspension of the ISAGO Registration allows the GSP to obtain a Station Accreditation within the remaining validity period of the ISAGO Registration. The suspension can be removed by the accreditation of a Station before the registration period expires. The ISAGO Registration will however be cancelled without delay if the accreditation of a Station is unlikely to happen in the time required.

## 2.8 Extenuating Circumstances

- 2.8.1 The GSP can submit a claim of extenuating circumstances to IATA if it becomes known that it is not possible to undergo or complete a renewal ISAGO audit before an applicable expiry date or audit closure will not be achieved on time due to plausible circumstances. Such circumstances will be those beyond the control of the GSP. The basis and justification of the claim should be clearly stated, and any relevant evidence should be included.
- 2.8.2 The GSP's Registration and the Accreditation of Stations (as applicable) will remain valid while the claim is being addressed, and all interested parties will be notified by IATA. An annotation shall be placed on the ISAGO Registry while the extenuating circumstances apply.
- 2.8.3 IATA will review the claim and, if accepted, will specify:
- a) the additional actions to be taken or the conditions that apply to achieve a resolution;
  - b) the date by which resolution has to be achieved, which will be up to:
    - i) 180 days following the ISAGO Registration or Station Accreditation expiry date if it is not possible to undergo or complete a renewal audit;
    - ii) 90 days from the date that IATA reviews the claim in the case of failure to close the audit within the required time;
  - c) the impact on the ISAGO Registration or Station Accreditation expiry date (if any); and
  - d) the consequences if a resolution is not achieved by the specified date.
- 2.8.4 The original ISAGO Registration or Station Accreditation conditions will remain if IATA does not accept the claim.

## 2.9 Verification Audit

- 2.9.1 IATA reserves the right to direct the GSP to undergo a Verification Audit during its period of ISAGO Registration. The purpose of the Verification Audit, which is an additional Headquarters or Station Audit (or both), would be to verify the conformity status of specified GOSARPs. The nonconformity status might have been reported by an airline or airport or identified because of a significant safety report.

- 2.9.2** The Verification Audit would be organized and managed by IATA, with the assistance of a GOA as necessary.
- 2.9.3** All costs associated with a Verification Audit initiated by an airline report would be paid by IATA.
- 2.9.4** All costs associated with a Verification Audit initiated by report submitted by a GSP as indicated in [2.6.6](#) would be paid by the GSP concerned.
- 2.9.5** The GSP and/or IATA would pay all costs associated with a Verification Audit initiated by any other type of report, dependent upon the circumstances that warranted the audit, including if as a result of a regulator or airport report or request.
- 2.9.6** Any Findings from the Verification Audit shall be closed within 90 days following the closing meeting. However, IATA reserves the right to specify a different closure period, depending upon the circumstances.
- 2.9.7** A Verification Audit Report will be produced in the same way as an ISAGO Audit Report, with additional details and information specific to the reason for the Verification Audit, the outcome of the audit and its resolution and closure. The Auditor that conducted the Verification Audit will quality check and submit the Verification Audit Report to IATA within five calendar days of the closure of the audit. The Verification Audit Report will undergo IATA's quality control check and SVP SFO approval.
- 2.9.8** IATA may cancel or suspend the GSP's ISAGO Registration and Station Accreditation(s) if the GSP does not agree to host the Verification Audit or fails to close the audit Findings within the allocated time.
- 2.9.9** The GSP may consider the option to undertake a full ISAGO Audit (that would also address the reason for the Verification Audit) in lieu of the Verification Audit.

## **2.10 ISAGO Certificates**

- 2.10.1** Certificates of ISAGO Registration and Station Accreditation will be provided by IATA.
- 2.10.2** The certificate will be issued by IATA to the GSP when the ISAGO Audit Report has completed the IATA quality check and been approved by the IATA SVP SFO, see [6.8](#).
- 2.10.3** IATA may withhold the issuing of the certificate if the GSP has not complied with all applicable requirements, including payments and audit feedback.
- 2.10.4** The ISAGO certificate is issued as a matter of information only and is not formal proof of ISAGO Registration or a Station Accreditation. Official ISAGO Registration and Station Accreditation status and details are shown only on the ISAGO Registry and IATA is the official custodian of all ISAGO Audit Reports.



## 2.11 The ISAGO Registry – Promulgation of ISAGO Registration

- 2.11.1 The ISAGO Registry is a web-based application that provides details of the ISAGO Registration of a GSP and the Accreditation of its Station(s). It comprises a public domain and a restricted area open only to subscribing Airlines and GSPs. Access may also be given to regulators and airports that sign a Memorandum of Understanding or execute an Agreement with IATA. IATA will manage the access rights to all information in the ISAGO Registry.
- 2.11.2 The ISAGO Registry public domain will provide information on the number of ISAGO Registrations and Station Accreditations that are current. No details of the name of an ISAGO registered GSP, the location of its Headquarters and Station Accreditation, audit scope and validity periods will be listed.
- 2.11.3 Subscribing Airlines will be recognized on the IATA public domain as contributing to the ISAGO program.
- 2.11.4 The ISAGO Registry restricted area open to subscribing Airlines will list the following details for each GSP that holds an ISAGO Registration:
- a) the name of the GSP (and the location of its Headquarters);
  - b) the date of expiry of the current ISAGO Registration;
  - c) the name (IATA three-letter code) of the accredited Station(s);
  - d) the ground operations included in the Accreditation at each Station;
  - e) the date of expiry of all Station Accreditations;
  - f) the ISAGO Audit Reports (in a viewable or downloadable format) that are relevant to the GSP;
  - g) the ISAGO certificates (in a viewable or downloadable format); and
  - h) an area reserved for relevant annotations, remarks or comments.
- 2.11.5 The ISAGO Registry restricted area open to a GSP will list all the details in 2.11.4 but only those related to the GSP and while the GSP holds an ISAGO Registration.
- 2.11.6 The ISAGO Registry restricted area open to a regulator will list all the details in 2.11.4 but only those related to GSPs providing ground operations in the state of the regulator and those GSPs contracted to provide ground operations for Operators registered in the state and are IOSA-registered.
- 2.11.7 The ISAGO Registry restricted area open to an airport will list all the details in 2.11.4 but only those related to GSPs providing ground operations at the airport.
- 2.11.8 The ISAGO registration of a GSP may be accepted by an Operator's regulator as part of its monitoring and oversight of outsourced ground operations. This would involve access to and analysis of a relevant ISAGO Audit Report and any annotations or restrictions that may have been placed on the GSP's ISAGO Registration or a Station Accreditation. The relevant ISAGO Audit Report and any annotations or restrictions can only be found on the ISAGO Registry. A review of the information contained in the ISAGO Audit Report(s) should complement and/or supplement any additional measures the GSP is applying to meet all relevant requirements.



2.11.9 The ISAGO Registry (access restricted area) will indicate and give details of a GSP’s ISAGO status and applicable annotations, see [Table 2.1](#).

**Table 2.1 – Registry Annotations**

Reason	Annotation	Description
Provisional ISAGO Registration	ISAGO Registration is provisional awaiting closure of an Initial Station Accreditation Audit	Applies while the circumstances described in <a href="#">2.3.3</a> exist. The Headquarters Audit for ISAGO Registration has been closed and the closure of an initial Station Audit is needed to complete the registration.
Awaiting Renewal Audit closure	Renewal Audit is in progress	Applies when a Renewal Audit has been performed but has not been closed prior to the expiration of the ISAGO Registration and/or Station Accreditation. Applies only in 2019 as an exception to <a href="#">GOPM 2.7</a>
Extenuating circumstances	Extenuating circumstances apply to the closure of the audit until [date]	Applies while the circumstances described in <a href="#">2.8</a> (and <a href="#">2.9.8</a> ) exist.
Registration suspension	ISAGO Registration has been suspended until further notice because the GSP does not have a Station that is currently accredited.	Applies while the circumstances described in <a href="#">2.7</a> exist.
Verification Audit	The GSP is undergoing a Verification Audit	Applies while the circumstances described in <a href="#">2.9</a> exist.

**Note:** Additional annotations may be used to describe the status of the ISAGO Registration or Station Accreditation. Examples of such annotations include items or notifications of a change in circumstances or an event that have occurred since the last ISAGO audit and relevant to an airline’s, regulator’s or airport’s oversight of the GSP’s ground operations.

2.11.10 An ISAGO Registration or Station Accreditation will be removed from the ISAGO Registry if it was canceled (for example due to the loss of the GSP’s license to operate) or was not renewed prior to the expiry date and an extenuating circumstance does not apply.

## 2.12 Use of the IATA/ISAGO Brand

2.12.1 The IATA and ISAGO logos and status of ISAGO Registration and Station Accreditation shall not be misused or misrepresented. Unless only text pre-approved by IATA is used, approval must be requested, in writing, and granted from IATA prior to the issuance of any verbal statements or written material designed to promote any association with ISAGO for the purpose of commercial or competitive gain. Examples of the ISAGO Logos are included in [Annex F](#).

- 2.12.2 The “ISAGO Station Accredited” logo illustrated in [Annex F](#) shall only be used where it clearly only relates to a Station that is accredited to an ISAGO Registration.
- 2.12.3 IATA approval is needed for any statements or material that use the IATA name, display the IATA logo and/or make reference to the audit under ISAGO, GOSARPs, the ISAGO Registry or ISAGO Registration/Station Accreditation, including:
- a) verbal or written media releases;
  - b) media conferences and/or public statements;
  - c) television, radio or printed media advertising;
  - d) business cards, stickers or letterheads;
  - e) websites, email headers or footers;
  - f) signs, notices, billboards or similar public displays;
  - g) markings or decals on ground support equipment;
  - h) markings, writing or decals on customer service material or items; and
  - i) brochures, magazines, newsletters or other printed material.

## Section 3—Initial Audit Application, Renewal Audits, Audit Allocation & Scheduling

### 3.1 Purpose & Scope

- 3.1.1 This Section of the GOPM outlines the process for the initial application, renewal and allocation of the ISAGO Audits and the development of the annual ISAGO Audit schedules.
- 3.1.2 The application, renewal, allocation and scheduling process covers all types of audits within the scope of ISAGO.
- 3.1.3 The allocation exercise includes the contracting of an ISAGO Agent (GOA) to administer the audits on behalf of IATA and develop annual Audit Schedules.

### 3.2 Audit Types & Categories

- 3.2.1 The different types of ISAGO Audits conducted are:

**A Headquarters Audit (MHQ)**, which assesses conformity with the applicable GOSARPs related to a GSP's corporate management policies, processes and procedures for the provision of ground operations within the scope of ISAGO at all Stations.

**A Station Audit (STN)**, which assesses conformity with the applicable GOSARPs for the GSP's implementation of corporate and locally managed processes and procedures for the ground operations performed that are within the scope of ISAGO.

**A Combined Audit (CTN)**, which assesses conformity with the applicable GOSARPs related to a GSP's corporate management policies, processes and procedures for the provision of ground operations within the scope of ISAGO at only one Station worldwide. The GSP must have its only Headquarters located in close proximity of the Station, allowing the audit of the Headquarters and Station to be effectively treated as the same audit.

- 3.2.2 Each audit type will be categorized according to the purpose of the audit. Three categories exist:

**Initial**, for the purpose of assessing the GSP's first-time suitability for ISAGO Registration or for a Station Accreditation.

**Renewal**, for the purpose of assessing the GSP's continued suitability for ISAGO Registration or for a Station Accreditation.

**Verification**, for the purpose of assessing the GSP's conformity with specified GOSARPs.

### 3.3 Initial Audit Application

- 3.3.1** An initial audit application is required for a Headquarters Audit and at least one Station Audit for the purpose of initial ISAGO Registration. The application is made online by or through the GSP's Headquarters. The GSP is not required to accredit all its Stations where it performs ground operations, even if those ground operations are within the scope of ISAGO. However, for the purpose of initial ISAGO Registration the GSP should nominate one Station that will be audited for accreditation in accordance with 2.4.1.
- 3.3.2** A GSP can make an initial audit application at any time between 1 January and close of business (Eastern Standard Time) on the following 31 July, see [Figure 3.1](#). The application will be processed by IATA upon receipt. An Audit Agreement, see [3.6](#), with details of each requested audit will be forwarded to the GSP for signature.
- 3.3.3** The regular initial audit application process is closed for the months of August to December inclusive. An initial audit application received during this period will be processed on an ad-hoc basis, and accommodated where practicable but with a lower priority.
- 3.3.4** Process of an initial audit application is subject to verification that no sanction restriction applies. This process may take some time and the GSP may have to provide IATA with additional information regarding its legal status within a state and its relationship with other organizations.

#### GSP Organization Exposition

- 3.3.5** The initial audit application includes the submission of information about the GSP, to confirm details of the organization's management structure, its Station network and the scope of the Headquarters Audit. The GSP shall prepare and submit a written organization exposition that:
- a) defines the (legally registered) name and location of its Headquarters;
  - b) describes the organizational structure;
  - c) details the positions responsible for corporate policies concerning safety, security, quality and training;
  - d) details the positions responsible for the management, oversight and provision of the GSP's ground operations at all its Stations;
  - e) nominates a single focal point in the organization for all communication with IATA related to ISAGO, see also [1.12.1](#); and
  - f) lists all the ground operations services the GSP provides at each Station and the name of the customer airlines that the GSP has a contract with to provide that service.
- 3.3.6** The information provided by the GSP in the GSP Organization Exposition is used by IATA to determine the audit type, category and scope (ISAGO discipline) and cost of services to be provided and therefore has to be current at the time of allocating audits. The list of the GSP's Stations will be shown in the ISAGO Registry to illustrate the GSP's ISAGO penetration within its network. The GSP shall therefore update its Organization Exposition if a significant change such as described in [2.6.3](#) occurs.

- 3.3.7** Where the GSP provides a (centralized) load control (LOD) service and the physical location of the service provision is not the same as the Station where the aircraft will depart, the GSP shall provide the location of the service (if different from the GSP's Headquarters) and details of the customer airlines and the Stations at which the aircraft using the service are located, see also [3.3.10](#). The GSP may qualify for a Combined Audit at the GSP's Headquarters (where the LOD service is provided) and where the GSP has no facilities at a Station.
- 3.3.8** IATA will provide a GSP Organization Exposition template for the GSP to complete. Only one GSP Organization Exposition shall be completed for the GSP such that the appropriate ISAGO Registration is correctly applied, see [2.2.2](#).

### Audit Scope

- 3.3.9** The scope of the audit (the disciplines to be audited) will be specified by IATA from the information provided in the GSP Organization Exposition. The scope will be used to determine the composition of the audit team and the duration and cost of the audit.
- 3.3.10** All initial ISAGO Registration and Station Accreditation audits (and subsequent Renewal Audits) will include an assessment of conformity with all applicable Organization and Management (ORM) GOSARPs.
- 3.3.11** The audit scope is not negotiable. The scope of the Headquarters Audit shall cover all the disciplines within the scope of ISAGO provided by the GSP at all its Stations. The scope of a Station Audit shall cover all the disciplines within the scope of ISAGO provided by the GSP at the Station. The disciplines within the scope of ISAGO are as specified in the GOSM and in [Annex B](#).
- 3.3.12** The scope of the ISAGO Audits of a GSP that provides only a centralized LOD service may be amended by IATA to take account of the location of the GSP's headquarters, where the functional aspects of the LOD service are performed, and the location of the aircraft or customer airline(s), see [6.3.4](#).

## 3.4 Combined Audit

- 3.4.1** Eligibility for a Combined Audit will be verified upon the GSP's submission of its Organization Exposition. A Combined Audit applies if the GSP provides ground operations at only one Station worldwide. The Headquarters also has to be at the location where the Station operations take place to permit the Headquarters and Station GOSARPs to be audited at the same time. GSPs should be aware that an Initial Headquarters Audit for ISAGO Registration purposes will need to be conducted if the GSP subsequently requests the addition of a Station Accreditation audit after receiving an ISAGO Registration on the basis of a Combined Audit.
- 3.4.2** Only one onsite opening and one closing meeting will take place.
- 3.4.3** All Findings resulting from an Initial Combined Audit must be closed within six calendar months from the onsite closing meeting. The ISAGO Registration (and single Station Accreditation) period also starts on the day of the onsite closing meeting and, if not renewed, expires two years later.

- 3.4.4 The GSP shall provide the audit team with transport between the Headquarters and Station locations when needed.

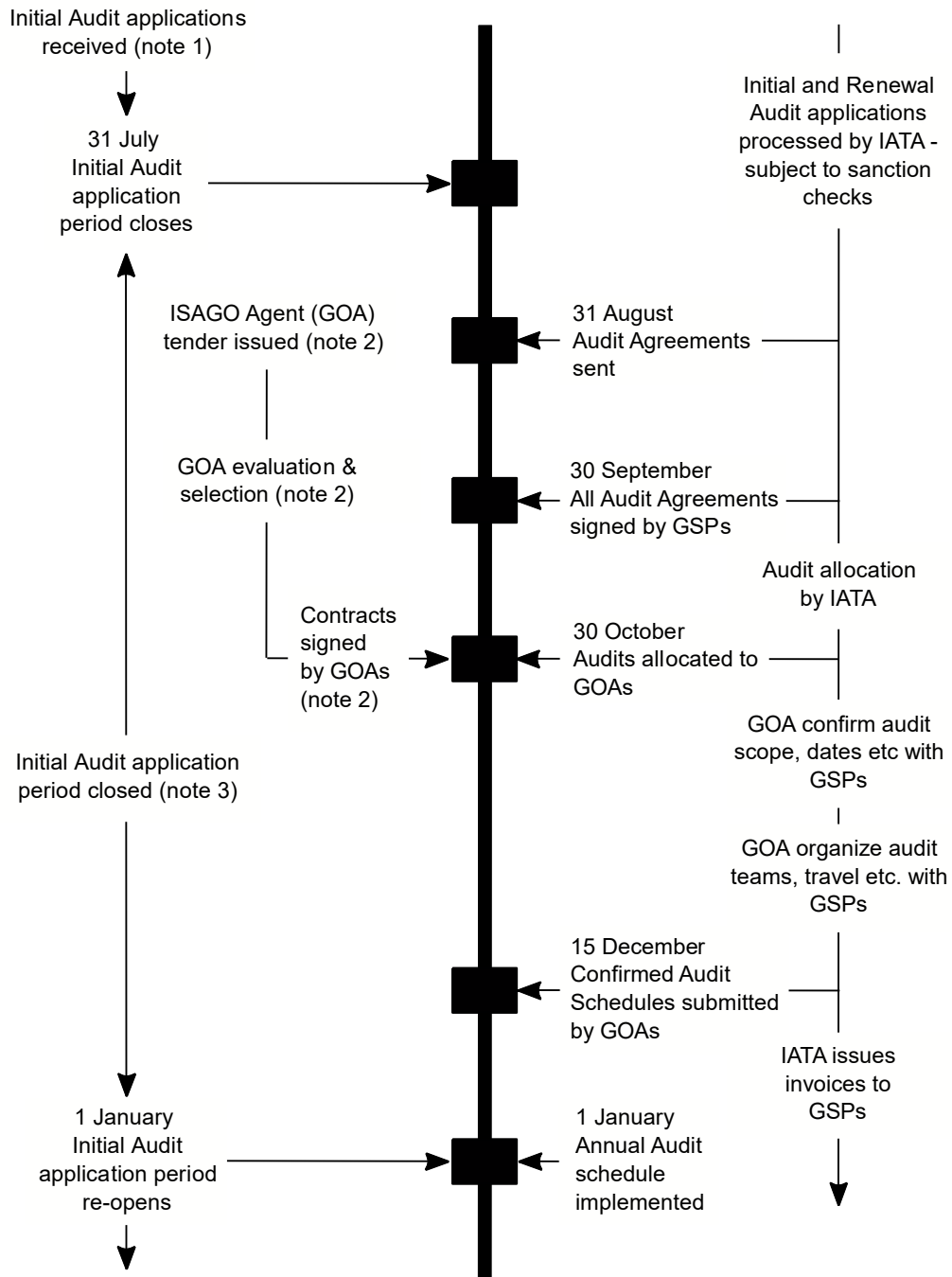
## 3.5 Renewal Audits

- 3.5.1 IATA will assume the Renewal Audit for either an ISAGO Registration or a Station Accreditation will take place and the scope will be the same as the previous audit, unless notified to the contrary by the GSP.
- 3.5.2 IATA will include the Renewal Audit in the audit allocation process for the year in which the related ISAGO Registration or Station Accreditation is due to expire or will need to commence to incorporate the audit closure period (Renewal Audit window), see [Figure 2.1](#). IATA will assume, unless notified to the contrary by the GSP, that the full six months Renewal Audit window is required.
- 3.5.3 IATA will ensure the renewal audit is still not subject to sanction restrictions. This process may take some time and the GSP may have to provide IATA with an updated information regarding its legal status within a state and its relationship with other organizations.
- 3.5.4 The GSP shall review and where necessary update its organization exposition upon amending an Audit Agreement or when developing a new audit schedule.
- 3.5.5 Only those ISAGO disciplines that were included in the scope of the Initial Station Audit will be included in the Station Accreditation. If a service (ISAGO Discipline) is added after the initial station accreditation IATA will either organize an additional audit of the discipline or decide to wait for the scheduled Station Accreditation Renewal Audit. A discipline that is subsequently included in the Station Accreditation before the scheduled accreditation Renewal Audit would adopt the same validity period as the other disciplines. If the additional discipline was not included in the scope of the applicable Headquarters Audit, a Headquarters Audit specifically for that discipline, and all relevant ORM GOSARPs, would be necessary. Additional audits will be funded by the GSP.

## 3.6 Audit Agreement

- 3.6.1** IATA and the GSP will enter into an agreement (the 'Audit Agreement') that outlines the terms and conditions associated with the conduct of the ISAGO Audits. The Audit Agreement is an indication of intent; that the audits will be scheduled by IATA and the type, category and scope shall be as needed by the GSP and correlates with the information provided by the GSP in its Organization Exposition. Unless a change in the main text occurs, an Audit Agreement need only be made once and amended (through the re-issue of a Schedule to the Agreement that lists the audits to be conducted) when a Renewal or a new initial Audit is to be included in the audit allocation exercise.
- 3.6.2** An Audit Agreement will be issued by IATA upon receipt of an initial audit application. The Audit Agreement should be signed by the GSP and by IATA as soon as possible. The allocation of an ISAGO Audit or any other work included in the Agreement will not take place unless and until the Agreement is executed.
- 3.6.3** The signing and execution of the Audit Agreement, or the signing of the re-issued Schedule initiates the audit allocation and scheduling process, see [Figure 3.1](#). IATA will allocate the audits to the GOA for further audit coordination and planning only once the GSP signs and the Audit Agreement is executed. The GSP is required to cooperate with the GOA to schedule the audits indicated in the Audit Agreement (or a subsequent re-issue of the relevant Schedule of the Audit Agreement).
- 3.6.4** Execution of an Audit Agreement between IATA and a GSP is subject to verification that no sanction restriction applies. This process may take some time and the GSP may have to provide IATA with additional information regarding its legal status within a state and its relationship with other organizations.
- 3.6.5** IATA will provide a GSP that executes an Audit Agreement access to the GOSM and associated checklists free of charge.

**Figure 3.1 – Audit Application, Allocation & Scheduling Timelines**



Timeline not to scale

Note 1: Initial Audit applications include new ISAGO Registrations and new Station Accreditations. Renewal Audits are scheduled automatically unless the GSP notifies a change.

Note 2: Occurs every 2 years.

Note 3: Audit Application processed on ad-hoc basis.



## 3.7 Audit Allocation

- 3.7.1 The audit allocation exercise is conducted by IATA each year during the month of October. The allocation will automatically include all Renewal Audits due and all initial Audits included in Audit Agreements signed since the last allocation exercise and that haven't already been scheduled.
- 3.7.2 By the 31 October each year IATA will notify the GOA of its audit allocation for the following year. The allocation, specifies the location, type, category and scope of each audit, and the relevant expiry dates or the dates of initial audits requested by the GSP. The allocation will include all audits for which the Audit Agreement was signed by the GSP. Allocation may proceed incrementally as the GSPs sign their Audit Agreements.

## 3.8 Audit Schedules

- 3.8.1 The audit schedules are developed by the GOA(s), in coordination with the relevant GSPs. To keep workload to a minimum, secure the audit team and reduce costs the GSP should aim to confirm their audit schedule as soon as possible. The GSP should be aware of the consequences of schedule changes, including reduced availability of auditors, potential increased travel costs and risk of the audit being postponed or taking place closer to the ISAGO Registration or Station Accreditation expiry date. The GSP should also be aware of the potential risk and costs of audit cancellation.
- 3.8.2 The GOA and each GSP will re-confirm the type, category and scope of the ISAGO Audits and, if possible, the onsite audit start date. The scope of the audit will determine the number of ISAGO Auditors needed and the choice of those most suitable, and the planned duration of the onsite audit.

### Audit Days

- 3.8.3 An audit day is used for audit planning purposes and calculation of the audit fee. The assigned audit days for each type of audit are specified in [Table 3.1](#) and apply to both Initial and Renewal Audits.

**Table 3.1 – Specified Audit Days**

Audit Scope (Discipline)	Headquarters Registration Audit	Station Accreditation Audit	Combined Audit
ORM	3.0	2.0	3.0
LOD	1.0	1.0	1.0
PAB	1.0	1.0	1.0
HDL	1.5	1.5	1.5
AGM	1.0	1.5	1.5
CGM	1.0	1.5	1.5

- 3.8.4** The specified audit days are not intended to represent the effective working time during the onsite audit for the assessment of all GOSARPs within the discipline.
- 3.8.5** The GOA, in coordination with the GSP, uses the scope of the audit and the corresponding audit days to establish the audit team: the ISAGO Auditor(s) and the disciplines they will audit and, if the dates are confirmed, their travel and accommodation arrangements. Confirmation of the onsite audit start date of an ISAGO Audit scheduled late in the year may not be possible but it should be possible to confirm all other factors and book the audit team.
- 3.8.6** Confirmation of the scope of the ISAGO Audit and the number of ISAGO Auditors also allows IATA to issue an invoice to the GSP for the Audit Fee. Early confirmation is essential for an ISAGO Audit scheduled in the first three months of the year.
- 3.8.7** In the interests of efficiency and travel cost reduction, multiple ISAGO Audits using the same ISAGO Auditor or audit team may be scheduled consecutively with direct travel between each location if the audits are scheduled either for the same GSP or for all different GSPs. Conditions apply as specified in [3.8.8](#) and [3.8.11](#). Due to the complexity of the arrangements it is essential that changes to the schedule are avoided once it is confirmed.
- 3.8.8** The following conditions apply to the scheduling of consecutive ISAGO Audits as described in [3.8.7](#) for the same GSP:
- a) a Headquarters Audit occurs first;
  - b) the same ISAGO Auditor or audit team is used for all audits and assigned the same disciplines at each Station Audit; however, the role of Lead Auditor for each audit may be shared between suitably qualified Auditors;
  - c) the length of time from the start of the onsite meeting of the first until the last day of the last of the consecutive audits does not exceed 14 days;
  - d) a break of at least one but not more than three complete (rest) days occurs between each audit (a rest day may include travel from one audit location to another);
  - e) all travel and accommodation is arranged by the GOA; and
  - f) the Auditors are paid a subsistence rate Rest Day Supplement (see [10.2.7](#)) for each rest day.
- 3.8.9** To account for the ISAGO Auditor's or audit team's familiarity with the GSP and its documentation, the specified audit days applicable to a Station Audit that is scheduled according to [3.8.8](#) will be as specified in [Table 3.2](#).

**Table 3.2 – Reduced Station Audit Days (Applicable only to a Station Audit scheduled according to 3.8.8)**

Audit Scope (Discipline)	Station Audit
ORM	1.5
LOD	1.0
PAB	1.0
HDL	1.0
AGM	1.0
CGM	1.0

- 3.8.10** The time taken for the Station Audit that is scheduled according to [Table 3.2](#) should be devoted primarily to the verification of implementation conformity. However, the time allowed at the Station will depend upon the outcome (number and type of Findings) of the Headquarters Audit and the availability of documentation references applicable to the Station Audit. The GSP should therefore be aware of the risk of the Station Audit requiring more time and the subsequent need to extend the duration to that of a normal Station Audit specified in [Table 3.1](#).
- 3.8.11** The following conditions apply to the scheduling of consecutive ISAGO Audits as described in [3.8.7](#) that are for different GSPs:
- a) the same ISAGO Auditor or audit team is used for all audits (and is able to audit the disciplines in an efficient manner);
  - b) the role of Lead Auditor for each audit may be shared between suitably qualified Auditors;
  - c) the length of time from the start of the onsite meeting of the first until the last day of the last of the consecutive audits does not exceed 14 days;
  - d) a break of at least one but not more than three complete (rest) days occurs between each audit (a rest day may include travel from one audit location to another);
  - e) all travel and accommodation is arranged by the GOA; and
  - f) the Auditors are paid a subsistence rate Rest Day Supplement (see [10.2.7](#)) for each rest day.
- 3.8.12** The scheduling of consecutive ISAGO Audits as in [3.8.11](#) is also subject to the GOA gaining the collective agreement of the GSPs involved on apportioning and payment of the travel and accommodation and rest day costs, and consequently if any changes to schedule are made.
- 3.8.13** The amount of time spent on the Pre-onsite Audit Documentation, see [6.5.9](#) to [6.5.11](#), does not impact on the audit days specified for a discipline; hence, there is also no impact on the ISAGO Audit Fee. The work has to be done and whether onsite or offsite makes no difference. There will still be some documentation verification needed; however, the time needed onsite and any interruption to operations can be reduced, and audit team accommodation costs can potentially be saved. Where a Pre-onsite Audit Documentation

Review has been requested by a GSP, the Lead Auditor may reduce the amount of planned time onsite by up to 50% for a Headquarters Audit and by up to 25% for a Station Audit (does not apply in the case of a Station Audit scheduled as per [Table 3.2](#)) or a Combined Audit, dependent upon the number of potential Findings and need for further information. The Lead Auditor must however agree the reduced time onsite with the GSP and GOA to ensure the travel and accommodation arrangements match the time onsite.

### **Confirmed Audit Schedules**

- 3.8.14** No later than 15 December, the GOA will prepare the confirmed audit schedule with the relevant GSPs and upload it to the GOA Audit management system. The confirmed audit schedule includes:
- a) the opening and closing meeting date of each audit;
  - b) the names of the nominated Lead Auditor for each audit, and any other member of the audit team and their respective roles (which disciplines they will cover during the audit); and
  - c) whether a pre-onsite documentation review has been requested by the GSP, see [6.4.6](#).
- 3.8.15** The GSP is responsible for ensuring that a Headquarters or Station Accreditation Renewal Audit commences within the six month Renewal Audit window and that the audit will be closed before the applicable ISAGO Registration or Station Accreditation expiry date.
- 3.8.16** Every effort should be made to carry out the audits as scheduled; however, it is recognized that change sometimes is unavoidable. If possible, the GOA will coordinate with the GSP to agree alternative arrangements, while observing audit timelines as well as ISAGO Auditor availability to minimize the impact of the change. The GOA will report to IATA and update the details in the GOA Audit management system when the alternative arrangements have been agreed and confirmed. If an audit does not commence within the year as scheduled it will be rescheduled, reallocated or, depending upon the reason, handled accordingly by IATA.

## **3.9 Fees & Charges**

See Section 10.

## Section 4—ISAGO Agent

### 4.1 Purpose & Scope

4.1.1 An ISAGO Agent (GOA) is contracted by IATA to administer ISAGO Audits that are allocated to them annually to fulfill the ISAGO Audit schedule. This Section of the GOPM outlines the GOA selection process and describes the GOA role and responsibilities.

4.1.2 IATA will issue a tender for GOA applications every two years or as needed.

### 4.2 GOA Application

4.2.1 An application for selection as a GOA is by invitation only. However, any organization, company or individual that meets the GOA requirements may approach IATA at any time and request to be invited at the time the tender selection process opens.

4.2.2 The selection requirements are intended to demonstrate that the applicant has the resources and capability to fulfill the role of the GOA. The applicant will:

- a) be able to plan and administer at least 50 ISAGO Audits annually, including:
  - i) having the means to communicate effectively with GSPs (multiple language capability will be beneficial);
  - ii) having processes and procedures in place to organize the audit teams, while addressing contractual agreements, remuneration and assessment of potential conflict of interest;
  - iii) having the means to arrange travel and accommodation (using assured and regulated travel services) for the audit team for the duration of the audit and any follow-up activity; and
  - iv) having the means to provide logistical support for the audit team during the audit;
- b) be of legal entity status in good standing (with evidence of a certificate of incorporation or similar documentation);
- c) be financially sound and hold business liability (general and errors and omission) insurance of at least 2 million US Dollars to cover business risks; and
- d) have verifiable experience of relevant audit administration in any industry.

4.2.3 The application should clearly show how the membership of the CoPA will be supported by the selection and deployment of ISAGO Auditors on a fair and equitable basis, see also [4.4.11](#).

4.2.4 Experience or knowledge of conducting and/or managing ISAGO Audits (submission of testimonials or evidence of previous work in a business similar to ISAGO) might be advantageous when discussing audit matters with GSPs.

- 4.2.5 IATA will select a number of GOAs dependent upon the business need, based primarily upon the number of audits to be scheduled and allocated.

## 4.3 GOA Contract

- 4.3.1 A successful applicant will be offered a contract by IATA that specifies the terms and conditions under which the GOA is to administer audits on IATA's behalf.
- 4.3.2 The term of the contract will include the two complete calendar years following and in addition to the remainder of the year in which the contract is signed. The term will also include the time needed to complete (close and deliver the ISAGO Audit Report) all allocated audits.
- 4.3.3 The GOA will only use forms and agreements provided by IATA for the purpose of ISAGO Audits and the contracting of ISAGO Auditors.
- 4.3.4 Upon the signing of a contract, the GOA will provide IATA with the name of the person that will act as the focal point for all communications with IATA, and notify as soon as practicable any change as necessary while contracted.
- 4.3.5 A GOA could be subject to an audit by IATA at any time.
- 4.3.6 IATA reserves the right to terminate a GOA contract at any time, or if it becomes known that the GOA has in any way breached the contract, has allowed or enabled a conflict of interest, or experiences other circumstances or conditions, or engage in practices determined by IATA to be potentially detrimental to the integrity or quality of the ISAGO program.

## 4.4 GOA Role & Responsibilities

- 4.4.1 The primary role of the GOA is to administer the audits that are allocated by IATA and in accordance with the terms and conditions specified in the contract and this GOPM. The GOA shall have processes in conformance with the ISAGO Program requirements and adherence to the contracted terms and conditions.
- 4.4.2 The GOA will not commence or undertake any administration work for an ISAGO Audit that has not been allocated to the GOA by IATA.
- 4.4.3 The GOA will provide logistical support to the audit team whilst conducting the onsite ISAGO Audit activities and any other support necessary to conduct an efficient and successful ISAGO Audit. The GOA will, in coordination with the GSP, ensure that each member of the audit team is provided with the appropriate security clearances, transportation, office space, communication facilities and other administrative logistics as necessary to perform the onsite portion of the ISAGO Audit.
- 4.4.4 The GOA will also be IATA's representative for addressing the needs of the GSPs for which audits have been allocated. In general, the GOA would be the liaison between the GSP and IATA for all audit

administration matters. The GOA will also be available to cover any assistance needed to reschedule audits or travel and accommodation or handle other audit administration matters as they occur.

- 4.4.5 While complying with the conflict of interest requirements in 1.8.2, the GOA may provide assistance, utilizing CoPA members, to a GSP that is preparing for an ISAGO Audit or to address conformity issues.
- 4.4.6 The GOA may actively promote the ISAGO program to GSPs, encouraging them to seek ISAGO Registration or the Accreditation of more of its Stations. The GOA or an employee of the GOA cannot in contravention of 1.8.2 d) participate in the audit as an ISAGO Auditor.

### Audit Schedules

- 4.4.7 Each year the GOA will, in coordination with the relevant GSPs, develop a confirmed schedule of its allocated audits as outlined in 3.8.
- 4.4.8 The GOA and each GSP should organize the audit schedule efficiently, respecting deadlines and expiry dates. Care should be taken to ensure that sufficient time is allowed for the ISAGO Auditor to obtain a required visa. ISAGO Auditors may be scheduled to take part in consecutive ISAGO Audits of different GSPs, see 3.8.8, or of the same GSP, see 3.8.11, subject to the conditions specified.

### Selection of ISAGO Auditors

- 4.4.9 The GOA is responsible for the selection of ISAGO Auditors from the CoPA to form the audit teams.
- 4.4.10 The GOA should determine the suitability and acceptability of an audit team based on:
- a) no conflict of interest, as outlined in 1.8.2;
  - b) membership of CoPA
  - c) currency of Authorization(s);
  - d) acceptance by the GSP, see 4.4.14;
  - e) domicile and ease of travel to the audit location;
  - f) nothing known would prevent the ISAGO Auditor from traveling to or working at the audit location; and
  - g) language skills (if appropriate).
- 4.4.11 The GOA shall utilize all suitable ISAGO Auditors equally and fairly in such a way that individual ISAGO Auditors are given the opportunity to maintain ISAGO auditing competence, currency and their CoPA membership.
- Note:** Effective January 2022, the same ISAGO Auditor or audit team must not be selected to perform the following renewal audit.
- 4.4.12 An audit with a scope of four or more disciplines shall be conducted by at least two ISAGO Auditors.

- 4.4.13 The GOA will nominate one appropriately qualified ISAGO Auditor to act as the Lead Auditor for the ISAGO Audit. The auditor utilization requirements in 4.4.11 apply also to the nomination of the Lead Auditor.
- 4.4.14 The selection of a particular ISAGO Auditor may not be acceptable to the GSP. The GOA shall therefore, before contracting the ISAGO Auditor, consult the GSP and gain agreement on the GOA's proposed selection of each ISAGO Auditor. The GOA shall provide the GSP with the employer of the proposed auditor. Where the GSP and GOA cannot reach an agreement on the formation of the audit team, IATA will attempt to resolve the situation.
- 4.4.15 The GOA will provide each selected ISAGO Auditor with a Statement of Works indicating the GSP, location, dates type and category of ISAGO Audit that the ISAGO Auditor has been selected to audit and the assigned role (whether Lead Auditor and the assigned disciplines).
- 4.4.16 The GOA is responsible for the payment to the ISAGO Auditor of an invoice submitted by an ISAGO Auditor for services provided in performing an ISAGO Audit. The GOA will collect the money to pay the ISAGO Auditor from IATA.
- 4.4.17 The GOA will attempt to accommodate any unavoidable and last minute ISAGO Auditor replacement without disrupting the audit schedule or incurring additional costs.

### **Audit Logistics**

- 4.4.18 The GOA is to ensure all the logistical aspects for the audit, including travel (and visa requirements) and accommodation arrangements, are in place and confirmed.
- 4.4.19 The GOA should assist an ISAGO Auditor to obtain a visa, liaising with the GSP for letters or other documentation as necessary.
- 4.4.20 The GOA should also arrange with the GSP any necessary advance security clearances and ensure that the audit team will have access to secure areas (e.g. security pass, ramp pass, and escorted if necessary), and request the provision of transport between the accommodation and the airport/site of the audit and accommodation/office space and communication facilities during the onsite audit.
- 4.4.21 The GOA will organize the audit build in the audit software according to the audit scope.
- 4.4.22 The GOA should also, where necessary, request the GSP to provide language assistance (interpretation and translation) for its employees and to translate documentation.

### **Travel and Accommodation**

- 4.4.23 The GOA in consultation with the GSP and in accordance with the ISAGO Travel Policy (see [Annex E](#)) will arrange the travel and accommodation for the audit team for the onsite visit, see [10.2.9](#) and [10.2.10](#). The GOA will invoice the GSP for payment of travel and accommodation bookings that are made and paid.
- 4.4.24 Additional night stops as per [Annex E 3.6](#) will be agreed between the GOA and GSP. If an additional night stop is agreed, no additional payment for professional fees will be made; however, the GSP shall pay the accommodation costs and full rate Rest Day Supplement.



- 4.4.25 A rest day will be given before the start of the onsite audit if the ISAGO Auditor travels to the audit location as per a schedule sequence of audits as per see 3.8.8 or 3.8.11, or in Economy Class throughout a journey by air if applicable in accordance with Annex E 3.9. The additional accommodation cost and full rate Rest Day Supplement will be paid by the GSP.
- 4.4.26 In the case of consecutive scheduled ISAGO Audits involving the same audit team or an individual ISAGO Auditor, the GOA and GSP should agree on suitable travel and accommodation arrangements between locations in accordance with the ISAGO Travel Policy, and the apportioning and payment of the costs incurred if more than one GSP is involved.
- 4.4.27 The GOA may be requested to assist in making the travel and accommodation arrangements for a Candidate Auditor or a Candidate Lead Auditor for an onsite evaluation during an ISAGO Audit.

### Audit Follow-up Visit

- 4.4.28 If deemed necessary and agreed between the GSP and Lead Auditor to close a Finding, the GOA is responsible for the travel and accommodation arrangements to facilitate an onsite follow-up visit.
- 4.4.29 One ISAGO Auditor (normally the Lead Auditor nominated for the ISAGO Audit) will conduct the onsite follow-up visit.

### Quarterly Reports

- 4.4.30 The GOA shall submit a quarterly report to IATA containing details of the expenses incurred by the audit teams, including travel, accommodation, visa or any other costs for services arranged by the Agent.
- 4.4.31 The GOA shall submit invoices to IATA in accordance with 10.3.6 for payment of the GOA administration fee.

### Verification Audit

- 4.4.32 The Agent shall arrange a Verification Audit at the request of IATA.

## 4.5 GOA Contract Renewal

- 4.5.1 A GOA that has performed satisfactorily may be invited by IATA to re-apply for selection for a contract for the following two years. In this case, the applicant GOA need only notify IATA of any relevant changes that have occurred since the initial application or last re-selection.
- 4.5.2 The invitation to renew a contract would be based on whether the GOA has fulfilled the work set out in the contract and received satisfactory performance oversight reports and customer feedback.

## 4.6 Fees & Charges

See Section 10.



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## Section 5—Auditor Qualification (Charter of Professional Auditors)

### 5.1 Purpose & Scope

- 5.1.1 Consistently high quality audits are achieved by auditors that possess and can demonstrate specified and a standardized level of competence. The IATA Charter of Professional Auditors (CoPA) is a membership scheme administered by IATA for all the ISAGO Auditors that have demonstrated a standardized level of competence in auditing and operational expertise for the purpose of ISAGO.
- 5.1.2 A person has to be a member of the CoPA to be selected to conduct an ISAGO Audit. The application process to become a member of the CoPA is open to anyone that meets the application criteria.
- 5.1.3 This Section of the GOPM outlines the process for the qualification of an ISAGO Auditor and for membership of the CoPA which represents achieving and maintaining the requisite level of competence.
- 5.1.4 The management of the ISAGO Auditor qualification process is the responsibility of IATA. IATA reserves the right to override or amend the content of this Section as necessary to maintain the integrity and credibility of the ISAGO Auditor qualification process and the CoPA.

### 5.2 ISAGO Auditor Categories

- 5.2.1 There are two categories of ISAGO Auditor, each based on experience, knowledge and demonstrated skills.
- Auditor** – an experienced aviation professional that has satisfactorily completed the ISAGO Auditor qualification process
- Lead Auditor** – an experienced qualified ISAGO Auditor that has demonstrated the competence to successfully perform specified duties for the purpose of conducting and closing an ISAGO Audit in a leading role
- 5.2.2 While in the ISAGO Auditor qualification process the title Candidate Auditor is used.

### 5.3 ISAGO Auditor Qualification Process

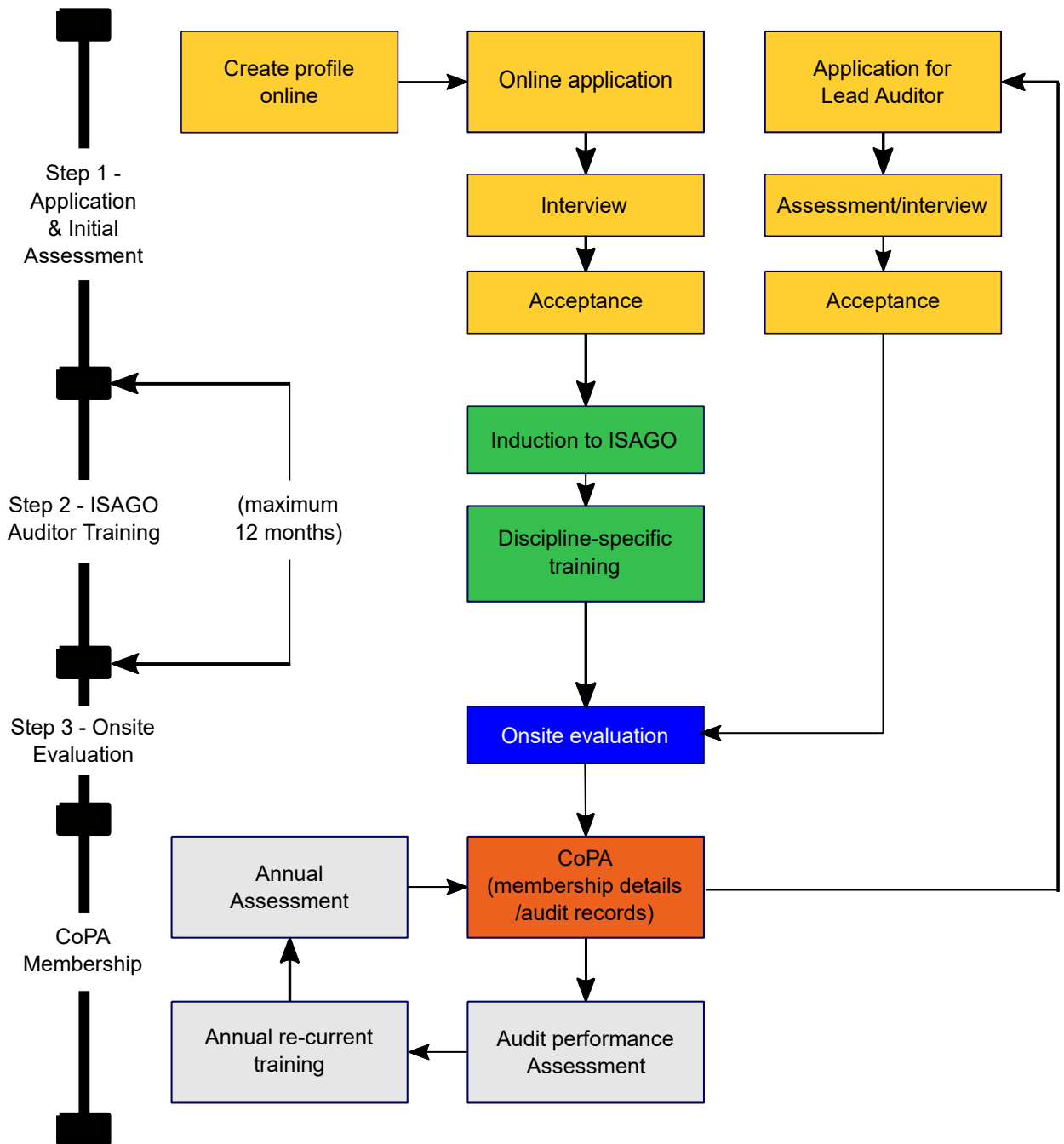
- 5.3.1 The ISAGO Auditor qualification process involves completing a training and assessment program that comprises three steps, as shown in [Figure 5.1](#).

- 5.3.2 The CoPA has an online secure portal to manage and administer the qualification process and auditor records. The Candidate Auditor is responsible for updating his/her profile and training progress, including significant dates and uploading certificates.
- 5.3.3 All ISAGO Auditor training is provided by IATA. Certificates are issued for all successfully completed training courses.
- 5.3.4 All costs incurred during the ISAGO Auditor training and qualification process, including travel expenses, are the responsibility of the Candidate Auditor. Fees are payable for the training provided during the ISAGO Auditor qualification process and for recurrent training to cover, in part, the ISAGO program development and other costs.
- 5.3.5 All ISAGO training activities are conducted and use documentation in English; therefore the ability to communicate effectively in the English language is essential. Other language skills could be beneficial in practice and in securing an auditing assignment.
- 5.3.6 An ISAGO Auditor will need to access airside and other secure areas on an airport to conduct an ISAGO Audit. In order to complete the ISAGO Auditor qualification process the Candidate Auditor is likely to need access to airside for the onsite evaluation and onsite audit in general. It is therefore important for the Candidate Auditor to be able to obtain airside clearances. The process of granting an airside clearance usually involves security checks on the person's identity and background (including any criminal record).
- 5.3.7 An ISAGO Auditor is responsible for all contractual or (secondary) employment matters that may affect their ability to take part in an ISAGO Audit.
- 5.3.8 The ISAGO Auditor training will cover all disciplines within the scope of ISAGO as specified in [Annex B](#). A Candidate Auditor has to complete and achieve the required standard in all disciplines to qualify for CoPA membership.

### **Step 1 – Application and Initial Assessment**

- 5.3.9 An application to be a Candidate Auditor can be made at any time. The applicant must first register and set up a Candidate Auditor profile on the CoPA online system that includes required information about the person.
- 5.3.10 The applicant has to prove that he/she meets each applicable criterion, as specified in [Table 5.1](#), by the submission of verifiable details and documents outlining the individual's education, operational work and auditing experience. The details and documentation submitted must therefore clearly show how and/or why the criteria are met, including an indication of the roles and responsibilities, periods and dates that relate directly to the required criteria.

Figure 5.1 – ISAGO Auditor Qualification Process



**Table 5.1 – Candidate Auditor Application Criteria**

Education	<p>Satisfactory completion of secondary education (which in many cases is the obligatory national educational system or prior to higher education) <b>and</b></p> <p>Formal auditor training in auditing techniques<sup>note1</sup> <b>and</b></p> <p>SMS training based on International Civil Aviation Organization (ICAO) provisions</p>
General Experience (at the time of application)	<p>More than 12 months in the previous 48 months and a minimum of five years' overall operational experience in a ground operations discipline<sup>note2</sup> <b>and</b> conducted as an Auditor at least four audits (at least one audit in the previous 24 months) in a ground operations discipline<sup>note2</sup></p> <p><b>or</b></p> <p>More than 12 months in the previous 48 months and a minimum of five years' overall auditing experience in a ground operations discipline<sup>note2</sup></p>
Discipline-specific Experience	<p>At least two years operational or auditing experience<sup>note3</sup> in each of the ISAGO ground operations discipline<sup>note2</sup></p> <p>For the Organization and Management (ORM) discipline the applicant will have completed as an Auditor at least 10 audits<sup>note3</sup> in an ORM field and at least two years' experience<sup>note3</sup> gained in a relevant management role and function, such as a position held and responsibilities related to one or more of the following:</p> <ul style="list-style-type: none"> <li>• safety, quality or security management</li> <li>• oversight of ground operations or ground operational systems and equipment</li> <li>• policy and/or procedure setting or review</li> </ul>
Knowledge & Skills	<p>Ability to work in a team, observing ethical and cultural protocols</p> <p>Ability to communicate effectively in English</p> <p>Ability to produce concise and legible factual reports</p> <p>Knowledge of ISAGO documentation (including AHM and IGOM)</p> <p>Knowledge of the typical organizational structures of GSPs and their ground operations</p>

**Note 1.** ISAGO or IOSA Auditor (Classroom or Computer-based) Training do not apply.

**Note 2.** A ground operations discipline is considered to be any of those listed in [Annex B](#) (the current scope of an ISAGO Audit).

**Note 3.** Although no time limitation is specified, the applicant will have to demonstrate adequate knowledge of recent operational requirements, procedures and practices of the ground operations discipline.

**5.3.11** Training received will not be accepted in lieu of experience. However, delivering training as an instructor in a ground operations discipline may be considered as operational experience if the training/instruction is or was delivered on a frequent regular basis and verifiable details can be provided. Being in a supporting

role, such as quality control or management, or being the subject of an audit does not qualify as operational or auditing experience. It has to be experience in the operational role or as the auditor.

**5.3.12** The submitted application will be assessed by IATA. IATA will also interview the applicant as a means of verifying the information provided in the application.

**5.3.13** The applicant will be notified by IATA of the acceptance of its application and authorization requests. If accepted, the notification will include the details of the next qualification step. The applicant will now be referred to as a Candidate Auditor in the qualification process.

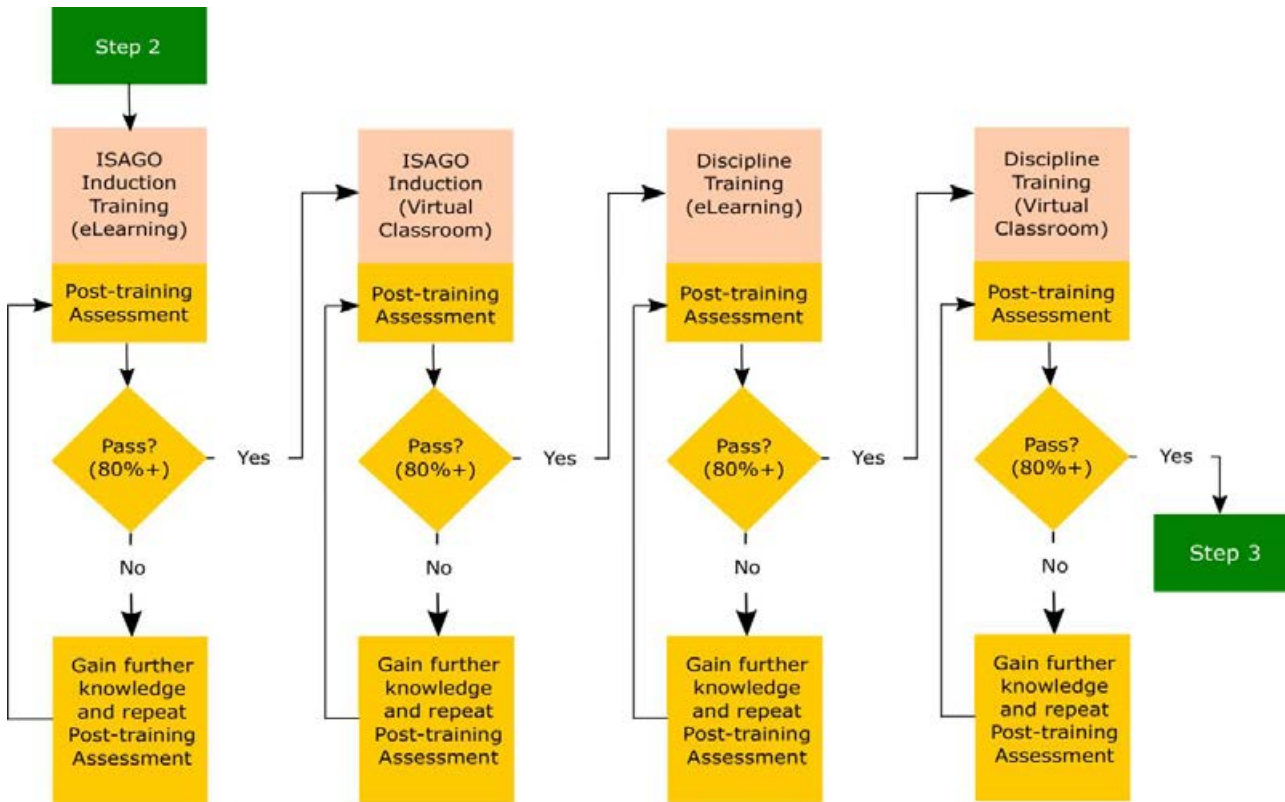
### **Step 2 – ISAGO Auditor Training**

**5.3.14** The ISAGO Auditor Training comprises two components using a combination of e-Learning and virtual classroom that provides the Candidate Auditor with induction training on the ISAGO program, auditing techniques and tools, and discipline-specific training. Training is provided in each discipline and includes the meaning and intent of the GOSARPs, the typical content of documentation and expected means of implementation, and the optimum method of auditing to determine conformity or otherwise. Details of the training schedule are posted in the IATA Training website.

**5.3.15** Assessments will be conducted at regular intervals and at the end of each component. An assessment may be retaken after 30 days if a mark of 80% or more is not achieved (see [Figure 5.2](#)).

**5.3.16** Candidate Auditors are expected to complete the ISAGO Auditor training within 12 months. This period allows for repeated virtual classroom assessments if needed. Repeated failures will be assessed and a decision to allow the Candidate Auditor to continue in the ISAGO Auditor qualification process will be made by IATA.

Figure 5.2 – Step 2 ISAGO Auditor Training



### Step3 – Onsite Evaluation

5.3.18 In step 3, the Candidate Auditor will undertake two onsite evaluations during an ISAGO onsite audit at two different Stations. The Candidate Auditor will take part in all onsite audit activities but will not be considered a member of the audit team. The audits will therefore not count towards maintaining CoPA membership.

5.3.19 The onsite evaluation will be conducted in English and follow a prescribed plan and evaluation criteria developed by IATA, covering at least 50% of the GOSARPs in each discipline and as practicable during the audit. The onsite evaluation will include, among other topics, the assessment of the Candidate Auditor’s:

- interpretation of the GOSARPs
- auditing technique (including compliance with auditing procedures) and skills
- interpersonal and communication skills
- cultural awareness
- analytical skills (objectivity and results achieved)
- application of operational and ISAGO program knowledge
- fair judgment (the ability to assess thoroughly and consistently the presented evidence).



**5.3.20** An ISAGO Auditor assigned by IATA will perform the onsite evaluation of the Candidate Auditor. The Lead Auditor, if not the assigned evaluator, will also evaluate the Candidate Auditor's overall performance, including during the onsite opening and closing meetings.

**Note:** Being asked to evaluate a Candidate Auditor does not imply a different ISAGO Auditor status.

**5.3.21** The assigned ISAGO Auditor that conducts the onsite evaluation, of the Candidate Auditor is responsible for the ISAGO Audit assessment of conformity of the discipline with the applicable GOSARPs. The responsibility for the development of Findings and Observations must always be that of the qualified ISAGO Auditor.

**5.3.22** The ISAGO Auditor conducting the onsite evaluation of the Candidate Auditor is to document the outcome of their evaluation in a report to IATA.

**5.3.23** In the event that the onsite evaluation is not satisfactory IATA, in consultation with the Candidate Auditor, will review the Candidate Auditor's performance and the previous assessment results, and determine the action to be taken.

## 5.4 CoPA Membership

**5.4.1** Upon successful completion of all 3 steps the Candidate Auditor is eligible for membership of the CoPA and will become a member upon execution of an Auditor Agreement and agreeing to the CoPA membership terms and conditions. The Auditor Agreement and membership terms and conditions include the prevention of a conflict of interest and the confidentiality of all information and documents accessed during the ISAGO Audit, abiding with applicable IATA policies, the working relationship with a GOA and the use of personal and professional data.

**5.4.2** A member of the CoPA becomes an ISAGO Auditor authorized to take part in an ISAGO Audit.

**5.4.3** Membership of the CoPA is determined and is solely at the discretion of IATA, and is granted for the calendar year, renewed annually. The time remaining in the calendar year from the time of becoming a member will be considered an initial grace period. Membership would thereafter continue on a calendar year basis subject to an annual review by IATA and the need to meet the requirements of [5.5.3](#).

**Note.** Candidate Auditors should be aware that audit teams are established just before the start of a calendar year; therefore, a newly qualified ISAGO Auditor is unlikely to be selected for an ISAGO Audit before the next audit schedule is developed.

**5.4.4** The CoPA member is responsible for maintaining his/her profile details and ISAGO auditing records on the CoPA website. The records include the details listed in [5.9.1](#) and other information that allow a GOA to assign a suitable audit and IATA to conduct an annual review of the ISAGO Auditor's continued CoPA Membership.

**5.4.5** As a member of the CoPA an ISAGO Auditor will be provided by IATA with personal liability insurance while conducting an ISAGO Audit.

## 5.5 CoPA Membership Requirements

- 5.5.1 Membership of CoPA is mandatory for an ISAGO Auditor to perform an ISAGO Audit.
- 5.5.2 To be a member, the ISAGO Auditor has every year to participate in a minimum number of audits, undertake specified tasks and meet performance criteria intended to maintain the auditor's currency and competence. The contracting of ISAGO Auditors by a GOA will endeavor to assure that all CoPA members are utilized sufficiently to maintain their membership. However, ISAGO Auditors are responsible at all times for maintaining their membership status.
- 5.5.3 To maintain membership of CoPA, an ISAGO Auditor will:
- a) complete at least two ISAGO Audits in each calendar year;
  - b) satisfactorily complete online re-current ISAGO training every year as per 5.5.5; and
  - c) pass the end-of-year performance review by IATA, which is outlined in 5.5.6.
- 5.5.4 The ISAGO Auditor is expected to conduct an audit of each ISAGO discipline listed in Annex B at least once per calendar year. IATA will monitor the disciplines audited by each ISAGO Auditor and decide on the action considered necessary to maintain the ISAGO Auditor's competence to audit a discipline.
- 5.5.5 Annual re-current ISAGO training will be provided by IATA online and has to be taken during each year, except for the year that the ISAGO Auditor first becomes a CoPA member.
- 5.5.6 A review of each ISAGO Auditor's performance during the calendar year is initiated by IATA on 1 November. The review will cover all the criteria specified in 5.5.3, and include feedback received on their performance during each audit completed, from the IATA QA and quality control assessments (see 8.6), and any feedback received at any time from a GOA and other sources. IATA will review all submitted feedback and will, if necessary, review the ISAGO Auditor's CoPA membership .
- 5.5.7 Membership of the CoPA would not normally be affected by a change in employment circumstances (e.g. the change of employer). However, in accordance with the CoPA membership terms and conditions the ISAGO Auditor must notify the GOA and IATA of any change in employer or where employment, including consultancy, could create a potential conflict of interest. The relevant CoPA details must also be updated.

## 5.6 Suspension of CoPA Membership

- 5.6.1 CoPA membership may be suspended by IATA if the ISAGO Auditor is unable to meet the criteria in 5.5.3 or as a result of action taken as outlined in 8.8. During a period of suspension the ISAGO Auditor will not be permitted to participate in an ISAGO Audit.
- 5.6.2 A suspended ISAGO Auditor may take the corrective action outlined in Table 5.2 to restore full CoPA membership. CoPA membership may be cancelled if the ISAGO Auditor decides not to take or does not complete the corrective action.

## 5.7 CoPA Membership Re-Qualification

5.7.1 A CoPA member that has a suspended membership may re-qualify for CoPA membership by completing the corrective action outlined in [Table 5.2](#). All expenses incurred will be the responsibility of the person and no remuneration will be paid.

5.7.2 IATA will assist the suspended ISAGO Auditor in arranging a suitable onsite evaluation and the audit may count towards maintaining CoPA membership. An onsite evaluation could include more than one corrective action.

**Table 5.2 – CoPA Membership Re-Qualification**

<b>Reason for membership suspension</b>	<b>Less than one year has passed since suspension</b>	<b>More than one year has passed since suspension</b>
You received notice of suspension by IATA QA	You will address in full the reasons given by IATA QA for the suspension	You will complete in full any remedial action specified by IATA
You only conducted 1 audit in the previous year (auditor performance is satisfactory as per AQPP)	You will undergo an interview and complete in full any action(s) specified by IATA	You will complete in full any remedial action specified by IATA
You did not complete any ISAGO Audit in the calendar year	You have to complete an onsite evaluation (step 3)	You will undergo an interview and complete in full any action(s) specified by IATA
You did not pass the annual performance review or did not receive a satisfactory performance review as per AQPP		
You did not complete the annual re-current training in the calendar year		

## 5.8 Lead Auditor Qualification

5.8.1 An existing CoPA member that meets the criteria specified in [Table 5.3](#) may apply online to upgrade to Lead Auditor status.

**Table 5.3 – Lead Auditor Application Criteria**

Training requirement	Has successfully completed a formal Lead Auditor Training course by a recognized organization
Auditing Experience	Be a CoPA member and have completed, as an Auditor, at least four ISAGO Audits since January 2018 Satisfactory feedback from the four ISAGO Audits A satisfactory report from IATA Quality
Operational Experience	At least two years <sup>note</sup> in a management role (managing a team of people)
Skills	Ability to plan and make effective use of resources, organizing and directing audit team members Ability to exercise objective judgment to reach audit conclusions, prevent and resolve problems and conflicts and represent the audit team in communications with the GSP Ability to prepare and complete accurate and factual reports

**Note:** Although no time limitation is specified, the applicant will have to demonstrate adequate experience by interview.

5.8.2 IATA will consider the application and conduct an interview with the applicant if the application is successful.

**Note.** While no limit is placed on the number of Auditors that can qualify for CoPA membership, the number of qualified Lead Auditors at any time would be based on demand and as decided by IATA. This policy is not intended to discriminate against potential Lead Auditors but to maintain the resources available to form an audit team and ensure their utilization and currency.

5.8.3 There is no requirement for the Lead Auditor to always audit ORM but holding an Authorization to audit ORM assists in understanding the GSP's management functions and how they relate to the ground operations and in compiling the ISAGO Audit Report executive summary.

5.8.4 IATA will assign the candidate Lead Auditor two onsite evaluations. The onsite evaluation, conducted by a Lead Auditor assigned by IATA, would focus on the planning, progress and completion of an audit (organizing, time management, contingency), leadership of the audit team (decision-making, conflict prevention and resolution, delivering results), communication with the GSP and IATA, and production and quality control of the ISAGO Audit Report. A final IATA assessment will determine if you will become a Lead Auditor.

5.8.5 An ISAGO Auditor's Lead Auditor status is reviewed annually by IATA as part of the CoPA membership requirements. To maintain Lead Auditor status the requirement to complete at least one audit in each calendar year has to be as the nominated Lead Auditor in each case. Depending upon the time of the year in which Lead Auditor status is attained, IATA may waive the requirement for Lead Auditor nomination.

5.8.6 The performance of a Lead Auditor may also be reviewed by IATA at any time. Failing to maintain Lead Auditor status will result in the ISAGO Auditor reverting back to Auditor status. If still a member of the CoPA, Lead Auditor status may be regained by completing an onsite evaluation as a Lead Auditor or as directed by IATA.

## 5.9 The Charter of Professional Auditors

5.9.1 The CoPA contains details of the ISAGO Auditors for use by a GOA when forming an audit team and includes:

- a) a photograph of the ISAGO Auditor
- b) contact information and location
- c) employer or, in the case of self-employed, any association that may be considered a conflict of interest
- d) currency of discipline Authorizations
- e) if suspended
- f) whether Auditor or Lead Auditor status
- g) language skills
- h) a log and details of ISAGO Audits completed and performance reports
- i) days of availability per year and any other preferences or restrictions

5.9.2 Only a contracted GOA will have access to the details of all CoPA members. Limited details, in accordance with data publication laws and specified in the CoPA membership terms and conditions, will be made available to the public.

5.9.3 The ISAGO Auditor is responsible for ensuring his/her details are correct and for providing IATA with any changes to the details that are needed. IATA is responsible for maintaining the security of the CoPA data.

5.9.4 Details of a cancelled membership will be removed from display in the CoPA.

5.9.5 The CoPA and its membership are established only for the purpose of ISAGO and are covered by the IATA brand.

## 5.10 Fees & Charges

See Section 10.



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## Section 6—Audit Conduct

### 6.1 Purpose & Scope

- 6.1.1 ISAGO Audits are conducted for the purpose of the Registration of a GSP as an organization with one or more accredited Stations where the GSP performs ground operations. This Section of the GOPM outlines the process of planning, conducting and completing ISAGO Audits.
- 6.1.2 A standardized audit process is established to maintain consistency and to be able to measure and compare the quality of the audits. The standardized approach also assists in the training of ISAGO Auditors to the same level of competence.
- 6.1.3 The audit activities apply to all types of ISAGO Audits (Headquarters, Station and Combined) for the purpose of initial ISAGO Registration or Station Accreditation or the renewal thereof, and the aim is to produce a quality assured ISAGO Audit Report.

### 6.2 Auditor and GSP Guidance

- 6.2.1 Guidance on all aspects of conducting an ISAGO Audit is provided to ISAGO Auditors in GOGUIDEs published on the CoPA Documentation webpage. User manuals for the audit software and audit forms are also published.
- 6.2.2 The GOGUIDEs shall be used by ISAGO Auditors to enhance their auditing skills and comply with the requirements of audit program. The GOGUIDEs contain instructions on how best to provide the contracted services and to standardize the conduct of ISAGO Audits. ISAGO Auditors are therefore obliged to follow the instructions given.
- 6.2.3 Changes in program requirements or the documentation provided, including new or revised GOGUIDEs, is notified by a Notice to CoPA Members (NoToCM) that are also published on the CoPA Documentation webpage. ISAGO Auditors are required to remain current with the ISAGO program and relevant requirements.
- 6.2.4 Changes in program requirements or the documentation provided relevant to a GSP are notified by a GSP Bulletin.
- 6.2.5 Manuals for the use of the audit software are provided for ISAGO Auditors and the GSPs (Auditees).

### 6.3 Audit Objectives

- 6.3.1 The ISAGO Audit is based on assessment and verification of the level of conformity with the GOSARPs. Conformity may be assessed by reviewing documentary evidence (documented) and verified by evidence of implementation (implemented). Auditor Actions, and sometimes Auditor Observations, are specified for

each GOSARP. In the case of nonconformity, the ISAGO Auditor would identify and describe a Finding or Observation. The terms Finding and Observation are defined in the IATA Reference Manual for Audit Programs (IRM) as:

**A Finding**, a documented statement based on factual evidence that describes nonconformity with an ISAGO Standard.

**An Observation**, a documented statement based on factual evidence that describes nonconformity with an ISAGO Recommended Practice.

**6.3.2** A nonconformity with an ISAGO Standard has to be addressed satisfactorily by the GSP to close the audit. Corrective action by the GSP to close an Observation is optional and has no impact on the closure of the audit, see [6.6.20](#). However, there may be a plan to upgrade the Recommended Practice to a Standard in which case the GSP would be advised to prepare for that event.

**6.3.3** The main focus of a Headquarters Audit is corporate management and the oversight of Station operations. The Headquarters Audit therefore includes all the operational disciplines that the GSP provides at all its Stations, regardless of whether the GSP intends to accredit the Station or not. Documented at the Headquarters Audit refers to whether the corporate policies, programs, processes and procedures, as written within the GSP's documentation, conform to the GOSARPs. The criteria for the assessment of documented also includes the distribution of the documentation to the intended user, and therefore includes all Stations.

**6.3.4** For a Station Audit, the documented and implemented assessment is also evidence of conformity with the GOSARPs in documentation and operations. However, the ISAGO Auditor only has to verify that the Station is using the Headquarters documentation or customer airline or local requirements are incorporated. There is no need to repeat the corporate review and the verification can be done by sampling. The implementation assessment is normally an observation, mandatory in some cases.

**6.3.5** A Combined Audit would be an amalgamation of the Headquarters and Station Audit actions made possible by the co-location of the corporate and operational activities, see also [3.4](#).

**6.3.6** A Finding raised during a Station Audit has to be addressed by the Station. However, if closure of the Finding requires action by the GSP at a Headquarters level, the GSP is responsible for the implementation of corrective actions at the Headquarters and each (including the Station at which the Finding was raised) is responsible for the implementation of corrective action that may be necessary at the Station.

## **6.4** [Audit Planning](#)

**6.4.1** The nominated Lead Auditor for the ISAGO Audit is responsible for ensuring that the audit is, in coordination with the GOA, properly planned and that all the logistical aspects for the audit are in place. An audit plan template is provided for this purpose.

**6.4.2** The ISAGO Audit Report and associated records are to be completed in English, and the English language versions of the ISAGO documentation take precedence. The Lead Auditor, assisted if necessary by the



GOA, should ensure the GSP provides language assistance (interpretation and translation) for its employees and to translate documentation if English is not used and the ISAGO Auditors are not proficient in the native language. The cost of providing language assistance will be covered by the GSP.

- 6.4.3 The Lead Auditor is responsible for preparing the specific audit plan that defines:
- a) the roles and responsibilities of each ISAGO Auditor;
  - b) the strategy and procedures for effective teamwork during the audit;
  - c) how the audit will be conducted, a provisional timetable to complete the audit within the time scheduled, and contingency should change be necessary;
  - d) the key GSP personnel that need to be available for the audit team and an indication of when they will be needed;
  - e) how the audit team will audit any ground operations that are outsourced by the GSP;
  - f) the edition of the GOSM that will be used for the audit; and
  - g) the applicable ISAGO discipline Auditor Action and Auditor Observation checklists and editions of relevant ISAGO documentation.
- 6.4.4 The audit of a centralized LOD service may require special attention. The ISAGO Audit may be a Combined Audit that does not include the Station at which the customer airline operates, or includes a remote location which may not be at an airport. Conformity of all the LOD GOSARPs has to be assessed, including verification that the LOD service is correctly handed over to the receiver at any Station that uses the centralized LOD service.
- 6.4.5 The Lead Auditor should provide a copy of the audit plan to the GSP and request an acknowledgement that it is acceptable.
- 6.4.6 Prior to the commencement of the audit activities, all the audit team members should ensure that they:
- a) have a copy of the audit plan;
  - b) know the arrangements made for travel and accommodation;
  - c) have the joining instructions or initial meeting point;
  - d) have other team member and GOA/emergency contact details;
  - e) are familiar with the current GOGUIDEs and NoToCMs;
  - f) are aware of and familiar with the current editions of the ISAGO Audit documentation and related documentation;
  - g) are aware of relevant previous ISAGO Audit Reports, if any, of the GSP; and
  - h) are familiar with the audit software, checklists and other tools made available for the audit and the production of the ISAGO Audit Report.

- 6.4.7 IATA may request that an onsite evaluation, of a Candidate Auditor or Candidate Lead Auditor, takes place during an audit. The evaluation may cover multiple disciplines and therefore more than one member of the audit team may be involved.
- 6.4.8 With the prior agreement of the GSP and IATA, a person may be permitted to observe the onsite audit activities, including the observation of an ISAGO Auditor by IATA QA. The person should provide credentials and the purpose of observing the audit. The observer is not to be considered a member of the audit team but is to be mentioned (by name, job title and employer) in the Audit Summary Report and ISAGO Audit Report. The observer is to only observe the onsite audit and must not interfere, influence or play any part in the audit. The Lead Auditor in consultation with the GSP has the right to dictate where and when the observer may join the audit, and remove the observer from the audit at any time and, with respect, for any valid reason.

## 6.5 Pre-Onsite Audit Activities

### Gap Analysis

- 6.5.1 It is recommended that the GSP undertakes a gap analysis prior to the audit commencing. The gap analysis should identify where potential nonconformities with the current and applicable GOSARPs might exist and what needs to be done to conform by the time of the audit.
- 6.5.2 It may be useful for the GSP to share the outcome of the gap analysis with the audit team for the upcoming audit.
- 6.5.3 An ISAGO Auditor may be commissioned by the GSP to conduct or assist in the conduct of the gap analysis provided that there will be no subsequent conflict of interest as described in [1.8.2](#).
- 6.5.4 The GSP shall keep up-to-date with ISAGO developments and familiarize its management and employees who will be subject to the ISAGO Audit(s) with all applicable GOSARPs and other provisions as applicable to the GSP's ground operations.

### Document References

- 6.5.5 Prior to a Headquarters Audit, the GSP can request the GOA to provide access to the audit in the audit software to record the document references and to provide the audit team with the required documentation. This activity saves a significant amount of the ISAGO Auditor's time in having to do it during the onsite audit.
- 6.5.6 Prior to a Station Audit the audit team will be provided by IATA with the document references obtained during the last Headquarters Audit or if the last Headquarters Audit is 18 months old, audit team to obtain updated document references from the GSP's headquarters. These references are referred to by the ISAGO Auditor during the Station Audit to validate implementation at the Station in accordance with the Headquarters documentation or to identify the existence of another means (a process or procedure based on local requirements).

## Audit Team Preparation

- 6.5.7** Planning for the onsite audit, to prepare everyone involved, is essential. The planning of the onsite audit, managed by the nominated Lead Auditor, should ensure that all aspects of the onsite audit are addressed as early as possible and there is sufficient time for changes to be accommodated. The audit team should not arrive onsite unprepared and the GSP should not be presented with last minute requests or avoidable issues.
- 6.5.8** The audit team should prepare for the audit by:
- a) reviewing all aspects of the audit plan and confirm their understanding;
  - b) reviewing documentation and other information provided in advance by the GSP;
  - c) confirming the audit scope and, if applicable, outsourced activities; and
  - d) confirming roles and responsibilities and contingency procedures.
- 6.5.9** The documentation review (as per [6.5.8 b\)](#) prior to the onsite part of a Headquarters Audit or a Combined Audit may be limited to questionnaires, previous or relevant audit reports and lists of documentation (Information Sources) from the GSP's documentation system. This review could be extended to establish the documented aspect of conformity with those GOSARPs associated with management and corporate operational procedures. Typical documentation that can be reviewed offsite includes those associated with the ORM discipline and the generic aspects of discipline-specific operational procedures – local operating procedures such as provided by customer airlines are normally excluded. The latter activity can only occur if the GSP provides the audit team access to the relevant documentation and if a specific request is made by the GSP to the GOA at the time of scheduling the audit. The Lead Auditor would make suitable arrangements to receive documentation from the GSP and all members of the audit team should participate in their assigned discipline roles. All recipients of documentation from a GSP are subject to the confidentiality requirements in [1.8.5](#).
- 6.5.10** The documentation review by the audit team prior to a Station Audit should familiarize the audit team with the GSP's management processes and generic operational procedures obtained from the Initial or the last Headquarters Renewal Audit (as updated by the GSP) such that the audit team may concentrate on any the implementation aspects during the Station Audit, including local variations to operational procedures to account for customer airline, airport and national requirements.
- 6.5.11** The main purpose of the documentation reviews in [6.4.6](#) and [6.4.7](#) is to reduce the amount of time spent by the audit team in reviewing documentation during the onsite part of the audit. The time assigned to each discipline as specified in [Table 3.1](#), includes the time taken to conduct such reviews. The Lead Auditor will determine and agree with the GSP and GOA how much time on the onsite audit can be reduced. The travel and accommodation arrangements will have to match the time onsite; therefore, the decision to conduct an offsite documentation review and the time needed onsite has to be made before the travel and accommodation is booked.
- 6.5.12** The audit team preparation should take place at a meeting prior to the start of the onsite audit but not in the presence of the GSP. Time for this meeting, organized by the Lead Auditor, might be found just before

the onsite audit takes place or it could be conducted by videoconference or some other convenient method.

- 6.5.13** The audit team should ensure that the current English language version of the GOSM and relevant ISAGO Checklists will be made available onsite and that the audit software is correct for the audit.
- 6.5.14** The audit team should determine from the GSP what attire is needed during the audit, especially when visiting an operational area. The wearing of personal protective equipment (PPE) is compulsory. Hi-visibility vests (tabards) ear defenders, eye protection and hard hats may be available onsite but the ISAGO Auditor should nevertheless have their own during the audit if needed. The ISAGO Auditor shall have available gloves, footwear or other items of a bespoke or fitted nature and wear as necessary during the audit. Similarly, the audit team should prepare to dress according to the weather conditions that are likely to be encountered while on the ramp and elsewhere.

## 6.6 Onsite Audit Activities

### Onsite Opening Meeting

- 6.6.1** All onsite audits commence with the Onsite Opening Meeting between the audit team and the GSP's senior management. The meeting is chaired by the Lead Auditor and the agenda should include:
- a) an introduction of the people present and their roles and responsibilities;
  - b) a presentation of the audit objectives, scope and planned schedule of activities;
  - c) confirmation of the administrative arrangements and facilities, including access airside for observations of operational activities if a Station Audit;
  - d) confirmation from the GSP that identified key personnel will be available for the audit team when needed;
  - e) how the GSP will be informed of the audit progress, reporting potential Findings or Observations and how they will be handled during the audit, see [6.5.9](#);
  - f) a summary of any initial Findings or potential Findings identified during the pre-onsite documentation review (if applicable); and
  - g) any other administrative aspects that may need to be explained, such as last minute changes or the conditions that may lead to termination of the audit.
- 6.6.2** The audit team shall only use IATA-provided presentation or written material during the meeting.
- 6.6.3** The time taken to complete the onsite opening meeting should be kept to a minimum, typically not more than 30 minutes.

## Onsite Audit Roles & Responsibilities

- 6.6.4 During the audit, the roles and responsibilities of the audit team are:
- a) to follow the agreed schedule of activities, keeping to the timetable where practicable and amend if required;
  - b) to maintain a professional approach, observing behavioral and ethical requirements;
  - c) to comply with the audit procedures, using the audit checklists correctly and completing Auditor Observations;
  - d) to use effective methods to gather factual and objective evidence by interviewing, reviewing documentation, observing activities and noting operational conditions;
  - e) to determine conformity based on the degree to which the GSP has documented and implemented specifications contained in the GOSARPs;
  - f) input information into the audit software;
  - g) to assist each other and hold regular meetings to exchange information (such as a potential nonconformity) and assess progress; and
  - h) to communicate to the GSP any potential and actual Findings or Observations found and, via the Lead Auditor, in a daily summary.
- 6.6.5 It is the role of the Lead Auditor, in cooperation with other audit team members, to manage the onsite audit efficiently, to make adjustment where necessary and to ensure that the audit is completed in full on schedule.
- 6.6.6 During the audit the GSP will assist the audit team by making personnel (responsible managers and applicable staff) available, including attendance at the opening and closing meetings, and providing the ISAGO Auditors with working space, IT facilities (access to a printer may be useful), a suitable and the best available internet connection, transport, and access to dining/refreshment facilities. Unavailability of a suitable internet connection is a valid reason to postpone or terminate the audit. The GSP will fulfil reasonable requests for relevant documentation and translation/interpretation services if necessary.
- 6.6.7 All applicable Auditor Actions and Auditor Observations should be completed as planned.
- 6.6.8 The GSP shall make arrangements for the audit team to audit the documentation and make observations of the ground operations that the GSP has outsourced. The audit of the outsourced ground operations will be treated as if the GSP is providing the ground operations, with the addition of any applicable quality management or other oversight requirements.

## Assessments of Conformity/Nonconformity

- 6.6.9 Each member of the audit team shall record their assessments in the audit software (including updating documentary references as necessary). The assessment shall also include comments that describe the evidence of conformity as well as a nonconformity.

- 6.6.10 IATA provides the document references, plus the sub references, for each GOSARP obtained during the last Headquarters Audit to assist the assessment by the ISAGO Auditor during a Station Audit. The ISAGO Auditor therefore needs only to record the document references related to evidence of conformity by way of a local means (Local Operating Procedure etc.). This practice allows the ISAGO Auditor to do the assessment relatively quickly and leave more time to assess implementation.
- 6.6.11 The possible assessment outcomes are specified by the audit software, and include several different variations of conformity and nonconformity based on documentation and implementation of the GOSARP requirements, usually associated with a process or procedure. A Station Audit should assess the alignment of its processes and procedures with those developed at a corporate level (as assessed as in conformity at the Headquarters Audit). It is possible for local processes or procedures, developed at the Station, to be assessed as in conformity; however, they might not be aligned and are in lieu of the corporate version. This outcome should be the exception not the rule and if there is a significant number assessed in this manner it would be appropriate for the ISAGO Auditor to question the conformity of the implementation aspect of the GSP's corporate documentation management system and overall oversight of operational processes and procedures.
- 6.6.12 If the GSP attempts to address the nonconformity of any GOSARP through implementation of immediate corrective action, the relevant ISAGO Auditor shall, while onsite, determine if the corrective action is comprehensive and permanent, and results in conformity with the GOSARP.
- 6.6.13 The number of Findings alone would not be a valid reason to terminate the audit. However, the Lead Auditor may terminate an audit if it is clear that a GSP will not or cannot conform to the applicable GOSARPs within a timeframe necessary to obtain or maintain the applicable ISAGO Registration or Station Accreditation. The Lead Auditor shall accordingly reach an agreement with the GSP that the audit will not be completed. The onsite closing meeting will still take place as normal, presenting the outcome of the audit up to the point of termination and giving the reason why the termination took place. The Lead Auditor shall notify IATA and the GOA immediately that the audit has been terminated and provide the reasons in writing within 24 hours. IATA will review the circumstances for the termination of the audit and, in collaboration with the Lead Auditor and GSP, decide upon a course of action, if practicable and appropriate, to remedy the situation. Other reasons for termination may include:
- a) the lack of a suitable internet connection;
  - b) an obvious and undue influence on the audit team;
  - c) prevention of an ISAGO Auditor from performing a task or the deliberate withholding or hiding of factual evidence;
  - d) a conflict of interest; and
  - e) a breach of the Audit Agreement (if known or notified by IATA).
- 6.6.14 The Lead Auditor will keep the GOA apprised of the audit progress and any matters of significance.

## Audit Summary Report

- 6.6.15 The Lead Auditor will compile the Audit Summary Report, consisting of a list of Findings and Observations identified during the onsite audit and derived from the audit software. The list may not represent the total number of Findings and Observations as additional nonconformities could be identified during quality control reviews of the report.
- 6.6.16 Before leaving the onsite audit, the Lead Auditor shall ensure the GSP understands and agrees with the Findings and Observations in the Audit Summary Report. The GSP should notify the Lead Auditor and seek a resolution as soon as practicable if there is any disagreement with the audit conduct or the Audit Summary Report. The Lead Auditor will refer the disagreement to IATA if unable to find a resolution. The content of the Audit Summary Report may be amended when incorporated in the final ISAGO Audit Report as a result of quality control by the Lead Auditor and IATA.

## Onsite Closing Meeting

- 6.6.17 At the end of the onsite audit the Lead Auditor shall facilitate an onsite closing meeting with the GSP's senior management and relevant personnel. At the meeting the Lead Auditor should:
- a) provide an overview of the audit and a copy of the Audit Summary Report;
  - b) explain the post audit activities, including the development of the Corrective Action Plan (CAP) and the process and timeframe for closing all Findings and, if applicable, Observations;
  - c) provide the GSP with the date by when all the proposed CAPs have to be approved, see 6.6.22;
  - d) explain the production and quality control process of the ISAGO Audit Report; and
  - e) explain any other responsibilities of the GSP regarding ISAGO Registration and Station Accreditation (including marketing), the ISAGO program and ISAGO Audit Report sharing, confidentiality, feedback and the requirement to report any significant changes to operational and management structures to IATA.
- 6.6.18 The audit team shall only use IATA-provided presentation or written material during the meeting.
- 6.6.19 A Corrective Action Record (CAR) will be created in the audit software for each Finding by the ISAGO Auditor that identified the nonconformity;
- 6.6.20 A CAR will not be created for an Observation unless the GSP notifies that it will be addressed, in which case the relevant Auditor will create a CAR and it will be included in the CAP by the GSP. Closing the Observation CAR is, however, still optional and does not affect the closing of the Audit.
- 6.6.21 Where many Findings were identified, the Lead Auditor and GSP will agree when the CARs will be created in full and presented to the GSP.
- 6.6.22 The date by when all the CAPs have to be approved should be agreed between the Lead Auditor and the GSP. The date should take into consideration the post-audit activities such that all Findings and the audit can be closed no later than six calendar months following the date of the on-site closing meeting for an Initial Headquarters or an Initial Station Audit. For a Renewal Audit, the date by when all the CAPs have to

be approved has to take into consideration the time needed and remaining (no more than six calendar months) to close the audit before the applicable ISAGO Registration or Station Accreditation expires.

**6.6.23** If deemed necessary by the Lead Auditor, the Lead Auditor should agree with the GSP that an onsite follow-up visit is, or is likely to be, required to verify that one or more Findings can be closed. IATA and the GOA are to be notified by the Lead Auditor that the visit is required and has been agreed by the GSP. Only one person will do the follow-up visit, normally the Lead Auditor unless there is a specific reason, such as availability, for another member of the audit team to do it. The ISAGO Auditor doing the follow-up visit does not need to hold an Authorization in the discipline of the Finding to be verified as closed. Costs for the follow-up visit are payable by the GSP, see [10.2.12](#) and [10.2.13](#).

**6.6.24** The Lead Auditor will record the onsite audit as completed in the audit software.

**6.6.25** The date of the onsite closing meeting has significance with respect to initial ISAGO Registration or initial Station Accreditation. The initial ISAGO Registration or initial Station Accreditation period (see [Figure 2.1](#)) begins from this date. The initial ISAGO Registration or initial Station Accreditation is not, however, granted until the ISAGO Audit Report is approved by the SVP SFO.

## **6.7 Post Audit Activities**

**6.7.1** The post audit activities focus on the closure of the ISAGO Audit. This involves actions by the GSP to address each nonconformity in each Finding in a process that is prompted and captured by the audit software. All information related to the closure of a Finding must be recorded in the audit software. The actions taken to close the Finding must be described clearly and completely, with evidence to demonstrate that the nonconformity no longer exists.

**6.7.2** The post audit process is mandatory and follows a standardized sequence (illustrated in [Figure 6.1](#)): whereby:

- a) the GSP addresses each Finding, as described in a CAR created by the ISAGO Auditor at the end of the onsite audit;
- b) the GSP develops a CAP that states how conformity will be achieved, records the details of the CAP in the CAR, and submits it for approval;
- c) the ISAGO Auditor that raised a Finding and created the CAR also follows the GSP's actions to close the Finding by first approving the CAP proposed by the GSP to achieve conformity or by referring the CAP back to the GSP with comment for amendment;
- d) steps b) and c) are repeated until the ISAGO Auditor approves the CAP;
- e) the GSP implements the CAP;
- f) the GSP records the implementation of the CAP in the CAR and describes in detail how conformity has been achieved by the Final Action Taken (FAT);

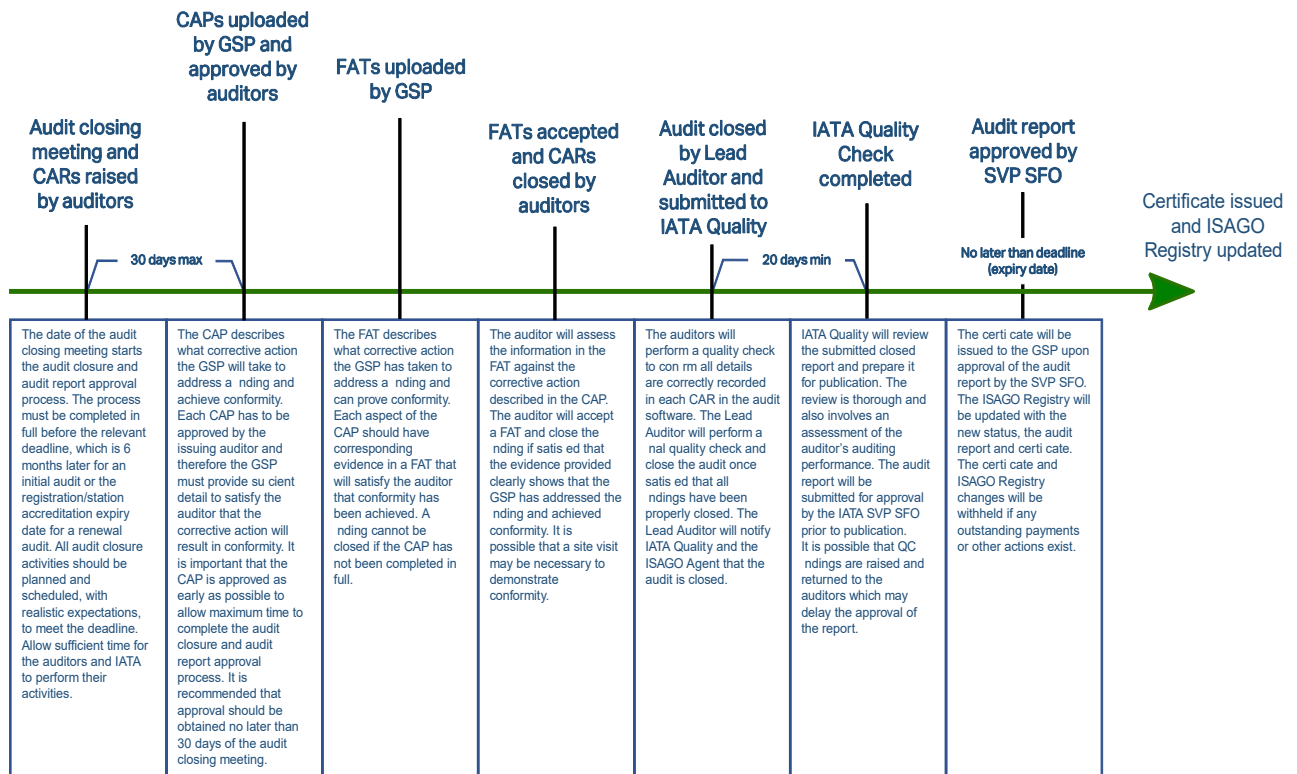


- g) the ISAGO Auditor that created the CAR assesses the information in the FAT provided by the GSP and, if satisfied that conformity has been achieved, closes the CAR, or refers the FAT back to the GSP with comment for amendment;
- h) steps f) and g) are repeated until the ISAGO Auditor closes the CAR;
- i) the nominated Lead Auditor for the ISAGO Audit can close the ISAGO Audit when all CARs are closed and the quality control check is completed by each auditor of the disciplines they audited and CARs they closed; and
- j) the Lead Auditor does a final quality control check of the entire report.

**6.7.3** The approval of a CAP, acceptance of the FAT, and closure of the CAR may be subject to interaction between the GSP and the ISAGO Auditor that created the CAR. The audit software facilitates this interaction allowing both parties to request, discuss and clarify information related to the CAP and FAT such that the achievement of conformity can be verified and recorded. The interaction between the GSP and the ISAGO Auditors is recorded in the audit software for reference purposes only and is not included in the ISAGO Audit Report. Only the relevant details of achieving conformity are included in the ISAGO Audit Report.

**6.7.4** Guidance on the post audit activities and the use of the audit software is provided in GOGUIDES, GSP Bulletins and user manuals.

**Figure 6.1 – Post audit process**



### **Corrective Action Plan (CAP)**

- 6.7.5 The GSP will develop a CAP for each CAR that is created for a Finding and Observation (if chosen by the GSP to address). The Lead Auditor, assisted by the audit team members, may provide advice to the GSP as requested; however, this advice must be limited to clarification of the reason(s) for the Finding.
- 6.7.6 A CAP will implement comprehensive and permanent corrective action to achieve full conformity with the applicable GOSARP and enable the ISAGO Auditor to close the CAR. Each corrective action will, using proper English spelling and grammar:
- a) be based on a root cause analysis that determined the reason(s) why the nonconformity existed; and
  - b) contain all details needed to address all aspects of the nonconformity.
- 6.7.7 The CAP is important. A thorough and detailed CAP, comprehensively addressing all root causes, increases the chance of satisfying the ISAGO Auditor that conformity will be achieved.
- 6.7.8 The Lead Auditor will provide the GSP with the date when all the CAPs have to be approved by the auditor that raised the finding and CAR. This date should be as soon as possible but no more than 30 days after the closing meeting. The given date has to take into consideration the time needed to complete all the corrective actions in the CAP, all the other post-audit activities and the time remaining before a relevant deadline or expiry date.
- 6.7.9 It is also important for the Lead Auditor, in cooperation with the audit team, to follow the GSP's progress of the CAP to ensure that FAT implementation and CAR closure occurs as planned. The Lead Auditor shall notify IATA as soon as possible if it is probable, at any time, that the audit will not be closed within the required period to ensure there is some additional time for IATA to take an action in cooperation with the GSPs.

### **Closing a Corrective Action Record (CAR)/Finding**

- 6.7.10 The GSP shall record the corrective action and evidence of the FAT in each CAR in the audit software, and submit the information for acceptance by the ISAGO Auditor. All information provided must be in English. Controlled documents that are published in another language and revised as part of the CAP must be translated for the ISAGO Auditor to verify that the corrective action has taken place.
- 6.7.11 The ISAGO Auditor shall exam all details of the FAT, verifying that the CAP has been implemented correctly and the conformity has been achieved.
- 6.7.12 The FAT may require additional information or, as agreed, a follow-up visit to verify that conformity has been achieved.
- 6.7.13 The ISAGO Auditor shall record the acceptance of the FAT in the audit software, and also close the related CAR.
- 6.7.14 The Lead Auditor will take responsibility for the closure of all the Findings and the quality control check of the audit report prior to its submission to IATA regardless of who is involved in the verification and individual CAR closure.

## Effect of GOSM Revisions

- 6.7.15 The publication of a new edition of the GOSM during the post audit activities could result in one of the following if a Finding is related to a GOSARP that is deleted or amended:
- a) the ISAGO Auditor will delete the CAR in the audit software if the GOSARP is deleted from the GOSM or is amended in a way that makes the Finding no longer relevant or the nonconformity no longer exists and will record this fact in the Audit Summary;
  - b) the GSP has the option to close the CAR of a GOSARP that has been amended but a nonconformity still exists by implementation of corrective action to satisfy either the old or new (amended) GOSARP, amending the FAT as necessary; and
  - c) Elevating a recommended practice to a standard has no effect.
- 6.7.16 One of the following actions will be taken if a Finding was raised against a GOSARP which is subsequently suspended during the post audit activities:
- a) the ISAGO Auditor will delete the CAR in the audit software if the whole of the GOSARP is suspended and the GOSARP becomes irrelevant for that audit, and will record this fact in the Audit Summary;
  - b) the ISAGO Auditor will delete the CAR in the audit software against a suspended GOSARP solely as a result of nonconformity with suspended specifications within the GOSARP, and will record this fact in the Audit Summary; and
  - c) the CAR remains valid if created for a nonconformity with a non-suspended specification within the GOSARP.
- 6.7.17 A GOSM revision may have an impact on the validity or accuracy of the documentary references derived from a Headquarters Audit and, within the three year ISAGO Registration period, later used for a Station Audit. Therefore, if a GOSM revision has taken place, the GSP should review and if applicable update the documentary references prior to a subsequent Station Audit. The GSP should provide the updated documentary references, clearly indicating the changes made, to the audit team to negate any need for the auditor to review all documentary references.
- 6.7.18 The results of a Station Audit may also reveal that a significant or substantial amount of change has occurred at the Headquarters and the GSP is no longer in conformity with the latest edition of the GOSM. In this case a Verification Audit at the GSP's Headquarters may, in accordance with [2.9.1](#), be warranted.

## Commercially Orientated Actions or Decisions by the GSP

- 6.7.19 If approved by IATA, a Finding may be closed by the acceptance of commercially orientated actions or decisions by the GSP. This normally occurs where the GSP knows that it will cease the ground operations services at the Station that the Finding relates to before the Finding is or should be closed, or there may be some other reason why the GSP believes that allocating resources to close the Finding is not in their commercial interests. In both cases the nonconformity will result in the removal of the relevant discipline from the ISAGO Registration or Station Accreditation. The GSP in conjunction with the Lead Auditor (and ISAGO Auditor concerned) should make a specific request to IATA, giving full details of the proposal, for approval.

## **Audit Closure**

- 6.7.20 The Lead Auditor shall declare an audit closed after all CARs are closed (all FATs have been reviewed and verified as completed, and the Findings are closed).
- 6.7.21 Audit closure should be planned to be achieved to allow enough time for completion of the IATA quality checks and approval by SVP SFO before the applicable ISAGO Registration or Station Accreditation expires.
- 6.7.22 The Lead Auditor shall declare the audit invalid if closure is not obtained or is highly unlikely to be obtained before the applicable approval deadline or upon the expiry of the applicable ISAGO Registration or Station Accreditation, and shall accordingly notify IATA, the GSP and GOA concerned. The Lead Auditor, or IATA, may also declare an audit invalid under justifiable circumstances, such as:
- a) closure procedures were not followed correctly or the GSP was unable or uncooperative in closing the Findings to the Lead Auditor's satisfaction;
  - b) a conflict of interest was detected;
  - c) the GSP became the subject of a merger, takeover or other significant change;
  - d) The GSP's operating procedures are no longer followed as a result of a merger and/or takeover; and
  - e) the GSP ceased ground operations services at the Station or in total.
- 6.7.23 In the event that the GSP does not agree with the actions or decisions of the Lead Auditor or the audit team and is unable to find a resolution with the Lead Auditor, the ISAGO dispute resolution procedure, as outlined in Section 9, may be initiated through a request to IATA in writing from the GSP.
- 6.7.24 The Lead Auditor shall notify IATA, the GSP and GOA concerned if an audit has been declared invalid. All audit data will be retained by the Lead Auditor for a period of at least 30 calendar days after the notification.
- 6.7.25 After the audit has been closed, the GSP may submit their views on the overall audit experience to IATA, and for input into the continuous improvement program.

## **ISAGO Audit Report**

- 6.7.26 The Lead Auditor is responsible for the production of the ISAGO Audit Report. The ISAGO Audit Report comprises:
- a) an executive summary;
  - b) details of the audit, according to the audit plan, scope, Information Sources and references, checklists and outcomes as recorded in the Audit Summary Report; and
  - c) details of the completed CARs.
- 6.7.27 The Lead Auditor is also responsible for the quality control of the ISAGO Audit Report to ensure that:
- a) details of the audit are accurately described;

- b) documents contain all required information and signatures;
- c) checklists are completed and all items are appropriately addressed;
- d) information is documented in the English language in a manner understandable to any reader;
- e) GOSARPs assessed as nonconformities (Findings and Observations) have documented supporting factual evidence;
- f) GOSARPs assessed as not-applicable (N/As) have a documented explanation; and
- g) closure of Findings in each CAR includes an accurate description and justification of the method(s) used to verify the implementation of corrective action.

**6.7.28** Members of the audit team should assist the Lead Auditor by completing the quality control of the entries in the ISAGO Audit Report related to their role in the audit.

**6.7.29** The Lead Auditor shall complete the ISAGO Audit Report in the audit software and, within five days of closing an Initial Headquarters, Station or Combined Audit or within three days of closing a Renewal Audit, shall notify IATA Quality that the report is ready for IATA quality control check. In case of a Renewal audit, the ISAGO Audit Report should be submitted to IATA no less than 20 calendar days prior to the current ISAGO Registration or Station Accreditation expiry date, to allow sufficient time for the IATA quality control check and approval of the report.

**6.7.30** The ISAGO Auditors concerned in producing the ISAGO Audit Report shall maintain the confidentiality of the report and its contents and shall not disclose, disseminate or otherwise make it or information contained therein available to anyone for any reason

**6.7.31** In the event that the GSP does not agree with the ISAGO Audit Report and is unable to resolve an issue with the Lead Auditor, the ISAGO dispute resolution procedure, as outlined in Section 9, may be initiated through a request to IATA in writing from the GSP.

## **6.8 IATA Approval of the ISAGO Audit Report**

**6.8.1** IATA will commence its quality checks on receipt of the notification by the Lead Auditor that the ISAGO Audit Report is ready for review in the audit software.

**6.8.2** The IATA Quality control check is dependent on the close working relationship between IATA, the Lead Auditor and the GSP, and is performed to ensure that the final ISAGO Audit Report is of a high standard, with error-free content. The GSP is therefore required to provide the Lead Auditor with any information requested during the QC process and in a timely manner.

**6.8.3** If for any reason the ISAGO Audit Report is considered by IATA Quality as unacceptable, the issues identified will be raised with the Lead Auditor for correction.

**6.8.4** The IATA quality control process is complete when all non-conformities and other quality control items identified by IATA Quality have been addressed by the Lead Auditor. The ISAGO Audit Report will then be

submitted to the IATA Senior Vice President Safety & Flight Operations (SVP SFO) for approval and become available for sharing. The applicable ISAGO certificate will be dispatched at this time.

## 6.9 Audit Feedback

- 6.9.1 GSP shall complete an online ISAGO Audit Feedback Survey to IATA after the onsite audit has concluded and when the audit has been closed, or at any other time as desired. The feedback will be used, in confidence, to evaluate the ISAGO Auditors and GOA performance, for input into the continuous improvement program and also to support a consistent approach to auditing.
- 6.9.2 The ISAGO Auditors will complete a survey issued by IATA annually, or as necessary, and give views on their auditing experience and the performance of the audit teams that they were a member of.
- 6.9.3 The assigned ISAGO Auditor will produce an onsite evaluation report of a Candidate Auditor/Lead Auditor as required.

## Section 7—ISAGO Audit Report Management & Information Sharing

### 7.1 Purpose & Scope

7.1.1 Sharing of ISAGO Audit Reports is a fundamental element of ISAGO, enabling airlines to minimize their own needs for oversight of outsourced services and thereby eliminating the need to duplicate audits of the same nature and scope. This Section of the GOPM outlines the management and sharing of ISAGO Audit Reports and other information.

7.1.2 The management of access to and distribution of ISAGO documentation applies to all ISAGO Audit Reports and ISAGO Registration and Station Accreditation details. Access to the ISAGO Audit Reports has to be controlled, assuring that the purpose and conditions of the use of the reports is appropriate.

### 7.2 ISAGO Audit Report Ownership & Custodianship

7.2.1 The ISAGO Audit Report is the official record of the ISAGO Audit. An ISAGO Audit Report will be issued for each Headquarters Audit and each Station Audit or as a Combined Audit Report as applicable.

7.2.2 IATA is the custodian of all ISAGO Audit Reports. A GSP is the owner of the content of a report and relevant to its ISAGO Registration or a Station Accreditation.

### 7.3 Validity of an ISAGO Audit Report

7.3.1 An ISAGO Audit Report remains valid for the duration of the ISAGO Registration or Station Accreditation period that it is associated with.

### 7.4 ISAGO Audit Report Access & Sharing

7.4.1 Upon approval of an ISAGO Audit Report, IATA will upload it to the ISAGO Audit Report database, the only place where all ISAGO Audit Reports will be stored. It can be accessed by the GSP that owns it from the ISAGO Registry.

7.4.2 An ISAGO Audit Report will be made available while the GSP's ISAGO Registration or Station Accreditation is active and archived after a period of six years.

7.4.3 Distribution and sharing of an ISAGO Audit Report will be strictly controlled, in the following manner. All ISAGO Audit Reports will be provided by IATA to a third party with a confidentiality clause either in a specific agreement or as part of the report itself.

## ISAGO Airline Membership

7.4.4 Airlines that support the ISAGO program will enter into an ISAGO Airline Membership Agreement to subscribe to receive access to ISAGO Audit Reports as they become available. The ISAGO Airline Membership Agreement specifies the terms and conditions for the access and, in return, the commitments of the Airline to the program.

7.4.5 The Airline may view or download the document from the ISAGO Registry. An annual subscription gives unlimited access to all ISAGO Audit Reports.

7.4.6 An Airline that does not subscribe to receive access to ISAGO Audit Reports may purchase a report on an individual basis.

7.4.7 Four categories of ISAGO Airline membership and subscription are available and according to the following conditions:

- *Prime Member*: The Airline receives ISAGO Audit Reports for its own benefit only;
- *Prime Member Plus*: The Airline is solely responsible for the outsourcing of ground operations for all other airlines with its group and the Airline shares the ISAGO Audit Reports within its group;
- *Group Member*: The Airline is one of a group of airlines that operate under separate Air Operator Certificates and individually organize the outsourcing of ground operations (one of the Group Members must be a Prime Member);
- *Association Group Member*: The Airline is a member of an airline association (see note below); and  
*Compact Member*: The Airline operates to less than 50 destinations.

**Note:** IATA will consider the applicability of the airline association on request. The airline or airlines concerned should contact IATA for advice. An airline alliance for code-sharing purposes is not applicable.

7.4.8 The terms and conditions of membership and the sharing of an ISAGO Audit Report or the information contained therein are specified in the Airline Agreement signed with IATA, which differs according to the category of membership.

7.4.9 The fee for each category of membership and individual ISAGO Audit Report purchase is specified in [Table C1](#).

7.4.10 The Airline should use an ISAGO Audit Report for its own purposes and the realization of benefits, which can include:

- a) to satisfy its own need for an audit of that GSP and the airline thereby is able to forgo the audit of the GSP in the areas covered by the report;
- b) using the audit report data as part of their risk based approach to oversight of outsourced services in the areas covered by the report, aiming to reduce the risk and cost of their oversight activities;
- c) discussing with the regulatory authority responsible for the issue of its AOC its acceptance of the ISAGO Audit and the associated report as the means of demonstrating compliance with



corresponding regulatory requirements related to the oversight of outsourced ground operations or the management of the provision of its own ground operations; and

- d) the airline providing, as applicable, IATA with comments or opinion on the content of the report and provide IATA with information it believes relevant to the ISAGO Registration or Station Accreditation of a GSP, including an allegation of nonconformity with a GOSARP and/or a situation that might require attention or an investigation through a Verification Audit (see 2.9).

**7.4.11** The Airline will bear all responsibilities for any operational, commercial or business decision(s) based on ISAGO Audit Report sharing, as if the airline had conducted its own audit of that GSP, and the responsibility for the continual on-going monitoring of the operations of the audited GSP.

**7.4.12** With respect to 7.4.10 c) the Airline should explain to the regulatory authority how an ISAGO Audit Report is used by the Airline in its oversight or management of ground operations, and to gain the authority's acceptance of the report as a means of demonstrating the Airline's compliance with applicable regulatory requirements for the oversight and management of ground operations and to forgo its own audit. The Airline shall notify IATA if this happens. The authority shall not be provided with a copy of the ISAGO Audit Report without the agreement of IATA and the relevant GSP.

**7.4.13** The ISAGO Audit Report, while designed to provide comprehensive information about an audit, may not always satisfy all the requirements of an airline for auditing and monitoring. In such cases, the airline may seek clarification or additional information through direct communication with the GSP concerned.

**7.4.14** The Airline should (regardless of their status in ISAGO) contribute to the enhancement and continuous improvement of ISAGO by:

- a) providing feedback on the ISAGO Audit Reports and recommendations for the revision of its structure, layout or content;
- b) notifying recommendations for the analysis or assessment of the content of the reports;
- c) measuring the ISAGO benefits gained and sharing the data with IATA on an annual basis;
- d) sharing, if not already doing so, data on aircraft ground damage with the IATA Ground Damage Data Base (GDDB);
- e) adopting a policy and notifying IATA of an implementation plan whereby ISAGO registration (and therefore station accreditation) is a requirement for all new or renewed contracts issued for outsourced ground operations services that are included in the scope of ISAGO;
- f) adopting the IATA Ground Operations Manual (IGOM) and provide IATA with the Airline's IGOM implementation status and any differences from the IGOM requirements; and
- g) supporting IATA in the promotion and implementation of the ISAGO program by engaging with regulatory authorities, airports, GSPs and their representatives.

### Ground Service Providers

**7.4.15** The GSP may view or download the ISAGO Audit Report from the ISAGO Registry. The GSP shall maintain the confidentiality of the report and its contents and shall not disclose, disseminate or otherwise make it or information contained therein available to anyone for any reason without the agreement of IATA.

- 7.4.16 The GSP should notify, on request, IATA with:
- a) the number of enquiries it has received from airlines for information on its ISAGO Registration status, including a request for a copy of an ISAGO certificate;
  - b) the number of airline audits that have been saved and the resultant auditing resource savings (in terms of man days or other suitable means of measurement as requested);
  - c) details of continued airline audits that duplicate areas covered by a current ISAGO Audit Report or using an ISAGO checklist; and
  - d) the safety performance gains made (in terms of analysis of aircraft damage reports or other suitable means of measurement as requested).

## **IATA**

- 7.4.17 IATA will provide access to ISAGO Audit Reports and the ISAGO Registry to an Airline that becomes a member as per 7.4.4.
- 7.4.18 IATA will provide an ISAGO Audit Report to an Airline that requests an individual report as per 7.4.6.
- 7.4.19 IATA will provide a copy of relevant ISAGO Audit Reports to the audit team that will conduct the next audit of the GSP or, in the case of a Station Audit, needs the information contained in the relevant Headquarters ISAGO Audit Report.
- 7.4.20 IATA will, if requested by the GSP, provide a copy of the ISAGO Audit Report to:
- a) a regulatory authority in compliance with applicable law(s) of the state;
  - b) an insurance provider with a direct link to the GSP; or
  - c) a legal authority as part of legal proceedings in compliance with applicable laws.
- 7.4.21 IATA will provide a copy of an ISAGO Audit Report to the following interested parties with the agreement of the GSP concerned:
- a) airport authorities that require the GSPs that operate at their airports to hold an ISAGO Station Accreditation (and/or ISAGO Registration);
  - b) a customer or potential customer airline that shows interest in ISAGO; and
  - c) regulatory authorities in states that require GSPs to hold an ISAGO Station Accreditation (and/or ISAGO Registration).
- 7.4.22 IATA will provide the GSP with details of who receives one of their ISAGO Audit Reports.
- 7.4.23 IATA will not provide access to an ISAGO Audit Report to an interested party that is subject to laws or other legal provisions that could result in the public release or public disclosure or compromise the security and confidentiality of the document.

## 7.5 Fees & Charges

See Section 10.

## 7.6 ISAGO Data Analysis

7.6.1 IATA, as a function of its responsibility for program management and improvement, and in the interest of monitoring industry safety trends, may conduct an analysis of ISAGO Audit Reports to assess:

- a) industry conformity with GOSARPs for statistical safety reporting, and conformity with recommended practices to determine the need for upgrades to standards;
- b) the report content, to evaluate Lead Auditor and Auditor performance and standardization;
- c) audit outcomes in conjunction with analysis as part of the Global Aviation Data Management (GADM); and
- d) other ISAGO and IATA Ground Operations Manual (IGOM) elements, as necessary for safety assurance.

7.6.2 ISAGO data analysis may also be used by IATA to improve effectiveness and efficiency the ISAGO program for the benefit of the stakeholders.

7.6.3 All data derived from ISAGO Audit Report analyses that is made available to a third party external to IATA will:

- a) be de-identified and be structured, arrayed or arranged in a manner such that a specific report, GSP or Airline cannot be identified; and
- b) be quantitative and the results will be of a statistical nature only.



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## Section 8—ISAGO Program Oversight & Performance

### 8.1 Purpose & Scope

- 8.1.1 The IATA Quality Assurance (QA) Program is driven by IATA Quality and operates independently from the ISAGO program management. It forms part of the IATA commitment to continual improvement of the ISAGO program by monitoring, assessing and measuring the performance of specific activities and people while performing those activities. The IATA QA Program follows its internal procedures described in the IATA Quality Assurance Program (QAPM).
- 8.1.2 The performance oversight activities are also to help ensure consistent, reliable, and accurate ISAGO Audits and results. In this respect, all stakeholders play a role in the oversight activities to assure stakeholder's expectations are met.
- 8.1.3 This Section of the GOPM outlines the ISAGO program performance measures, QA oversight activities and performance monitoring methods to drive improvements of the ISAGO program.

### 8.2 Oversight Methodology

- 8.2.1 IATA Quality will as part of the QA activities and performance monitoring:
- a) define key performance indicators (KPIs) and performance measures;
  - b) monitor the performance of GOAs, Lead Auditors, and Auditors, and conformity to program requirements;
  - c) perform quality control (QC) of ISAGO Audit Reports;
  - d) assess the management and administration of the ISAGO program; and
  - e) seek and analyze feedback from program participants to drive improvements.
- 8.2.2 The oversight will be based on the program's data analytics and will monitor conformity to program's requirements. A risk-based approach will be applied to help with the selection and prioritization of quality-related activities, as well as for any other related decision making needs.
- 8.2.3 The oversight activities will use existing historical data, or will accumulate current data to establish benchmarks for the purpose of determining the risk profile of the individual or entity to be audited. This risk profile will be used to decide whether any oversight activity is to be performed, and its frequency.
- 8.2.4 In addition to audit performance oversight activities, IATA may conduct periodic surveys (or any other effective means of gathering feedback) to determine stakeholder expectations, levels of satisfaction, and identify ways to improve ISAGO overall.

## 8.3 Program Oversight and Continuous Improvement

8.3.1 Based on the program performance results IATA QA will assess the relevance, suitability and implementation of the GOPM requirements and any related processes covering the following areas:

- a) program management structure;
- b) administration of allocated audits;
- c) management of documentation and data (including ISAGO Audit Reports, CoPA, GOA, and ISAGO Auditor records);
- d) training of ISAGO Auditors;
- e) qualification of ISAGO Auditors ;
- f) audit planning;
- g) conduct of an ISAGO Audit, and follow-up activities;
- h) production and quality control of the ISAGO Audit Report;
- i) program performance monitoring and continuous improvement;
- j) historical audit results; and
- k) any other ISAGO program-related documentation or activity, as deemed necessary.

8.3.2 IATA QA will report, as applicable, to IATA any Findings and recommendations for improvement of the ISAGO program.

8.3.3 IATA will also assess feedback received from ISAGO stakeholders.

8.3.4 The results of the IATA QA activities will be compiled and presented to IATA to support the overall ISAGO program improvement and governance activities that are instigated and managed by IATA.

8.3.5 As part of internal continuous improvement, IATA QA is subject to annual internal and external audits as part of its shared certification by the International Organization for Standardization (ISO).

8.3.6 The IATA Quality will include a process for the oversight of internal and external providers that provide services and products used in the ISAGO Audits and program management.

## 8.4 IATA Quality Control of ISAGO Audit Reports

8.4.1 IATA Quality will apply a QC process to an ISAGO Audit Report. The process will examine the report in detail to identify:

- a) any inaccuracies in the described details of the audit;
- b) any missing required information and signatures;
- c) incomplete checklists misinterpreted GOSARPs, inadequately addressed items (a Finding or Observation that is not supported by documented factual evidence, conformity that is not supported

by a specific reference(s) in a controlled document(s), and a non-applicability (N/A) item that does not have an appropriate documented explanation);

- d) an inaccurate description and/or justification in each CAR of the method(s) used by the Lead Auditor/Auditor to verify the implementation of a corrective action and, if applicable, an interim corrective action to close a Finding; and
- e) areas for improvement.

**8.4.2** The IATA QC process will be performed according to the IATA internal processes using a risk-based approach based on program data analytics and focusing on any program changes and their proper reflection in the Audit Report. IATA Quality Control Process Guidelines are issued for Auditors and GSPs to secure transparency of the QC process and to ensure harmonized application of the quality control check by all participants.

**8.4.3** IATA will notify the relevant Lead Auditor with all identified discrepancies for correction and subsequent re-submission of the ISAGO Audit Report to IATA.

## **8.5 Performance Oversight of ISAGO Agents**

**8.5.1** A GOA could be subject to oversight activities by IATA QA that will be conducted either remotely, or onsite, as determined by the QAPM.

**8.5.2** The GOA performance oversight will primarily focus on conformity with program requirements and contractual agreements, including KPIs, as defined in the GOA agreement.

**8.5.3** The QA oversight and performance report, containing any Findings and/or Observations deficiencies, inconsistencies or recommendations for continuous improvement, will be communicated to the GOA and ISAGO program management.

**8.5.4** The GOA and/or IATA will implement any corrective actions in accordance with the QAPM.

## **8.6 Performance Oversight of Lead Auditors and Auditors**

**8.6.1** ISAGO Lead Auditors and Auditors will be subject to periodic oversight activities by IATA QA that will be conducted remotely, or onsite, as determined by the QAPM. Additionally, IATA QA shall obtain from the GSP prior to, during, or after any announced or unannounced periodic observation and/or evaluation, access to related information or documentation, in order to verify the accuracy of the assessment made by the auditor.

**8.6.2** ISAGO Lead Auditor and Auditor performance will be monitored and measured as detailed in the Auditor Quality Performance Program (AQPP). The performance oversight will primarily focus on Lead Auditor/Auditor conformity with program requirements and contractual agreements including KPIs, as defined in the CoPA agreement, QAPM, AQPP and QC guidelines. Attention may be paid to the ISAGO

Lead Auditor's or Auditor's adherence to the guidelines outlined in the GOGUIDEs if non-adherence results in a significant impact on the conduct of the audit or the quality of the audit report.

**8.6.3** A QA oversight report will be sent to the relevant Lead Auditor or Auditor (s), as well as to ISAGO program management. The QA oversight report will outline identified deficiencies, inconsistencies or recommendations for continuous improvement, will be sent to the Lead Auditor and Auditor(s) for corrective action.

**8.6.4** The summary results from quality assurance and quality control activities, including post audit feedback surveys, will be incorporated into the AQPP and communicated to ISAGO program management, GOA and CoPA members as appropriate.

## **8.7 Additional Oversight of a GOA, Lead Auditors and Auditors**

**8.7.1** Additional oversight may take place at the discretion of the IATA Senior Vice President Safety & Flight Operations (SVP SFO) or IATA QA/Audit Programs to maintain the integrity of the ISAGO program.

**8.7.2** An audit could also be initiated if there is, inter alia:

- a) factual knowledge, or a substantiated allegation, of unsatisfactory GOA, Lead Auditor, or Auditor performance;
- b) a series of ISAGO Audit Reports that were deemed unacceptable by IATA;
- c) an airline/airport/authority request, supported by factual evidence; and/or
- d) a dispute.

## **8.8 Suspension of an Auditor**

**8.8.1** The temporary or permanent suspension of an ISAGO Auditor may occur as a consequence of:

- a) the Auditor's performance monitoring results as described in detail in the Auditor Quality Performance Program (AQPP) for ISAGO; or
- b) the Auditor not managing to complete and close corrective action resulting from QA oversight activity;
- c) a lack of communication with IATA and response to IATA enquires;
- d) the Auditor is observed in breach of any major clause of the Auditor Agreement or/and Terms and Conditions of CoPA membership (e.g. conflict of interest, confidentiality, code of ethics, IT password security); and
- e) any other reason raised by the IATA SVP SFO.



## Section 9—Dispute Resolution

### 9.1 Purpose

9.1.1 This Section of the GOPM outlines the procedure for resolution of disputes between or among parties that are signatories to the ISAGO Audit Agreement, a GOA contract or an ISAGO Auditor contract.

### 9.2 Applicability

9.2.1 The dispute resolution procedure shall be applied when normal practice and/or consultative procedures contained in this GOPM have been exhausted.

9.2.2 The dispute resolution procedure shall apply to breaches of contract and claims for compensation or the return of payments for services deemed unsatisfactory or not received.

9.2.3 While the dispute resolution procedures are in progress all timelines associated with an ISAGO Registration or Station Accreditation shall be suspended. Any evidence of the procedure being used to prolong a renewal period or the time needed to close a Finding will result in the GSP's ISAGO Registration or audit being declared void.

### 9.3 Dispute Resolution

9.3.1 The GSP shall, in the first instance, attempt to resolve any difference of opinion concerning the ISAGO Audit conduct or outcome with the Lead Auditor. Matters of audit administration shall be directed first to the applicable GOA. The IATA ISAGO team would assist if these attempts fail.

9.3.2 If the dispute has to be escalated above the level of the Lead Auditor or GAO or the IATA ISAGO team, the initiating party shall notify the other relevant parties in writing (the "Notification"), setting out the reasons for dissatisfaction and/or disagreement (the "issue").

9.3.3 Representatives of all parties involved shall meet and if there is no resolution within 30 days of the Notification, the matter shall be referred to the Managing Director or equivalent individuals in each party.

**Note.** The representatives of each party are the persons named in the notice provisions of the relevant agreements or contracts. The primary IATA point of contact for the dispute resolution process shall be the Director, Audit Programs.

9.3.4 A dispute not resolved within 60 days of the date of Notification should be exclusively and finally settled by arbitration under the Rules of Conciliation and Arbitration of the International Chamber of Commerce as appointed by IATA.



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## Section 10—Scheme of Charges

### 10.1 Purpose & Scope

- 10.1.1 The ISAGO scheme of charges is a funding model that covers all costs associated with the program, including an appropriate means of funding the audits to be performed. The funding model must cover all activities such that there is full cost recovery, while the costs involved must provide for an auditing program of the highest levels of quality, integrity and impartiality.
- 10.1.2 The fees and charges are levied on those stakeholders that benefit the most from the audit program, proportionate to the benefits received. All financial transactions are made in US Dollars.
- 10.1.3 This Section of the GOPM outlines the structure and application of the scheme of charges.

### 10.2 Fees & Charges

#### General

- 10.2.1 Responsibilities for and the treatment of financial transactions, bank fees and charges, and tax matters are specified in ISAGO contracts and Agreements.

#### Notification

- 10.2.2 The fees and charges are specified in [Annex C](#) and are subject to periodic review by IATA.

#### ISAGO Audit Fee

- 10.2.3 An ISAGO Audit Fee is payable by a GSP to IATA for a scheduled audit. The fee includes:
- ISAGO Auditor professional fee at a flat audit day rate and according to the discipline(s) included in the scope of the ISAGO Audit;
  - ISAGO Auditor Supplement for the pre, post-audit activities and ISAGO Audit Report production;
  - a Rest Day Supplement (if applicable);
  - a flat rate fee for the administration costs incurred by the GOA; and
  - a flat rate fee for IATA administration and program development costs.
- 10.2.4 The ISAGO Auditor professional fees are calculated on the number of audit days assigned to each discipline that is audited, as specified in [Table 3.1](#).
- 10.2.5 *ISAGO Auditor Supplement.* An additional fee is charged to the GSP to cover the work done by the audit team in pre (including a documentation review, see [6.4.8](#)) and post onsite audit activities and the production of the ISAGO Audit Report. The ISAGO Auditor Supplement is four audit days if the audit scope

includes four or more disciplines, and two audit days if the audit scope includes three or less disciplines. If more than one ISAGO Auditor is involved, the ISAGO Auditor Supplement is divided between the audit team as specified in [Table 10.1](#).

**Table 10.1 – ISAGO Auditor Supplement**

<b>Number of ISAGO Auditors in the audit team</b>	<b>Lead Auditor</b>	<b>Auditor #2</b>	<b>Auditor #3</b>
2	75%	25%	N/A
3	50%	25%	25%

- 10.2.6 *Combined Audit.* Only one ISAGO Audit Fee (incorporating one GOA and one IATA administration fee) and one set of ISAGO professional auditor fees and ISAGO Auditor Supplement will apply.
- 10.2.7 *Rest Day Supplement.* The GSP will pay a Rest Day Supplement to each member of the audit team that is scheduled to perform audits as per [3.8.7](#) for each rest day incurred, and where applicable before the start of the onsite audit, see [4.4.25](#). The Rest Day Supplement is included in the travel and accommodation costs invoiced by the GOA, see [10.3.3](#).

**Audit Team Travel and Accommodation**

- 10.2.8 The cost of the ISAGO Auditor’s or audit team’s accommodation to, If applicable, stay in the vicinity or the travel and accommodation needed between audit locations shall be covered by the GSP. The GSP will reimburse payments made by the GOA for the travel and accommodation booked, including for a post audit onsite follow-up visit.
- 10.2.9 The GSP will reimburse the GOA for unavoidable costs incurred when making travel and accommodation bookings, such as insurance, booking fees, local currency cash payments and fees incurred because an invoice for accommodation may be available only after the audit takes place. The ISAGO Travel Policy, see [Annex E](#), will be applied at all times.
- 10.2.10 Where appropriate and in accordance with the ISAGO Travel Policy, the GSP may arrange and pay for the bookings itself. The GSP should notify the GOA that it intends to do so before the GOA takes similar action and, when done, provide the GOA with full details of the bookings.
- 10.2.11 The GSP will provide any documentation the ISAGO Auditor may need to obtain a visa required to gain entry to the country and to conduct the ISAGO Audit. The cost of obtaining the visa (the visa processing fee charged by the issuing authority or authorized agency) will be paid by the GSP. The GOA shall provide appropriate assistance if necessary.

**Post Audit Onsite Follow-up Visit**

- 10.2.12 IATA will invoice the GSP for an onsite follow-up visit, if one is to take place. The GSP will pay IATA the ISAGO Auditor professional fees for an onsite follow-up visit, an audit day for each day on site, and a reduced GOA administration fee, see [Table C1](#).

- 10.2.13 The GSP will pay for the travel and accommodation costs, payable as invoiced by the GOA or IATA as applicable.

### **ISAGO Standards Manual (GOSM)**

- 10.2.14 The GOSM and all associated checklists are subject to IATA publication charges but provided free of charge to an Airline that joins the ISAGO membership (see 7.4.7), a GSP that executes an Audit Agreement and to an ISAGO Auditor as a member of the CoPA.

### **ISAGO Auditor Qualification & Training Fees**

- 10.2.15 A fee is payable by a Candidate Auditor upon application to commence the ISAGO Auditor qualification process.
- 10.2.16 A Candidate Auditor, while in the ISAGO Auditor qualification process, will be charged a fee for the taking of a discipline-specific online CBT course and the classroom ISAGO Auditor Training Course. An ISAGO Auditor seeking an additional discipline Authorization will be charged for the discipline-specific online CBT course. The discipline-specific CBT courses are charged individually and access is cancelled nine calendar months after initialization.
- 10.2.17 A fee is payable by ISAGO Auditors for the annual (online) re-current training.
- 10.2.18 A Candidate Lead Auditor will be charged for the classroom ISAGO Lead Auditor Training Course.
- 10.2.19 All costs (transportation, accommodation etc.) associated with classroom training and an onsite evaluation are payable by the Candidate Auditor and Candidate Lead Auditor.
- 10.2.20 Payments are made online.

### **CoPA Membership Fee**

- 10.2.21 An annual membership fee is payable online.

### **ISAGO Audit Reports**

- 10.2.22 Access to an ISAGO Audit Report is charged either as an annual subscription or as a single charge per report. Headquarters and Station ISAGO Audit Reports are charged individually.
- 10.2.23 The annual subscription is only available to air operators. Members of an airline alliance are not eligible for the discounted subscription rate.
- 10.2.24 Where an Airline purchases an individual ISAGO Audit Report as a result of promotion or action taken by a GSP, the GSP will receive 80% of the payment made by the Airline.

## 10.3 Invoicing & Payments

10.3.1 All invoicing and payments will be made using electronic bank transfer and payment within thirty days of the invoice date.

### ISAGO Audit Fee/Travel and Accommodation Invoicing & Payments

10.3.2 The GSP will be invoiced by IATA as specified in the Audit Agreement for payment of the total amount of the ISAGO Auditor professional and supplement Fees for the ISAGO Audits including IATA and ISAGO Agent Administration fees. The GSP shall arrange its own internal financial means to facilitate payment of the IATA invoice.

10.3.3 The GSP will be invoiced directly by the GOA for payment of travel, accommodation, Rest Day Supplements, if applicable, or visa costs incurred by the ISAGO Agent for the Auditor to conduct the onsite audit. The GOA will include in the invoice any charges payable during an onsite audit that can be predicted, for example the cost of a visa issued on arrival.

10.3.4 The onsite audit will be cancelled and will be removed from the audit schedule if:

- a) payment of the ISAGO Audit Fee is not received by IATA at least one calendar month before the onsite audit is due to take place; and
- b) the invoice issued by an ISAGO Agent to the GSP for the reimbursement of auditor travel and accommodation costs is not paid by the time specified by the ISAGO Agent.

10.3.5 The GSP shall be invoiced by the GOA for any agreed additional fee incurred in the arranging or conduct of the ISAGO Audit.

10.3.6 A GSP will be invoiced by IATA separately for the costs associated with an onsite follow-up visit that takes place and for a Verification Audit if it is determined that the GSP is responsible for a payment.

### ISAGO Agent Fee Payments

10.3.7 The ISAGO Agent Administration fee is paid on a monthly basis upon completion of scheduled audits.

10.3.8 The payment method above will be repeated for the second calendar year of the contracted term with 10% retained for payment when all allocated audits are closed upon completion of the contract, if the contract is not renewed.

### ISAGO Auditor Invoicing & Payments

10.3.9 The GOA should invoice IATA for all ISAGO Auditor professional fees expected each month. Once the onsite portion of the audit has been completed, the ISAGO Auditor should invoice the relevant GOA for payment according to their audit of a discipline. IATA will pay the GOA the invoiced ISAGO Auditor professional fees such that the GOA is able in turn to pay the ISAGO Auditor with minimum delay.

- 10.3.10** The ISAGO Auditor should invoice the relevant GOA for payment of the ISAGO Auditor Supplement as outlined in **10.2.5** once the ISAGO Audit Report has been delivered to IATA and the Lead Auditor has received confirmation from IATA that the quality control check is completed.
- 10.3.11** There should be no additional expenses that are claimed; however, the ISAGO Auditor shall invoice the GOA for any agreed additional fee incurred in the arranging or conduct of the ISAGO Audit (such as a visa) or additional cost due to travel disruption. The GOA will, in turn, invoice the GSP for all acceptable claims or claims not recoverable from insurance or other means.

### **ISAGO Audit Report Subscription/Purchase**

- 10.3.12** Payments due for an airline subscription or the purchase of an individual ISAGO Audit Report are invoiced by IATA as per the terms and conditions in the relevant Agreement.

### **Refunds/Adjustments**

- 10.3.13** The GSP will pay an additional administration charge and any additional costs incurred if the GSP is responsible for a change to the onsite audit starting date or duration, including the cost of changing travel and accommodation bookings.
- 10.3.14** IATA will reimburse any payment made by a GSP for professional and administration fees and travel and accommodation charges if the audit is cancelled through no fault of the GSP. The GOA will reimburse any related payment received from IATA. Through no fault of the GSP does not include cancellation due to the GSP's late or non-payment of an invoice.
- 10.3.15** The GSP will pay the ISAGO Audit Fee and reimburse the GOA for any travel, accommodation and visa charges if the GSP or IATA cancels the ISAGO Audit due to the GSP defaulting on a payment as per **10.3.4**.
- 10.3.16** The GSP will be reimbursed any paid ISAGO Audit Fee (except the IATA and ISAGO Agent administration fees) and the travel and accommodation charges (subject to insurance, booking and refund conditions) paid by the GSP to the ISAGO Agent if the ISAGO Audit is cancelled by the GSP more than one month before the onsite audit starting date. No refund will be given if the GSP cancels an audit less than one month before the onsite starting date.
- 10.3.17** The ISAGO Auditor will reimburse the payee any costs or additional costs incurred as a result of being the cause of the cancellation or postponement of an ISAGO Audit.
- 10.3.18** The Airline subscription fees are non-refundable.



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## Annex A—ISAGO Reference Documentation

The following documents are relevant to the ISAGO Audits. Some are available to download from the ISAGO webpages on the IATA website ([www.iata.org](http://www.iata.org)), some are available upon request to IATA, and others are web-based and available to purchase from the IATA [online store](#).

- Airport Handling Manual (AHM)
- IATA Ground Operations Manual (IGOM)
- Baggage Reference Manual (BRM)
- IATA Dangerous Goods Regulations (DGR)
- IATA Live Animal Regulations (LAR)
- IATA Unit Load Device Regulations (ULDR)
- Perishable Cargo Regulations (PCR)
- IATA Temperature Control Regulations (TCR)
- IATA Cargo Handling Manual (ICHM)
- Smart Facility Standards Manual (SFSM)
- ISAGO Standards Manual (GOSM) and associated checklists (including Auditor Observations)
- IATA Reference Manual for Audit Programs (IRM)
- Audit Software Auditor Manual
- Audit Software Auditee Manual
- SFO Quality Assurance Program Manual (QAPM)
- Auditor Quality Performance Program (AQPP)

Guidelines detailing the expectations and actions to take when conducting an ISAGO Audit are published in a series of documents with the title Guidance to ISAGO Auditors (GOGUIDE). The GOGUIDEs, and other guidance material and bulletins, are available to view or download from the CoPA Documentation webpage.



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## Annex B—ISAGO Audit Scope

All ISAGO Audits at both Headquarters and Station levels include the applicable GOSARPs listed in the Organization and Management (ORM) Section of the GOSM.

The following operational disciplines, also specified in the GOSM, are also within the scope of ISAGO:

- Load Control (LOD)
- Passenger and Baggage Handling (PAB)
- Aircraft Handling and Loading (HDL)
- Aircraft Ground Movement (AGM)
- Cargo and Mail Handling (CGM).

If provided at any Station within a GSP's network, an operational discipline would be included in the ISAGO Headquarters Audit and in the audit of a Station where it is provided.

It is IATA's intention to extend the scope of ISAGO to incorporate more of the operational disciplines included in the Standard Ground Handling Agreement (SGHA), which is detailed in the Airport Handling Manual, AHM 810 and currently refers to the following discipline areas:

- Management Functions
- Passengers Services
- Ramp Services
- Load Control & Flight Operations
- Cargo & Mail Services
- Support Services
- Security
- Aircraft Maintenance.

Aircraft maintenance is unlikely to be considered for inclusion in the scope of ISAGO.



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## Annex C—ISAGO Fees & Charges

The fees and charges are subject to periodic review by IATA.

**Table C1 – ISAGO Fees and Charges**

Service (Payee)	Element	Fee/Charge (USD)	Notes
ISAGO Audit Fee (GSP)	ISAGO Auditor professional fee	700 per person per audit day	The ISAGO Auditor professional fee applies to all ISAGO Auditors regardless of status and the total is dependent upon audit scope according to <a href="#">Table 3.1</a> .
	ISAGO Auditor Supplement	700 per audit day	Total is dependent upon audit scope, see <a href="#">10.2.5</a> .
	Rest Day Supplement	100 per person per day	Subsistence rate, for scheduled consecutive audits, see <a href="#">3.8.8</a> and <a href="#">3.8.11</a> .
		700 per person per day	Full rate, for additional night stop and economy long-haul travel, see <a href="#">4.4.24</a> and <a href="#">4.4.25</a> .
	ISAGO Agent (GOA) administration	1000	300 to rebook travel and accommodation or to arrange an onsite follow-up visit.
	IATA administration	1000	
ISAGO Audit Report (Airline)	Prime Member	20000	Annual subscription.
	Prime Member Plus	20000	Annual subscription. Payable only by Prime Member, other Members are free of charge.
	Group Member	5000	Annual subscription. Prime membership applies to one Group Member.
	Association Group Member	5000	Annual subscription.
	Compact Member	10000	Annual subscription.
5000		Annual subscription. Applicable to an Airline that operates to less than 30 destinations.	

<b>Service (Payee)</b>	<b>Element</b>	<b>Fee/Charge (USD)</b>	<b>Notes</b>
ISAGO Audit Report (Airline/Airport)	Per report	1500	Available subject to conditions and request to IATA.
ISAGO Standards Manual (GOSM) (GSP, Airline)	Manual Audit Checklists	525	Per edition. Free of charge to a GSP that signs an Audit Agreement and Airline that signs an Airline Agreement. An XML version is also available.
Auditor qualification application fee (Applicant)	Candidate Auditor	100	Waived. Not applicable at this time.
	Lead Auditor	500	
Auditor training fee	ISAGO Auditor Induction Training	TBD	e-Learning and Virtual Classroom
	Discipline Specific Training	TBD	e-Learning and Virtual Classroom
	Re-current	200	Annual payment. Waived. Not applicable at this time.
CoPA membership fee (ISAGO Auditor)	Auditor	200	Annual payment. Waived. Not applicable at this time.
	Lead Auditor	200	

# Annex D—ISAGO Agent & Auditor Ethics and Business Conduct

## 1. Introduction

- 1.1 As Agents and Auditors acting on behalf of and under the rules and provisions of the ISAGO program, you are each responsible for shaping the image of IATA and ISAGO in a positive way. The ISAGO Agent and Auditor Ethics and Business Conduct summarize the principles that guide your actions as you strive to be a respected and influential industry advocate and service provider.
- 1.2 The purpose of this Code is to assist you in understanding the values and beliefs that IATA shares and stands for as an organization. Integrity and commitment to the highest standards of personal and professional conduct underlie the culture of IATA; we believe that ethical conduct requires more than simply complying with the laws, rules, and regulations that govern our business. Through alignment of our values and in demonstrating commitment to this Code, we will ensure that our message is clear – the IATA team, which includes anyone contracted to act on behalf of IATA, will operate at the highest level of integrity and strive to demonstrate exemplary behavior.
- 1.3 The Code promotes “doing the right thing”, as well as “doing things right”. It offers guidelines, but it cannot make decisions for you and it is not all-inclusive of every ethical dilemma that could arise. The exercise of common sense and good judgment is required with respect to matters not specifically covered by the Code.

## 2. Definition & Applicability

- 2.1 IATA recognizes that Agents and Auditors, because of the nature of their work and their exposure to privileged and commercially sensitive information, are held to the highest standards of ethical behavior. The following principles and practices should be accepted as the minimum standard when you conduct your business.
  - Honest and ethical conduct, including the handling of actual or potential conflicts of interest;
  - Full, accurate, timely, and understandable disclosure in reports and documents submitted to, or filed with, private and public entities and fair dealing with Members, customers, suppliers and competitors;
  - Protection and proper use of corporate IATA assets and opportunities;
  - Confidentiality with respect to corporate and personal information;
  - Compliance with applicable governmental laws, rules and regulations;
  - Compliance with applicable provisions of the IATA audit program manuals;
  - Accountability for adherence to the guidelines and prompt internal reporting of any violations to an appropriate person or persons, identified in the Code.
- 2.2 This Code applies to all Agents and Auditors whilst representing or acting on behalf of IATA.
- 2.3 These guidelines are not intended to be all-inclusive, but they do provide important information about IATA’s established way of operating.

- 2.4 These guidelines should be form a part of the working practices of each Agent and every Auditor. International laws or customs may sometimes require us to modify the practices that we have outlined here. Should there be a need for further guidance in applying them in your specific situation, or if you have any questions or concerns about the proper course of action, discuss the situation with IATA.
- 2.5 Please keep in mind that failure to conduct business in compliance with these guidelines may result in a breach of contract or accreditation.

### **3. Ethics & Compliance**

#### **Honest and Ethical Conduct**

- 3.1 IATA requires the highest level of conduct from its Agents and Auditors. Every Agent's and Auditor's behavior must be of a standard such that it will not undermine the reputation of IATA or the ISAGO program or compromise the ability of Agents and Auditors to carry out their duties.
- 3.2 IATA expects all Agents and Auditors to act with the highest standards of honesty and ethical conduct while administering or conducting an ISAGO Audit on behalf of IATA.

#### **Compliance with Applicable Rules and Regulations**

- 3.3 All Agents and Auditors must comply with the letter and spirit of all applicable laws and regulations. Agents and Auditors are expected to be familiar with the legal and regulatory requirements applicable to their business responsibilities and to fulfill their duties in accordance with such laws and regulations.

#### **Compliance with Applicable ISAGO Program Provisions**

- 3.4 All Agents and Auditors must comply with the relevant provisions contained in the manuals that refer to the ISAGO program under which the Agent administers and the Auditor performs an ISAGO Audit. Agents and Auditors are expected to be knowledgeable and familiar with the rules, processes and procedures that are contained in these manuals to conduct their work in accordance with such provisions.

#### **Bribes and Kickbacks**

- 3.5 Agents and Auditors shall not offer or accept a bribe or kickback, directly or through a third party, regardless of nationality or local custom.
- 3.6 A bribe is defined as an element (tangible or intangible) of value given to someone with the intent of obtaining favorable treatment from the recipient.
- 3.7 Kickbacks may (but not only) consist of payment in cash or in kind, including goods, services, the use of another company's property, or forgiving any sort of obligation provided to a customer or supplier for the purpose of improperly obtaining or rewarding favorable treatment with respect to the ISAGO Audit, with a sale, purchase or any other business transaction.



### Receiving Gifts and Other Benefits

- 3.8 Agents and Auditors must not accept gifts of any kind in circumstances that could be perceived as inducing or influencing them to give a favorable outcome of the audit.
- 3.9 Accepting gifts of a nominal or moderate value is acceptable in situations where business-related gift giving is legal and in accordance with local business practice and the gifts involved are appropriate for the occasion. Nominal or moderate value is considered to be one hundred (100) US dollars or less. Since only gifts of nominal value may be personally accepted, if an item's value is unclear, the item should be returned. If it cannot be returned, it must be turned over to IATA which in turn will offer it to a social organization.
- 3.10 The following items must never be accepted as gifts under any circumstances, regardless of value:
- Cash or other monetary instruments;
  - Drugs or other controlled substances;
  - Products, services or discounts not available to all Agents and Auditors;
  - Personal use of accommodation or transportation;
  - Payments or loans to be used toward the purchase of personal property (other than borrowing on commercial terms from entities that are in the business of lending).
- 3.11 Invitations to working meals are acceptable if they pass the common sense test for reasonable behavior in a business environment. Business discussions held over lunch or dinner is legitimate. A free private meal for an Agent or an Auditor (and their spouses) is not a legitimate function. An invitation to an entertainment or sporting event may be appropriate if it is of nominal value.
- 3.12 Equivalent rules apply to the giving of gifts. Obviously, gifts should not be offered as bribes. Care should be taken to avoid giving gifts that are intended to be innocent but may be construed as a bribe - especially with respect to gifts to government officials for which strict rules apply (i.e. an acceptable gift to a business person might be perceived as a bribe to a government worker).

## 4. Conflict of Interest & Use & Protection of Data

### Conflict of Interest

- 4.1 Agents and Auditors agree that they shall avoid any activity that is or has the appearance of being hostile, adverse, degrading or competitive with IATA and its subsidiaries, or that interferes with the proper performance of duties.
- 4.2 Agents and Auditors have a primary professional obligation and a duty of loyalty to IATA when working on behalf of IATA. They shall disclose all material facts known to them that, if not disclosed, may distort the result of the audit or affect the reputation of IATA, of the GSP, the Agent or the Auditor and their performance and responsibilities. Agents and Auditors must avoid direct or indirect conflict of interest and all situations where their personal or business interests may conflict, or may be perceived to conflict, with their duties to IATA. Similarly, it is IATA's policy that all Agents and Auditors avoid any activity that is or has the appearance of

being hostile, adverse or competitive with IATA and its subsidiaries, or that interferes with the proper performance of duties.

- 4.3 An Auditor should not engage in any activity against a former employer if, when working for the former employer, the Auditor obtained confidential information that may prejudice the outcome of the ISAGO Audit unless the consent of the former employer is obtained.
- 4.4 Conflict of interest requirements are specified in 1.8.2 of Section 1.

### **Confidential Information**

- 4.5 All information that has been developed, owned or acquired by IATA, including technical, financial and business information, and not generally disclosed is the property of, and confidential to IATA and must be protected against theft, loss or misuse.
- 4.6 All information to which the Agents and Auditors have access to and that has been developed, owned or acquired by the GSP, including technical, financial and business information, not generally disclosed to general public is the property of, and confidential to the GSP and must be protected against theft, loss or misuse
- 4.7 Agents and Auditors must not disclose confidential information to third parties (other than approved legal representative or other professional advisors) without authorization by the IATA Legal department. Such disclosure should be limited only to those who “need-to-know” and be made pursuant to a confidentiality agreement restricting the recipient from disclosing or using the information in an unauthorized manner.
- 4.8 Agents and Auditors must take reasonable measures to ensure that any person they work with protects confidential information. Similarly, when the Agent and Auditor should expect the organization provides him with the necessary means to protect confidential information.
- 4.9 Agents and Auditors may at some time have access to information related to IATA or our business that is not known to the general public. This is known as “insider information”. It is IATA’s policy that insider information must not be used at any time except for the purpose of conducting IATA business. Some insider information may be considered material; that is, it is information that could affect the price of another company’s stock/securities. If an Agent or Auditor has material insider information about a company, then he or she should not trade in that company’s stock/securities until the information is released to the public.
- 4.10 Examples of information that may be material include financial results, planned acquisitions or other planned announcements.
- 4.11 In all situations, an Agent or Auditor is prohibited by this policy from acting for his or her own benefit and he or she may not “tip” another person to act.
- 4.12 Securities laws prohibit trading stock based on material insider information. A violation of these laws can result in civil and criminal penalties

## **5. Use & Protection of Data**

### **Information Security**

- 5.1 Information and data generated by the IATA audit programs shall be considered sensitive information. This includes, but is not limited to, information originating from direct access to computer systems, information carried over networks, information preserved on portable electronic media and information appearing in hard-copy format.
- 5.2 IATA requires that each Agent and Auditor is personally responsible for safeguarding ISAGO and IATA's sensitive information, in all its various forms, from loss, inappropriate modification and disclosure to anyone who lacks either the authorization or need-to-know. All data gained during the performance of their work must be handled according to the provisions contained in the ISAGO program manual.
- 5.3 Agents and Auditors shall hold confidential and sensitive information in strict confidence and shall not use any confidential and/or sensitive information that they have access to or that was created by them while acting on behalf of IATA.
- 5.4 Agents and Auditors shall protect third-party confidential information in the manner required by the terms of Audit Agreements.
- 5.5 Agents and Auditors shall ensure that confidential and sensitive information, that may need to be released to third parties, is handled properly. Requests for confidential and sensitive information from outside sources must be handled only by IATA's authorized persons.

## **6. Business Practices**

### **Professional Ethics**

- 6.1 Agents and Auditors must avoid all methods and attitudes likely to give a profit-seeking character or abusing status to gain enrichment. An Agents or Auditor must not make or allow to be made a representation that is false or misleading, that amounts to coercion, duress, or harassment or that seeks to take advantage of a person.
- 6.2 An Agents or Auditor must not, directly or indirectly, insistently or repeatedly urge anyone to retain their professional services.
- 6.3 An Agent or Auditor must not claim specific qualities or skills relating, in particular, to his competence or to the extent or efficiency of professional services, unless the claims can be substantiated. Moreover, an Auditor must not claim specific qualities or skills relating to the competence or to the extent or efficiency of the services provided by other members of the CoPA or by other known persons, unless the claims can be substantiated.
- 6.4 An Agent or Auditor must not help or, through encouragement or advice, facilitate conduct that the An Agent or Auditor knows or should know is unlawful or fraudulent. An Agent or Auditor must not conceal or knowingly

omit to disclose what the law obliges the Agent or Auditor to disclose or help anyone conceal or omit to disclose what the law obliges that person to disclose.

- 6.5 An Agent or Auditor must not provoke a dispute in order to obtain a mandate or reap a personal benefit from or for any other person.
- 6.6 An Agent or Auditor must act at all times in the best interests of the customer, in accordance with the ISAGO program provisions and in compliance with the rules of law, and in such a manner as to establish and maintain a relationship of mutual trust.
- 6.7 An Agent or Auditor must communicate with the customer in such a manner as to be understood by the customer.
- 6.8 An Agent or Auditor is acting on behalf of IATA and must support and not act in a manner which is detrimental to the vision and mission of the organization. The Agent or Auditor must foster a relationship of trust in the ISAGO program and between the Agent or Auditor and the customer.
- 6.9 The Agent or Auditor should contribute to preserving the reputation of the ISAGO program, the CoPA and maintaining industry's confidence in the program.

### **Competition Law / Antitrust Compliance**

- 6.10 Competition and antitrust laws protect and promote free and fair competition in the marketplace for the benefit of consumers. Such laws exist in most of the countries where IATA does business. Competition laws also regulate how competitors may conduct joint activities. Antitrust laws reflect the view that competitive markets provide consumers with the highest quality goods and services at the lowest prices. To further this, antitrust laws prohibit conduct that reduces competition by unfair means. Many of IATA's activities involve the participation and co-operation of airlines that compete with one another, therefore familiarity with competition and antitrust laws is essential for Agents and Auditors.
- 6.11 It is against IATA policy to facilitate and allow discussion or communication between competitors relating to price, or any matter that may affect pricing, including costs, allocation of markets, geographies, customers or lines of business

### **Relations with Members**

- 6.12 IATA Members are our prime key stakeholders and clients. Each Agent and Auditor must treat them with respect and respond professionally to their needs. In conjunction with the activities of IATA, Members may provide Agents and Auditors with information that they do not want divulged. Such information must be treated as confidential and should not be disclosed in any fashion without Member's permission.

### **Relations with Competitors**

- 6.13 It is against IATA policy for an Agent or Auditor to have a discussion or communication with any competitor relating to price, or any matter that affects pricing, including costs, credit terms, allocation of markets, geographies, customers or lines of business.

**Relations with Governments/Authorities**

- 6.14 IATA seeks to have open, honest and constructive relationships with all governments, regulatory and other similar bodies having jurisdiction or authority over IATA and its operations. All information provided by Agents and Auditors to governmental authorities must be complete, full, fair and accurate and in line with IATA policies and positions.

**Political Activities**

- 6.15 IATA is impartial with respect to domestic or international politics and political disagreements. Agents and Auditors may participate in political activities as long as they do not do so on company time and do not use the financial or other resources of IATA.

**Communications with the Media**

- 6.16 Requests for information from the media should be referred immediately to IATA. Agents and Auditors must not make statements directly to the media on topics related to the ISAGO program or the business and operations of IATA without first obtaining the authorization of IATA Corporate Communications. Further, Agents and Auditors must not make reference to privileged or confidential information pertaining to IATA or their work in their social media activities.



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## Annex E—ISAGO Travel Policy

### 1. Purpose

- 1.1 The purpose of this policy is to ensure travel and accommodation arrangements for ISAGO Auditors are requested, authorized and approved in accordance with IATA rules and requirements.

### 2. Applicability

- 2.1 This policy is to be applied by a GOA and a GSP when arranging for an ISAGO Auditor to travel for the purpose of conducting the onsite part or follow-up visit of an ISAGO Audit. This policy does not apply to other travel requests.

### 3. Policy

- 3.1 The GOA will ensure that bookings are confirmed for all travel and accommodation for the audit teams.
- 3.2 The GOA and GSP will coordinate to make bookings for the travel and accommodation for the audit teams. Where appropriate and in accordance with this ISAGO Travel Policy, the GSP may arrange and pay for the bookings if able to provide suitable bookings at an advantageous price. The ISAGO Auditor shall obtain the agreement of the GOA and the GSP for self-provided travel and accommodation where permitted by this ISAGO Travel Policy.
- 3.3 All travel shall be provided on the basis of a journey from the ISAGO Auditor's domicile (as recorded in the CoPA) to the location of the onsite audit and return. Alternative routing, such as indicated in 3.7, can be arranged with the agreement of all concerned.
- 3.4 Travel bookings shall, where possible, be made within two weeks after the audit dates are confirmed and to secure the best deal. The GSP may instruct the GOA to delay bookings made for audits scheduled late in the year and therefore at risk of amendment due to flight schedule changes or cancellation.
- 3.5 The GOA, GSP and individual ISAGO Auditors are required to use their judgment to select the most appropriate form of transport, considering factors such as cost effectiveness, duration and safety.
- 3.6 Depending upon available travel times and audit duration, an additional night accommodation may be needed for the audit team to ensure that they are adequately rested prior to commencing the onsite audit or at the end of the onsite part if no departures are available the same day.
- 3.7 Some flexibility in the policy is permitted if the GOA, ISAGO Auditor and the GSP involved all agree. Alternative travel and accommodation arrangements may be proposed by the GOA that benefit the audit schedule, such as indicated in 4.4.8 of Section 4, or for the benefit of the audit or the welfare of the auditor, such as a more practical travel schedule involving more a direct routing, a better class of travel or better timing. The principle of "if you honestly would not choose to take the journey or accommodation yourself then do not propose anyone else to take it" shall apply.

## **Air Travel**

- 3.8 Air travel shall only be on commercial flights, the most suitable and cost-effective fare available and from the airport nearest to the ISAGO Auditor's domicile or the last audit location if an onward flight to another audit is scheduled.
- 3.9 The normal route for all air travel shall be the most direct route from the point of departure to the destination where the onsite audit is to take place. If the scheduled flight time is greater than six hours or the duration of the journey, including obligatory transfer times on the ground (if any) to the first onward flight connection available, is nine hours or more either Business Class applies or one paid rest day before the start of the audit applies if travelling in Economy Class throughout the journey.
- 3.10 The selection of the suitable and cost-effective fare should not result in an unreasonable flight routing, number of transfers involved and total travel duration. Travel between domicile and airport will be at the auditor's cost. However, where there is a more convenient or cheaper flight option from another airport, the auditor will be refunded the cost of public transport to and from that airport. Airport car parking and other charges incurred by the auditor will not be refunded.
- 3.11 An air travel ticket will include the carriage of at least one checked-in baggage and travel insurance to cover flight cancellation, amendment or stopover due to a missed or delayed flight.
- 3.12 A flight booking in Economy Class will take account of the ISAGO Auditor's seating preference (for example, window and aisle).
- 3.13 Except in the case of an emergency (see 3.28), any change to an itinerary that incurs additional cost must be agreed by the relevant GSP.
- 3.14 The GOA will request a refund, and reimburse the GSP, for any unused tickets booked by the GOA if a flight is cancelled or amended. If a flight is cancelled within 24 hours of scheduled departure and contact with the GOA is not possible, the ISAGO Auditor may purchase a ticket directly from an airline (and claim re-imburement from the GSP through the relevant GOA) provided that the cost of the ticket is less than an additional night stop.
- 3.15 An extended stay for personal reasons may be permitted if no extra air travel cost is incurred (or the GOA and GSP permits the ISAGO Auditor to cover the additional costs) and the ISAGO Auditor pays in full the additional accommodation cost.

## **Rail Travel**

- 3.16 Rail travel will be standard class. Travel between domicile and the rail station will be at the auditor's cost. Car parking and other charges incurred by the auditor will not be refunded.

## **Road Travel**

- 3.17 The ISAGO Auditor is responsible for the use and cost of public transport to travel to/from the airport or rail station, and all other means of transport while onsite and conducting an ISAGO Audit. The GSP should, however, provide such transport as a matter of courtesy and in the interests of audit efficiency.



- 3.18 An ISAGO Auditor may use his or her own vehicle at own risk and cost. However, rental of an automobile to travel to/from the ISAGO Auditor's domicile to the location of the onsite ISAGO Audit is permitted if deemed practical and the total cost is less than travel by other means. The ISAGO Auditor may request to rent a mid-size or smaller vehicle. All applicable insurance costs such as third party liability and full collision damage waiver shall be included in the rental contract.
- 3.19 The ISAGO Auditor is responsible for all costs associated with running a rented automobile, including fuel and parking fees.
- 3.20 In all cases IATA, the GOA or the GSP shall not be held in any way responsible for traffic violations (e.g. speeding fines, parking tickets, seatbelt violations, use of mobile phone, etc.) and any costs shall not be reimbursed.

### **Vaccinations and Visas**

- 3.21 An ISAGO Auditor is responsible for compliance with applicable visa and health related requirements for destination and/or transited countries. The GOA should assist and the GSP will provide any documentation the ISAGO Auditor may need in obtaining a visa.
- 3.22 The cost of obtaining and renewing vaccinations and passports is the responsibility of the ISAGO Auditor; however, the GSP shall cover the cost of a required visa.

### **Medical Insurance and Expenses**

- 3.23 An ISAGO Auditor is responsible for ensuring that he/she is medically fit to travel and it is recommended that an appropriate personal health insurance plan is held.
- 3.24 Claims for medical expenses incurred while conducting an ISAGO Audit, while onsite, will, depending upon the nature of the medical condition and circumstances, be considered by IATA.

### **Travel Insurance**

- 3.25 Travel bookings will include insurance to recover costs in the event of an unplanned change, disruption and cancellation.
- 3.26 If not covered by insurance, the ISAGO Auditor is responsible for baggage and personal property insurance and shall first make a claim to the airline involved. IATA's insurance provider might cover the cost of lost or delayed baggage and contents if the airline claim is not resolved.

### **Safety and Emergencies**

- 3.27 IOSA-registered airlines shall be used for air travel whenever possible.
- 3.28 In emergencies, the normal travel policies are waived as it is accepted that, in extreme circumstances, an ISAGO Auditor may need to travel in whatever manner is possible. Extreme circumstances may include, but not be limited to, severe environmental difficulties, acts of God, war and civil disruption, acts of terrorism or any incident that has the potential to affect the safety or well-being of an ISAGO Auditor.

- 3.29** All necessary measures and precautions will be taken to ensure the safety and security of the ISAGO Auditor or an audit team while travelling and conducting an ISAGO Audit. Decisions on whether travel or audits should take place as planned will be based on published government travel warnings and other reliable sources of information. Additional costs may be incurred in choosing specific routes or hotels in areas identified by travel warnings. The safety and security of the ISAGO Auditor or audit team also has to be address while onsite, including transferring between the airport and hotel and other sites during an audit.
- 3.30** The GOA must notify IATA prior to any travel to war risk countries. Travel to a war risk area will only be authorized if approved by IATA and assured coverage under applicable insurance policies.

### **Lodging**

- 3.31** A single occupancy accommodation in a local hotel of international standard (minimum 3-star) will be used wherever possible. The choice of hotel should consider the distance needed to travel to the audit location and transport availability.
- 3.32** Hotel accommodation accounts will be paid at the time of booking and where possible will include a breakfast and internet connection fees.
- 3.33** If staying at a private residence (e.g. friend or relative's home) rather than a hotel, no claims for lodging expenses shall be reimbursed.

### **Meals**

- 3.34** The ISAGO Auditor is responsible for the cost of all meals taken during the ISAGO Audit, including while travelling, unless provided by and at the discretion of the GSP. The Auditor is also responsible for any costs associated with entertainment. See also **3.11** of [Annex D](#).

### **Other Incidental Expenses**

- 3.35** The ISAGO Auditor is responsible for the cost of all incidental expenses incurred during the ISAGO Audit, including while travelling. Incidental expenses include paid transportation from airport to/from hotel, business center printing and miscellaneous fees, shipping and baggage fees, telephone calls, laundry, cash advance fees, and tips.
- 3.36** The ISAGO Auditor may, if no other means are available or provided by the GSP or hotel, claim the cost of a local internet connection through the purchase of a sim card or similar method to enable access to the audit software.

## Annex F—ISAGO Logos

The following logos, including color variants, are subject to the conditions outlined in Section 2, 2.12





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# Annex G—IOSA-Registered Airline Applying for ISAGO Registration

## 1. Introduction

- 1.1 Since inception, the ISAGO Program has drawn similarities from the IOSA Program. The objective and the audit methodology for both programs are similar. The objectives and scope of the IOSA Standards and Recommended Practices (ISARPs) related to ground handling and ISAGO Standards and Recommended Practices (GOSARPs) are almost the same. In addition, the management systems defined by both programs have similar requirements and recommendations. An IOSA-registered Airline providing ground services within the scope of ISAGO will therefore have undergone an IOSA audit of its Organization and Management (ORG) as well as Ground Operations (GRH), Security (SEC) and Cargo (CGO) management that is equivalent or comparable to an ISAGO audit covering the same areas. Hence, for ISAGO Registration purposes, the Airline may be audited against a reduced checklist of GOSARPs.
- 1.2 The ISAGO audit is intended to provide assurance of conformity with applicable GOSARPs for ground operations provided by the Airline for its own operations (self-handling) and to third-party airlines at one or more stations (Airports).
- 1.3 Unless specified otherwise in this [Annex G](#), all ISAGO program rules and requirements of the GOPM shall apply.

## 2. Applicability

- 2.1 This [Annex G](#) to the GOPM is available and applicable only to an IOSA registered airline providing ground services.

## 3. Eligibility

- 3.1 Airline must be an IOSA registered member with valid membership.
- 3.2 The Airline must always be IOSA-registered without restrictions during this period or the ISAGO Registration will be suspended or cancelled.
- 3.3 The ISAGO Registration may be granted to a subsidiary of the Airline provided that the subsidiary is a legal entity in its own right but the Airline has overall management and control of the ground operations provided as self-handling, provided for third party operators/airlines and of outsourced ground operations.
- 3.4 A subsidiary of an Airline providing ground operations that is a separate legal entity and has its own management and control systems cannot take advantage of the Airline's IOSA Registration.

## 4. ISAGO Registration

- 4.1 The ISAGO Audit will be conducted in accordance with the ISAGO program rules for an Initial Combined Audit. A subsequent ISAGO Registration will therefore be valid for a period of 24 months from the date of the closing meeting of the onsite audit.

- 4.2 Because the ISAGO Audit is an Initial Combined Audit it is expected that the Headquarters of the Airline (or its ground operations subsidiary) is co-located with the airport that is the home base of the Airline's flight operations. The "station" aspects (implementation) will be audited on the ground operations at the home base. The assessment of conformity will cover the provision of ground operations for self-handling and third-party customer airlines if provided. If the Airline also provides ground operations at other airports, the ISAGO Audit will also assess conformity with the ISAGO standards associated with corporate or Headquarters management and provision of the ground operations at the other stations on a sampling basis.
- 4.3 If the Headquarters of the Airline (or its ground operations subsidiary) is not co-located with an airport, the ground operations provided at the location of its home base will be audited. This may incur additional costs due to the locations and travel involved.
- 4.4 An Airline (or its ground operations subsidiary) that is ISAGO registered by benefiting from its IOSA registration may apply for an ISAGO Accreditation at a station other than its home base. The Station Accreditation will be granted upon the successful completion of an Initial Station Audit at the station concerned. The Initial Station Audit for this purpose will use a full checklist.

## **5. Audit Standards**

- 5.1 The audit will use a checklist of GOSARPs as applicable from the list specified in Table D.1 of the GOSM. The table indicates where an ISARP corresponding to the GOSARP exists. Where the corresponding ISARP is a recommended practice (as marked with an asterisk (\*)), the GOSARP will not apply in full if the last IOSA audit of the ISARP is in conformity or a relevant part of the GOSARP will not apply if covered by ISARP conformity. A GOSARP that is a recommended practice will apply as normal, i.e. conformity is optional.
- 5.2 Auditor Observations for all applicable GOSARPs would be performed as normal, including ground operations conducted for customer airlines.

## **6. Audit Allocation**

- 6.1 The Airline will execute an ISAGO Audit Agreement with IATA prior to the processing of any audit arrangements.
- 6.2 IATA will notify the Airline of the scope of the Audit in a Schedule C to the Audit Agreement and IATA will allocate the Audit to an ISAGO Agent once the Schedule C is signed.

## **7. Audit Scheduling**

- 7.1 The ISAGO Agent and Airline will confirm the scope and expected starting date of the Audits.
- 7.2 The ISAGO Agent is responsible to select the audit team and arranging travel and accommodation. The Airline may, in coordination with the ISAGO Agent, arrange the travel and accommodation in accordance with the ISAGO travel policy in [Annex E](#).
- 7.3 The ISAGO Agent should ensure that a selected ISAGO Auditor is qualified to conduct the Audit.
- 7.4 The Audit Days specified in [Table G.1](#) shall apply.

**Table G.1 – Audit Days**

<b>Audit Scope (Discipline)</b>	<b>Audit Days</b>
ORM	0.5
LOD	0.5
PAB	0.5
HDL	1.0
AGM	1.0
CGM	0.5
Total	4.0

**Note:** An audit day is used for audit planning and costing purposes. It is not the actual time taken or intended to be taken to complete the audit.

## **8. Pre-Audit Activities**

- 8.1 Detailed pre-audit activities are defined in Section 6 of the GOPM.
- 8.2 The audit team assigned to conduct the Audit will be provided with a summary of the last IOSA audit that includes the conformity assessment of the identified corresponding ISARPs, including those that are recommended practices.
- 8.3 The Lead Auditor shall ensure that the audit checklist is enabled in the audit software prior to the Opening Meeting.
- 8.4 The Airline shall upload the documentary references for the audit into the audit software prior to the Opening Meeting.

## **9. Audit Conduct and Closure**

- 9.1 The Audit and its closure will be conducted in the same way as a normal ISAGO Audit as defined in Sections 2 and 6 of the GOPM.

## **10. ISAGO Audit Report**

- 10.1 The audit report submitted by the Lead Auditor will be subject to the satisfactory completion of an IATA Quality check prior to approval by SVP SFO.
- 10.2 ISAGO Audit Report will be subject to the requirements of Section 7 of the GOPM and made available from the ISAGO Registry to the Airlines that execute an ISAGO Airline Membership Agreement.

## 11. Scheme of Charges

- 11.1 The audit fee and charges are as specified in [Annex C](#) of the GOPM. Audit team travel and accommodation costs (and visa fee if applicable) are payable by the Airline.



## Annex H—ISAGO Privacy Policy

### 1. Introduction

- 1.1 Privacy is important to IATA, and we value the respect of privacy and data protection principles. The collection, use, and potential disclosure of Personal information is submitted to IATA or the ISAGO Agent (GOA) as part of involvement in the ISAGO audit program and respective quality assurance oversight and performance monitoring activities. Personal information means any information relating to an identified person by reference to an identifier, such as: name; birth date; address; e-mail address; website visitors' IP address; etc. This Annex notifies the publication of IATA's Audit Programs' Privacy Policy (hereinafter known as "the Policy") and its application to the ISAGO program. The privacy of personal information will be handled in accordance with applicable National Regulations and/or the European Union's General Data Privacy Regulations (GDPR).
- 1.2 Personal information will be used, as part of ISAGO program operations and management, in confidence and in accordance with the Policy. The Policy can also be downloaded from the ISAGO CoPA extranet site.

### 2. Object and Scope of the Policy

- 2.1 This Policy is specific to the following persons hereinafter collectively known as "the data subjects", as it relates to the ISAGO program:
- An Auditor working as part of the Charter of Professional Auditors;
  - An ISAGO Agent (GOA) working to administer the ISAGO audit program;
  - A GSP and airline contact persons who manage their company's involvement with the ISAGO program;
  - Vendor contact persons who administer their company's involvement with the ISAGO program; and
  - Consultants who administer their company's involvement with the ISAGO program.
- 2.2 This Policy also relates to all personal information we obtain via our websites and/or databases used in an audit program, whether you upload information (e.g. a registration form) to our website, download it, or we gather it when you visit any of our websites.
- 2.3 This policy document will be reviewed on a regular basis. If a revision is necessary IATA will publish a new edition in its entirety.

### 3. Definition of Personal information/ data

- 3.1 When used in this Policy, personal information means any information relating to an identified or identifiable natural person who can be identified, directly or indirectly, in particular by reference to an identifier, such as, name, birth date, address, e-mail address, website visitors' IP addresses, etc.
- 3.2 The principles of data protection should not apply to anonymous information, to the extent that that the data subject is not, or no longer, identifiable.

#### 4. **Controllership of Personal information**

4.1 In the context of the activities described in this Policy, IATA should be considered as “data controller” as defined by the European Union General Data Protection Regulation (GDPR): the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data.

#### 5. **Purposes for Personal Information Collection**

5.1 IATA collects personal information for the purpose of audit management activities.

5.2 IATA may use your information to improve our services to you, to process your service requests, provide access to areas of our websites, to enable us to review, develop and improve the products, services that we provide to you.

5.3 IATA may occasionally carry out industry research and send you surveys that we think will benefit the audit programs. Completion of those surveys is not mandatory, and you can unsubscribe any time.

**Note:** Many of our products and/or services require some personal data to operate and/or be provided to you, hence in some circumstances if you choose not to provide the required data, you will not be able to use or access that service.

#### 6. **Processing Activities**

6.1 [Table H.1](#) outlines the activities performed, where data is processed.

**Table H.1 – Audit Days**

Description	Categories of personal data and data subjects	Purpose
<p><b>Program Management</b></p> <p>Account management of data subjects involved in the ISAGO process and program management.</p> <p>Each data subject involved in the ISAGO program has an “account” containing their basic personal information (for contact &amp; program participation purposes), used to manage the program and:</p> <ul style="list-style-type: none"> <li>authenticate the identity of individuals contacting audit programs by telephone, electronic means, or otherwise;</li> </ul>	<p><b>Mandatory</b></p> <p>Name, email, address, title, company address, work telephone, languages, gender, postal code, country</p> <p><b>Optional</b></p> <p>Mobile phone, photo</p> <p><b>Data Subjects</b></p> <p>as defined in <a href="#">2.1</a></p>	<p>To achieve a standardized audit product and consistent conduct of audits, including robust and reliable ISAGO program management that complies with requirements defined in the ISAGO Program Manual</p>

Description	Categories of personal data and data subjects	Purpose
<ul style="list-style-type: none"> <li>• notify the target audience of changes to audit program services or policies, to provide administrative messages, updates, notices or alerts;</li> <li>• execute the agreement that the target audience is part of;</li> <li>• manage program information technology applications and systems, including managing websites; and</li> <li>• meet contractual, legal and regulatory obligations that the ISAGO program is subject to.</li> </ul>		
<p><b>Surveys</b></p>	<p>Organization representative responding to a questionnaire.</p> <p><b>Optional</b></p> <p>Personal information name, title, email address</p> <p>Provision is not mandatory for the processing of survey responses</p>	<p>By using surveys delivered to target audiences audit programs aims to:</p> <ul style="list-style-type: none"> <li>• obtain inputs based on latest audit experience;</li> <li>• obtain satisfaction levels with respect to audit services delivered by auditors/inspectors;</li> <li>• identify any potential areas of improvement for the overall audit program and/or its processes; and</li> <li>• ultimately improve the level of quality service provided by the audit management organization, and auditors, to the auditees.</li> </ul> <p>Surveys are created and managed on related platforms (e.g. SurveyMonkey, Google Forms, Microsoft Forms, Microsoft Word, PDF files).</p>

Description	Categories of personal data and data subjects	Purpose
<p><b>Service usage of audit program-related website(s)</b></p> <p>IATA's audit programs may collect information sent via the browser when visiting their various audit program-related websites ("Log Data"), which may include:</p> <p>information about the data subject's type of access;</p> <p>information about the data subject's interactions with a data platform which includes the date and time of any requests made, logs, changes etc.</p> <p>Technical Data which may include URL information, cookie identifiers (see below), your IP address*, the types of devices you are using to access or connect to IATA websites, unique device IDs.</p> <p>*An IP address is considered personal information.</p>	<p>Mandatory personal information</p> <p>Name, email address, title</p> <p>Data subject's computer IP address</p>	<p>By target audiences using related websites, audit programs aim to share &amp; make available information based on latest program developments and/or with respect to audit programs and/or services.</p>
<p><b>Cookies</b></p> <p>Cookies are files with small amount of data, which may include an anonymous unique IP address identifier. Cookie information, pages you have visited and/or requested, and your IP address may also be recorded by us and/or third parties from your browser as set out in this Policy.</p>	<p>Data subject's computer IP address</p>	<p>Cookies are used for:</p> <ul style="list-style-type: none"> <li>• authentication – to identify you when visiting a website and as you navigate a website;</li> <li>• personalization – to store information about your preferences and to personalize the website;</li> <li>• security – an element of the security measures used to protect user accounts, including preventing fraudulent use of login credentials; and</li> <li>• analysis – to help analyze the use and performance of a website and services.</li> </ul>

Description	Categories of personal data and data subjects	Purpose
		Browsers may be set to refuse all cookies, or to indicate when a cookie is being sent. If cookies are not accepted, some site functionality may be lost.
<b>Audit software - InteleX</b>	Mandatory personal information Name, email address, title Data Subjects as defined in <a href="#">2.1</a>	InteleX is an audit software tool used for performance of the ISAGO audits and audit report production.
<b>Absorb</b> A training platform to develop and maintain audit-related Computer Based Training.	Mandatory personal information Name, email address, title Data Subjects as defined in <a href="#">2.1</a>	Collected data is occasionally shared with the vendor so the users can access the training platform and for continuous improvement to the platform.

## 7. Security

- 7.1 The extranet websites used in the ISAGO program by data subjects are password restricted to authorized IATA audit program personnel and authorized data subjects.
- 7.2 Protection of personal information also includes internal measures for access restrictions, encryption, and personnel training concerning the importance of preserving the privacy, confidentiality, and security of the personal information collected for the audit programs. These safeguards also apply when the personal information is disposed of or destroyed.
- 7.3 Data is physically stored in secure, protected IATA servers, accessible only by registered, authorized users in accordance with IATA’s information technologies services (ITS) policies.
- 7.4 To protect data against accidental loss and to ensure business continuity in the event of disaster, IATA ITS has implemented disaster recovery procedures and performs back up of all server data on a regular basis in accordance with their policy.
- 7.5 In the case of vendors InteleX, Survey Monkey and Absorb, the data contained in their platforms are maintained in accordance with their strict company privacy policy.

## 8. Vendors and 3rd-party recipients

- 8.1 The ISAGO program does not:
- sell personal information to any organization or person; nor
  - share any personal information with a third party without the data subjects’ prior consent, other than as provided in this Policy, or as otherwise authorized by applicable law.

## 9. Data disclosure

9.1 Occasionally, IATA may be required to disclose personal information:

- a) in response to a law, regulation, court order, subpoena, valid demand, search warrant, government investigation, or other legally valid request or inquiry; and/or
- b) to our accountants, auditors, agents, and lawyers in connection with the enforcement or protection of our legal rights (e.g. enforce IATA's agreements with the target audience).

9.2 IATA reserves the right to:

- a) report to law enforcement agencies any activities that we, in good faith, believe to be unlawful or to law enforcement and emergency services providers, in an emergency or where required or permitted by law;
- b) dispute such demands for personal information on a case by case basis, when it believes that the requests are too broad, vague, or lack proper authority.

9.3 IATA may release certain personal information, on a case-by-case basis, when we have reasonable grounds to believe that such release is reasonably necessary to protect the rights, property, and safety of others and ourselves in accordance with, or as authorized by law.

## 10. Third-party website control

10.1 IATA's websites may contain links to third-party websites that IATA does not control. Therefore, IATA is not responsible for any use of personal information you provide to those third-party websites, and it is important that you satisfy yourself that their privacy policy is appropriate for you. It is recommended you review the privacy policy of any third-party website that you use. IATA does not take any responsibility for third party websites, either in terms of their content or the information they gather from you.

## 11. Retention

11.1 IATA will securely store your personal information for as long as necessary to fulfill the purposes for which it was collected, except where otherwise required or permitted by law.

11.2 Once no longer required, your personal information will be securely destroyed, or anonymized (so the information no longer identifies you).

## 12. Your Rights

12.1 You have the right to access and rectify the personal information we hold about you, subject to any legal restrictions. Upon request, we will provide you with access to your personal information within a reasonable timeframe. It is always your responsibility to provide accurate, correct and complete information.

12.2 Some of the personal information we hold about you is accessible to you through your online account(s). You can access and update or correct, at any time, your personal information by logging into your account(s) and making updates to your profile information and your preferences.

**12.3** You can also request access or rectification (including withdrawal of consent or deletion) by contacting IATA as per the contact emails described below.

**13. Query contact**

**13.1** For questions regarding our data protection and the ISAGO program privacy practices per this Policy, or your personal information, and/or to exercise your rights, please contact [isago@iata.org](mailto:isago@iata.org).

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# Annex I—ISAGO COVID-19 Support Program

## 1. Introduction

- 1.1 In 2020, working under the governance of the ISAGO Oversight Council (GOC) and the guidance of the Safety, Flight and Ground Operations Advisory Council (SFGOAC), and in alignment with the IATA Board's declaration of the five principles for re-starting aviation, the ISAGO program was revised temporarily to offer a safety-focused, attainable, flexible and effective approach in light of the COVID-19
- 1.2 The first measure in March 2020 was to introduce extenuating circumstances applied to ISAGO Registrations and Station Accreditations if, because of the COVID-19, renewal audits couldn't be performed or a performed audit couldn't be closed prior to the ISAGO Registration or Station Accreditation expiry date. The extenuating circumstances granted up to 180 days following the expiry date to perform the renewal audit or up to 90 days to close the audit.
- 1.3 The second measure in July 2020 was to introduce an alternative auditing method if travel restrictions prevented an onsite auditor presence. The alternative auditing method also utilized a reduced checklist to ease the financial and resource burden of the GSP that had suffered a significant downturn in business. Normal ISAGO Renewal Audits could still take place were practicable.
- 1.4 The ISAGO Support Program did not apply to initial ISAGO Audits for ISAGO Registration or Station Accreditation purpose. These audits were put on hold unless it was practicable to conduct an onsite audit.
- 1.5 This Annex I applies only to ISAGO Renewal Audits conducted under the ISAGO COVID-19 Support Program which will remain in force until the COVID-19 pandemic no longer impacts ISAGO Audits.

## 2. Alternative Audit Method

- 2.1 Remote and Onsite Follow-up Audits and using a reduced checklist can, as an alternative to a normal ISAGO audit, be conducted for the renewal of an ISAGO Registration or a Station Accreditation that has been extended under extenuating circumstances because of the COVID-19 pandemic. A GSP can choose instead to conduct the renewal audit as a normal ISAGO audit as per this GOPM and the applicable GOSM.
- 2.2 The renewal audit is effectively an onsite audit that is split into two parts. The Remote Audit replaces the document review part and the Onsite Follow-up Audit replaces the implementation observation part of a Combined or Station Audit. A renewal Headquarters Audit involves only the Remote Audit.
- 2.3 The Remote Audit would assess conformity of the "documented" aspects of the standards. An Onsite Follow-up Audit would subsequently take place, when possible, to assess conformity of the "implemented" aspects of the standards. The objectives of the Remote and Onsite Follow-up Audits are to ensure that the level of conformity and management of operational safety is sustained in ground operations, while supporting the auditee's recovery and business continuity plans, and provide continued confidence in the audit program.
- 2.4 The Remote and Onsite Follow-up Audits will be conducted using the Interim GOSM (IGOSM), which specifies checklists for a documentation review and observations. The checklists were based on GOSM Edition 9 but

selected specifically for the audit of a GSP that is in post-pandemic recovery mode. The GSP will be provided with a copy of the IGOSM upon signing an agreement to conduct a Remote and Onsite Follow-up Audit.

- 2.5 An Onsite Follow-up Audit will only be conducted when possible (no travel restrictions or quarantine requirement apply) and is safe for all participants. The ISAGO Agent, GSP and individual ISAGO Auditors are required to use their judgment to select the most appropriate form of transport, and must follow the health and safety requirements, such as physical distancing, wearing masks/gloves, etc. ISAGO Auditors should ensure they carry the required health and safety PPE.
- 2.6 The GSP should ensure that it is fully prepared for the audits and that enough operations are available for observation during the Onsite Follow-up Audit. Audit conduct and closure timelines are final and not subject to further extenuating circumstances due to the pandemic.

### **3. Renewal of ISAGO Registration**

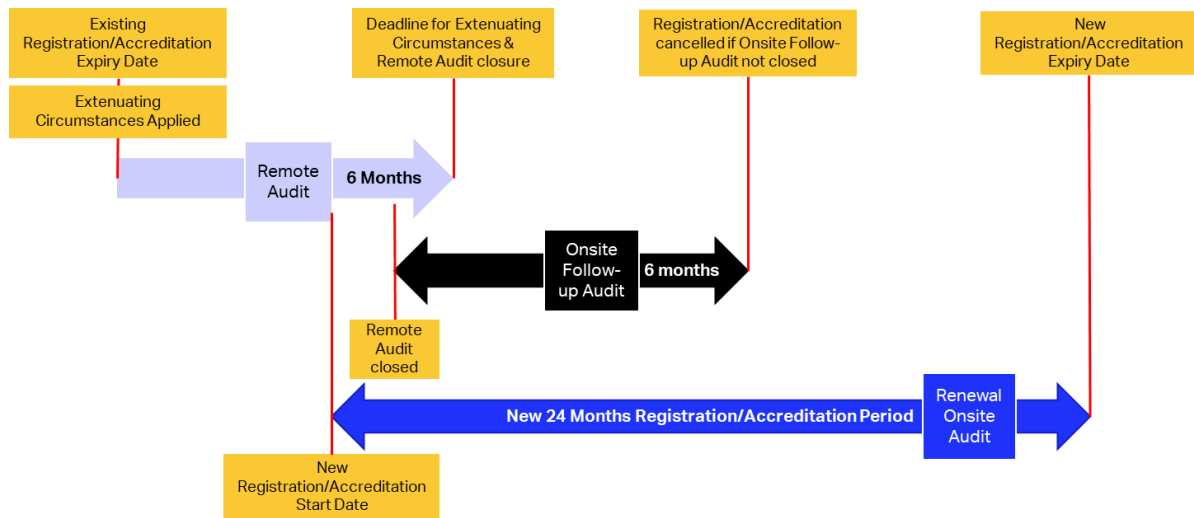
- 3.1 The following process applies if the GSP chooses the alternative approach for the renewal of an ISAGO Registration that was extended under extenuating circumstances and renewed by a Headquarters or a Combined Audit.
- 3.2 A Remote Audit shall be conducted and closed before the deadline date of the extended ISAGO Registration under extenuating circumstances. This deadline date is normally six months from the expiry date of the ISAGO Registration.
- 3.3 Where the renewal of an ISAGO Registration is by a Combined Audit, an Onsite Follow-up Audit shall be conducted and closed within six months of the closure of the Remote Audit. The renewal of an ISAGO Registration by a Headquarters Audit does not require an Onsite Follow-up Audit.
- 3.4 The renewal of the ISAGO Registration will be confirmed when the Remote Audit, and the Onsite Follow-up Audit in the case of a Combined Audit, have been closed and IATA is in receipt of the audit report(s) from the Lead Auditor before the deadline stated in 3.2 and, if applicable, 3.3.
- 3.5 The new ISAGO Registration period will be for a period of 24 months from the date of the closing meeting of the Remote Audit.

### **4. Renewal of Station Accreditation**

- 4.1 The following process applies if the GSP chooses the alternative approach for the renewal of a Station Accreditation that was extended under extenuating circumstances.
- 4.2 A Remote Audit shall be conducted and closed before the deadline date of the extended Station Accreditation under extenuating circumstances. This deadline date is normally six months from the expiry date of the Station Accreditation.
- 4.3 An Onsite Follow-up Audit shall be conducted at the Station and closed within six months of the closure of the Remote Audit.

- 4.4 The renewal of the Station Accreditation will be confirmed when both the Remote and Onsite Follow-up Audits have been closed and IATA is in receipt of the audit reports from the Lead Auditor before the deadlines stated in 4.2 and 4.3.
- 4.5 The new Station Accreditation period will be for a period of 24 months from the date of the closing meeting of the Remote Audit.

**Figure I.1 – ISAGO Registration & Station Accreditation Timelines Applicable to Combined and Station Audits**



## 5. Audit Categories and Audit Allocation

- 5.1 A Remote Audit is a documentation review by the ISAGO Auditor as described in Section 6.5.9 of this GOPM with limited implementation assessment capability. The documentation is provided by the GSP as hard copy manuals or access is given to electronic copies. The ISAGO Auditor will communicate and conduct interviews with GSP staff by remote means.
- 5.2 Onsite Follow-up Audit is the assessment of implementation of selected GOSARPs and through Auditor Observations.
- 5.3 IATA will notify the GSP of the scope of the Remote and Onsite Follow-up Audits in a Schedule C to the Audit Agreement. If necessary, a new Audit Agreement will be executed.
- 5.4 IATA will allocate the Remote and Onsite Follow-up Audits to an ISAGO Agent once the Schedule C to the Audit Agreement is signed by the GSP.
- 5.5 All payments due to IATA and the ISAGO Agent must be received at least one month prior to the Remote Audit commencing else the Remote and Onsite Follow-up Audits will be cancelled. There will be no exception to this requirement.

**6. Audit Scheduling**

- 6.1 The ISAGO Agent and GSP will confirm the scope and expected starting date of Remote and Onsite Follow-up Audits.
- 6.2 The ISAGO Agent will ensure that the GSP is willing and able to provide the audit team with the documentation as planned and requested by the auditor.
- 6.3 The ISAGO Agent is responsible to select the audit team and, only in the case of the Onsite Follow-up Audit, ensuring travel and accommodation. The ISAGO Agent should ensure that the ISAGO Auditor is qualified and equipped to conduct a Remote Audit.
- 6.4 The same audit team will conduct the Remote and the corresponding Onsite Follow-up Audit.
- 6.5 The Audit Days specified in [Table I.1](#) will be used for the Remote and Onsite Follow-up Audits. The Audit Days reflect the checklist as specified in the IGOSM for each type of audit. The checklists are reduced versions of those in GOSM Edition 9.

**Table I.1 – Audit Days (Remote and Onsite Follow-up Audits)**

<b>Audit Scope (Discipline)</b>	<b>Remote Audit</b>	<b>Onsite Follow-up Audit</b>
ORM	1.0	N/A
LOD	0.5	0.5
PAB	0.5	0.5
HDL	1.0	1.0
AGM	0.5	1.0
CGM	0.5	1.0
Total	4.0	4.0

**7. Auditor Qualification for Remote/Onsite Follow-up Audits**

- 7.1 The ISAGO Auditor must successfully complete the training provided by IATA specifically for these audits and prior to being selected as part of the audit team.

**8. Audit Conduct – Remote Audit**

**Remote Audit Pre-Activities**

- 8.1 The Lead Auditor shall arrange a remote stakeholder meeting (preferably by videoconference) at least three weeks before the start to discuss and agree the audit scope and program of activities, including:
  - a) Use of the Interim ISAGO Standard Manual (IGOSM) and the applicable standards;

- b) Remote audit documentation review methodology;
  - c) Remote audit implementation review methodology (differences from onsite audits);
  - d) The technology to be used for virtual meetings (video/tele-conferencing software, tele-messaging etc.);
  - e) Documentation and records to be provided by the GSP (all documentation to be in English Language);
  - f) Documentation and records access (cloud server, file sharing platform, documentation software etc.).
  - g) Any authorizations required in advance to access the software, records, etc.;
  - h) Personnel to be interviewed and contact details (deputies if needed);
  - i) Scheduling of interviews, time slots, the number and the duration; and
  - j) Provision of interpreters (if necessary).
- 8.2 The Lead Auditor shall develop a Remote Audit plan in conjunction with the rest of the audit team and GSP. The Remote Audit plan should include:
- a) The names and contact details (telephone and email address) of all persons involved in the Remote Audit, including observation by IATA Quality and any Follow-up activity to close findings;
  - b) Note: Station personnel may be interviewed during the assessment of an operational discipline during a Headquarter audit.
  - c) A complete and agreed list of all applicable ISAGO Standards;
  - d) A complete list of documents to be assessed, including documentary references for each applicable ISAGO Standard;
  - e) Note: Station documents and records may be sampled during a Headquarter audit.
  - f) A controlled copy of all documents listed in c) - the documentation must be in a format that the auditor can use without modification or restriction (including search facility but copy and printing may be disabled);
  - g) A provisional timetable – the timetable does not have to follow a daily routine but should accommodate factors such as the availability of persons, time zones and deadlines; and
  - h) A pre-audit test – the audit team should arrange to test of the communications and documentation access, including back-up facilities, to ensure that the audit can start and complete as planned.
- 8.3 The Lead Auditor shall report to IATA, through the ISAGO Agent, any issues that arise that may prevent the start and completion of the Remote Audit, or any change in scope that is identified in planning the audit.
- 8.4 The Lead Auditor shall ensure that the audit checklist is enabled in the audit software at least three weeks prior to the Opening Meeting.
- 8.5 The GSP shall upload the documentary references for the audit into the audit software at least two weeks prior to the Opening Meeting.

## Remote Audit Activities

- 8.6 The Lead Auditor shall open the Remote Audit by hosting and chairing a virtual Remote Audit Opening Meeting.
- 8.7 The objective of the Remote Audit Opening Meeting is to confirm and agree the activities of the remote audit, including:
- a) The GSP shall provide or give access to the documentation and records requested by the audit team and the documentary references for each applicable GOSARP;
  - b) The audit team shall assess the documentation for conformity (“documented”) with the relevant GOSARP and record the assessment in the audit software;
  - c) The audit team may use information submitted in an Extenuating Circumstances Questionnaire in the assessment;
  - d) The audit team may request documentary evidence of organization-wide implementation of processes and procedures as part of the documented conformity assessment;
  - e) An assessment of nonconformity (“Not Documented”) shall be discussed with the GSP and agreed before recording in the audit software; and
  - f) When and how the progress made during the remote audit will be reported and discussed.
- 8.8 Auditor Observations will not be conducted and will be deferred to the Onsite Follow-up Audit.
- 8.9 The Lead Auditor shall close the Remote Audit by hosting and chairing a virtual Remote Audit Closing Meeting.
- 8.10 The Lead Auditor will provide the GSP with the result of the Remote Audit and details of any nonconformities raised to seek the GSP’s agreement of the Findings.
- 8.11 The Lead Auditor shall provide the GSP will access in the audit software to the Corrective Action Records (CARs) and set a date whereby the Corrective Action Plan (CAPs) must be approved.

## Remote Audit Closure

- 8.12 The closure of the Remote Audit will be conducted in the same way as the closure of a normal ISAGO Audit. All Findings must be closed, and the audit report submitted by the Lead Auditor to IATA Quality before the deadline set by the expiry of extenuating circumstances.

## 9. Audit Conduct – Onsite Follow-up Audit

### Onsite Follow-up Audit Pre-Activities

- 9.1 The Lead Auditor shall plan the Onsite Follow-up Audit in the same way as the planning for a normal ISAGO Audit. The Onsite Follow-up Audit is based on Auditor Observations that assess implementation. The Lead Auditor shall therefore ensure that there will be an adequate number and type of ground operations to observe.

- 9.2 The Onsite Follow-up Audit cannot take place until after the associated Remote Audit is closed.
- 9.3 The Lead Auditor shall report to IATA, through the ISAGO Agent, any issues that arise that may prevent the start and completion of the Onsite Follow-up Audit, or any change in scope that is identified in planning the audit.
- 9.4 The Lead Auditor shall ensure that the audit checklist is enabled in the audit software at least three weeks prior to the Opening Meeting.

### Onsite Follow-up Audit Activities

- 9.5 The Onsite Follow-up Audit shall be conducted in the same way as a normal ISAGO Audit assessing implementation at the station of the processes and procedures that have been assessed in the Remote Audit. A process or procedure that has been amended for local station operations shall be assessed for implemented conformity.

### Onsite Follow-up Audit Closure

- 9.6 The closure of the Onsite Follow-up Audit will be conducted in the same way as the closure of a normal ISAGO Audit. All Findings must be closed, and the audit report submitted by the Lead Auditor to IATA Quality before the deadline set by 4.3 as applicable.

## 10. ISAGO Audit Report

- 10.1 The audit report submitted by the Lead Auditor shall be subjected to the satisfactory completion of an IATA Quality check prior to approval by SVP-SFO.
- 10.2 ISAGO Audit Reports will be made available for each audit. A consolidated ISAGO Audit Report will be made available where a Remote Audit and the Onsite Follow-up Audit has been conducted. All Audit Reports will be made available from the ISAGO Registry to airlines that execute an ISAGO Airline Agreement.

## 11. Scheme of Charges

- 11.1 The fees and charges for a Remote and Onsite Follow-up Audit are specified in [Table I.2](#).

**Table I.2 – ISAGO Audit Fee (Remote and Onsite Follow-up Audits)**

Service (Payee)	Element	Fee/Charge (USD)	Notes
ISAGO Audit Fee (GSP)	ISAGO Auditor professional fee	700 per person per audit day	The ISAGO Auditor professional fee applies to all ISAGO Auditors regardless of status and the total is dependent upon audit scope according to <a href="#">Table I.1</a> .

Service (Payee)	Element	Fee/Charge (USD)	Notes
	ISAGO Auditor Supplement	700 per audit day	See 12.1
	Rest Day Supplement	See 11.3	N/A
	ISAGO Agent (GOA) administration	1000	One fee covers the Remote Audit, and also the Onsite Follow-up Audit in the case of a Combined and Station renewal audit.
	IATA administration	1000	One fee covers the Remote Audit, and also the Onsite Follow-up Audit in the case of a Combined and Station renewal audit.

## 12. Travel Policy

- 12.1 All air travel will be economy class. Where mutually agreed by the GSP and audit team and possible with reasonable timing, the auditors can travel on the start day of the audit. Otherwise, the flight booking shall provide a minimum of 12 hours between arrival at the audit location and the start of the Onsite Follow-up Audit Opening Meeting. No rest day supplement will apply.
- 12.2 The auditor shall comply with all health requirements while engaged in an ISAGO audit, including when travelling and while onsite.
- 12.3 The audit team will not be subjected to travel restrictions or required quarantine when conducting the Onsite Follow-up Audit.

– END –



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