Temporary Appendix

1. Applicability / Revision

This Temporary Appendix (TA) to the ISSA Program Manual (ISPM) is applicable to all stakeholders and parties within the ISSA Program.

This TA may be revised over time and will be re-issued if necessary.

2. Inclusion of ISPM Ed 3

The TA is issued to address the extraordinary circumstances caused by the COVID-19 pandemic, the disruption of ISSA Assessment activities and resulting effects on the ISSA Registry.

The full and permanent ISSA Program Manual Edition 3 are still valid and will remain in effect without limitations. This TA revises existing requirements and introduces new rules and policies.

If a requirement in this TA conflicts with a provision in ISPM Edition 3, this TA shall prevail to the extent of the conflicting information.

Any numeric chapter references contained in this document are to be used as follows:

- References to the full, permanent edition of the ISPM are listed as a numeric chapter only (e.g. ISPM 8)
- References to chapters within this TA are preceded with the letters "TA-" (e.g. ISPM TA-2 for this chapter)

3. Definitions

The following terms are introduced through this TA and are defined in this chapter. These definitions supplement the definitions contained in the IATA Reference Manual for Audit Programs (IRM).

Assessment phase
The Assessment Phase is the part of a Remote Assessment which falls between the Opening Meeting and Closing Meeting. The Assessment Phase is the time during which scheduled interviews are planned for a Remote Assessment.

Conformity – Active Implementation
Conformity – Active Implementation is the assessment used for provisions where an Operator has demonstrated conformity using an active implementation plan. This type of assessment is reserved for cases where an operator would be in non-conformity, however the operator has received a COVID-19 related exemption from the regulator for the same requirement.

Remote Assessment
A Remote Assessment is an ISSA Assessment conducted without any onsite verification of evidence. The assessment is conducted remotely using document and record review as well as interviews using teleconferencing technology.

4. ISSA Program Management

4.1. Observation of Remote Assessment

IATA shall have a process to observe Remote Assessment in part or in full for the purpose of quality control and continuous improvement of the Assessment.

(i) Whenever an Assessment is performed under a Remote Assessment, the IATA QA Program may oversee the ISSA remote assessment process, completely or in parts, applying a combination of the different options described below:
   a. Assessment to be followed remotely via communication technology;
   b. Interview Auditor(s) after the Assessment is completed, with a review of the Assessment results;
   c. Interview the Auditor(s) to measure discipline knowledge and competence;
   d. Review of the Assessment results with supporting documentation from the auditee.

(ii) During the selection of the activities to be evaluated by IATA QA Program, the following different elements can be considered to determine the scope of the oversight: Auditor performance, AO performance, the Operator's previous ISARs and incident/accident reports, new standards, specific disciplines, etc.

(iii) IATA shall obtain from the AO and the Operator prior to, during, or after any announced or unannounced observation and/or evaluation, access to related information or documentation.

4.2. Assessment Report Quality Control

IATA should have an ISAR quality control process that is implemented in full or in part at the discretion of IATA. Such process shall provide for a detailed examination of ISARs to ensure:

(i) details of the Assessment are accurately described;

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

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

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

(v) checklist items of conformity have documented supporting references from controlled documents;

(vi) checklist items of nonconformity (Findings and Observations) have documented supporting factual evidence;

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

(viii) if applicable, the application of Active Implementation (AI) is correctly documented;

(ix) closure of Findings in each Corrective Action Record (CAR) includes an accurate description and justification of the method(s) used by the AO to verify implementation of corrective action, to include, if applicable, interim corrective action.

5. Operator Responsibilities

5.1. Assessment Preparation

If an Operator is undergoing a Remote Assessment, the Operator shall support the preparation of the Remote Assessment. This shall include, but not be limited to:

(i) Timely communication and coordination with the AO to ensure all required activities can be accomplished;
(ii) Assisting the AO in the scheduling of calls;
(iii) Provision of all required manuals and documentation at least fourteen (14) days prior to the opening meeting of the assessment. All manuals and documents shall be supplied using the method agreed on with the AO;
(iv) Ensuring reliable internet connectivity during the entire assessment phase to enable interviews using video-conferencing technology;
(v) Participation in at least one trial and/or preparatory activity sufficient time prior to the opening meeting to test the video-conferencing technology;
(vi) Any further assistance and collaboration necessary to successfully prepare for the assessment.

5.2. Assessment conduct

If an Operator is undergoing a Remote Assessment, the Operator shall support and ensure the successful completion of such Remote Assessment. This shall include:

(i) Ensuring the availability of teleconferencing capabilities during the whole period from Opening Meeting to Closing Meeting as agreed on with the AO during the planning and preparation;
(ii) Ensuring designated interview partners have sufficient knowledge in the English language to conduct an interview or have translators/interpreters available;
(iii) Support all planned and non-planned activities to the extent possible to support the Auditors in gathering all required evidence;
(iv) Providing all relevant evidence as requested by the Auditors in a timely manner;
(v) Making available randomly selected operational personnel, as required by each Auditor, and to the extent possible, for sampling purposes;
(vi) Providing up to date-controlled documentation and records, if they have changed between the initial submission and the assessment phase.

6. ISSA Registration

6.1. ISSA Registry

An Operator is added or retained on the ISSA Registry under the following conditions:

(i) An Operator has fulfilled all eligibility requirements as outlined in ISPM 7; or
(ii) An Operator has completed an onsite or remote renewal Assessment and is completing corrective actions within the deadlines specified in ISPM 7.

6.2. Registration Expiry Dates

ISSA Registration expiry dates are based on standard registration periods. A registration expiry date shall only be updated upon the successful conduct of an onsite or remote Renewal Assessment, and subsequent closure of such Assessment, including ISAR approval.

6.3. Annotations

In addition to the regular annotations contained in ISPM Table 7.1, the following annotations are introduced temporarily.

Description	Annotation
The Operator's registration date has expired, and the Operator is under the extended finding closure period.	"The Operator underwent a registration renewal assessment and is under an extended finding closure period. The Operator will remain on the registry until dd mmm yyyy."
The Operator is using the active implementation option for addressing non-conformities related to regulatory exemptions.	The ISSA Assessment Report contains active implementation associated with regulatory exemptions related with COVID-19.

7. Assessment Program

7.1. Assessment Planning

7.1.1 Planning Process

The AO shall have a planning process to support the conduct of a Remote Assessment and to ensure the objectives of the Remote Assessment are achieved. Such planning process shall take into consideration:

(i)   Availability of reliable internet connectivity;
(ii)   Availability of tools to support teleconferences;
(iii)   Availability of file sharing platforms or other accepted means to receive documentation;
(iv)   Location of auditee and auditors during the Assessment;
(v)   Language of the auditors, auditee and related documentation;
(vi)   Observation of assessment by IATA in accordance with ISPM TA-4.2.

7.1.2 Auditor Days

The AO shall ensure an Assessment of a single Operator is planned for a minimum of:

(i)   Five (5) auditor days for a regular onsite Assessment as outlined in ISPM 8.2.5;
(ii)   Five (5) auditor days for a Remote Assessment.

7.2. Assessment Preparation

The AO shall have a process to ensure each Auditor prepares for a Remote Assessment. Such preparation shall include

(i)   Review of all relevant documents submitted by the Operator;
(ii)   Review of the previous ISAR;
(iii)   Review of country-specific exemptions granted by Authorities as published in the ICAO CCRD website and/or provided by the Operator;
(iv)   Assessment of documentation using controlled documentation submitted by the Operator;
(v)   Establishment of detailed interview questions and strategies for each Auditor for the interviews, as outlined in the IAH.

8. Conducting the Assessment

8.1.1 Opening and Closing Meeting

The AO shall ensure the Assessment is started with an opening meeting and concluded with a closing meeting. Opening and closing meetings shall:

- (i) be conducted using teleconferencing methods for Remote Assessment;
- (ii) be open to management and staff of the Operator;
- (iii) be conducted by the designated Lead Auditor;
- (iv) be presented using a standard presentation format;
- (v) contain the items listed in the IAH.

8.1.2 Gathering Evidence

The AO shall ensure Auditors, during a Remote Assessment, are gathering necessary evidence to assess conformity with all provisions contained in the ISSA checklist. Such gathering of information shall be accomplished as described in the IAH and shall include the following:

- (i) Review of controlled documentation provided by the Operator prior to the Opening Meeting;
- (ii) Review of records provided by the Operator prior to the Opening Meeting;
- (iii) Interviews and review of evidence and documentation during the Assessment Phase.

8.1.3 Assessing Regulatory Exemptions

The AO shall ensure Auditors identify temporary regulatory exemptions from applicable regulations granted to an Operator by the Authority and shall ensure Auditors:

- (i) Verify the validity of such temporary exemption using procedures outlined in the IAH;
- (ii) Assess the corresponding provision as Conformity – Active Implementation (AI);
- (iii) Document the existence of such regulatory exemption in the Audit Software as outlined in the IAH;
- (iv) Verify that projected conformity with the ISSA provision in accordance with the Active Implementation Plan will be within a maximum time frame of one hundred eighty (180) days following the deadline to close any findings.

8.1.4 Assessment Duration

The AO shall ensure a Remote Assessment, once the Opening Meeting has taken place, is not interrupted by more than one business day without interviews and is concluded within 3 business days following the Opening Meeting. Exemptions to these rules can be requested from IATA by the AO in case of unforeseen circumstances.

8.2. Assessment Follow-up

8.2.1 Closure Period Findings

Findings resulting from a Renewal Assessment, whether this was conducted as a remote or onsite Assessment shall be closed at the latest within ninety (90) calendar days following the expiry date of the current ISSA registration. If the Operator enters the extended finding closure period, an annotation according with ISPM TA - 6.3 will be made to the Operator's Registry.

9. ISSA Assessment Report (ISAR)

9.1. Quality Control of ISAR

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

(i) details of the Assessment are accurately described;

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

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

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

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

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

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

(viii) if applicable, the application of Active Implementation (AI) is correctly documented;

(ix) closure of findings in each CAR includes an accurate description and justification of the method(s) used by the AO to verify implementation of corrective action.