



ISAGO Program Manual

Effective January 2018



1st Edition

NOTICE

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Table of Contents

Approval Page	i
Abbreviations	vii
Foreword	ix
Applicability	X
Record of Editions	xi
Introduction	xii
Purpose	xii
Examples of ISAGO Documents and Forms	xii
ISAGO Documentation System	xii
English Language	xii
Manual Revision – Regular & Temporary	xii
Manual Approval Process.....	xiii
Content Changes	xiii
Conflicting Information	xiii
ISAGO Documents and Forms.....	xiv
IRM for ISAGO Abbreviations, Acronyms, Definitions.....	xiv
ISAGO Authority	xiv
Audit Scope.....	xiv
Section 1—ISAGO Program Management	1
1.1 Purpose & Scope	1
1.2 ISAGO Framework	1
1.3 Role & Responsibilities of IATA (ISAGO Management & Administration)	2
1.4 Role & Responsibilities of a GSP	3
1.5 Role & Responsibilities of a GOA (Audit Administration).....	4
1.6 Role & Responsibilities of an ISAGO Auditor	4
1.7 Responsibilities of an Airline	6
1.8 Conflict of Interest and Confidentiality of Intellectual Property	6
1.9 Scheme of Charges.....	8
1.10 Reference Documentation	8
1.11 Documentation/Records Management.....	8
1.12 Communications	9
1.13 ISAGO Audit Program management	9



1.14	Improvement of ISAGO	11
1.15	Governance	11
1.16	Use of the IATA/ISAGO Brand	12
Section 2—ISAGO Registration & Station Accreditation.....		13
2.1	Purpose & Scope.....	13
2.2	The Ground Service Provider as an Organization	13
2.3	Initial ISAGO Registration	14
2.4	Initial Station Accreditation.....	14
2.5	Period of ISAGO Registration & Station Accreditation	15
2.6	Renewal of ISAGO Registration & Station Accreditation	16
2.7	Maintaining ISAGO Registration & Station Accreditation.....	16
2.8	Suspended ISAGO Registration	17
2.9	Extenuating Circumstances	17
2.10	Verification Audit.....	18
2.11	ISAGO Certificates.....	19
2.12	The ISAGO Registry – Promulgation of ISAGO Registration	19
Section 3—Initial Audit Application, Renewal Audits, Audit Allocation & Scheduling		21
3.1	Purpose & Scope.....	21
3.2	Audit Types & Categories	21
3.3	Initial Audit Application	22
3.4	Combined Audit	23
3.5	Renewal Audits.....	24
3.6	Audit Agreement	26
3.7	Audit Allocation.....	26
3.8	Audit Schedules	26
3.9	Fees & Charges.....	28
Section 4—ISAGO Agent.....		29
4.1	Purpose & Scope.....	29
4.2	GOA Application	29
4.3	GOA Contract.....	30
4.4	GOA Role & Responsibilities	30
4.5	GOA Contract Renewal	34
4.6	Fees & Charges.....	34
Section 5—Auditor Qualification (Charter of Professional Auditors)		35
5.1	Purpose & Scope.....	35
5.2	ISAGO Auditor Categories.....	35

5.3	ISAGO Auditor Qualification Process.....	36
5.4	CoPA Membership.....	42
5.5	CoPA Membership Requirements.....	43
5.6	Suspension of CoPA Membership.....	44
5.7	CoPA Membership Re-Qualification.....	44
5.8	Lead Auditor Qualification.....	45
5.9	Additional Discipline Authorization.....	46
5.10	The Charter of Professional Auditors.....	46
5.11	Fees & Charges.....	47
Section 6—Audit Conduct.....		48
6.1	Purpose & Scope.....	48
6.2	Audit Objectives.....	48
6.3	Audit Planning.....	49
6.4	Pre-Onsite Audit Activities.....	51
6.5	Onsite Audit Activities.....	52
6.6	Post Audit Activities.....	55
6.7	IATA Acceptance of the ISAGO Audit Report.....	59
Section 7—ISAGO Audit Report Management & Information Sharing.....		60
7.1	Purpose & Scope.....	60
7.2	ISAGO Audit Report Ownership & Custodianship.....	60
7.3	Validity of an ISAGO Audit Report.....	60
7.4	ISAGO Audit Report Access & Sharing.....	60
7.5	Fees & Charges.....	63
7.6	ISAGO Data Analysis.....	63
Section 8—ISAGO Program Oversight & Performance.....		65
8.1	Purpose & Scope.....	65
8.2	Oversight Methodology.....	65
8.3	Program Oversight and Continuous Improvement.....	66
8.4	IATA Quality Control of ISAGO Audit Reports.....	66
8.5	Program Performance Monitoring.....	67
8.6	Performance Oversight of ISAGO Agents.....	67
8.7	Performance Oversight of Lead Auditors and Auditors.....	67
8.8	Additional Oversight of a GOA, Lead Auditors and Auditors.....	68
Section 9—Dispute Resolution.....		69
9.1	Purpose.....	69
9.2	Applicability.....	69
9.3	Dispute Resolution.....	69



Section 10—Scheme of Charges.....71

 10.1 Purpose & Scope.....71

 10.2 Fees & Charges.....71

 10.3 Invoicing & Payments74

Annex A—ISAGO Reference Documentation 77

Annex B—ISAGO Audit Scope 78

Annex C—ISAGO Fees & Charges 79

Annex D—ISAGO Agent & Auditor Code of Ethics.....80

Annex E—ISAGO Travel Policy86

Annex F—ISAGO Logos.....90

Abbreviations

Abbreviations, acronyms and definitions are outlined in full in the IRM; however have been included here for ease of use.

AHM	Airport Handling Manual
AOC	Air Operator Certificate
CAP	Corrective Action Plan
CAR	Corrective Action Record
CBT	Computer-based Training
CoPA	Charter of Professional Auditors
DGR	IATA Dangerous Goods Regulations
FAT	Final Action Taken
GADM	Global Aviation Data Management
GOA	ISAGO Agent
GOC	ISAGO Oversight Council
GOPM	ISAGO Program Manual
GOSARPs	ISAGO Standards and Recommended Practices
GOSM	ISAGO Standards Manual
GSP	Ground Service Provider
IATA	International Air Transport Association
IATA QA	IATA Quality Assurance
ICAO	International Civil Aviation Organization
ICHM	IATA Cargo Handling Manual
IGOM	IATA Ground Operations Manual
IOSA	IATA Operational Safety Audit
CAB	Cabin Operations
CGO	Cargo Operations
DSP	Operational Control and Flight Dispatch
FLT	Flight Operations
GRH	Ground Handling Operations
MNT	Aircraft Engineering and Maintenance
ORG	Organization and Management System
SEC	Security Management



IRM	IATA Reference Manual for Audit Programs
ISAGO	IATA Safety Audit for Ground Operations
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
ISO	International Organization for Standardization
LAR	IATA Live Animal Regulations
OPC	IATA Operations Committee
PCR	Perishable Cargo Regulations
QA	Quality Assurance
QAPM	IATA Quality Assurance Program Manual
QC	Quality Control
SGHA	Standard Ground Handling Agreement
SMS	Safety Management System
SVP SFO	IATA Senior Vice President Safety & Flight Operations
TCR	IATA Temperature Control Regulations
ULDR	IATA Unit Load Device Regulations

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 pool member model was unable to meet the demand. 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. IATA will encourage all GSPs to adopt ISAGO as a means of providing an independent assessment of the safety of ground operations, and verification of the implementation of 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 GOSARPs are supported by guidance material and standardized procedures in the Airport Handling Manual (AHM), IATA Ground Operations Manual (IGOM), IATA Dangerous Goods Regulations (DGR), IATA Cargo Handling Manual (ICHM) and many others.

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 assessment of all aspects of managing and providing 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.

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

isago@iata.org

Applicability

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. It applies primarily to:

1. All Ground Service Providers audited under ISAGO;
2. ISAGO Agents contracted by IATA to provide audit administration services;
3. ISAGO Auditors that will conduct the ISAGO Audits;
4. Airlines that will receive ISAGO Audit Reports; and
5. The International Air Transport Association (IATA), who are the stewards of the ISAGO Program.

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.

Record of Editions

Edition Number	Issue Date	Effective Date
1st Edition	December 2017	January 2018

Introduction

Purpose

The ISAGO Program Manual (GOPM) is published in order to make the complete body of program provisions that govern all aspects of the IATA Safety Audit for Ground Operations (ISAGO) Program available in a single source. Provisions in the GOPM provide the basis for program standardization, such that each audit is conducted in a consistent manner.

ISAGO Audits will only be conducted by Auditors that members of the IATA Charter of Professional Auditors (CoPA). To successfully qualify as a member of the CoPA, the auditor will have successfully completed the training and qualification process provided by IATA and assessed by IATA as suitable for CoPA membership as detailed in this GOPM.

The provisions in this GOPM shall be the basis for the system used by IATA to provide quality oversight and management of the ISAGO Program.

Examples of ISAGO Documents and Forms

Certain ISAGO documents and forms may be referenced in this GOPM and may have undergone revision, and thus the current version of the ISAGO document or form should be used.

ISAGO Documentation System

This GOPM, including any Temporary Revisions, used in association with the documentation listed at Annex A together comprise the ISAGO documentation system. Supporting documents such as Alerts, Bulletins are also used to disseminate related information.

English Language

English is the official language of the ISAGO Program and the ISAGO Documentation System. Reference to “international” English will be as per the Merriam-Webster dictionary.

Manual Revision – Regular & Temporary

IATA will publish new editions and temporary revisions to this GOPM as necessary, to ensure the content remains current and meets the needs of the ISAGO Program.

During a regular revision cycle, where a change to the GOPM is required, a new Edition of the manual will be published and account for any applicable Temporary Revisions (TRs) issued since the previous Edition. The cover of the GOPM will indicate the Edition number and the effectivity date, the page footer will indicate the Edition number and the effectivity date.

A new Edition of the GOPM becomes effective three months following the month of publication.

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

- a) a unique reference number linking it to the appropriate Edition;
- b) a GOPM reference number associated to the content requiring change;
- c) a date of issue and effectivity; and
- d) the date of the approval by the SVP Safety & Flight Operations (SFO).

Manual Approval Process

IATA will internally draft any required changes in consultation with applicable parties, if necessary. A comment period of 21 calendar days for a regular revision cycle and up to seven calendar days for a TR cycle will be given for external feedback. An internal review of feedback and incorporation of final changes will occur.

A period of 14 calendar days will be given for IATA senior management final approval for regular revision or a TR cycle. The Senior Vice President (SVP) SFO is the final approving authority for new editions or TRs of this GOPM.

Content Changes

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

Conflicting Information

Manuals within the ISAGO documentation system are not revised concurrently, thus creating a possibility of conflicting information in different manuals. If there are inconsistencies between the ISAGO documentation, IATA should be contacted for clarification and correction. If there are inconsistencies between the GOPM and an Agreement issued by IATA, the Agreement shall prevail.



ISAGO Documents and Forms

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

IRM for ISAGO Abbreviations, Acronyms, Definitions

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

ISAGO Authority

See 1.15

Audit Scope

See 3.38.

Section 1—ISAGO Program Management

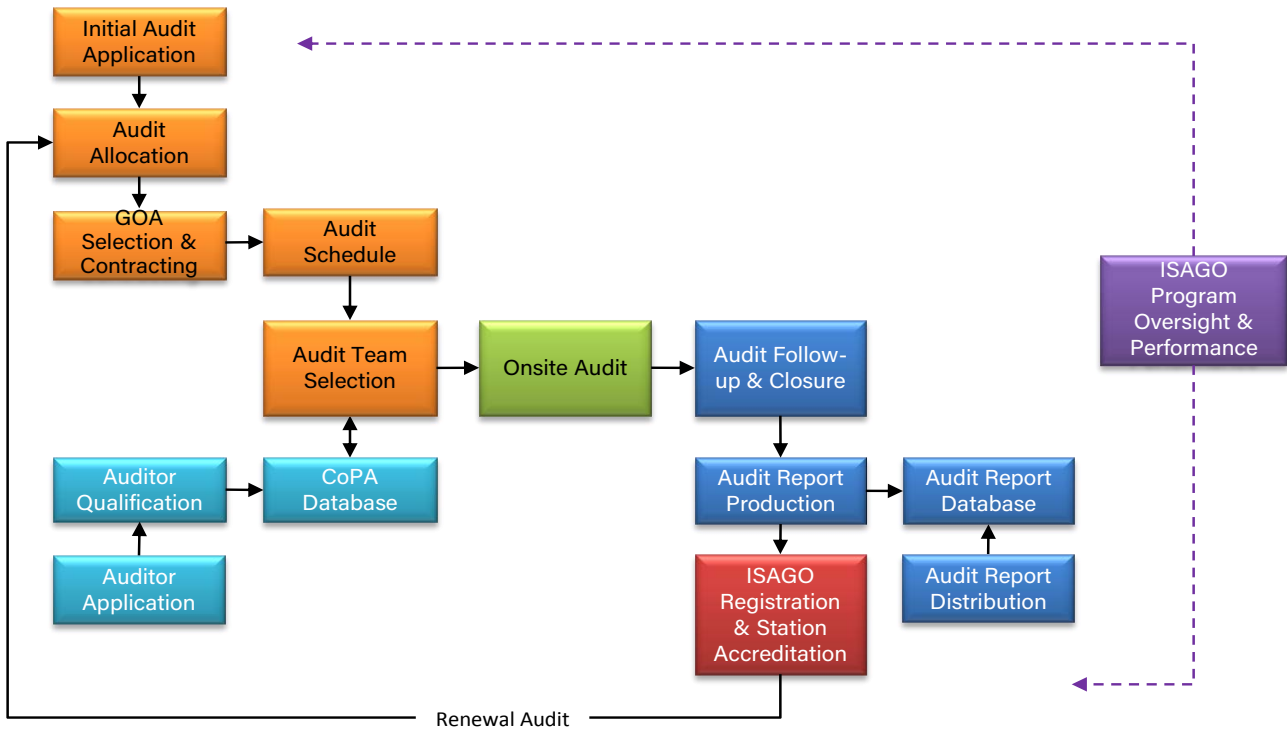
1.1 Purpose & Scope

- 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 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 auditing 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.
- 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) facilitation of the onsite portion of the audit;
 - e) provision of requested documentation (Information Sources) relating to the audit, including provision of documentation prior to the onsite audit if applicable;
 - f) coordination with the Lead Auditor for the conduct of the audit;
 - g) ensuring the ISAGO Auditor is able to audit a ground operation that the GSP has outsourced;
 - h) providing IATA with feedback on the performance of each member of the audit team;

- i) development and implementation of the Corrective Action Plan (CAP) to close all Findings, providing assistance to the Lead Auditor as necessary;
- j) 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;
- k) maintaining conformity with the applicable GOSARPs at both their Headquarters and all accredited Stations throughout the period of ISAGO Registration;
- l) maintaining its documented references, accounting for any significant change in management or operations and amendments to applicable GOSARPs; and
- m) notifying IATA with changes in circumstances (see [2.7.3](#)).

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) development of a provisional and confirmed Audit Schedule outlining the planned administration of the allocated audits;
- b) contracting the audit teams, including the nomination of a Lead Auditor, while ensuring that there is no conflict of interest;
- c) making arrangements for the audit, considering the needs of the GSP and the audit team, including travel and accommodation;
- d) organizing the audit build in the auditing software according to the audit scope;
- e) making arrangements, where necessary, for audit onsite follow-up activities;
- f) submitting specified reports to IATA; and
- g) providing feedback to IATA on each member of the audit team after each audit.

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).

- 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 auditing 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, as required;
 - g) adhering to the contracted terms and conditions of the CoPA; and
 - h) ensuring that his/her CoPA details and audit records are complete, correct and updated.
- 1.6.3 The ISAGO Auditor shall maintain awareness and competence of all aspects of an ISAGO Audit and the disciplines in which a current authorization to audit is held, including the GOSARPs and management and operational practices.
- 1.6.4 One qualified Lead Auditor will be assigned the role of the Lead Auditor for each audit. In addition to the responsibilities assigned to an 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 auditing software is correct;
 - c) management and direction of the audit team in conducting the onsite audit, including leading the opening and closing meetings;
 - d) development of an Audit Summary Report for the onsite audit closing meeting;
 - e) providing feedback to IATA on each member of the audit team after each audit;
 - f) liaison with the GSP for all audit activities but excluding those which the GOA is responsible;
 - g) closure of the audit and the production of a quality-controlled ISAGO Audit Report; and
 - h) delivery of the ISAGO Audit Report to IATA within the required time period.
- 1.6.5 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.
- 1.6.6 The term audit team is used in this GOPM and applies also where there is only one ISAGO Auditor (as the Lead Auditor) conducting the ISAGO Audit.

1.6.7 The responsibilities of an 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) providing IATA with details of the GSPs that it contracts;
- c) always 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, including an airline group member, affiliated operator or a member of an airline alliance, 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 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 requirements and shall sign the ISAGO Agent and Auditor Code of Ethics, 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. 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 In general the ISAGO documentation is freely available to download from the IATA ISAGO website. This documentation includes the GOSM, audit checklists and guidance material. Other 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 Communications

- 1.12.1 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.
- 1.12.2 IATA notifies any addition or amendment to the ISAGO program or provisions, by:
- a) an ISAGO Alert for any required immediate action or change; or
 - b) an ISAGO Bulletin for an ISAGO matter that requires the attention of a specified person, organization or stakeholder.
- 1.12.3 An ISAGO Alert or Bulletin remains active until notified as cancelled by IATA.
- 1.12.4 IATA will provide a response to an inquiry or other communication regarding ISAGO in a timely manner.
- 1.12.5 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.
- 1.12.6 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.

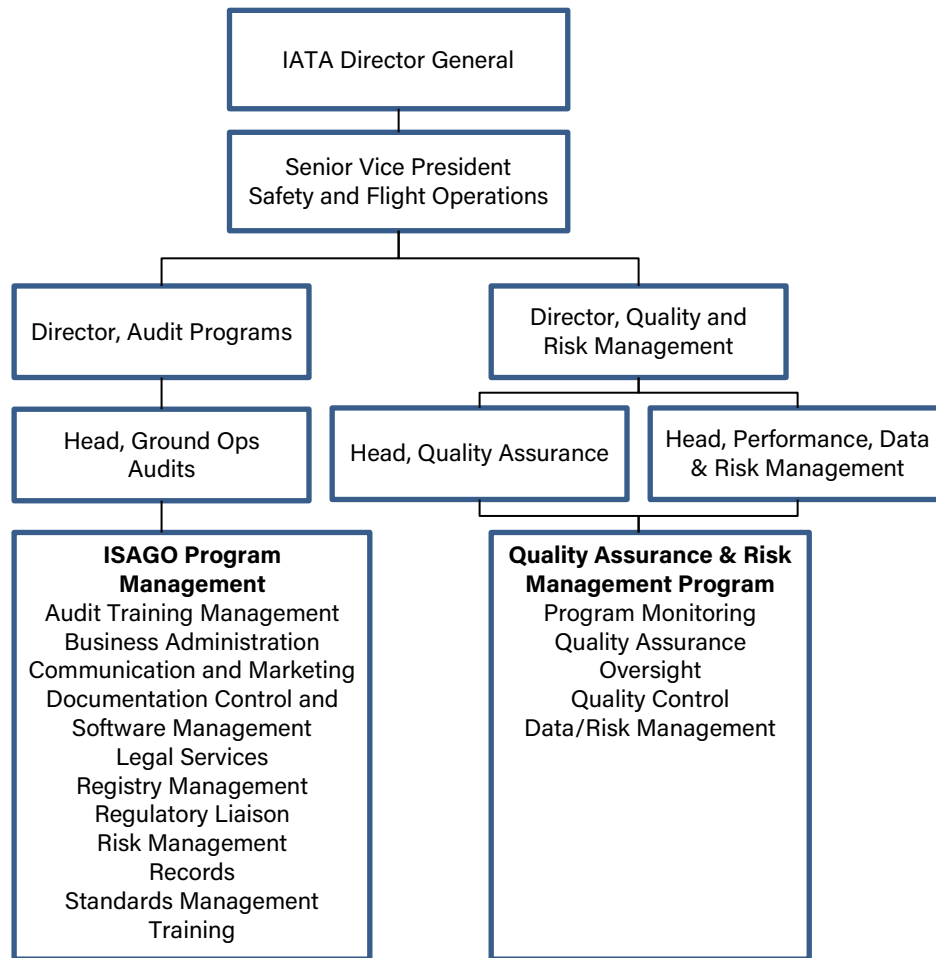
1.13 ISAGO Audit Program management

- 1.13.1 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.

- 1.13.2 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.
- 1.13.3 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.
- 1.13.4 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.
- 1.13.5 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.
- 1.13.6 IATA shall have an Audit Programs Manual that describes:
- a) the scope of the management system;
 - b) ISAGO quality policy and objectives;
 - c) references for system processes and procedures; and
 - d) the interaction among processes in the management system.

Figure 1.2 – ISAGO Program Management System (Functional Overview)



1.14 Improvement of ISAGO

1.14.1 IATA Quality Assurance, as outlined in Section 8, may periodically review the functionality and performance of the ISAGO management and administration, present Findings to IATA and other relevant persons and recommend improvements.

1.15 Governance

1.15.1 The ISAGO program is maintained and developed by IATA in collaboration with the ISAGO Oversight Council (GOC), the IATA Operations Committee (OPC) and industry stakeholders. IATA will advise the GOC, OPC and any other relevant body on all matters that relate to ISAGO.

1.16 Use of the IATA/ISAGO Brand

- 1.16.1 The IATA and ISAGO logos and status of ISAGO Registration and Station Accreditation shall not be misused or misrepresented. 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.
- 1.16.2 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 2—ISAGO Registration & Station Accreditation

2.1 Purpose & Scope

- 2.1.1 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.
- 2.1.2 Accreditation is granted, after ISAGO Registration has been gained, to a Station where the GSP provides ground operations and a Station Audit has been completed. The GSP may apply to accredit as many Stations as it wishes.
- 2.1.3 An Operator that provides ground operations to itself or other Operators and seeks ISAGO Registration would be subject to the same requirements as a GSP.
- 2.1.4 This Section of the GOPM outlines the GSP ISAGO Registration and Station Accreditation schemes.

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 ISAGO Registration format, covering the scope of the audits. It 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.
- 2.2.3 The GSP Organization Exposition shall be kept up-to-date, especially 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.

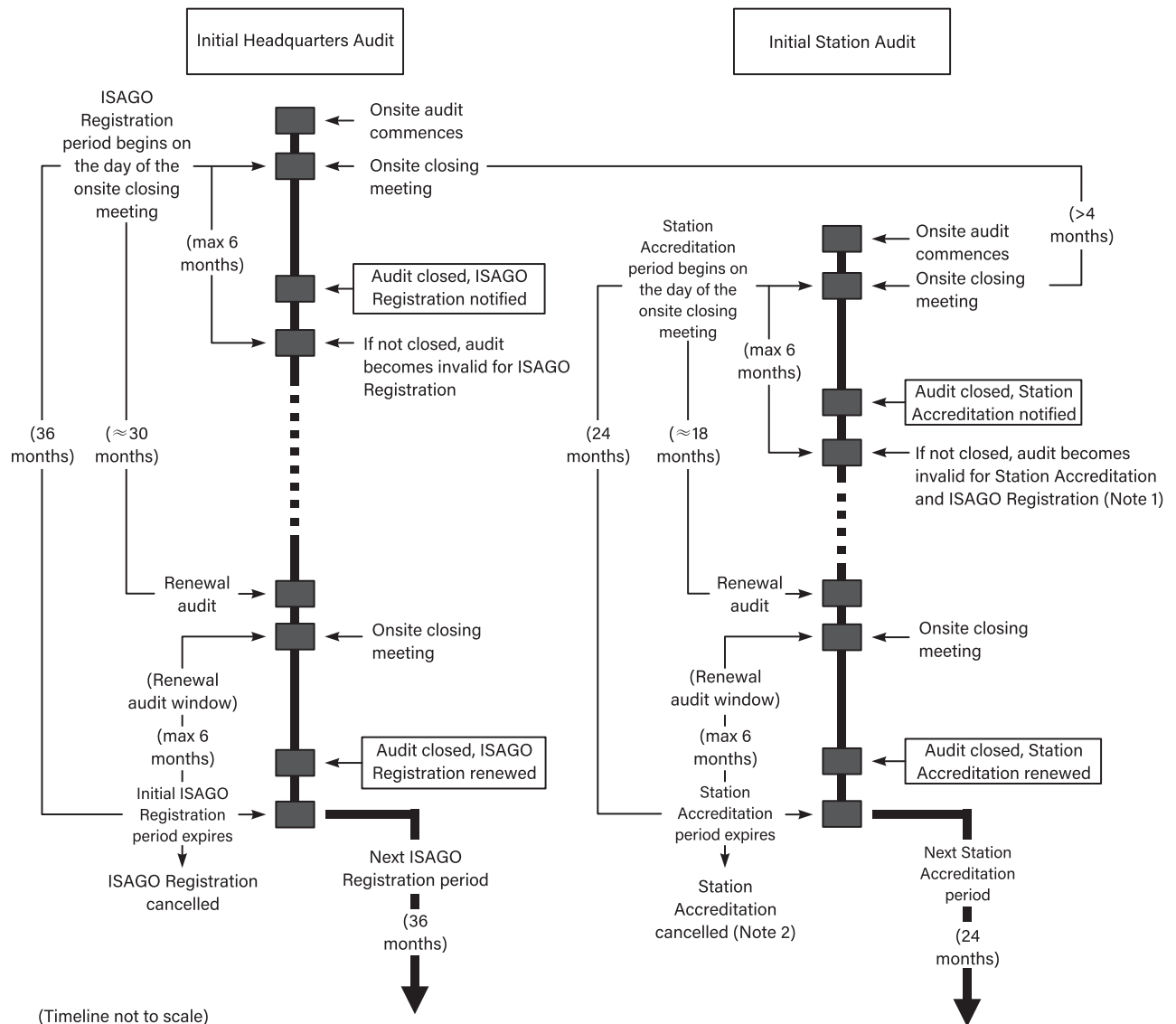
2.3 Initial ISAGO Registration

- 2.3.1 A GSP receives initial ISAGO Registration when the Initial Headquarters Audit has been closed and the ISAGO Audit Report has been submitted and accepted by IATA. To close an audit the Lead Auditor has to verify that all audit Findings have been satisfactorily addressed.
- 2.3.2 A Headquarters (or the Headquarters part of a Combined) Audit must be conducted first for initial ISAGO Registration.
- 2.3.3 The ISAGO Registration of the GSP will be notified on the ISAGO Registry as soon as the onsite part of the Initial Headquarters Audit has been completed. The status of the ISAGO Registration will however be indicated as pending the closure of the Initial Headquarters Audit and the accreditation of a Station.
- 2.3.4 The ISAGO Audit Report for the Initial Headquarters Audit shall be submitted to IATA within seven days of the closure of the audit. The audit has to be closed within six calendar months of the date of the onsite closing meeting. The initial ISAGO Registration process will be cancelled if the Initial Headquarters Audit is not closed within that period of time, see [Figure 2.1](#).

2.4 Initial Station Accreditation

- 2.4.1 An initial Station Accreditation has to be obtained by the GSP to complete the ISAGO Registration.
- 2.4.2 A Station will be accredited when the ISAGO Audit Report has been submitted and accepted by IATA, which has to be done within seven days of the closure of the Station Audit.
- 2.4.3 The Initial Station Accreditation Audit has to take place within four months and be closed within ten calendar months of the date of the Initial Headquarters Audit onsite closing meeting. The initial ISAGO Registration process will be suspended if the Station Audit is not closed within that period of time, see [2.7.1](#).
- 2.4.4 A Station has to be accredited to be associated with a GSP's ISAGO Registration.

Figure 2.1 – ISAGO Initial Registration & Initial Station Accreditation Timelines



Note 1. ISAGO Registration is suspended if not completed within ten months of initial headquarters audit onsite closing meeting

Note 2. ISAGO Registration is suspended if no other station has a Station Accreditation

2.5 Period of ISAGO Registration & Station Accreditation

2.5.1 An initial ISAGO Registration expires 36 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 36 calendar months.

2.5.2 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.

- 2.5.3 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.
- 2.5.4 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](#).

2.6 Renewal of ISAGO Registration & Station Accreditation

- 2.6.1 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.
- 2.6.2 ISAGO Registration and Station Accreditation will be renewed if the respective Renewal Audits are closed and the ISAGO Audit Reports are received by IATA before the applicable expiry date. If the renewal audit is not closed and the ISAGO Audit Report is not received by IATA before the associated ISAGO Registration or Station Accreditation expiry date, the ISAGO Registration or Station Accreditation will be cancelled.
- 2.6.3 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, see [Figure 2.1](#).

2.7 Maintaining ISAGO Registration & Station Accreditation

- 2.7.1 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 if the GSP does not have at least one Station Accreditation.
- 2.7.2 Failure of a GSP to maintain its ISAGO Registration will automatically cancel all Station Accreditations.
- 2.7.3 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.
- 2.7.4 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.
- 2.7.5 All information provided by the GSP to IATA with respect to [2.7.3](#) and [2.7.4](#) will be treated as confidential, as covered by an Audit Agreement.
- 2.7.6 A significant change or safety occurrence might initiate a Verification Audit, see [2.10](#), to determine and address any impact on the GSP's Registration or Station Accreditation.
- 2.7.7 The GSP should notify IATA if it's ISAGO Registration or a Station Accreditation, or the renewal thereof is no longer required.

2.8 Suspended ISAGO Registration

- 2.8.1 ISAGO Registration will be suspended if the GSP is unable to obtain (by closing all Findings of the Initial Station Audit) or maintain a Station Accreditation.
- 2.8.2 The ISAGO Registration suspension can be removed by the accreditation of a Station before the registration period expires.
- 2.8.3 An ISAGO Registration that is suspended cannot be renewed.

2.9 Extenuating Circumstances

- 2.9.1 The GSP can submit a claim of extenuating circumstances to IATA if it becomes known that 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.

- 2.9.2 The GSP's Registration and the Accreditation of Stations will remain valid while the claim is being addressed, and all interested parties will be notified by IATA.
- 2.9.3 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 no more than 90 days from the date that IATA reviews the claim; and
 - c) the consequences if a resolution is not achieved by the specified date.
- 2.9.4 The original ISAGO Registration or Station Accreditation conditions will remain if IATA does not accept the claim.

2.10 Verification Audit

- 2.10.1 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.
- 2.10.2 The Verification Audit would be organized and managed by IATA, with the assistance of a GOA as necessary.
- 2.10.3 All costs associated with a Verification Audit initiated by an airline report would be borne by IATA.
- 2.10.4 All costs associated with a Verification Audit initiated by report submitted by a GSP as indicated in [2.7.6](#) would be borne by the GSP concerned.
- 2.10.5 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.
- 2.10.6 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.
- 2.10.7 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.

- 2.10.8 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.
- 2.10.9 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 if occurring shortly before a Renewal Audit is due.

2.11 ISAGO Certificates

- 2.11.1 Certificates of ISAGO Registration and Station Accreditation will be provided by IATA and made available to download from the ISAGO Registry.

2.12 The ISAGO Registry – Promulgation of ISAGO Registration

- 2.12.1 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 (as per [1.7.1](#)) and GSPs. IATA will manage the access rights to all information in the ISAGO Registry.
- 2.12.2 The ISAGO Registry public domain will list the name of an ISAGO registered GSP and the location of its Headquarters. No details of Station Accreditation, audit scope of validity periods will be listed. The listing of a GSP on the ISAGO Registry public domain has no official ISAGO status and should not be used as an indication of ISAGO Registration or that any of the GSP's Stations are accredited. ISAGO Registration or Station Accreditation is only verifiable if accompanied by a current ISAGO Audit Report.
- 2.12.3 In addition, subscribing Airlines will be recognized on the ISAGO Registry public domain as contributing to the ISAGO program.
- 2.12.4 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 certificates (in a downloadable format); and
 - g) an area reserved for relevant remarks or comments.

- 2.12.5 The ISAGO Registry restricted area open to a GSP will list all the details in [2.12.4](#) but only those related to the GSP and while the GSP holds an ISAGO Registration.
- 2.12.6 A GSP that has completed the onsite audit of an Initial Headquarters Audit for ISAGO Registration will be listed on the ISAGO Registry. The entry will be annotated as a registration-in-progress until an Initial Station Audit for Station Accreditation purposes has been closed within the required timescale.
- 2.12.7 The ISAGO Registry will indicate and give details of a GSP that is subject to an on-going Verification Audit.
- 2.12.8 A suspended ISAGO Registration or Station Accreditation will not be removed from the ISAGO Registry but will be annotated as suspended. Full details outlining the reason for the suspension will be provided.
- 2.12.9 A cancelled ISAGO Registration or Station Accreditation will be removed from the ISAGO Registry.
- 2.12.10 The ISAGO Registry will not contain or provide access to an ISAGO Audit Report.

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 (HQ), 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 (ST), 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 (CT), 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 using the ISAGO Audit management system. 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.

GSP Organization Exposition

- 3.3.4 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.
- 3.3.5 The GSP shall update its Organization Exposition if a significant change such as described in [2.7.3](#) occurs.
- 3.3.6 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.

- 3.3.7 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

- 3.3.8 The scope of the audit will be specified by IATA. It specifies the disciplines to be audited and will be used to determine the composition of the audit team and the duration and cost of the audit.
- 3.3.9 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. The scope of the Initial Headquarters Audit will also include all the operational disciplines within the scope of ISAGO that are collectively provided at the Stations to be accredited. The disciplines within the scope of ISAGO are as specified in the GOSM and in Annex B.
- 3.3.10 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](#).
- 3.3.11 The time given to cover the audit of each individual discipline is specified in [Table 10.1](#).

3.4 Combined Audit

- 3.4.1 A Combined Audit is effectively where the activities associated with a Headquarters Audit are immediately followed by those of a Station Audit. The Headquarters elements are always conducted first. Only one onsite opening and one closing meeting will take place, combining the Headquarters and Station aspects.
- 3.4.2 All Findings resulting from an Initial Combined Audit (relating to both Headquarters and Station) 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.
- 3.4.3 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

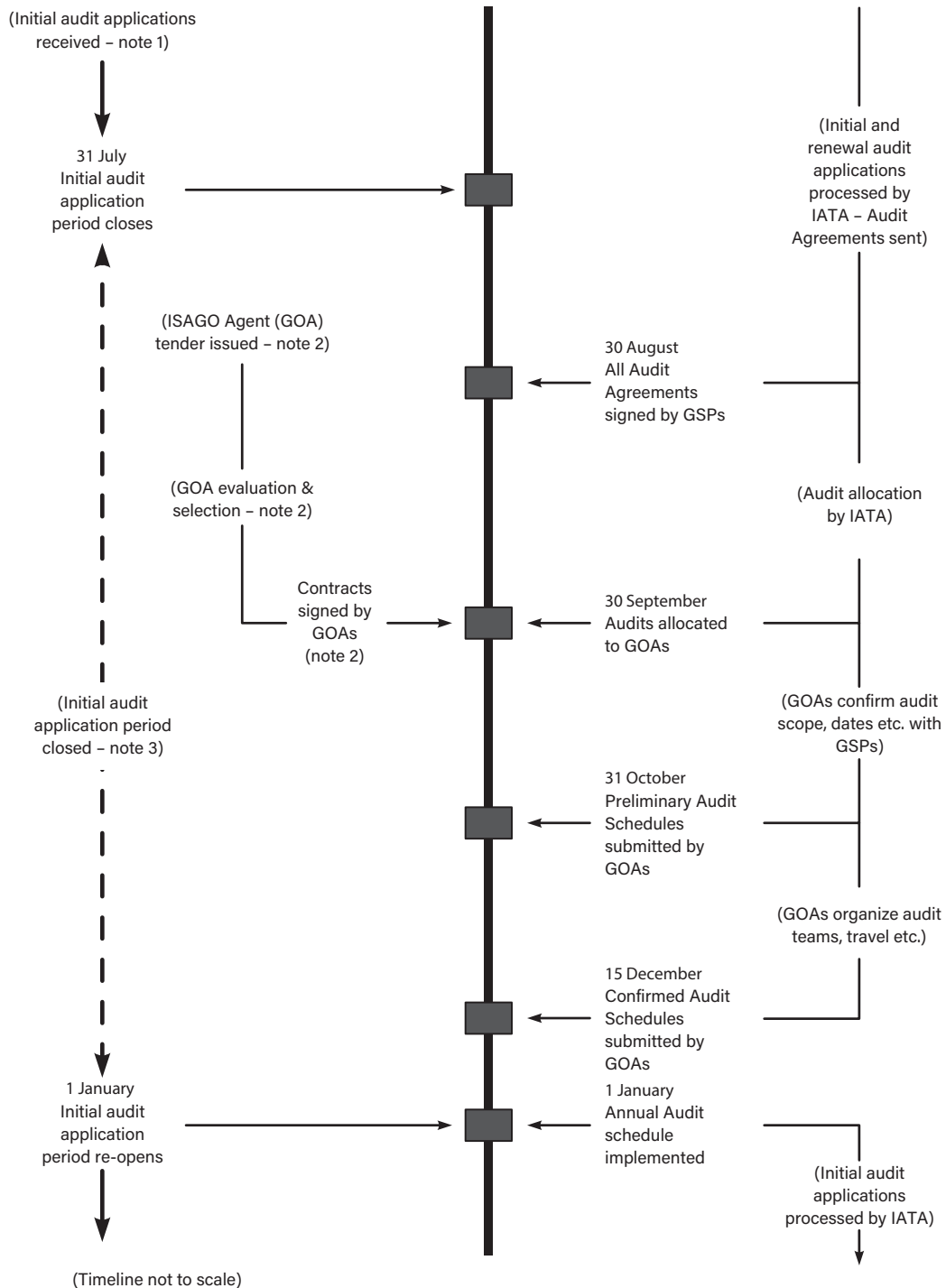
if the GSP subsequently requests the addition of a Station Accreditation audit after receiving an ISAGO Registration on the basis of a Combined Audit.

- 3.4.4 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 The GSP shall review and where necessary update its organization exposition upon amending an Audit Agreement or when developing a new audit schedule.
- 3.5.4 Only those ISAGO disciplines that were included in the scope of the Initial Station Audit will be included in the Station Accreditation. A request has to be made to IATA if a GSP chooses to add an additional discipline at a Station. 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.

Figure 3.1 – Audit Application, Allocation & Scheduling Timelines



Note 1: Initial audit applications include new registrations and new station accreditations. Renewal audits are scheduled automatically unless GSP notifies a change

Note 2: Occurs every 2 years

Note 3: Audit application processed on ad-hoc basis

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. Unless a change in the main text occurs, an Audit Agreement need only be made once and amended (through the re-issue of schedules to the agreement) when an audit is to be included in the audit allocation exercise.
- 3.6.2 The GSP has one week in which to sign the Audit Agreement and return it to IATA or notify a modification (including to the list of audits) in which case it will be amended and re-issued by IATA. Once the GSP signs the Audit Agreement, IATA will allocate the audits to the GOA for further audit coordination and planning. 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).
- 3.6.3 An Audit Agreement will be issued by IATA upon receipt of an initial audit application. The Audit Agreement should be signed the GSP and by IATA as soon as possible. The deadline for signing an Audit Agreement (such that the initial audit(s) requested will be included in the audit allocation) is 30 August, see [Figure 3.1](#).

3.7 Audit Allocation

- 3.7.1 The audit allocation exercise is conducted by IATA each year during the month of September. The allocation will automatically include all Renewal Audits due and all Initial Audits included in Audit Agreements signed since the last allocation exercise and haven't already been scheduled.
- 3.7.2 By the 30 September each year IATA will notify the GOA of its audit allocation for the following year. The allocation, specified in a Statement of Works, is attached to the IATA/GOA contract. The Statement of Works 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. A copy of the Statement of Works relevant to the GSP is included as the Initial Audit Schedule in the GSP's Audit Agreement.

3.8 Audit Schedules

- 3.8.1 The audit schedules are developed by the GOA(s), in coordination with the relevant GSPs, in the following two stages.

Preliminary Audit Schedules

- 3.8.2 The type, category and scope of the audits are confirmed and provisional dates for the onsite audit are determined. The GOA will upload these details (as a preliminary audit schedule) into the ISAGO Audit management system no later than 31 October.
- 3.8.3 The preliminary audit schedule allows the GOA and the GSP to organize the audit teams and their provisional travel and accommodation arrangements.
- 3.8.4 In the interests of efficiency and travel cost reduction, a Headquarters and a Station Audit or multiple Station Audits using the same ISAGO Auditor or audit team may be scheduled consecutively (back-to-back) provided that the required disciplines are covered. The Station Audit has to commence within three days of the onsite closing meeting of the Headquarters Audit or a previous Station Audit. The time taken for the Station Audit should be devoted primarily to the verification of implementation conformity but 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 the audit days specified in [Table 10.1](#) and not the reduced time specified in [10.2.7](#) and the subsequent need to extend the duration of the Station Audit.

Confirmed Audit Schedules

- 3.8.5 No later than 15 December, the GOA will prepare the confirmed audit schedule with the relevant GSPs and upload it to the ISAGO Audit management system. The confirmed audit schedule includes:
- a) the date, location, type, category, scope and duration 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](#).
- 3.8.6 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.
- 3.8.7 A copy of the relevant parts of a confirmed audit schedule will be included in the GSP's Audit Agreement.
- 3.8.8 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 ISAGO 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 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. The contract should be signed by both parties before 30 September in the year that it is offered.
- 4.3.2 The contract will include the audits allocated to the GOA in a Statement of Works.
- 4.3.3 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.
- 4.3.4 The GOA will only use forms and agreements provided by IATA for the purpose of ISAGO Audits and the contracting of ISAGO Auditors.
- 4.3.5 The GOA will sign the ISAGO Agent and Auditor Code of Ethics, see Annex D.
- 4.3.6 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.
- 4.3.7 A GOA could be subject to an audit by IATA at any time.
- 4.3.8 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 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 onsite portion of the ISAGO Audit.

- 4.4.3 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.
- 4.4.4 While complying 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.
- 4.4.5 The GOA may actively promote the ISAGO program to GSPs, encouraging them to seek ISAGO Registration or the Accreditation of more of its Stations. IATA will allocate an initial audit application resulting from such promotion to the GOA; however, 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

- 4.4.6 Each year the GOA will, in coordination with the relevant GSPs, develop a preliminary and a confirmed schedule of its allocated audits as outlined in [3.8](#).
- 4.4.7 The audit days specified in [Table 10.1](#) and the number of ISAGO Auditors utilized shall be used to determine the number of working days assigned to the onsite part of the audit, the number of ISAGO Auditors and their suitability. In addition, time should be allocated for the onsite opening and closing meetings.
- 4.4.8 The GOA and each GSP should organize the audit schedule efficiently, respecting deadlines and expiry dates. Multiple ISAGO Audits of the same GSP may be scheduled consecutively using the same audit team, with direct travel between each location. ISAGO Auditors may also be scheduled to take part in consecutive ISAGO Audits of different GSPs provided that the GOA gains the GSPs collective agreement on apportioning and payment of the travel and accommodation costs, see [4.4.24](#).

Contracting 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.
- 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. Where the audit scope permits and a single ISAGO Auditor is selected to conduct the ISAGO Audit, the ISAGO Auditor will assume the role of Lead Auditor regardless of the auditor's status. The auditor utilization requirements in [4.4.11](#) applies 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. A GSP is not permitted to propose the selection of an ISAGO Auditor; however, 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, from funds provided by IATA, of an invoice submitted by an ISAGO Auditor for services provided in performing an ISAGO Audit.
- 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 auditing software according to the audit scope.
- 4.4.22 The GOA should also, where necessary, request the GSP provides 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 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.
- 4.4.25 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 Activities

- 4.4.26 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.

Monthly Reports

- 4.4.27 The GOA shall submit a monthly report to IATA, no later than seven days after the end of the reporting month, containing details of:
- a) the dates, locations, names of the GSPs and the audit type/category and scope/disciplines covered for all audits conducted that month;
 - b) the name(s) and the disciplines covered by each of the ISAGO Auditor(s) involved;
 - c) invoices received from ISAGO Auditors for payment by IATA;
 - d) any onsite visit to close a Finding;
 - e) any significant outcomes or remarks, including if, during the audit or follow-up activities, practices or events were witnessed that could cause the integrity of the ISAGO Audit Report and the validity of a GSP's ISAGO Registration or Station Accreditation to be questioned; and
 - f) the audits in preparation for the following month, including dates, GSP names and locations and the names of the ISAGO Auditors contracted.
- 4.4.28 The GOA shall submit invoices to IATA in accordance with [10.3.6](#) for payment of the GOA administration fee.

Verification Audit

4.4.29 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.

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 An ISAGO Audit involves the audit of specific disciplines related to the management and conduct of ground operations. An ISAGO Auditor must be *authorized* by IATA to audit a specific discipline. Authorization is included in the ISAGO Auditor qualification process.
- 5.1.4 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.
- 5.1.5 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 with authorizations for specified ISAGO disciplines

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 the 4 sequential 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, either computer-based or in a classroom. 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 re-current 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 step four 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 Candidate Auditors are to notify IATA as soon as practicable if unable to complete the qualification process or a step within the given time.

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 is met, including an indication of the roles and responsibilities, periods and dates that relate directly to the required criteria.

5.3.11 The applicant must specify the ground operations disciplines that he/she wishes to receive authorization for. To qualify for CoPA membership the candidate has to be authorized in at least two disciplines within the scope of ISAGO as specified in Annex B.

Figure 5.1 – ISAGO Auditor Qualification Process

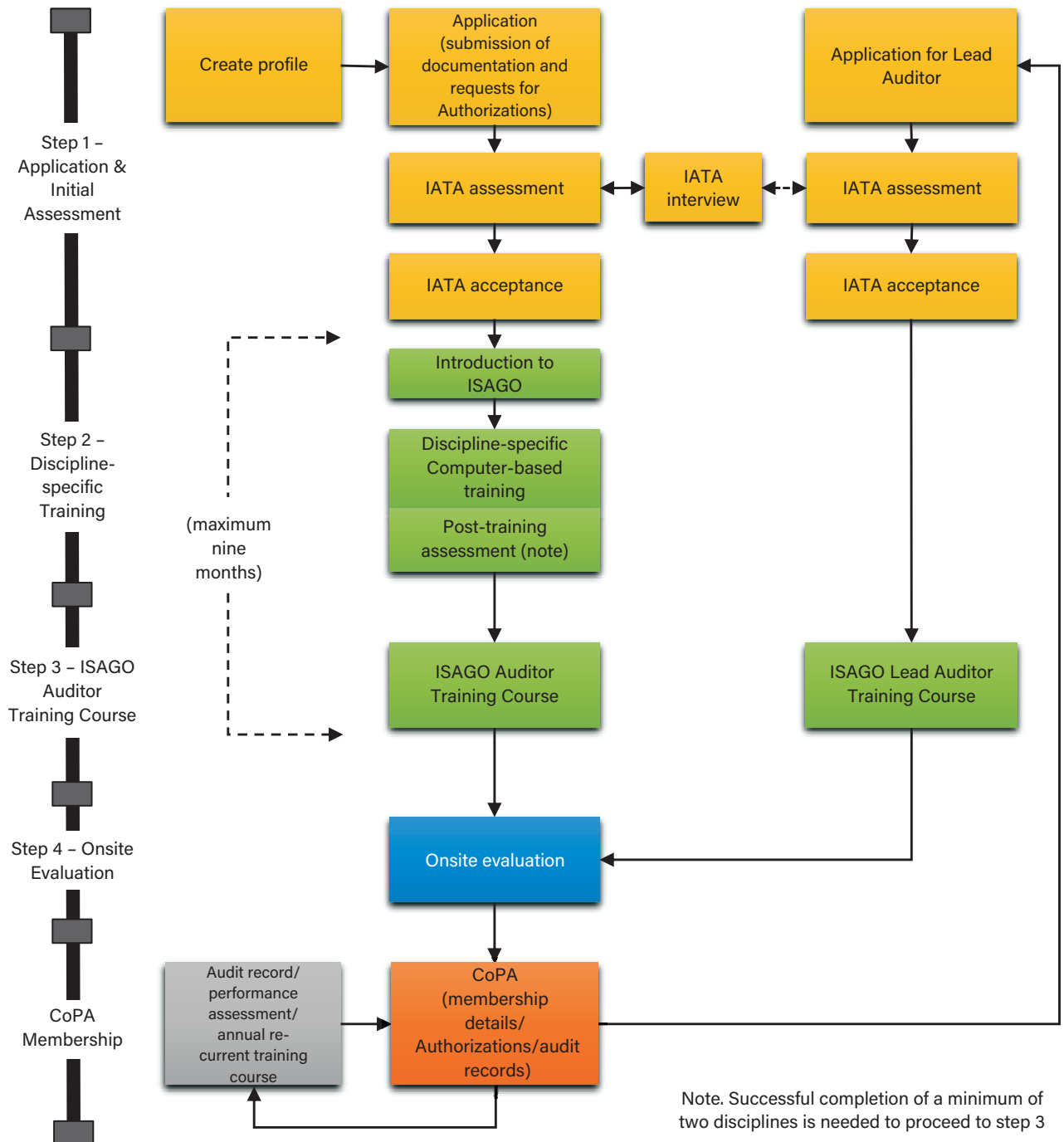


Table 5.1 – Candidate Auditor Application Criteria

Education	Satisfactory completion of secondary education (which in many cases is the obligatory national educational system or prior to higher education) and Formal auditor training in auditing techniques ^{note1} and SMS training based on International Civil Aviation Organization (ICAO) provisions
General Experience (at the time of application)	More than 12 months in the previous 24 months and a minimum of four years' overall operational experience as a manager with direct responsibilities or as an operative in a ground operations discipline ^{note2} and conducted as an Auditor at least four audits (at least one audit in the previous 12 months) in a ground operations discipline ^{note2} or Completed as an Auditor at least 10 audits of a ground operations discipline ^{note2} in the previous four years (at least four audits in the previous 12 months) plus at least four years' experience ^{note3} in an aircraft operational area within the scope of an IATA Operational Safety Audit (IOSA) ^{note4}
Discipline-specific Experience	At least two years operational experience ^{note3} or completed as an Auditor at least 10 audits ^{note3} in the ground operations discipline ^{note2} for which authorization is sought For the Organization and Management (ORM) discipline the applicant will have completed as an Auditor at least 10 audits ^{note3} in an ORM field and at least two years' experience ^{note3} gained in a relevant management role and function, such as a position held and responsibilities related to one or more of the following: <ul style="list-style-type: none"> ● safety, quality or security management ● oversight of ground operations or ground operational systems and equipment ● policy and/or procedure setting or review
Knowledge & Skills	Ability to work in a team, observing ethical and cultural protocols Ability to communicate effectively in English Ability to produce concise and legible factual reports Knowledge of ISAGO documentation (including AHM and IGOM) Knowledge of the typical organizational structures of GSPs and their ground operations

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) and the applicant should note that general experience may need to include at least two disciplines to satisfy the requirements of [5.3.10](#). Operational and auditing (as an Auditor) experience in other ground operations disciplines, such as de/anti-icing, fueling, and catering operations, might also be acceptable provided the requirements of [5.3.10](#) for experience in ISAGO ground operations can also be met.

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 that they request authorization for by interview as in [5.3.13](#).

Note 4. Aircraft operational areas in the scope of an IATA Operational Safety Audit are Organization and Management System (ORG), Flight Operations (FLT), Operational Control and Flight Dispatch (DSP), Aircraft Engineering and Maintenance (MNT), Cabin Operations (CAB), Ground Handling Operations (GRH), Cargo Operations (CGO) and Security Management (SEC).

5.3.12 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.

5.3.13 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, including each request for authorization in an ISAGO discipline. Authorization in at least two disciplines must be requested by the applicant, and accepted by IATA.

5.3.14 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 - Discipline-specific Training

5.3.15 Successful completion of the discipline-specific training is necessary for the Candidate Auditor to be considered for an Authorization in a discipline. The discipline-specific training, as shown in [Figure 5.2](#), involves online computer-based training (CBT), and begins with a general 'Introduction to ISAGO' CBT course, which includes details of the ISAGO program.

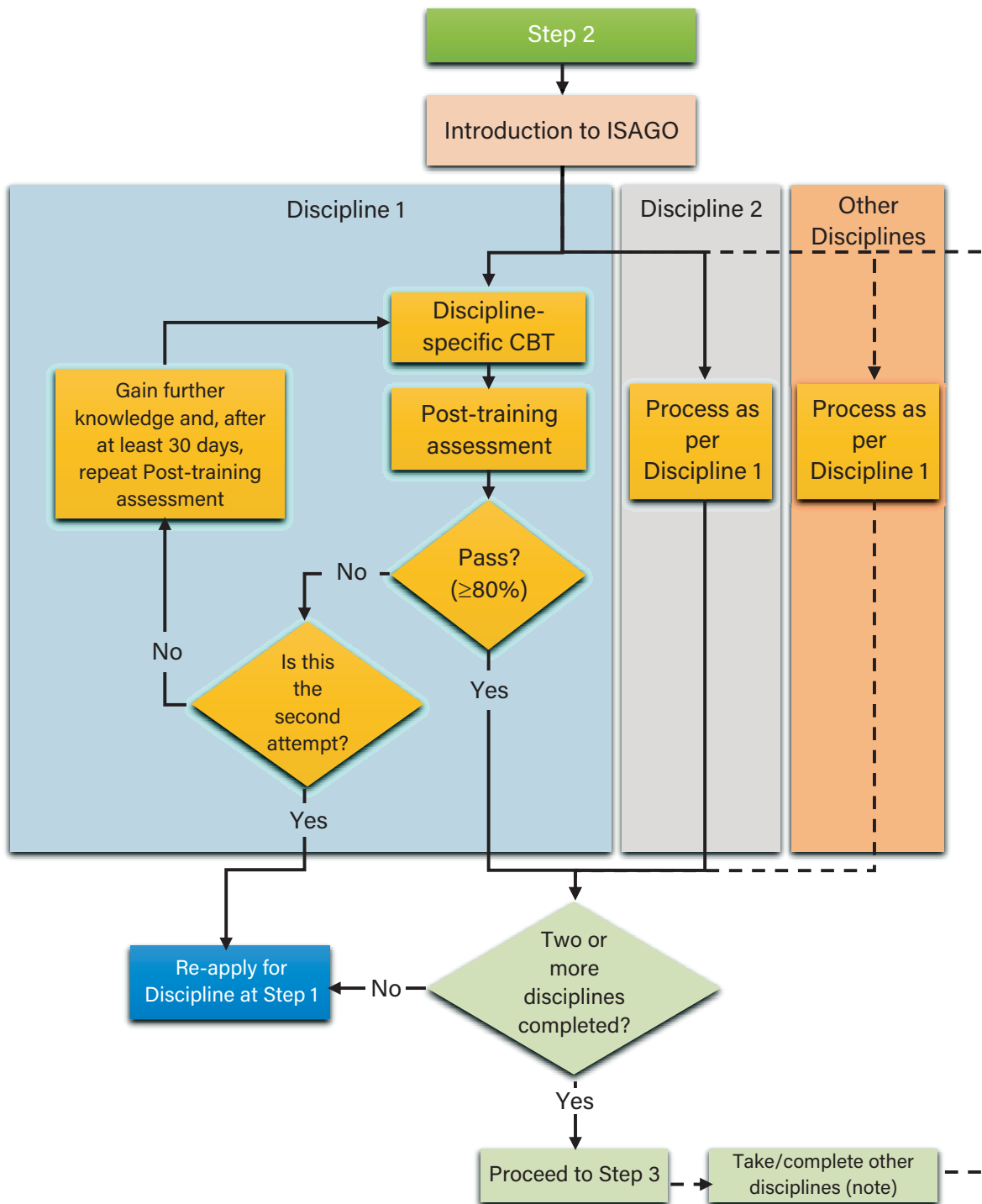
5.3.16 CBT courses are available in all ISAGO disciplines. Each CBT course is divided into modules of related GOSARPs. The module provides the meaning and intent of the GOSARPs, the typical or expected means of correct implementation and documentation, and the optimum method of auditing to determine conformity or otherwise.

5.3.17 The Candidate Auditor may, upon payment, attempt any CBT course and in any order. However, only those disciplines that IATA has accepted in [5.3.14](#) will count towards an Authorization.

5.3.18 The CBT incorporates a mixture of narration, video and interactive text and graphics and progress tests at the end of each module.

5.3.19 To complete the CBT course an online post-training assessment will be conducted. A pass mark of 80% or more has to be achieved. If the Candidate Auditor fails the post-training assessment, a second post-training assessment may be retaken after a period of 30 days. No further attempts are permitted and the Candidate Auditor that fails the second post-training assessment will have to re-apply at step 1 to take the discipline again.

Figure 5.2 – Step 2 Discipline-specific Training



Note: Disciplines have to be completed before Step 4 to be included in initial qualification

- 5.3.20 To proceed to step 3, the Candidate Auditor has to pass the post-training assessments in at least two disciplines. Upon completing two disciplines the candidate may proceed to step 3 before completing any others. A discipline CBT course taken in the qualification process will not count towards an Authorization unless completed before the onsite evaluation (step 4).
- 5.3.21 The Candidate Auditor is responsible for managing his or her training schedule during step 2 and step 3 and for updating progress on the CoPA system. The Candidate Auditor should attempt and complete step 2 and step 3 within nine calendar months from the time of the notification given by IATA in [5.3.14](#). Access to the CBT discipline will be cancelled after nine calendar months. If unable to complete two disciplines within the required time the Candidate Auditor will have to repeat the step 2 from the start, and IATA may wish to re-interview.

Step 3 - ISAGO Auditor Training Course

- 5.3.22 The ISAGO Auditor Training Course provides the Candidate Auditor with training regarding the ISAGO processes and procedures, as well as information regarding the conduct of audits, and auditing techniques and tools. It will be a mixture of knowledge and practical training.
- 5.3.23 The course is classroom-based at locations worldwide. IATA will issue the training schedule and locations on an annual basis through the IATA Training website, for the Candidate Auditor to register. Assignment of the ISAGO Auditor Training Course and the onsite evaluation in step 4 will normally be done for planning purposes and on a tentative basis once the Candidate Auditor has commenced step 2.
- 5.3.24 An exam will be conducted at the end of the ISAGO Auditor Training Course. A Candidate Auditor that fails to achieve a mark of 80% or more may, subject to availability and being within the nine calendar month time limitation, re-take the exam at an IATA Training Center after a period of 30 days.

Step 4 - Onsite Evaluation

- 5.3.25 In step 4, the Candidate Auditor will undertake an onsite evaluation during an ISAGO onsite audit at a Station. The Candidate Auditor will take part in all onsite audit activities but will not be considered a member of the audit team. The audit will therefore not count towards maintaining CoPA membership.
- 5.3.26 The onsite evaluation will be conducted in English and follow a prescribed plan and evaluation criteria developed by IATA, covering all the disciplines successfully passed in step 2, 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).

5.3.27 An ISAGO Auditor qualified in the discipline, 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.

5.3.28 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.

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

5.3.30 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 4 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, signing the ISAGO Agent and Auditor Code of Ethics (see Annex D), 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 the audit of specified disciplines during 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 (see [3.8.3](#)); 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 [5.10.1](#) 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:
- complete at least two ISAGO Audits in each calendar year;
 - hold a minimum of two discipline Authorizations that are current at all times, as per [5.5.4](#);
 - satisfactorily complete online re-current ISAGO training every year as per [5.5.5](#); and
 - pass the end-of-year performance review by IATA, which is outlined in [5.5.6](#).
- 5.5.4 The ISAGO Auditor has to conduct an audit of the complete discipline at least once per calendar year to maintain an Authorization in that discipline. As long as at least two Authorizations are current at all times, the inability of an ISAGO Auditor to maintain any other Authorization does not affect CoPA membership and participation in an ISAGO Audit. However, the ISAGO Auditor will not be able to audit a discipline for which an Authorization is not current. At any time that an ISAGO Auditor's Authorization has lapsed, the Authorization will appear as "not current" in the CoPA. To regain currency of an Authorization the ISAGO Auditor, if less than one year has passed and while a member of the CoPA, will have to complete an onsite evaluation of the audit of the Authorization. The evaluation would take place during a suitable ISAGO Audit that the ISAGO Auditor has been selected to conduct in other disciplines. If more than one year has passed, the Additional Discipline Authorization process outlined in [5.9](#) will apply.
- 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 [8.7](#)), 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 status or an Authorization, or their continued 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](#). 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

Reason for membership suspension	Less than one year has passed since suspension	More than one year has passed since suspension
You did not complete the minimum number of ISAGO Audits in the calendar year	You have to complete an onsite evaluation (step 4)	You have to repeat the ISAGO Auditor qualification process in full from step 1
You did not pass the annual performance review or did not receive a satisfactory performance review		
You did not complete the annual re-current training in the calendar year	You have to complete the annual re-current training	

Reason for membership suspension	Less than one year has passed since suspension	More than one year has passed since suspension
You did not maintain currency in at least two discipline Authorizations	You have to complete an onsite evaluation (step 4) for the purpose of regaining Authorization in at least two disciplines	

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

Auditing Experience	Be a CoPA member and have completed, as an Auditor, at least four ISAGO Audits
Operational Experience	At least two years ^{note} in a management role
Skills	<p>Ability to plan and make effective use of resources, organizing and directing audit team members</p> <p>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</p> <p>Ability to prepare and complete accurate and factual reports</p>

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 may conduct an interview with the applicant. Upon acceptance of the application, the Auditor will have to undergo an ISAGO Lead Auditor Training Course, covering the role and tasks associated with the Lead Auditor. The arrangements for an ISAGO Lead Auditor Course are similar to that of the ISAGO Auditor Training Course (as outlined in [5.3.22](#) and [5.3.24](#)), it is classroom based and details are published annually online.

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 Upon successful completion of the ISAGO Lead Auditor Training Course, IATA will assign the candidate Lead Auditor an onsite evaluation. The onsite evaluation, conducted by a Lead Auditor assigned by IATA, would focus on the planning, progress and completion of an audit, leadership of

the audit team, communication with the GSP and IATA, resolution of any disagreements or conflicts, and production and quality control of the ISAGO Audit Report.

- 5.8.4 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 two audits 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.
- 5.8.5 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 through the actions in [Table 5.4](#). In all cases the Auditor should consult IATA to determine the best course of action to take and a means to do it.

Table 5.4 – Regaining Lead Auditor Status

Event	Less than one year has passed	More than one year has passed
You have been unable to maintain your Lead Auditor status	You have to complete an onsite evaluation as a Lead Auditor as per 5.8.3	You have to complete the Lead Auditor qualification process in full

5.9 Additional Discipline Authorization

- 5.9.1 An ISAGO Auditor may at any time make a request (online at step 1 of the ISAGO Auditor qualification process) for an Authorization in an additional discipline.
- 5.9.2 The ISAGO Auditor has to submit evidence to IATA to demonstrate that the criterion applicable to the new discipline in [5.3.10](#) is met. IATA reserves the right to interview the ISAGO Auditor in the same manner as described in [5.3.13](#).
- 5.9.3 If the request is accepted, IATA will notify the ISAGO Auditor with details of the discipline-specific training, which upon successful completion will result in the ISAGO Auditor receiving the new Authorization.
- 5.9.4 Depending upon the time of the year in which the new Authorization is received, IATA may waive the requirement specified in [5.5.4](#) for the new discipline.

5.10 The Charter of Professional Auditors

- 5.10.1 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
- 5.10.2 Only a contracted GOA will have access to the details of all CoPA members. Limited details, in accordance with data publication laws, will be made available to the public.
- 5.10.3 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.
- 5.10.4 Details of a cancelled membership will be removed from display in the CoPA.
- 5.10.5 The CoPA and its membership are established only for the purpose of ISAGO and are covered by the IATA brand.

5.11 Fees & Charges

See Section 10.

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 Audit Objectives

- 6.2.1 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 Mandatory 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.

- 6.2.2 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. 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.
- 6.2.3 The main focus of a Headquarters Audit is corporate management and the oversight of Station operations. The Headquarters Audit therefore includes all applicable operational disciplines. Documented at the headquarter audit refers to whether the corporate policies, programs, processes and procedures, as written within the GSP's documentation, conform to the GOSARPs. Implemented applies to the implementation of management functions at the Headquarters. Implemented also

applies to the implementation of corporate management functions and operational requirements that are applicable to all Stations. In this respect, whether the relevant corporate policies, programs, processes and procedures have been distributed to all Stations.

- 6.2.4 For a Station Audit, the documented and implemented assessment is evidence of conformity with the GOSARPs in documentation and operations, perhaps as witnessed by an observation. However, the ISAGO Auditor only has to assess whether the GSP has documented the GOSARP in accordance with the Station operation and to verify that customer airline or local requirements are incorporated. There is no need to repeat the corporate review.
- 6.2.5 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](#).
- 6.2.6 The GSP at Headquarters level is accountable for all corrective actions. All Findings should therefore be addressed to the GSP. The GSP is responsible for all corrective actions requiring implementation at the Headquarters while the relevant Station(s) will be responsible for the implementation of corrective action that may be necessary at the Station.

6.3 Audit Planning

- 6.3.1 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.
- 6.3.2 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.
- 6.3.3 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 Mandatory Observation checklists and editions of relevant ISAGO documentation.
- 6.3.4 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.
- 6.3.5 The Lead Auditor should provide a copy of the audit plan to the GSP and request an acknowledgement that it is acceptable.
- 6.3.6 The Lead Auditor should request from the GSP and review previous ISAGO Audit Reports and ensure for a Station Audit that the list of documentation references compiled at the last Headquarters Audit is available.
- 6.3.7 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 ISAGO Alerts and Bulletins;
 - f) are aware of and familiar with the current editions of the ISAGO Audit documentation and related documentation; and
 - g) are familiar with the auditing software, checklists and other tools made available for the audit and the production of the ISAGO Audit Report.
- 6.3.8 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.
- 6.3.9 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.

6.4 Pre-Onsite Audit Activities

Gap Analysis

- 6.4.1 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.
- 6.4.2 It may be useful for the GSP to share the outcome of the gap analysis with the audit team for the upcoming audit.
- 6.4.3 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](#).
- 6.4.4 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.

Audit Team Preparation

- 6.4.5 The audit team should prepare for the audit by:
- reviewing all aspects of the audit plan and scope, and confirm their understanding;
 - reviewing documentation and other information provided in advance by the GSP;
 - confirming the audit scope and, if applicable, outsourced activities; and
 - confirming roles and responsibilities and contingency procedures.
- 6.4.6 The documentation review (as per [6.4.5 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](#).
- 6.4.7 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.

- 6.4.8 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 10.1](#), includes the time taken to conduct such reviews.
- 6.4.9 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.
- 6.4.10 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 auditing software is correct for the audit.

6.5 Onsite Audit Activities

Onsite Opening Meeting

- 6.5.1 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.
- 6.5.2 The audit team shall only use IATA-provided presentation or written material during the meeting.
- 6.5.3 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

- 6.5.4 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 Mandatory 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 auditing 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.
- 6.5.5 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. The GSP will fulfil reasonable requests for relevant documentation and translation/interpretation services if necessary.
- 6.5.6 All applicable Auditor Actions and Mandatory Observations should be completed as planned.
- 6.5.7 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.
- 6.5.8 Evidence of conformity shall be based on seen text or images in documentation and witnessed operational procedures. Verbal assurances and sampling titles, or sampling names or examples of reports on a website is not acceptable.
- 6.5.9 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.
- 6.5.10 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 notify the GSP accordingly 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) an obvious and undue influence on the audit team;
- b) prevention of an ISAGO Auditor from performing a task or the deliberate withholding or hiding of factual evidence;
- c) a conflict of interest; and
- d) a breach of the Audit Agreement.

6.5.11 The Lead Auditor will keep the GOA apprised of the audit progress and any matters of significance, including information that the GOA needs to include in its monthly report to IATA, see [4.4.27](#).

Audit Summary Report

6.5.12 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 auditing 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.

6.5.13 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.

6.5.14 The Lead Auditor shall upload a copy of the Audit Summary Report, as agreed by the GSP, to the ISAGO Audit management system.

6.5.15 The Audit Summary Report of a Headquarters Audit will be provided to the audit team for a subsequent Station Audit of the GSP if the ISAGO Audit Report is not yet available.

Onsite Closing Meeting

6.5.16 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) obtain the GSP's written acceptance of the Audit Summary Report;

- c) develop a Corrective Action Record (CAR) for each Finding and confirm the content of the Audit Summary Report;
 - d) explain the post audit activities, including the development of the Corrective Action Plan (CAP) and the process and timeframe for closing Findings and Observations;
 - e) explain the production and quality control process of the ISAGO Audit Report; and
 - f) 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.
- 6.5.17 Where many Findings were identified, the Lead Auditor and GSP will agree when the CARs will be developed in full and presented to the GSP.
- 6.5.18 The audit team shall only use IATA-provided presentation or written material during the meeting.
- 6.5.19 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 ISAGO Registration or Station Accreditation is not, however, granted until IATA accepts the ISAGO Audit Report.

6.6 Post Audit Activities

- 6.6.1 The GSP shall submit an ISAGO Audit Feedback Survey to IATA within seven days after the onsite audit has concluded. The feedback form 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.
- 6.6.2 The Lead Auditor will complete online an ISAGO Auditor performance report on each member of the audit team. In addition, other members of the audit team will report on the performance of the Lead Auditor and, if applicable, the assigned ISAGO Auditor will also produce an onsite evaluation report of a Candidate Auditor/Lead Auditor.

Corrective Action Plan (CAP)

- 6.6.3 The GSP will develop a CAP that proposes how and when each Finding (and Observation if chosen to do so) in the Audit Summary Report will be addressed to achieve full conformity with the applicable GOSARPs. The Lead Auditor, assisted by the audit team members, may provide advice to the GSP as requested. This advice must be limited to clarification of the reason(s) for the Finding.
- 6.6.4 For an Initial Headquarters or Station Audit, within four weeks of the onsite closing meeting the GSP and Lead Auditor should review and agree the proposed CAP and the schedule for any 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 a Renewal Audit, the Lead Auditor and the GSP

shall agree when the CAP would be agreed, taking 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.

- 6.6.5 An acceptable CAP will implement comprehensive and permanent corrective action. Each corrective action will:
- a) be based on a thorough root cause analysis that determined the reason why the nonconformity existed;
 - b) contain all details needed to address all aspects of the nonconformity; and
 - c) use proper English spelling and grammar.
- 6.6.6 Details of the CAP shall be accepted by the Lead Auditor and entered by the GSP into the auditing software.

Effect of GOSM Revisions

- 6.6.7 The Lead Auditor, in coordination with the GSP, will amend the accepted CAP if, when a new edition of the GOSM is subsequently published, one or more of the following GOSARP amendments occur:
- a) if a GOSARP is deleted from the GOSM or is amended in a way that makes the Finding or Observation no longer relevant or the nonconformity no longer exists, the Finding or Observation will be withdrawn and the GOSARP becomes not applicable (N/A) for that audit;
 - b) if a GOSARP is amended and a nonconformity still exists, the GSP has the option to close the Finding or Observation by implementation of corrective action to satisfy either the old or new (amended) GOSARP; and
 - c) if a recommended practice is elevated to a standard, the GSP has no obligation to implement corrective action to close the Observation against the recommended practice or to close a new Finding against the new standard.
- 6.6.8 The action taken in [6.6.7](#) shall be recorded by the Lead Auditor in the relevant CAR.
- 6.6.9 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.

Effect of a Standards Special Review

- 6.6.10 If a GOSARP is subsequently suspended in accordance with the ISAGO Standards Special Review Process, the Lead Auditor, in coordination with the GSP, will amend the accepted CAP as follows:
- a) a Finding against a suspended GOSARP will be withdrawn and the GOSARP becomes not applicable (N/A) for that audit;

- b) a Finding against a suspended GOSARP solely as a result of nonconformity with suspended specifications within that GOSARP will be closed;
- c) a Finding against a suspended GOSARP solely as a result of nonconformity with non-suspended specifications within that GOSARP will be closed when conformity with all non-suspended specifications is verified; and
- d) a Finding against a GOSARP as a result of nonconformity with a combination of non-suspended and suspended specifications within that GOSARP will be closed when conformity with all non-suspended specifications is verified.

6.6.11 The action taken in [6.6.10](#) shall be recorded by the Lead Auditor in the relevant CAR.

Closing a Finding

6.6.12 To close a Finding the ISAGO Auditor shall verify that a corrective action has been implemented correctly and the nonconformity has been eliminated.

6.6.13 If deemed necessary by the Lead Auditor and agreed by the GSP, an onsite follow-up visit may be requested to verify that the Finding can be closed. IATA is to be notified by the Lead Auditor that the visit is required and has been agreed by the GSP. Costs are payable by the GSP, see [10.2.12](#)

6.6.14 The Lead Auditor will take responsibility for the closure of the Finding regardless of who is involved in the verification that the Finding can be closed.

6.6.15 The Lead Auditor will record in the relevant CAR a description and acceptance of the final action taken (FAT) to close a Finding.

Commercially Orientated Actions or Decisions by the GSP

6.6.16 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 providing the ground operations 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

6.6.17 The Lead Auditor shall declare an audit closed after all actions (FAT) in the CAP and associated CARs have been reviewed and verified as completed, and the Findings are closed. Upon Closure the Lead Auditor shall immediately notify IATA, and the GSP and GOA concerned.

- 6.6.18 Audit closure shall be achieved and the ISAGO Audit Report delivered by the Lead Auditor to IATA within six calendar months of the date of the onsite closing meeting and, for a Renewal Audit, before the before the applicable ISAGO Registration or Station Accreditation expires.
- 6.6.19 The Lead Auditor should notify IATA as soon as possible if it is probable, at any time, that the audit will not be closed within the required period.
- 6.6.20 The Lead Auditor shall declare the audit invalid if closure is not obtained within six calendar months of the date of the onsite closing meeting 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; and
 - d) the GSP ceased providing ground operations at the Station or in total.
- 6.6.21 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.
- 6.6.22 If a GSP has been unable to complete the actions to close all Findings within the time allowed, the audit data will be retained by the Lead Auditor for a period of at least 30 calendar days beyond the closure deadline.
- 6.6.23 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

- 6.6.24 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.
- 6.6.25 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;
 - g) sections of the GOSM assessed as 'out of scope' have a documented explanation; and
 - h) closure of Findings in each CAR includes an accurate description and justification of the method(s) used to verify implementation of corrective action.
- 6.6.26 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.
- 6.6.27 The Lead Auditor shall complete the ISAGO Audit Report and forward it to IATA within three days of closing an Initial Headquarters or Station Audit or five days of closing a Renewal Audit.
- 6.6.28 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.
- 6.6.29 The ISAGO Audit Report shall be the only record of the ISAGO Audit, all other documentation or records collected during the audit shall be destroyed.
- 6.6.30 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.

6.7 IATA Acceptance of the ISAGO Audit Report

- 6.7.1 On receipt of the ISAGO Audit Report by IATA, the GSP will be registered or the Station will be accredited for the remainder of the ISAGO Registration or Station Accreditation period.
- 6.7.2 The ISAGO Audit Report will be processed by IATA as per Section 7 and reviewed as per [8.4.1](#).
- 6.7.3 If for any reason the ISAGO Audit Report is considered by IATA QA as unacceptable, the issues identified will be raised with the Lead Auditor for correction.

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.
- 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 acceptance 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.
- 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.

Airlines

- 7.4.4 Airlines that support the ISAGO program will enter into an agreement to subscribe to receive access to ISAGO Audit Reports as they become available. The Agreement specifies the terms and conditions for the access and, in return, the commitments of the Airline to the program.
- 7.4.5 Airlines that subscribe to receive access to ISAGO Audit Reports will be notified by IATA that the new ISAGO Audit Report is available. The Airline may view or download the document. 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 The Airline will not share an ISAGO Audit Report or the information contained therein with any other party, including an airline group member, affiliated operator or another member of an airline alliance, without the agreement of IATA and the relevant GSP. Access will be granted only to the Air Operator Certificate (AOC) holder.
- 7.4.8 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 and free-up auditing resources;
 - 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) to persuade the regulatory authority responsible for the issue of its AOC to accept the ISAGO Audit 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 non-conformity with a GOSARP and/or a situation that might require attention or an investigation through a Verification Audit (see [2.10](#)).
- 7.4.9 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.
- 7.4.10 With respect to [7.4.8 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.

- 7.4.11 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.
- 7.4.12 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 / 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

- 7.4.13 IATA will provide a copy of the ISAGO Audit Report to the GSP that was audited. 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.
- 7.4.14 A GSP may, with IATA's agreement, provide a copy of their ISAGO Audit Report to a customer or potential customer airline or an airport or regulatory authority if beneficial to the GSP or the ISAGO program, see [10.2.23](#).

IATA

- 7.4.15 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 information contained in the relevant Headquarters ISAGO Audit Report.

- 7.4.16 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.
- 7.4.17 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); and
 - b) regulatory authorities in states that require GSPs to hold an ISAGO Station Accreditation (and/or ISAGO Registration).
- 7.4.18 IATA will provide the GSP with details of who receives one of their ISAGO Audit Reports.
- 7.4.19 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.

Section 8—ISAGO Program Oversight & Performance

8.1 Purpose & Scope

- 8.1.1 The IATA Quality Assurance (QA) Program 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.
- 8.1.2 Furthermore, IATA aims to improve ISAGO to assure stakeholder's expectations are met. 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.
- 8.1.3 As part of the QA Program IATA will:
- a) monitor the overall performance of GOAs, Lead Auditors, and Auditors;
 - b) perform quality control (QC) of ISAGO Audit Reports and
 - c) assess the management and administration of the ISAGO program.
- 8.1.4 This Section of the GOPM outlines the ISAGO program performance and oversight areas, and the oversight activities.

8.2 Oversight Methodology

- 8.2.1 The oversight will be based on the continuous analysis of data collected under the QA and QC activities and processes. 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.
- 8.2.2 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.
- 8.2.3 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 identifying 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:

- a) report, as applicable, to IATA any Findings and recommendations for program improvement; and
- b) be subject to annual audits, both internal and external as part of ISO certification.

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.

8.4 IATA Quality Control of ISAGO Audit Reports

8.4.1 IATA QA will, according to the risk-based approach in [8.2.1](#), 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 and 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 implementation of a corrective action and, if applicable, an interim corrective action to close a Finding; and
- e) unclear information or use of the English language.

8.4.2 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 Program Performance Monitoring

8.5.1 Continuous monitoring of the ISAGO program performance by IATA will incorporate:

- a) key performance indicators for the IATA and stakeholder management and administration processes;
- b) the monthly reports submitted by a GOA to IATA, see [4.4.27](#);
- c) feedback received from a GOA, GSPs, and Auditors on Lead Auditor performance;
- d) feedback received from a GOA, GSPs, and Lead Auditors on Auditor performance;
- e) feedback received from Airlines on ISAGO Audit Reports; and
- f) any other means of receiving information on the performance of a GOA, Lead Auditors and Auditors.

8.5.2 The IATA QA 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.

8.6 Performance Oversight of ISAGO Agents

8.6.1 A GOA will be subject to oversight activities by IATA QA that will be conducted either remotely, or onsite, as determined by the IATA Quality Assurance Program Manual (QAPM).

8.6.2 The QA oversight report, containing any Findings and/or Observations, will be compiled by IATA QA and communicated to the GOA or to IATA, as required by the GOPM, contractual agreements, and/or the QAPM.

8.6.3 Any Findings or Observations will be communicated to and addressed by the GOA or by IATA, as applicable.

8.7 Performance Oversight of Lead Auditors and Auditors

8.7.1 ISAGO Auditors will be subject to periodic oversight activities by IATA QA that will be conducted remotely, or onsite, as determined by the QAPM. The oversight will include an assessment of the QC aspects of the production of ISAGO Audit Reports.

- 8.7.2 A performance oversight audit of a Lead Auditor, conducted by IATA QA will be based on the risk-based approach in [8.2.1](#) and as determined by the QAPM.
- 8.7.3 The QA oversight report will be sent to the GOA, the Lead Auditor(s) and Auditor(s), as well as to IATA, and any Findings and/or Observations, including those that are performance-related, will be addressed by the GOA, Lead Auditor and/or IATA as applicable.
- 8.7.4 Performance results derived from quality assurance and quality control activities having a special focus on Lead Auditors and Auditors will be communicated to IATA as appropriate.

8.8 Additional Oversight of a GOA, Lead Auditors and Auditors

- 8.8.1 Additional oversight may take place at the discretion of the SVP Safety & Flight Operations or IATA QA to maintain the integrity of the ISAGO program.
- 8.8.2 An audit could also be initiated if there is:
- 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.

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.

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:
- a) ISAGO Auditor professional fee at a flat audit daily rate and according to the discipline(s) included in the scope of the ISAGO Audit;
 - b) ISAGO Lead Auditor Supplement for the pre, post-audit activities and ISAGO Audit Report production;
 - c) a flat rate fee for the administration costs incurred by the GOA; and
 - d) a flat rate fee for IATA administration and program development costs.
- 10.2.4 The ISAGO Auditor professional fees are calculated on the amount of time taken to complete the audit of each discipline assigned to the auditor for the onsite part of the audit. The time taken is specified as a flat audit daily rate, as in [Table 10.1](#) and applies to both Initial and Renewal Audits and is the same for all ISAGO Auditors, regardless of their auditor status. The time assigned to a

discipline includes work the ISAGO Auditor will do in preparation for and to close the audit, including a documentation review, see [6.4.8](#).

10.2.5 *Lead Auditor Supplement.* Where the audit scope includes four or more disciplines, an additional four audit days is charged to the GSP and given to the nominated Lead Auditor for the ISAGO Audit to cover the pre and post onsite audit activities and the production of the ISAGO Audit Report. Where the audit scope includes three or less disciplines, an additional two audit days is charged to the GSP and given to the nominated Lead Auditor.

Table 10.1 – Specified Audit Days

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

10.2.6 The specified audit days are intended to represent the effective working time during the audit for each discipline and includes any audit preparation and closure work. The audit days specified for the Station Accreditation audit also includes assessment of local variations or customer airline requirements.

10.2.7 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 back-to-back with a Headquarters Audit or another Station Audit (as suggested in [3.8.4](#)) will be reduced by one audit day for the ORM discipline and one half of an audit day for each of the other disciplines. 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.

10.2.8 *Combined Audit.* The time given to conduct a Combined Audit (both Headquarters and Station Audit activities included) will be the same as for a Station Accreditation audit. However, only one ISAGO Audit Fee (incorporating one GOA and one IATA administration fee) and one set of ISAGO auditor fees and Lead Auditor Supplement will apply.

Audit Team Travel and Accommodation

10.2.9 The GSP will reimburse invoiced payments made by the GOA for the travel and accommodation booked and when payment is made for the audit team to conduct the onsite audit and post audit onsite visit. The GSP will also reimburse the GOA for unavoidable costs incurred when making travel

and accommodation bookings, such as 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 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 and a GOA administration fee. The GOA administration fee for an onsite follow-up visit will be 50% of the normal rate included in the ISAGO Audit Fee.
- 10.2.13 The GSP will pay for the travel and accommodation costs, payable as invoiced by the GOA or IATA as applicable.

ISAGO Auditor Qualification & Training Fees

- 10.2.14 A fee is payable by a Candidate Auditor upon application to commence the ISAGO Auditor qualification process.
- 10.2.15 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.
- 10.2.16 No fee is payable by ISAGO Auditors for the annual (online) re-current training.
- 10.2.17 A Candidate Lead Auditor will be charged for the classroom ISAGO Lead Auditor Training Course.
- 10.2.18 All costs (transportation, accommodation etc.) associated with classroom training and an onsite evaluation are payable by the Candidate Auditor and Candidate Lead Auditor.
- 10.2.19 Payments are made online.

CoPA Membership Fee

- 10.2.20 An annual membership fee is payable online.

ISAGO Audit Reports

- 10.2.21 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.
- 10.2.22 The annual subscription is only available to air operators. The annual subscription grants access only to the AOC holder. A discounted annual subscription rate is available to other members of an airline group or a wholly-owned subsidiary operator if one full subscription is paid by the parent member of the group. Members of an airline alliance are not eligible for the discounted subscription rate. The amount of discount will be determined by IATA based primarily on the number of different GSPs included in the airline's network relative to that of the parent airline.
- 10.2.23 The application of a charge for an individual ISAGO Audit Report will depend upon the circumstances under which the report is required or it will be used. IATA reserves the right to discount or waive any payment due if the third party that is the recipient of the report expresses a genuine interest in promoting the aims of ISAGO or would provide benefits to one or more stakeholders.
- 10.2.24 IATA will, in time and based on results, consider introducing a scheme whereby the Audit Fee is subsidized by the money received through the ISAGO Audit Report subscriptions and individual payments.

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 Invoicing & Payments

- 10.3.2 Upon execution of an Audit Agreement and thereafter prior to the allocation of a Renewal Audit or an Initial Audit, IATA will invoice the GSP for the payment of the GOA administration fee (as part payment of the ISAGO Audit Fee) for each audit.
- 10.3.3 A second invoice will be issued by IATA to the GSP for a payment before the start of the onsite audit to ensure the payment is completed by the GSP prior the on-site closing meeting. Non-payment on time may result in the cancellation of the audit. The invoice will include the remainder of the ISAGO Audit fee, comprising the audit team professional fees (based on the confirmed number of ISAGO Auditors and the duration of their onsite stay), the Lead Auditor Supplement and the IATA administration charge.
- 10.3.4 The GSP shall be invoiced by the GOA for any agreed additional fee incurred in the arranging or conduct of the ISAGO Audit (such as a visa).

- 10.3.5 A GSP will be invoiced by IATA separately for the costs associated with an onsite follow-up visit that takes place.

ISAGO Agent Fee Payments

- 10.3.6 Upon delivery of the Confirmed Audit Schedule, IATA will pay 30% of the total GOA administration fees for the audits allocated to the GOA for the following calendar year. The remaining 70% of the GOA administration fees will be paid to the GOA in three equal payments spread over the following year with 10% retained for payment when all allocated audits are closed.
- 10.3.7 The payment method above will be repeated for the second calendar year of the contracted term. The final 10% payment will be made upon completion of the contract, if the contract is not renewed.

ISAGO Auditor Invoicing & Payments

- 10.3.8 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.
- 10.3.9 The Lead Auditor should also invoice the relevant GOA for payment of the Lead 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 it is acceptable.
- 10.3.10 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).

ISAGO Audit Report Subscription/Purchase

- 10.3.11 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

- 10.3.12 The GSP will pay 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.
- 10.3.13 IATA will reimburse any payment, part or over-payment made by a GSP for professional fees and travel and accommodation charges if the audit is cancelled or postponed through the actions of an ISAGO Auditor or the GOA. The GOA will reimburse any related payment received from IATA. Full reimbursement of travel and accommodation may be subject to booking and refund conditions.
- 10.3.14 The GSP will not receive any reimbursement of any paid professional fees and travel and accommodation charges unless the audit is cancelled for a reason beyond the GSP's control.



- 10.3.15 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.
- 10.3.16 The GOA and IATA administration fees are non-refundable.
- 10.3.17 The GOA and IATA administration and the Airline subscription fees are non-refundable

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), some are available upon request to IATA, and others are web-based and available to purchase.

- Aircraft Handling Manual (AHM)
- IATA Ground Operations Manual (IGOM)
- IATA Dangerous Goods Regulations (DGR)
- Perishable Cargo Regulations (PCR)
- IATA Temperature Control Regulations (TCR)
- IATA Live Animal Regulations (LAR)
- IATA Unit Load Device (ULD) Regulations
- IATA Cargo Handling Manual (ICHM)
- ISAGO SMS Implementation Strategy
- ISAGO SMS Audit Guidelines
- ISAGO Standards Manual (GOSM) and associated checklists
- IATA Reference Manual for Audit Programs (IRM)

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 an ISAGO Audit:

- 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 Warehouse Services
- Support Activities
- Security.

Annex C—ISAGO Fees & Charges

The following fees and charges apply as of September 2017. 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 Table 10.1 , see 10.2.4 and 10.2.7
	Lead Auditor Supplement	700 per audit day	Total is dependent upon audit scope, see 10.2.5
	ISAGO Agent (GOA) administration	1000	Non-refundable
	IATA administration	1000	Non-refundable
ISAGO Audit Report (Airline)	Annual subscription	20000	Available only to airlines. Gives access to all reports. A discounted rate is available subject to conditions, see 10.2.22
ISAGO Audit Report (Airline/Airport)	Per report	1500	Available subject to conditions and request to IATA. See also 10.2.23
Auditor qualification application fee (Applicant)	Auditor	100	Waived. Not applicable at this time
	Lead Auditor	500	
Auditor training fee (Candidate Auditor/ Candidate Lead Auditor)	Discipline specific (CBT)	600	Organization & Management (ORM) only
	Discipline specific (CBT)	300	Per operational discipline course, see Annex B
	ISAGO Auditor Training (Classroom)	1800	Per course
	ISAGO Lead Auditor Training (Classroom)	1700	Per course
	Re-current	Free of Charge	Annual payment
CoPA membership fee (ISAGO Auditor)	Auditor	200	Annual payment. Waived. Not applicable at this time
	Lead Auditor	200	

Annex D—ISAGO Agent & Auditor Code of Ethics

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 Code of Ethics (the “Code”) summarizes the principles that guide your actions 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 audit program manuals;
 - Responsibility 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 International laws or customs may however challenge the principles and practices 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 and/or your contractor.
- 2.4 Please keep in mind that failure to conduct business in compliance with these guidelines may result in a breach of contract or accreditation. Ignorance does not excuse the obligation to comply.

3. Ethics & Compliance

Honest and Ethical Conduct

- 3.1 IATA requires integrity 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 at any location.

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 may not offer or accept a bribe or kickback, directly or through a third party, regardless of the reason.
- 3.6 A bribe is defined as a thing of value given to someone with the intent of obtaining favorable treatment from the recipient.
- 3.7 Kickbacks 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 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 the recipient to give make auditing decisions or business opportunities in favor of the person or organization giving the gift.
- 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. 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).
- 3.10 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.
- 3.11 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 have a primary professional obligation and a duty of loyalty to IATA when working on behalf of IATA. Accordingly, 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.
- 4.2 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.
- 4.3 Conflict of interest requirements are specified in [1.8.2](#) of Section 1.

Confidential Information

- 4.4 All information that has been developed for the ISAGO program or acquired as a result of the ISAGO Audits must be protected against theft, loss or misuse in the manner required by the terms of agreements. Agents and Auditors must hold in confidence and not use any confidential information that they have access to or that was created by them while acting on behalf of IATA.
- 4.5 Agents and Auditors must not disclose confidential information to third parties without authorization by the IATA Legal department. And then, any authorized disclosure must 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.
- 4.6 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.
- 4.7 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 conducting business with IATA (e.g. Member, customer, supplier), then he or she should not trade in that company’s stock/securities until the information is released to the public.
- 4.8 Examples of information that may be material include financial results, planned acquisitions or other planned announcements such as IATA awarding business to a supplier.
- 4.9 In all situations, an Agent or Auditor is prohibited by this policy from acting for his or her own benefit (for example, by trading stock or investing) and he or she may not “tip” another person to act.
- 4.10 Securities laws prohibit trading stock based on material insider information. A violation of these laws can result in civil and criminal penalties

Information Security

- 4.11 Information generated by or used in any ISAGO or IATA business activity is considered an information asset. 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.
- 4.12 Each Agent and Auditor is personally responsible for safeguarding ISAGO and IATA’s information assets, 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. Business Practices

Professional Ethics

- 5.1 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.
- 5.2 An Agents or Auditor must not, directly or indirectly, insistently or repeatedly urge anyone to retain their professional services.
- 5.3 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.
- 5.4 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.
- 5.5 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.
- 5.6 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.
- 5.7 An Agent or Auditor must communicate with the customer in such a manner as to be understood by the customer.
- 5.8 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.
- 5.9 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

- 5.10 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.

Relations with Members

5.11 IATA Members are our 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

5.12 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

5.13 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 full, fair and accurate.

Political Activities

5.14 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

5.15 Requests for information from the media should be referred immediately to IATA Corporate Communications. 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.

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 [3.8](#), 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 cancelation.
- 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. Additional night stops 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 any air travel will be Economy Class regardless of duration.
- 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 chose 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, in Economy Class (the most suitable and cost-effective fare available) and from the airport nearest to the ISAGO Auditor’s domicile. The principle of “if you honestly would not chose to take the journey or accommodation yourself then do not propose anyone else to take it” shall apply.. 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.
- 3.9 An air travel ticket will include the carriage of at least one checked-in baggage.
- 3.10 Premium Economy or Business class travel should only be considered if it is the cheapest option or no other option is available (i.e. no Economy class seat is available on the only flight available) and with the agreement of the GSP.
- 3.11 Except in the case of an emergency (see [3.25](#)), any change to an itinerary that incurs additional cost must be agreed by the relevant GSP.
- 3.12 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-imbusement from the GSP through the relevant GOA) provided that the cost of the ticket is less than an additional night stop.
- 3.13 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

- 3.14 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

- 3.15 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.
- 3.16 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.

- 3.17 The ISAGO Auditor is responsible for all costs associated with running a rented automobile, including fuel and parking fees.
- 3.18 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

- 3.19 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.
- 3.20 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

- 3.21 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.
- 3.22 Claims for medical expenses incurred while conducting an ISAGO Audit, while onsite, will, depending upon the nature of the medial condition and circumstances, be considered by IATA.

Travel Insurance

- 3.23 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

- 3.24 IOSA-certified airlines shall be used for air travel whenever possible.
- 3.25 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.
- 3.26 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

- 3.27 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.
- 3.28 Hotel accommodation accounts will be paid at the time of booking and where possible will include internet connection fees.
- 3.29 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

- 3.30 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 [3.10](#) of Annex D.

Other Incidental Expenses

- 3.31 The ISAGO Auditor is responsible for the cost of all incidental expenses incurred during the ISAGO Audit, including while travelling. Incidental expenses include business center printing and miscellaneous fees, shipping and baggage fees, telephone calls, laundry, cash advance fees, and tips.

Annex F—ISAGO Logos

The following logos are subject to the conditions outlined in Section 1, [1.15](#)



— END —



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