

2 ACCREDITED AUDITORS

2.1 Auditor Accreditation

- 2.1.1 IBAC issues auditor accreditation and appropriate credentials, at IBAC's sole discretion, to those individuals that successfully demonstrate adequate qualification, expertise and experience, as well as appropriate customer service skills and professional conduct compatible with the IBAC programme, to the satisfaction of IBAC. The scope of an auditor accreditation is awarded based on their aviation experience and areas of expertise. Notwithstanding issuance by IBAC of accreditation and/or credentials to auditors, IBAC makes no representation or warranty to any auditors as to the remuneration, potential or actual, that may be earned by an individual applying for and accepting such an accreditation; and, in no event, shall IBAC be liable to any auditors for any incidental or consequential damages (including, but not limited to, lost revenues and/or profits) in connection with the issuance, non-renewal, suspension, or withdrawal of such accreditation and/or credentials for any reason.
- 2.1.2 In order to be considered for initial accreditation or for renewal of accreditation, the candidate must demonstrate compliance to the satisfaction of IBAC in its sole discretion with the qualification and experience prerequisites detailed in Appendix F (IS-BAO™) or G (IS-BAH™) of this manual.
- a. Auditors who hold a valid accreditation as of the publication date of this manual are not subject to the qualification pre-requisites established in Appendix F (IS-BAO™) or G (IS-BAH™). As such, their credentials must be maintained in the future renewals of their accreditation, unless withdrawn in accordance with item 2.4.1 of this manual. However, this exemption will no longer apply if the auditor lets his/her accreditation/validity expire for more than 6 months, in which case the auditor will be processed as an initial applicant under the rules of this manual.
- 2.1.3 The auditor or audit team must possess all the applicable credentials to conduct an audit, considering the operational characteristics of the organization to be audited, the Stage (1, 2 or 3) of the audit and whether the organization uses the IS-BA for regulatory purposes. The prerequisites for granting of each credential are described in Appendix F (IS-BAO™) or G (IS-BAH™) of this manual.
- a. Auditors holding a valid accreditation may request the addition of credentials at any time within their accreditation period, by indicating the credential(s) the applicant wishes to have added to his/her accreditation and providing documentation and evidence to support this request. The Auditor Accreditation Manager (AAM) will analyse the request considering the documentation and evidence provided by the auditor in this request, as well as previous performance and conduct in the IS-BA programme, and determine whether they support the auditor's qualification, expertise and experience for the requested credential(s) to the satisfaction of IBAC. During this analysis, the AAM may ask the auditor for additional evidence or documentation and subject the auditor to tests and/or interviews, as the AAM deems appropriate;
- b. If the auditor's request is accepted, the Auditor Accreditation Manager (AAM) will issue an updated accreditation letter indicating the approved additional auditor credentials. The auditor's Validity Period will remain unchanged;
- c. In extreme cases, the Audit Manager may authorize a pre-approved Subject Matter Expert (SME) to conduct the part of the audit for which the audit team does not hold the required credentials under the supervision of an accredited auditor. However, although SMEs are allowed to assist under the supervision of an accredited auditor, they may not sign for a Finding Form or Audit Report.

Note: Some countries or regions recognize the IS-BA programmes as part of their regulatory framework. For those cases, specific credentials, referred to as Special Regulatory Qualifications (SRQ), may be established and required for auditors to conduct audits at organizations using the IS-BA for regulatory purposes. The specific requirements for each Special Regulatory Qualification are determined in cooperation between IBAC and the affected State CAAs to ensure that audits conducted for this purpose meet the quality requirements of both organizations and are described in Appendix F (IS-BAO™) or Appendix G (IS-BAH™) of this manual. In order to audit organizations using the IS-BA for the purpose of complying with the regulatory requirements of such States, all auditors in the audit team must possess the corresponding Special Regulatory Qualification.

- 2.1.4 The AAM reserves the right to request auditors to provide additional information and evidence as well as to complete specific tests in validation of performance and expertise. IBAC has the discretion to refuse an initial or renewal accreditation application where:
- Having considered the application and any other information or documents in its possession relating to them, IBAC considers that they are unsuitable for accreditation;
 - The references are deemed unsatisfactory; or
 - There are any grounds for considering that granting or renewing the accreditation would be prejudicial to the effectiveness of the IS-BA Programme.
- 2.1.5 Unless otherwise authorized by IBAC, in order to perform an audit as a lead auditor, the auditor must have a valid accreditation and be considered current. Auditor Accreditation Validity is discussed in item 2.2 of this manual. Auditor currency requirements are detailed in Appendix F (IS-BAO™) or G (IS-BAH™).
- 2.1.6 By accepting the IBAC auditor accreditation, the auditor must undertake to ensure that they are current and qualified in conducting an IS-BA audit and will only audit the scope of operations for which they are approved.
- 2.1.7 For the IS-BAH™ programme only, an initially accredited auditor must participate in at least one Stage 1 audit as lead auditor, prior to conducting a Stage 2 audit.
- 2.1.8 A current list of accredited auditors, the scope of their accreditation and their organizational affiliation is maintained on the respective IS-BA programme pages of the IBAC website.

2.2 Accreditation Validity

- 2.2.1 Accreditation validity is determined during the initial accreditation and the renewal process.
- 2.2.2 Initial auditors receive an accreditation for a period of 24 months. The auditor's Validity Date will be determined as the last calendar day of the month, 24 months after initial Accreditation Date.
- 2.2.3 An auditor whose accreditation/validity has expired is not permitted to perform IS-BA registration audits until his/her accreditation is renewed, unless otherwise authorized by IBAC.
- Auditors whose accreditation/validity has expired for more than 6 months must apply as an initial candidate if they wish to regain accreditation;
 - Auditor validity periods will not normally be extended. However, in exceptional circumstances (e.g. due to unavailability of suitable workshops in the auditor's country/continent), the AAM may, at his/her discretion, grant an extension to an auditor accreditation validity until the date of the next suitable auditor accreditation workshop, limited to a 3-month period from auditor's current validity. Such an extension does not affect the new validity period after

renewal is complete, which will be based on the previous validity period as determined in item 2.2.4.

- 2.2.4 Renewing auditors may receive an accreditation valid for a period of up to 30 months. The actual Validity Date will be determined by the AAM as follows:
- a. If an auditor completes the required training for renewal more than 6 months before his/her Validity Date, the new Validity Date of the renewed accreditation will be determined as 24 months from the completion of training;
 - b. If an auditor completes the renewal training up to six months prior to or up to six months after his/her Validity Date, the new Validity Date will be determined as 24 months from the auditor's previous Validity Date. For example, if the auditor's current Validity Date is July 31, 2020 and he/she completes the renewal training in February 2020 or in December 2020, his/her new Validity Date will be July 31, 2022.

2.3 IBAC Auditor Code of Conduct

- 2.3.1 Auditors are required, as a minimum, to adhere to the following:
- a. To conduct the audit professionally, accurately and in an unbiased manner;
 - b. Not to act in any way prejudicial to the reputation, interests or credibility of IBAC;
 - c. To exercise reasonable skill, care and diligence and apply the highest professional standards;
 - d. To maintain high standards of conduct relating to health and safety, harassment, ethics, discrimination and data protection;
 - e. To do nothing which is likely to bring the IBAC into disrepute or which is materially contrary to the interests of the IBAC;
 - f. Not to undertake any assignments that they are not competent or IBAC approved to perform;
 - g. Not to represent conflicting or competing interests and will disclose to IBAC any relationships that may influence the auditor's judgment;
 - h. Not to discuss or disclose any information relating to any audit unless required by law or authorized in writing by the client;
 - i. To cooperate fully with IBAC in the execution and completion of audit reports, including, but not limited to, being responsive to requests from IBAC for further information or clarification regarding audit reports;
 - j. In the event of being selected for an audit monitor, to cooperate fully with, and provide assistance to, any IBAC designated monitor;
 - k. To not use the name and trademarks of IBAC and/or any copyright material of IBAC (including, but not limited to, this document) in advertising, publicity or promotion of an auditor or an auditor's business without specific, written prior permission from IBAC;
 - l. In the event of any alleged breach of this code, to co-operate fully in any formal inquiry procedure; and
 - m. To correct any errors at the auditor's own expense.

2.4 Auditor Performance Review

- 2.4.1 IBAC continually monitors auditor performance via a number of sources including organization feedback, audit reviews, and auditor monitoring. To protect the integrity of the programme, IBAC

reserves the right, in its sole discretion, to deny accreditation renewal or to withdraw accreditation or specific credentials of an auditor, at any time, for any of the following reasons:

- a. Failure to renew auditor accreditation within the specified timeframe;
- b. Failure to complete an audit within the timelines specified in section 3.7.2 without acceptable reason;
- c. Inappropriate or unacceptable conduct;
- d. Consistent unsatisfactory performance as determined by IBAC at their sole discretion;
- e. Failure to comply with IBAC standards and requirements; or
- f. At the sole discretion of IBAC for any other reason.

Note: For auditors that are accredited in both IS-BA Programmes, given the overlap in the features and conduct of both programmes, an IBAC decision to deny accreditation renewal or withdraw accreditation or specific credentials of an auditor as to one of the IS-BA Programmes may be extended, in the sole discretion of IBAC, to cover the other IS-BA Programme in order to ensure appropriate quality control.

- 2.4.2 States or other regulatory agencies which accord a degree of recognition to the IS-BA programmes within their regulatory system may choose to monitor audits conducted in their region as they see fit. If the regulatory agency is not satisfied with the quality of the audit conducted, they may, at their discretion, provide remedial training to the auditor, or ask IBAC to revoke the auditor's corresponding Special Regulatory Qualification (SRQ) credential (when applicable) due to unsatisfactory performance.

2.5 Auditor Review Board (ARB)

- 2.5.1 IBAC, in its sole discretion, may take action related to an auditor's accreditation at any time as it deems appropriate for auditor conduct or performance. Whenever IBAC deems appropriate, it may, at IBAC's discretion, convene an Auditor Review Board in order to discuss issues arising as a result of Auditor performance or conduct.

Note: The ARB is a process solely for the review of Auditor performance or conduct by IBAC as a matter of its internal operations, not a legal proceeding.

- a. The IS-BA ARB will consist of the IBAC leadership and the auditor. No third parties will be permitted to participate in the ARB;
 - i. A minimum of three members of the IBAC leadership are required for a quorum;
 - ii. The ARB may meet in person or via video conference;
- b. The Auditor will be informed of the issue to be discussed before the Board and scheduled via email;
- c. Auditor participation and cooperation with the ARB process is required. Failure to do so in a reasonable timeframe will result in a waiver of the auditor's opportunity to participate in the ARB process and the immediate suspension or revocation of accreditation at the sole discretion of IBAC;
- d. The Board meeting will be documented and may have the following outcomes to close an ARB:
 - i. Feedback and Clarity;
 - ii. Counselling of Auditor;
 - iii. Suspension of Auditor Privileges;

- iv. Revocation of Auditor Privileges;
- e. The Auditor may appeal an ARB to the IBAC Director General (DG);
 - i. The DG has the authority to uphold, modify or overrule the ARB's decision;
 - ii. The DG will reply with a decision affirming, modifying or overruling the ARB decision within 30 calendar days of receiving a formal request via email from the Auditor;
 - iii. Decisions of the DG are final and not subject to any further appeal.

2.6 Auditing Groups

- 2.6.1 An IBAC recognized Auditing Group (AG) is defined as a group of two or more IBAC accredited auditors in one organization or affiliation, or that otherwise work together on a regular basis for the conduct of IS-BAO/H audits and/or consulting services related to the IBAC programmes.
- 2.6.2 The AG will need, at a minimum, an operations document containing the following:
 - a. Organizational structure;
 - b. Point of contacts;
 - c. Scope of business;
 - d. Documented firewall between auditing and consulting; and
 - e. Documented process for rotating lead auditors with same operator client in conformity to items 3.5.2.b and 3.5.2.c.
- 2.6.3 The AG must provide the IBAC Auditor Accreditation Manager with an updated listing of the accredited auditors conducting IS-BA Programme audits for them. Additionally, when conducting an audit under an AG, the name of the AG must be informed by the auditor to IBAC prior to the audit.

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APPENDIX F – IS-BAO™ AUDITOR QUALIFICATION AND CURRENCY REQUIREMENTS

This appendix details the auditor qualifications, credentials and currency requirements applicable to auditors of the IS-BAO™ programme.

In order to be considered for initial accreditation or for renewal of accreditation, the candidate must demonstrate compliance with the qualification and experience prerequisites detailed in this manual to the satisfaction of IBAC, and:

- a. Complete the online application on the IBAC Website;
- b. Be proficient in the English language;
- c. Hold a copy of the IS-BAO™, purchased from IBAC in his or her name;
- d. Have attended both the Fundamentals of IS-BAO™ and IS-BAO™ Auditing Workshops, within the previous 6 months; and
- e. Pay the IS-BAO™ Auditor Accreditation fee.

During the accreditation process, each auditor will be assessed by the AAM and will receive the credentials appropriate for his/her qualification and experience. There are a total of 6 possible credentials:

- a. Flight Operations Management (OP) – this credential allows the auditor to audit all IS-BAO™ SARPS, except those specifically related to aircraft maintenance. This credential is complemented by the Fixed-Wing Aircraft (FW) and/or Rotor-Wing Aircraft (RW) credentials as detailed below:
 - i. Fixed-Wing Aircraft (FW) – This credential allows the auditor to audit all IS-BAO™ SARPS related to fixed-wing aircraft.
 - ii. Rotor-Wing Aircraft (RW) – This credential allows the auditor to audit all IS-BAO™ SARPS related to rotor-wing aircraft, to include special operations such as offshore operations, external load operations, etc. if not auditing in accordance with the Helicopter Association International (HAI) Accreditation Program (AHS).
 - iii. For mixed (FW/RW) fleet aircraft operators not performing RW special operations (i.e., other than passenger transport), auditors possessing the FW credential may audit the IS-BAO™ SARPS.
- b. Maintenance Management (MX) – this credential allows the auditor to audit all IS-BAO™ SARPS except those specifically related to aircraft flight operations. This credential is complemented by the Fixed-Wing Aircraft (FW) and/or Rotor-Wing Aircraft (RW) credentials as detailed in item (a) above;
- c. Stage 3 (S) – This credential allows the auditor to function as the lead auditor in Stage 3 audits. Auditors who do not possess this credential may function as the lead auditor in Stage 1 and 2 audits and may participate as an audit team member in Stage 3 audits with a lead auditor that possesses the Stage 3 credential.
- d. United Kingdom (UK) Overseas Territories Aviation Requirements (OTAR) Special Regulatory Qualification (SRQ) – This credential allows the auditor to audit organizations using the IS-BAO™ programme to comply with the requirements of the UK Overseas Territories.

1. Auditor Qualification Prerequisites

1.1 Operational Experience Prerequisites

- 1.1.1 A candidate for IS-BAO™ Auditor must have documented:
- Working knowledge of international civil aviation regulations; and
 - Working knowledge of business aviation operations and/or maintenance management.
- 1.1.2 A candidate for IS-BAO™ Auditor must, at a minimum, qualify for either the Flight Operations Management (OP) or the Maintenance Management (MX) credential according to the corresponding prerequisites specified in 1.4 and 1.5.

1.2 Safety Management Systems (SMS) Experience Prerequisites

- 1.2.1 A candidate for IS-BAO™ Auditor must have expertise and training in Safety Management Systems (SMS). In order to satisfy these prerequisites, the candidate must:
- Furnish documented and verifiable evidence of completion of a SMS training course acceptable to IBAC within the 24 months preceding his/her initial accreditation. Acceptable evidence of training shall consist of a certificate of completion, confirming that the candidate has successfully completed all aspects of the course, including an examination and/or demonstration of proficiency; and
 - Demonstrate expertise in auditing Safety Management Systems through the successful completion of the “Auditing SMS Proficiency Test” administered by the Auditor Accreditation Manager (AAM).

1.3 Auditing Experience Prerequisites

- 1.3.1 A candidate for IS-BAO™ Auditor must have expertise and training in auditing International Organization for Standardization (ISO)-based Quality Management Systems (QMS).
- 1.3.2 In order to satisfy the prerequisites as specified in 1.3.1, the candidate must furnish documented and verifiable evidence of completion of a quality auditor or lead auditor training course acceptable to IBAC. Acceptable evidence of training shall consist of a certificate of completion, confirming that the candidate has successfully completed all aspects of the course, including an examination and/or demonstration of proficiency.

1.4 Special Prerequisites for Flight Operations Management (OP) Auditors

- 1.4.1 A candidate for Flight Operations Management (OP) Auditor must meet all prerequisites contained in 1.1, 1.2 and 1.3. Additionally, the candidate must have a minimum of five years' total work experience in aviation operations, in one or more of the following disciplines:
- Flight crew member licensed by a national aviation authority (NAA);
 - Military flight crew member;
 - Flight operations engineer;
 - Flight dispatcher licensed by a national aviation authority (NAA);
 - Flight operations inspector for an NAA;
 - Supervisory personnel who can document operational experience in any of the above disciplines; or

- g. Aviation safety or aviation quality management professional, who can demonstrate to the satisfaction of the AAM a level of flight operations knowledge and experience equivalent to those listed above but derived via other sources.

1.4.2 In order to receive the Fixed-Wing Aircraft (FW) and/or Rotor-Wing Aircraft (RW) credentials, a candidate for Flight Operations Management (OP) auditor must demonstrate having a minimum three years' experience related to the operation of the corresponding type of aircraft (FW/RW), in one or more of the disciplines above.

1.5 Special Prerequisites for Maintenance Management (MX) Auditors

1.5.1 A candidate for Maintenance Management (MX) Auditor must meet all prerequisites contained in 1.1, 1.2 and 1.3. Additionally, the candidate must have a minimum of five years total work experience in aviation maintenance, in one or more of the following disciplines:

- a. Maintenance engineer;
- b. Maintenance technician licensed or approved by an NAA;
- c. Airworthiness inspector for an NAA;
- d. Supervisory personnel that have hands on work experience in any of the above disciplines; or
- e. Aviation safety or aviation quality management professional, who can demonstrate to the satisfaction of the AAM a level of maintenance knowledge and experience equivalent to those listed above but derived via other sources.

1.5.2 In order to receive the Fixed-Wing Aircraft (FW) and/or Rotor-Wing Aircraft (RW) credentials, a candidate for Maintenance Management (MX) auditor must demonstrate having a minimum three years' experience related to the maintenance of the corresponding type of aircraft (FW/RW), in one or more of the disciplines above.

1.6 Special Prerequisites for Stage 3 (S) Auditors

1.6.1 A candidate for Stage 3 (S) Auditor must meet all prerequisites contained in 1.1, 1.2 and 1.3. Additionally, the candidate must have performed a minimum of 4 (four) IS-BAO™ registration audits, either as a lead auditor or an audit team member, with a high level of performance in those audits to the satisfaction of IBAC.

1.7 Special Prerequisites for the OTAR Special Regulatory Qualification (OTAR SRQ)

1.7.1 A candidate for the United Kingdom Overseas Territories Aviation Requirements (OTAR) Special Regulatory Qualification (SRQ) must meet all prerequisites contained in 1.1, 1.2 and 1.3. Additionally, the candidate must successfully complete an open book test designed by the State CAAs to assist the auditor in becoming familiar with the local regulatory requirements. The test is administered by the Auditor Accreditation Manager (AAM) on behalf of the UK OTAR States.

2. Auditor Currency

2.1 Auditor Currency Requirements

2.1.1 An auditor is considered current if, within the previous 12 months, he/she has accomplished one of the following:

- a. Conducted at least one IS-BAO™ registration audit, either as a lead auditor or an audit team member; or

- b. Attended the Fundamentals of IS-BAO™ and IS-BAO™ Auditing workshops; or
- c. Completed the online Professional Auditor Currency Training (PACT).

3. Additional Auditor Training

3.1 Additional Auditor Training Requirements

- 3.1.1 Unless otherwise authorized by IBAC, in order to perform an audit, the auditor must have completed any additional mandatory training modules deemed necessary by IBAC (e.g. standardization meetings).