

## **IS-BAO Policy 2017-01**

Subject – IS-BAO Auditor Accreditation Requirements and Procedures

Effective: January 1<sup>st</sup>, 2017

### **1 Purpose**

This policy provides revised auditor prerequisites, as well as information on auditor scope requirements and associated credentials, auditor currency requirements and accreditation validity and expiration. It supersedes all IS-BAO Policy Letters and Guidance which include information related to IS-BAO auditor accreditation requirements to include Policy Letter 2015-02 and Bulletin 2015-02, as well as previous related documents.

### **2 Policy**

#### **2.1 Auditor Scope**

- 2.1.1 This Policy Letter describes the requirements related to the auditor’s experience. Qualified auditors may be assisted by subject matter experts (SMEs). However, although SMEs are allowed to assist under the supervision of an accredited auditor, they may not sign for a Finding or Audit Report. Registration audits must be conducted by an auditor or audit team who possess the singular or collective credentials to audit the operator.
- 2.1.2 During the accreditation process, each auditor will receive the credentials applicable to his/her qualification and experience. The auditor or audit team must possess all the applicable credentials to conduct the audit, considering the operational characteristics of the operator to be audited and the Stage (1, 2 or 3) of the audit. The prerequisites for granting of each credential are described in 2.3. There are a total of 5 possible credentials:
- i. 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:
    - a. Fixed-Wing Aircraft (FW) – This credential allows the auditor to audit all IS-BAO SARPS related to fixed-wing aircraft.
    - b. 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).

- c. 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.
  - ii. 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 2.1.2.i above;
  - iii. Stage 3 (S) – This credential allows the auditor to perform Stage 3 audits. Auditors who do not possess this credential may only perform Stage 1 and 2 audits.
- 2.1.3 By accepting the IBAC auditor accreditation, the auditor shall undertake to ensure that they are current and qualified in conducting an IS-BAO audit, and will only audit the scope of operations for which they are approved.
- 2.1.4 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.
- i. Upon acceptance of the auditor’s request, 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.

## **2.2 Auditor Accreditation**

- 2.2.1 In order to be initially accredited or to renew his/her accreditation, the candidate shall demonstrate compliance with the qualification and experience prerequisites detailed in this policy, and:
- a. Hold a copy of the IS-BAO, purchased from IBAC;
  - b. Have attended both the Fundamentals of IS-BAO and IS-BAO Auditing Workshops, within the previous 6 months; and
  - c. Pay the IS-BAO Auditor Accreditation fee.
- 2.2.2 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 if:
- a. Having considered the application and any other information or documents in its possession relating to them, IBAC considers that they are unsuitable to be included in the

- accredited auditor list; or
- b. There are any grounds for considering that renewing the accreditation would be prejudicial to the effectiveness of the IS-BAO Programme.

## **2.3 Qualification Prerequisites for IS-BAO Auditor Acceptance**

### **2.3.1 Operational Experience Prerequisites**

- i. A candidate for IS-BAO Auditor shall have documented:
  - a. Working knowledge of international civil aviation regulations; and
  - b. Working knowledge of business aviation operations and/or maintenance management;
- ii. A candidate of IS-BAO Auditor shall, at a minimum, qualify for either the Flight Operations Management (OP) or the Maintenance Management (MX) credential according to the corresponding prerequisites specified in 2.3.4 and 2.3.5.

### **2.3.2 Safety Management Systems (SMS) Experience Prerequisites**

- i. A candidate for IS-BAO Auditor shall have expertise and training in Safety Management Systems (SMS). In order to satisfy these prerequisites, the candidate shall:
  - a. 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
  - b. Demonstrate expertise in auditing Safety Management Systems through successful completion of an “Auditing SMS Proficiency Test” administered by the AAM.

### **2.3.3 Auditing Experience Prerequisites**

- i. A candidate for IS-BAO Auditor shall have expertise and training in auditing International Organization for Standardization (ISO)-based Quality Management Systems (QMS).
  - a. In order to satisfy the prerequisites as specified in (i), the candidate shall 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.

#### 2.3.4 Special Prerequisites for Flight Operations Management (OP) Auditors

- i. A candidate for Flight Operations Management (OP) Auditor shall meet all prerequisites contained in 2.3.1, 2.3.2 and 2.3.3. Additionally, the candidate shall have:
  - a. Minimum of five years' total work experience in aviation operations, in one or more of the following disciplines:
    1. Flight crew member licensed by a national aviation authority (NAA);
    2. Military flight crew member;
    3. Flight operations engineer;
    4. Flight dispatcher licensed by a national aviation authority (NAA);
    5. Flight operations inspector for an NAA;
    6. Supervisory personnel who can document operational experience within the past 5 years, in any of the above disciplines; or
    7. Aviation safety or aviation quality management professional, who can document experience in any of the operational disciplines as listed in (1) to (6) above.
  - b. In order to receive the Fixed-Wing Aircraft (FW) and/or Rotor-Wing Aircraft (RW) credentials, a candidate for Flight Operations Management (OP) auditor shall 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.

#### 2.3.5 Special Prerequisites for Maintenance Management (MX) Auditors

- i. A candidate for Maintenance Management (MX) Auditor shall meet all prerequisites contained in 2.3.1, 2.3.2 and 2.3.3. Additionally, the candidate shall have:
  - a. Minimum of five years' total work experience in aviation maintenance, in one or more of the following disciplines:
    1. Maintenance engineer;
    2. Maintenance technician licensed or approved by an NAA;
    3. Airworthiness inspector for an NAA;
    4. Supervisory personnel that have operational experience within the past 5 years, in any of the above disciplines; or
    5. Aviation safety or aviation quality management professional, who can document experience in any of the operational disciplines as listed in (1) to (4) above.
  - b. In order to receive the Fixed-Wing Aircraft (FW) and/or Rotor-Wing Aircraft (RW) credentials, a candidate for Maintenance Management (MX) auditor shall 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.

### 2.3.6 Special Prerequisites for Stage 3 (S) Auditors

- i. A candidate for Stage 3 (S) Auditor shall meet all prerequisites contained in 2.3.1, 2.3.2 and 2.3.3. Additionally, the candidate shall have performed a minimum of 4 (four) IS-BAO registration audits, either as a lead auditor or an audit team member.

## 2.4 Auditor Currency Requirements

2.4.1 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. An auditor is considered current if, within the previous 12 months, he/she has either:

- i. Conducted at least one registration IS-BAO audit, either as a lead auditor or an audit team member, or
- ii. Attended the IS-BAO Fundamentals and Auditing workshops.

## 2.5 Accreditation Validity

2.5.1 Accreditation validity is determined during the initial accreditation and the renewal process. The following definitions apply:

- i. The Accreditation Date is defined as the date in which the auditor's latest accreditation letter was issued by IBAC;
- ii. The auditor's Validity Date is defined as the date in which the auditor's accreditation will expire.

2.5.2 Initial auditors will receive an accreditation valid 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.

2.5.3 An auditor whose accreditation/validity has expired is not permitted to perform IS-BAO registration audits until his/her accreditation is renewed, unless otherwise authorized by IBAC. In this situation, s/he may assist a current and qualified IS-BAO auditor, but only in the capacity as a Subject Matter Expert (SME).

- i. Auditors whose accreditation/validity has expired for more than 6 months must apply as an initial candidate if they wish to regain accreditation;
- ii. 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 2.5.4.ii.

- 2.5.4 Renewing auditors will receive an accreditation valid for a period of up to 30 months. The actual Validity Date will be determined by the AAM as follows:
- i. 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;
  - ii. 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, 2016 and he/she completes the renewal training in February 2016 or in December 2016, his/her new Validity Date will be July 31, 2018.

## **2.6 Previously Accredited Auditors**

- 2.6.1 Auditors who hold a valid accreditation at the time when this Policy becomes effective are not subject to the qualification pre-requisites established in item 2.3. As such, their accreditation and corresponding credentials shall be maintained in the future renewals of their accreditation. 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 policy.

- Signed -

Bennet A. Walsh  
Director, IS-BAO Programme  
International Business Aviation Council