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ICAO Regional USAP-CMA Seminar

USAP-CMA Activity Process Preparation



Cairo, 15 to 17 October 2018



Module Objective

At the end of this module, the participants will be familiar with the nature, scope and sequence of processes carried out during the USAP-CMA activity preparation phase, and with the associated interactions between ICAO and the State



Module Outline

- Annual Schedule of Activities
- Preparation Phase
- Official Notification Letter
- Assignment of Team Leader and Team Members
- Team Leader's Responsibilities
- USAP-CMA Audit Scope
- Audit Plan
- Role of the National Coordinator



Annual Schedule of Activities

- Published by ICAO via Electronic Bulletin every year around June/July and regularly updated
- Developed based on States' USAP-CMA key parameters
- Includes both on-site and documentation-based audits
- States encouraged to immediately begin preparations for their USAP-CMA audit



Preparation Phase

Preparation phase begins with an official notification letter from the Secretary General to the State and concludes:

- for an on-site audit, prior to the opening National Briefing with the State's authorities
- for a documentation-based audit, on the starting date specified in the notification letter



Official Notification Letter

Sent to the State at least 120 calendar days prior to the planned audit and includes:

- date, objective, type and scope of the audit
- details of pre-audit documentation to be submitted
- name(s) of designated airport(s) to be visited, if applicable



Official Notification Letter

All States are urged to give full support to ICAO by:

- accepting USAP-CMA missions as scheduled by the Organization
- facilitating the work of audit teams
- preparing and submitting to ICAO all required documentation

Assembly Resolution A39-18



Official Notification Letter

No change in the schedule of a USAP-CMA audit is allowed within:

- 60 calendar days prior to the starting date of an on-site audit
- 30 calendar days prior to the starting date of a documentation-based audit

Exception: a compelling reason, such as an act of God or an act of war, submitted to the President of the Council of ICAO for his consideration



Assignment of the Team Leader

- A Team Leader from ICAO Headquarters is appointed by C/ASA for each audit and is responsible for all aspects of the preparation, conduct and reporting of the assigned audit



Assignment of Team Members

- Short-term experts seconded to the Programme and considered as ICAO officials while on ICAO mission
- Assigned normally three to six months prior to the commencement of a USAP-CMA audit, taking into consideration geographical proximity and language of the audit (English, French or Spanish)



Assignment of Team Members

The Team Leader confirms whether Team Members:

- are available to participate in the audit of the State concerned
- have been involved in the conduct of any assistance or oversight activity in the concerned State in the past 24 months on behalf of their appropriate authority, any regional body or ICAO



Assignment of Team Members

- Audit team size depends on the type, scope and complexity of the audit
- If the language of correspondence of the State is Arabic, Chinese or Russian, every effort will be made to ensure that at least one team member has command of that language



Assignment of Team Members

- The State is provided with the names of the Team Leader and Team Members prior to any activity and has the opportunity to provide feedback on team composition
- Final team composition is provided to the State in sufficient time to facilitate application for visas and other administrative matters



Team Leader's Responsibilities

- Initiate contact with the State's National Coordinator soon after the official notification
- Ensure that the SASAQ, SQCASF, CCs, and other related documents are received from the State
- Review the completeness of the submitted documents



Team Leader's Responsibilities

- Determine the scope of the audit in terms of applicable PQs,
- Adjust audit dates if necessary
- For documentation-based audit, forward the PQ Worksheets to the National Coordinator for completion and further submission
- Coordinate administrative matters with the Team Members



Team Leader's Responsibilities

- Draft a State-specific audit plan for an on-site audit
- Assign audit areas to Team Members
- Coordinate the daily work plan and other logistical arrangements with the National Coordinator
- Provide updates to Team Members on progress in the preparation for the audit



Audit Plan

- Detailed schedule of daily activities, including briefings, meetings and visits to concerned entities, facilities and aviation security service providers
- Developed in collaboration with the National Coordinator
- National Coordinator ensures coordination with all entities



Sample Audit Plan

Monday, 23 October 2018

ALL TEAM MEMBERS

0900-1000	National Briefing	
	TEAM 1 (NN-MM)	TEAM 2 (OO-PP)
1000-1300	Regulatory Framework and the National Civil Aviation Security System (LEG)	Airport Operations (OPS) National-level policies and procedures
1300-1400	Lunch	
	TEAM 1 (NN-MM)	TEAM 2 (OO-PP)
1400-1700	Regulatory Framework and the National Civil Aviation Security System (LEG)	Airport Operations (OPS). National-level policies and procedures



Sample Audit Plan

Thursday, 26 April 2018

ALL TEAM MEMBERS

0900-0930	National Coordinator Debriefing	
	TEAM 1 (MM-PP)	TEAM 2 (NN-OO)
0930-1300	Passenger and Baggage Security (PAX)	Aircraft and In-flight Security (IFS)
1300-1400	Lunch	
	TEAM 1 (NN-MM)	TEAM 2 (OO-PP)
1400-1700	Cargo, Catering and Mail Security (CGS)	Airport Operations (OPS)



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Role of the National Coordinator

The National Coordinator plays a pivotal role in ensuring that the audit goes smoothly



Role of the National Coordinator

- Coordinate with different government entities responsible for aviation security and facilitation
- Ensure the timely completion and submission of the required documents to the Team Leader
- Request/provide clarification and assistance to the Team Leader
- Coordinate with the Team Leader the preparation of the audit plan



Documents to submit

- Aviation security legislation and regulations
- NCASP, NCASTP, NQCP, NATFP
- ASP
- SASAQ, SQCASF, CCs
- Updated CAP
- Schedule of national quality control activities
- Flight schedule



Role of the National Coordinator

- Distribute relevant PQs to relevant entities
- Consolidate evidence to be presented to the ICAO team
- For documentation-based audit, ensure that the Worksheets are duly completed and returned to the Team Leader



Role of the National Coordinator

Assist with administrative and logistical arrangements, including:

- coordinating visits to aviation security stakeholders
- arranging local transportation
- arranging meeting facilities and work area for the ICAO team
- assisting with hotel reservations
- helping with immigration formalities, as required



Role of the National Coordinator

- Identify focal points for each audit area
- Brief key Government and industry management on the objective, scope and methodology of the audit, the audit plan, and confirm their availability



Role of the National Coordinator

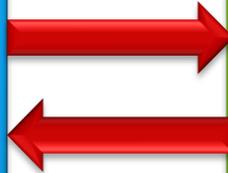
- Arrange escorts for on-site activities as well as interpreters and Technical Liaison Officers, where necessary
- Ensure availability of airport access permits and protective equipment (e.g. high visibility jackets)



Information Flow

Team Leader

- E-mail to the National Coordinator
- SASAQ, SQCASF, CCs templates
- PQs (on-site)
- PQ Worksheets (off-site)
- audit plan (on-site)



National Coordinator

- Completed SASAQ, SQCASF, CCs
- Primary/Secondary AVSEC Legislation
- NCASP, NCASTP, NQCP, NATFP
- ASP
- Updated CAP
- Schedule of quality control activities
- Completed PQ Worksheets (off-site)



Module Review

- Annual schedule of activities
- Preparation phase
- Official notification letter
- Assignment of Team Leader and Team Members
- Team Leader's responsibilities
- USAP-CMA audit scope
- Audit plan
- Role of the National Coordinator



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Questions?



North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montreal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Office
Bangkok

End of Module 6