



ICAO | UNITING AVIATION

NO COUNTRY LEFT BEHIND



# ICAO Regional USAP-CMA Seminar

## USAP-CMA Activity Process - Conduct



ICAO

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 conduct phase, and with the associated interactions between ICAO and the State's authorities



# Module Outline

- Conduct Phase
- National Briefing
- Conduct of the Audit
- Draft Findings and Recommendations
- Post-audit Debriefing
- Role of the National Coordinator
- Role of the Technical Liaison Officer



# Conduct Phase

The USAP-CMA activity conduct phase commences with the National Briefing at the start of the audit and concludes with the Post-audit Debriefing at the end of the audit



# Conduct Phase

- Systematic gathering of information by evidence through document review, interviews and observation
- Audit team will not engage in activities that could be perceived as covert efforts to test security operations
- Team will develop draft findings and recommendations



# National Briefing

- Held with the State authorities on the first day of the audit
- State representatives involved in the audit are expected to be present
- Industry representatives should also be invited to attend
- For documentation-based audits, the Team Leader conducts the National Briefing with the National Coordinator



# National Briefing

## Objective:

- introduce the audit team
- provide brief overview of the USAP-CMA, including the auditing principles
- brief attendees on the scope and methodology of the audit, including methods for gathering evidence
- reinforce confidentiality provisions concerning any information or documents received by the audit team



# National Briefing

## Objective:

- review key provisions of the MoU
- notify participants of any special language skills among the audit Team Members
- briefly present and confirm the audit plan and schedule of activities



# National Briefing

## Objective:

- provide an overview of the activities at the airport(s) selected for observation
- finalize arrangements for visits to authorities and/or aviation security service providers
- set the time and place for the Post-audit Debriefing



# National Briefing

## Objective:

- agree upon the system of communication during the audit and for making changes to the audit plan
- finalize any remaining details
- confirm daily debriefings between the Team Leader and the National Coordinator, for there to be no surprises at the Post-audit Debriefing



# Conduct of the Audit

- Protocol Questions ensure all relevant evidence is gathered to fully assess all Standards to support audit findings
- Protocol Question Worksheets in each audit area are completed by assigned Team Members
- System versus people: ICAO audits aviation security and oversight systems, not service providers or their staff



# USAP-CMA PQ Worksheets

PQ No.	ICAO Ref.	Protocol Question	Status
QCF 3.060	3.4.6 CE-7	Is a formal schedule for the different types of quality control activities established and implemented?	For TL reference only
			<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable

Verify whether the State has established and implements a detailed schedule for quality control activities.

Review the schedule of quality control activities for the current and previous years.

Confirm the frequency of quality control activities.

Identify the dates and the scope of the latest:

a) security audit; b) security inspection; c) covert security test; and d) security survey.

**Evidence:**



# Collection of Evidence

- Team Members will take comprehensive notes
- Auditors are open to different means of compliance that are not explicitly addressed by the PQs but achieve the same outcome
- The status of the PQs is determined to be: **“Satisfactory”**, **“Not satisfactory”**, **“Not applicable”**, or **“Undetermined”**



# Collection of Evidence

- Evidence is gathered through:
  - review of relevant national-level regulations, programmes, procedures, quality control activity records and other documentation
  - review of relevant airport-level programmes, procedures, quality control activity records
  - interviews with staff from the appropriate authority and aviation security service providers



# Collection of Evidence

- Evidence is also gathered through on-site observations of operational measures and procedures of selected:
  - aviation security service providers
  - aircraft operators
  - cargo and catering companies
  - regulated agents
  - aviation security training centres
  - immigration, customs and postal authorities



# Collection of Evidence

## On-site Audits

- An official from the appropriate authority should be present during visits to all stakeholders
- Stakeholder visits are used to assess the implementation of security measures and verify the State's oversight capabilities
- Visits do not constitute audits of the stakeholders



# Collection of Evidence

## Documentation-based Audits

- Team Leader reviews the completed PQ Worksheets and other documents submitted
- Team Leader decides on the status of all PQs, within the audit scope
- PQs related to the operational implementation of security measures are marked as “**Undetermined**”



# Collection of Evidence

## Documentation-based Audits

- Team Leader may request additional information from the State and may request interviews with relevant personnel
- National Coordinator will facilitate this process and provide all required information



# Typical Audit Plan

Days  
1-3



Review of national/airport level documents in all nine audit areas

Days  
4-7



Visit to the industry – observation of security measures on the ground

Days  
8-9



Follow-up activities - Preparation of the preliminary findings and recommendations

Day  
10



Post-audit debriefing



# Sample Audit Plan

## Day 1 of Document Review

	<b>Team 1</b>	<b>Team 2</b>
<b>1000–1300</b>	Regulatory Framework and the National Civil Aviation Security System  <b>LEG</b>	Airport Operations National-level policies and procedures  <b>OPS</b>
<b>1300–1400</b>	Lunch	
<b>1400–1700</b>	Regulatory Framework and the National Civil Aviation Security System  <b>LEG</b>	Airport Operations National-level policies and procedures  <b>OPS</b>



# Sample Audit Plan

## Day 2 of Document Review

	<b>Team 1</b>	<b>Team 2</b>
<b>1000–1300</b>	Training of Aviation Security Personnel  <b>TRG</b>	Airport Operations Airport-level policies and procedures  <b>OPS</b>
<b>1300–1400</b>	Lunch	
<b>1400–1700</b>	Quality Control Functions  <b>QCF</b>	Security Aspects of Facilitation  <b>FAL</b>



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



# Sample Audit Plan

## Day 3 of Document Review

	<b>Team 1</b>	<b>Team 2</b>
<b>1000–1300</b>	Aircraft and In-flight Security <b>IFS</b>	Passenger and Baggage Security <b>PAX</b>
<b>1300–1400</b>	Lunch	
<b>1400–1700</b>	Cargo, Catering and Mail Security <b>CGO</b>	Response to Acts of Unlawful Interference <b>AUI</b>



# Observation of Security Measures

## OPS

- Supporting resources and facilities
- Access control to airside and SRAs
- Airport pass system
- Background checks
- Screening and security controls for staff and vehicles
- Security controls for airport supplies
- Security measures for landside

## IFS

- Aircraft security checks/searches
- Measures at transit stops
- Protection of flight crew compartment
- Protection of aircraft
- Movement to/from aircraft
- Special categories of passengers
- Reconciliation
- Authorization

## PAX

- Screening of originating/transfer passengers/baggage
- One-stop security
- Protection of screened passengers/baggage
- Protection of transit passengers and airport
- Minimum detection settings and performance testing of security screening equipment

## CGO

- Security controls for cargo and mail
- Supply chain security
- Protection of cargo and mail
- High-risk cargo and mail
- Consignment security declaration
- Transfer cargo and mail
- Security controls for in-flight supplies



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



# Sample Audit Plan

## Day 1 of Observations

	<b>Team 1</b>	<b>Team 2</b>
<b>1000–1300</b>	Airport Operations <b>OPS</b>	Passenger and Baggage Security <b>PAX</b>
<b>1300–1400</b>	Lunch	
<b>1400–1700</b>	Airport Operations <b>OPS</b>	Aircraft and In-flight Security <b>IFS</b>



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



# Sample Audit Plan

## Day 2 of Observations

	<b>Team 1</b>	<b>Team 2</b>
<b>1000–1300</b>	Aircraft and In-flight Security <b>IFS</b>	Cargo, Catering and Mail Security <b>CGO</b>
<b>1300–1400</b>	Lunch	
<b>1400–1700</b>	Passenger and Baggage Security <b>PAX</b>	Security Aspects of Facilitation <b>FAL</b>



# Sample Audit Plan

## Day 3 of Observations

	<b>Team 1</b>	<b>Team 2</b>
<b>1000–1300</b>	Airport Operations <b>OPS</b>	Passenger and Baggage Security <b>PAX</b>
<b>1300–1400</b>	Lunch	
<b>1400–1700</b>	Aircraft and In-flight Security <b>IFS</b>	Cargo, Catering and Mail Security <b>CGO</b>
<b>2000–2300</b>	<b>Night observations (as required)</b>	



# Daily Team Briefings

The Team Leader conducts a daily team meeting to:

- discuss the day's activities and findings
- review the audit team's progress and any required changes to the audit plan
- address and resolve potential issues and delays
- identify areas of concern, including potential SSeCs
- identify any PQs that have not been fully addressed
- identify any missing evidence



# Daily Debriefings with the NC

Organized to inform the NC of :

- any identified deficiencies
- potential SSeCs
- any required changes to the audit plan, including requests for new meetings or visits
- any missing documents
- any difficulties encountered



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



# Final Debriefing with the NC

Held with the National Coordinator prior to the Post-audit Debriefing, to review all the preliminary findings and recommendations and facilitate the Post-audit Debriefing



# Draft Findings and Recommendations

- Findings are based on evidence collected
- Absence of evidence will normally lead to a finding
- Filing a difference with ICAO does not preclude the identification of a finding



# Draft Findings and Recommendations

Each PQ is associated with one Standard and one Critical Element



An unsatisfactory answer to a PQ generates a finding



The finding generates a recommendation which identifies the PQ, the associated Standard and the Critical Element



Related findings are grouped in one finding, but the associated recommendations remain separate



# Draft Findings and Recommendations

<b>Finding-XX</b>	<b>Finding Priority: High</b>	<b>Audit Area: CGO</b>		
-------------------	-------------------------------	------------------------	--	--

**FINDING:**

The NCASP, Part II provides a definition of high-risk cargo or mail. However, a review of the national level documentation revealed that no guidance has been developed, such as detailed instructions, guidance material or performance criteria, for the application of enhanced security measures to high risk cargo or mail. Furthermore, interviews and documentation review have concluded that enhanced security measures procedures for high-risk cargo and mail have not been developed or implemented at the airport level. It also appears that persons in charge of cargo screening at the airport were not conversant with the concept of high-risk cargo; consequently, it was frequently confused with dangerous goods.

**RECOMMENDATION:**

Usapia should:	PQ	CE	SARP	Priority
Develop detailed instructions, guidance material or performance criteria for the application of enhanced security measures to high-risk cargo and mail.	7.125	CE-5	4.6.4	High
Ensure that the relevant airport-level entities have developed procedures for the application of enhanced security measures to high-risk cargo and mail.	7.130	CE-6	4.6.4	High
Ensure that enhanced security measures are consistently and effectively implemented to appropriately mitigate the threats associated with high-risk cargo and mail.	7.135	CE-8	4.6.4	High



# Post-audit Debriefing – On-site Audit

- Held on the last day of the audit
- Team Leader debriefs the State's officials and presents an overview of the findings:
  - concise summary by Critical Element
  - review of the most significant concerns
  - not a detailed description
- Team Leader will also present any preliminary SSeC



# Post-audit Debriefing – On-site Audit

- Team Leader reviews the next steps and timelines, including report production and Corrective Action Plan submission
- The State is provided with the draft findings and recommendations
- States are encouraged to immediately start working on their Corrective Action Plan



# Post-audit Debriefing – Doc-based Audit

The ICAO auditor will conduct a Post-audit Debriefing with the National Coordinator to:

- provide the State with preliminary findings and recommendations
- advise the National Coordinator of the next steps and timelines



# Role of the National Coordinator

- Work closely with the Team Leader to ensure the smooth conduct of the audit
- Coordinate all on-site activities, including escorts and transportation
- Coordinate any changes to the audit plan, including changes to stakeholders visits
- Ensure access to all relevant documentation, personnel and entities, as per the audit plan



# Role of the National Coordinator

- Keep the State's key management personnel informed of the progress of the audit and preliminary audit results
- Ensure appropriate State representatives attend the National Briefing and Post-audit Debriefing



# Role of the Technical Liaison Officer

- Provide relevant documentation and items to the team, such as equipment detection settings, routine test records, test pieces, etc.
- Facilitate the audit team's work with regard to the technical aspects of the audit
- Clarify any questions regarding the security screening equipment, performance tests, maintenance arrangements, etc.



# Module Review

- Conduct phase
- National Briefing
- Conduct of the audit
- Draft findings and recommendations
- Post-audit Debriefing
- Role of the National Coordinator
- Role of the Technical Liaison Officer



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



# 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 7**