INTERNATIONAL CIVIL AVIATION ORGANIZATION
A United Nations Specialized Agency

ICAO Universal Security Audit Programme (USAP)

ICAO Regional Aviation Security Audit Seminar

USAP-CMA Activity Process - Preparation

Cairo, Egypt, 26 to 28 January 2015

Module 6

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's authorities.

Outline

- Preparation phase
- Official notification
- Assignment of Team Leader and Team Members
- Team Leader responsibilities
- USAP-CMA activity scope
- Documents and tools used in the Preparation Phase
- State-specific audit plan
- Team briefing
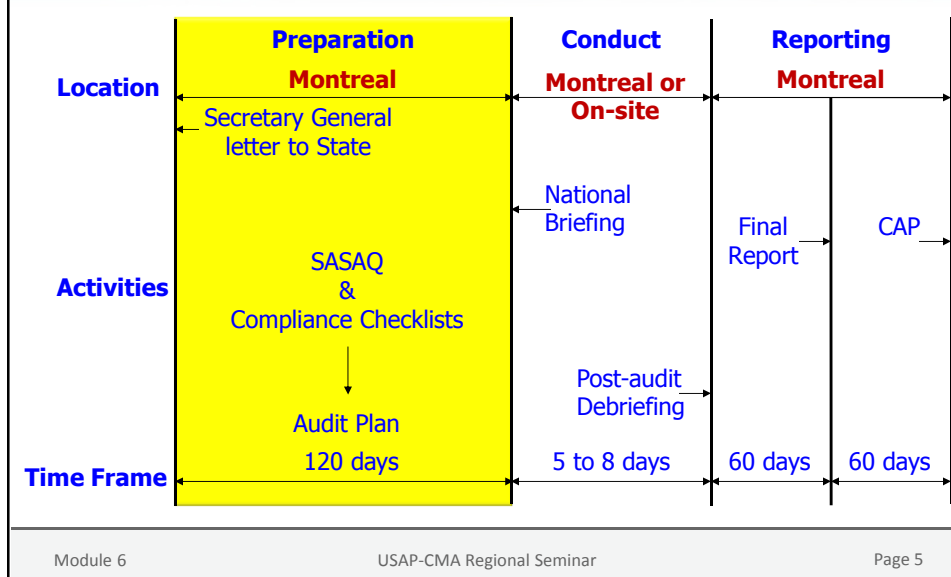- Role of the National Coordinator

Preparation phase

The Preparation phase of a USAP-CMA activity:

- starts when the letter from the Secretary General giving notification of the forthcoming USAP-CMA activity is forwarded to the State; and

- concludes:

  ➢ in the case of an on-site USAP-CMA activity, with the on-site ICAO team briefing prior to the opening national briefing with the State's authorities; or

  ➢ in the case of a documentation-based audit, on the starting date specified in the ICAO letter of notification.

Preparation phase

	Preparation	Conduct	Reporting	
Location	**Montreal**	**Montreal or On-site**	**Montreal**	
Activities	Secretary General letter to State SASAQ & Compliance Checklists ↓ Audit Plan	National Briefing Post-audit Debriefing	Final Report	CAP
Time Frame	120 days	5 to 8 days	60 days	60 days

Official notification

- ICAO will generate, distribute through an Electronic Bulletin and publish an annual schedule of planned USAP-CMA activities for the following 12-month period, including both on-site activities and documentation-based audits.

- This annual schedule of activities will be regularly updated on the USAP secure website.

Official notification

- An official letter of notification, signed by the Secretary General, is sent to the State at least 120 calendar days prior to the planned USAP-CMA activity, together with the name(s) of any designated airport(s) to be visited, if applicable.

- In certain circumstances, States that are not on the annual activity plan may still receive a USAP-CMA activity with sufficient advance notice.

Official notification

- All Member States are urged to give full support to ICAO by accepting USAP-CMA activities as scheduled by the Organization (Assembly Resolution A38-15).

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

  ➢ 60 calendar days prior to the starting date of an on-site activity; and

  ➢ 30 calendar days prior to the starting date of a scheduled documentation-based audit;

  except for 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

- C/ASA appoints a Team Leader for each USAP-CMA activity at least 6 months prior to the commencement of the USAP-CMA activity.

- Team Leader:

  ➢ Responsible for all phases of the assigned USAP-CMA activity;

  ➢ Provides leadership and guidance to Team Members in the case of on-site missions.

Assignment of Team Members

- Team Members are assigned soon after the appointment of the Team Leader, normally 3 to 6 months prior to the start of the on-site mission.

- Team Members are selected from among the certified ICAO USAP auditors, taking into consideration the geographical region, their area of expertise and the language of the audit.

Assignment of Team Members

- USAP-CMA activities are conducted in English, French or Spanish, as requested by the State concerned.

- In the case of on-site activities, if the language of correspondence of the State with ICAO is one of the remaining three ICAO working languages, every effort will be made to ensure that at least one team member participating in the activity has command of the ICAO working language of the State concerned.

Team assignment

- The State will be provided with the name(s) of the assigned Team Leader and Team Members approximately two months prior to any scheduled activity and will have the opportunity to provide any desired feedback to ICAO.

- The final composition of the team will be provided to the State prior to any scheduled on-site activity in sufficient time to enable it to facilitate application for visas and other administrative matters.

Team Leader's responsibilities

- Soon after the official notification letter has been sent to a State, the Team Leader concerned initiates contact with the State's National Coordinator (NC).

- All communications exchanged with the NC, including telephone conversations, are kept in the State's file by ASA.

- If there is any indication that the conduct of the on-site mission may be adversely affected, it is reported to C/ASA.

Team Leader's responsibilities

- The Team Leader:
  - ➤ ensures that the SASAQ, CCs, and other related documents have been received from the State;
  - ➤ reviews the completeness of the SASAQ and CCs;
  - ➤ determines the scope of the USAP-CMA activity in terms of applicable PQs, as well as the time needed for the conduct of the activity;
  - ➤ drafts a State-specific audit plan, in the case of an on-site mission; and
  - ➤ coordinates with the NC the scope of the USAP-CMA activity and daily work plan.

USAP-CMA activity scope

Documentation-based audits	Oversight-focused audits	Compliance-focused audits
Tailored set of PQs based on: • previous USAP activity results and updated CAP; • new Annex provisions; • information from SASAQ on quality control activity results; • any significant change in the State's aviation security and oversight systems; and • acts of unlawful interference in the State.	• Full audits, covering all audit areas; or • partial audits, covering one or more specific audit areas, based on previous audit results and other information available to ICAO, such as SASAQ and CCs.	Majority of PQs relating to CE-7 may be automatically deemed not satisfactory and generate findings and recommendations. Audit will focus on a set of PQs relating to CE-1 to CE-6 and include more observations of the implementation of security measures using PQs relating to CE-8 to assess the State's compliance with relevant SARPs.

Documents and tools used in the preparation phase

- State Aviation Security Activity Questionnaire (SASAQ).

- Compliance Checklists (CCs).

- State's aviation security legislation, regulations, programmes and procedures.

- State Quality Control Activity Summary Form.

- Schedule of national quality control activities for the previous calendar year and for the current year.

Documents and tools used in the preparation phase

- Previous USAP activity report.

- USAP follow-up visit report.

- Status of progress in implementing the State CAP from the previous USAP activity.

- Relevant mission and project reports from the ICAO Technical Cooperation Bureau and ISD-SEC Programme.

- Relevant information from ICAO Regional Offices.

State-specific audit plan

- Prepared by the Team Leader for on-site missions.
- A detailed schedule of on-site activities.
- Establishes a step-by-step itinerary for the conduct of the audit, including meetings, briefings and visits to concerned authorities, facilities and aviation security service providers.
- Submitted to the State for its consideration and agreement. It is approved during the national briefing with the State's authorities.
- Provided to Team Members for information and to assist them in preparing for the on-site mission.

State-specific audit plan

Daily work plan

Monday, 1 September 2014	
ALL TEAM MEMBERS	
0900-1000	National briefing.

	TEAM 1 (RL-KZ-SN)	**TEAM 2 (NPM-FC)**
1000-1300	Regulatory Framework and the National Civil Aviation Security System (LEG).	Airport Operations (OPS).

ALL TEAM MEMBERS	
1300-1400	Lunch

	TEAM 1 (RL-KZ-SN)	**TEAM 2 (NPM-FC)**
1400-1700	Regulatory Framework and the National Civil Aviation Security System (LEG).	Airport Operations (OPS).

Team briefing

- Given on-site by the Team Leader to the entire team one day prior to the national briefing with the State's authorities.

- Main items covered:
  - Review of the audit plan, including scheduled visits, meetings and briefings;
  - Confirmation of assignments;
  - Role of the Team Members;
  - Review of the audit process;
  - Review of the ICAO rules of conduct (confidentiality, acceptance of gifts and dealing with media);
  - Last-minute information related to the USAP-CMA on-site mission.

Role of the National Coordinator

- To ensure that the Memorandum of Understanding (MoU) is promptly signed and submitted to ICAO, if not already done.

- To coordinate with the State's various ministries, authorities and departments responsible for aviation security and facilitation to ensure the proper completion of the SASAQ and CCs.

Role of the National Coordinator

- To coordinate with the appointed Team Leader to ensure the proper completion of the documentation and to request/provide clarification and assistance, as necessary.

- To coordinate the submission of supporting documentation from the State (legislation, regulations, procedures, airport maps, flight schedules, etc.) to facilitate the preparation of the USAP-CMA on-site mission.

- To coordinate with the Team Leader the preparation of the preliminary audit plan.

Role of the National Coordinator

- To assist the Team Leader with all administrative and logistical arrangements that may be necessary, including, but not limited to:

  – Coordinating the schedule of visits to the industry and aviation security service providers, as applicable;

  – Arranging local and off-site transportation, as required;

  – Arranging meeting facilities;

  – Arranging a work area and equipment for the ICAO team; and

  – Assisting with hotel reservations, if needed.

Role of the National Coordinator

- To identify focal points (counterparts) for each audit area covered during the USAP-CMA on-site mission, as well as Technical Liaison Officers, where necessary.

- To brief all key management personnel of the State's aviation security system and of each entity to be visited during the USAP-CMA on-site mission (such as airport and aircraft operators, cargo and catering companies, regulated agents, immigration, customs and postal authorities, etc.) on the scope, objective and tentative audit plan and identify/verify their availability.

Role of the National Coordinator

- To distribute the USAP-CMA Protocol Questions of the relevant audit areas to appropriate entities involved in the USAP-CMA on-site mission and coordinate the preparation of evidence to be presented to the ICAO team.

- To ensure that questions from the Team Leader related to the preparation of the USAP-CMA mission are answered in a timely manner.

- To ensure that appropriate escorts and transportation are available at any time during on-site activities. Escorts should have adequate means of communication and interpreters should be provided if necessary.

Role of the National Coordinator

- To ensure that a technical liaison officer is available during the USAP-CMA on-site mission to answer any questions concerning aviation security equipment.

- To ensure that airport access permits are available for the ICAO team.

- To arrange the provision of protective equipment (e.g. high visibility jackets) to the ICAO team as required by the applicable national safety regulations of the State.

Review

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ICAO Universal Security Audit Programme

Questions?

End of Module 6