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 – Conduct

Cairo, Egypt, 26 to 28 January 2015

Module 7

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.
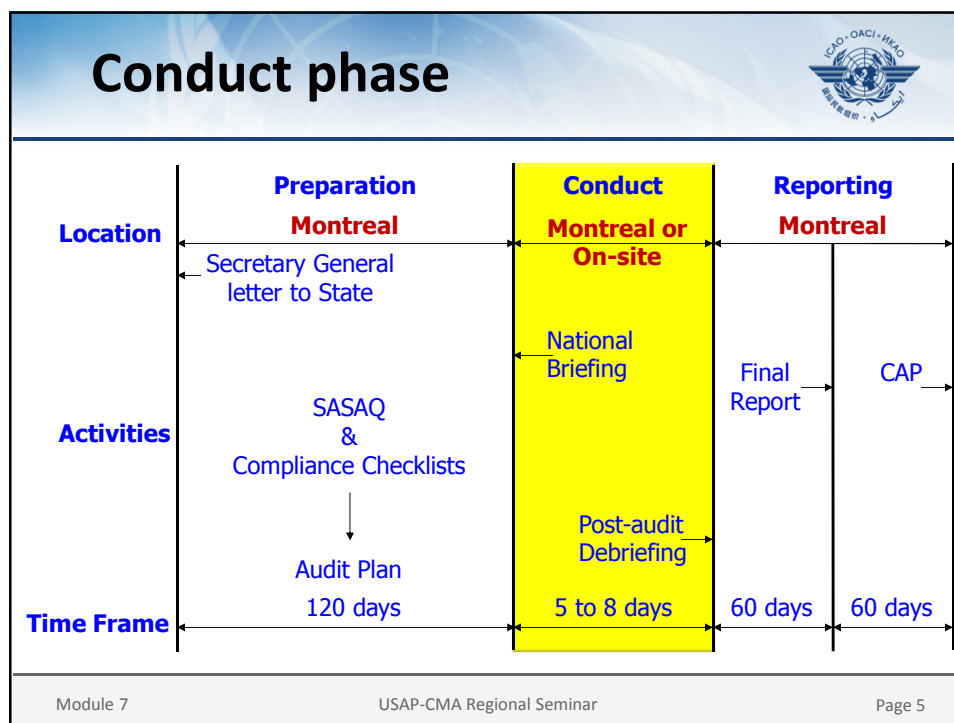
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Outline

- Conduct phase
- National Briefing
- Conduct of the audit
- Daily team meetings
- Daily debriefings with the National Coordinator
- Duties of the Team Leader and Team Members
- Draft findings and recommendations
- Post-audit Debriefing
- Role of the National Coordinator
- Role of the Technical Liaison Officer

Conduct phase

The Conduct phase commences with the National Briefing at the start of the audit and concludes at the completion of the Post-audit Debriefing at the end of the audit.

Conduct phase

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

Audit activities

National Briefing

Conduct of the audit

Daily team briefings

Daily briefings to the National Coordinator

Draft findings and recommendations

Post-audit Debriefing

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National Briefing

- The Team Leader conducts a National Briefing with the State authorities on the first day of the on-site mission.

- All Team Members attend.

- State representatives responsible for each area to be audited are expected to be present at this briefing.

- For documentation-based audits, the Team Leader conducts the National Briefing with the National Coordinator.

National Briefing

Generic agenda items:
- Introduction of the Team Members
- Overview of the USAP-CMA objectives and methodology
- USAP-CMA principles
- Critical Elements
- Audit areas and USAP-CMA Protocol Questions
- Scope and conduct of the audit
- Excerpts from the MOU
- Audit plan
- Questions and answers

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National Briefing

Audit plan:

- Review the State-specific audit plan (for on-site activities).
- Finalize arrangements for visits to authorities and/or aviation security service providers (for on-site activities).
- Set the time and place for holding the Post-audit Debriefing.
- Agree upon the system of communication during the audit and for making changes to the audit plan.
- Finalize any remaining details.

National Briefing

Communication process (on-site activities only):

- Established to ensure transparency and fairness during the on-site mission phase.

- Daily debriefings will be organized between the Team Leader and the National Coordinator.

- Objective is for there to be "no surprises" at the Post-audit Debriefing.

Conduct of the audit

- USAP-CMA activities will assess the State's:

    - capability to provide appropriate national oversight of its aviation security activities through the effective implementation of the critical elements of an aviation security oversight system; and

    - compliance with Annex 17 Standards and the relevant security-related provisions of Annex 9.

Conduct of the audit

- **USAP-CMA Protocol Questions** are used as the basis for the conduct of USAP-CMA activities and for gathering evidence 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 Protocol Question Worksheet

PQ No.	ICAO Ref.	Protocol Question	Status
LEG 1.005	**2.1.2 CE-1**	Has the State promulgated primary aviation security legislation (e.g. aviation security act or equivalent) to enable it to address its aviation security-related obligations as a signatory to the Chicago Convention?	☐ Satisfactory ☐ Not satisfactory ☐ Not applicable

Guidance for Review/Observation:

Identify and review the primary legislative framework for aviation security.

Identify the date of promulgation and last amendment.

Evidence:
Click here to enter text.

Collection of Evidence

- Evidence is gathered for each Protocol Question covered by the USAP-CMA activity.
- Policy-level issues are normally covered at the beginning of the activity.
- Evidence is gathered through:
  - reviews of relevant national-level regulations, programmes, procedures, quality control activity records and other documentation;
  - reviews of relevant airport-level programmes, procedures, quality control activity records; and
  - interviews with staff from the appropriate authority and aviation security service providers.

Collection of Evidence

- Evidence is also gathered through on-site observations during visits to, *inter alia*:
  - airport operators;
  - aircraft operators;
  - cargo and catering companies;
  - regulated agents;
  - aviation security training centres;
  - immigration, customs and postal authorities; and
  - other aviation security service providers.

Collection of Evidence

- The presence of an official from the State authorities is required during all visits to service providers.

- Visits do not constitute audits of the service providers, but are used to assess the implementation of security measures and verify the State's oversight capabilities.

Collection of Evidence: Documentation-based audits

- During documentation-based audits, the USAP-CMA auditor will conduct a review of the documents submitted by the State beginning on the date specified in the annual activity schedule.

- The auditor may request additional information and/or clarification from the State and may interview relevant personnel via telephone or other means.

- The National Coordinator should facilitate this process and provide all information required.

Daily team briefings

- The Team Leader conducts daily meetings with the Team Members, generally at the end of each day.
- Items to be discussed may include:
    - identified concerns (draft findings and recommendations);
    - progress in the audit and difficulties encountered, if any;
    - changes to the audit plan, if any; and
    - ICAO team coordination and support.

Daily debriefings with the National Coordinator

In addition, daily debriefings will be organized by the Team Leader with the National Coordinator to inform him/her regarding:

- preliminary findings and deficiencies identified, with the objective of facilitating the Post-audit Debriefing;
- potential Significant Security Concerns (SSeCs);
- any changes in the audit plan;
- new requests for meetings and/or documents; and
- any difficulties encountered during the conduct of the on-site activity.

Duties of Team Leader

- Conducting National Briefing and Post-audit De-briefing with the State's authorities.

- Organizing and conducting USAP-CMA activity team briefings for Team Members as per established procedures.

- Conducting daily debriefings with the National Coordinator.

- Ensuring the USAP-CMA activity team follows the USAP-CMA methodology and code of conduct.

Duties of Team Leader

- Providing leadership and guidance to Team Members during the USAP-CMA on-site activity.

- Handling any disputes or issues that may occur and using his/her power of veto in the event of a dispute.

- Identifying and submitting potential SSeCs to C/ASA.

- Developing the preliminary list of findings and recommendations.

Duties of Team Members

- Analyse SASAQ and CC submissions as assigned by Team Leader.

- Work with the Team Leader and comply with his/her requirements and instructions.

- Communicate and clarify audit requirements to personnel being interviewed.

- Plan and carry out assigned responsibilities effectively and efficiently.

- Collect evidence for all assigned USAP-CMA Protocol Questions.

Duties of Team Members

- Submit completed USAP-CMA Protocol Question Worksheets to the Team Leader on a daily basis.

- Submit to ASA, through the Team Leader, all audit-related documents and notes pertaining to an audit.

- Cooperate with and assist the Team Leader at all times during the preparation, conduct and completion of the audit process.

- Prepare a Team Member's Mission Report and submit it to C/ASA through the Team Leader.

- Respect confidentiality, ensure objectivity and employ ethical values.

Draft findings and recommendations

- Findings are based on evidence collected during the USAP-CMA activity.

- Absence of evidence will normally generate an audit finding.

- The Compliance Checklists may be updated by the State during the Conduct phase of the audit, though filing a difference will not preclude the identification of an audit finding.

Draft findings and recommendations

- Team Members provide the Team Leader with findings in their respective areas.

- The data collected during the audit is entered by the Team Leader in the Audit Manager software application.

Draft findings and recommendations

Audits are conducted using Protocol Questions.

Each Protocol Question is associated with one Standard and one Critical Element.

An unsatisfactory answer to a Protocol Question generates an audit finding.

The audit finding generates a recommendation which identifies the Protocol Question, the associated Standard and the Critical Element.

Draft findings and recommendations

| Finding No. | Finding Priority: | Audit Area: |

Finding Number

Finding

FINDING:

Audit Area

Finding Priority

RECOMMENDATION:

[State] should:	PQ	CE	SARP	Priority

Recommendation

PQ Priority

Related PQ, CE, SARP

Post-audit Debriefing

- At the end of the on-site mission, the Team Leader, together with the rest of the ICAO team, holds a Post-audit Debriefing with the State's officials to present the audit findings and recommendations.

- Upon completion of a documentation-based audit, the ICAO auditor will conduct a Post-audit Debriefing with the NC to:

  - ➤ provide a summary of the results of the activity;
  - ➤ advise the NC of the next steps in the USAP-CMA process; and
  - ➤ provide the State with preliminary findings and recommendations.

Post-audit Debriefing

- The ICAO team presents concisely the overall findings and feedback regarding the effectiveness of the State's aviation security and oversight systems and emphasizes the most significant concerns.

- It is not a detailed explanation of the findings and recommendations.

- The Team Leader informs the State authorities of the actions that follow after the Post-audit Debriefing.

Post-audit Debriefing

- A copy of the draft findings and recommendations is provided to the State at the end of the Post-audit Debriefing.

- This enables the State to start to work on its corrective action plan. The State is provided with a suggested template for this plan.

- The Team Leader also informs the State authorities of the critical dates relating to the submission of the audit report, the State's corrective action plan and comments and feedback from the State during the reporting phase.

Post-audit Debriefing

The Team Leader will also present at the Post-audit Debriefing information on any preliminary SSeCs, if applicable, making it clear that any preliminary SSeCs will be reviewed by the SSeC Validation Committee at ICAO Headquarters to confirm their validity in accordance with the established mechanism.

Role of the National Coordinator

- The National Coordinator is responsible for coordinating all on-site USAP-CMA activities on behalf of the State.

- Responsibilities include:
  - Providing access to all relevant documentation, personnel and entities responsible for aviation security and facilitation-related matters as per the audit plan;
  - Providing access to areas of the airport or other facilities, as appropriate, for observation as per the audit plan;

Role of the National Coordinator

- Responsibilities include (cont):
  - Ensuring State representatives responsible for each area to be audited attend the National Briefing and Post-audit Debriefing;
  - Working closely with the Team Leader to ensure the smooth conduct of the USAP-CMA activity;
  - Ensuring proper coordination for the ICAO team's visits to aviation security service providers and facilitating any required changes to the schedule; and
  - Keeping the State's key management personnel duly informed of the progress and preliminary audit results.

Role of the Technical Liaison Officer

The technical component of the USAP-CMA on-site activity has the objective to:

- verify if standards for security screening equipment, such as types, performance capabilities, minimum detection settings and specifications of performance test pieces, have been adopted by the Member State; and

- receive evidence that these standards are in routine use and that operation, maintenance and performance testing of security screening equipment at the airport(s) designated for observation comply with national guidelines and specifications.

Role of the Technical Liaison Officer

- Organize a display of relevant documentation (e.g. routine test reports, test pieces, etc.) to be shown to the ICAO auditors during the USAP-CMA on-site mission;

- Facilitate the work of the USAP-CMA activity team (e.g. translation of technical terms, etc.);

- Escort the USAP-CMA activity team when technical expertise is needed, without interfering with their work;

- Clarify any questions the USAP-CMA activity team might have on the security screening equipment, performance tests, etc.; and

- Facilitate cooperation with the airport authority or other entities, as required.

Review

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Questions?

End of Module 7