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**SECOND MEETING OF THE AVIATION SECURITY AND FACILITATION REGIONAL GROUP
(AVSEC/FAL/RG/2)**

Antigua and Barbuda, 16 to 18 May 2012

AVSEC/FAL/RG/2 ó WP/07
08/05/12

- Agenda Item 4: Aviation Security (AVSEC)**
4.1 Report on Quality Control / Oversight System Project

METHODOLOGY FOR APPLICATION OF QUALITY CONTROL EFFECTIVE TOOLS

(Presented by the Quality Control / Oversight System Project ó Coordinated by Brazil)

SUMMARY	
This Working Paper presents to the Member States and Territories the main concepts for the implementation of a methodology of application of quality control effective tools in a sustainable and standardized manner.	
Suggested actions are in paragraph 3.	
References:	
<ul style="list-style-type: none"> Report of the 1st ICAO/LACAC NAM/CAR/SAM Aviation Security and Facilitation Regional Group Meeting (AVSEC/FAL/RG/1) (Asunción, Paraguay, 25 to 27 May 2011). 	
Strategic Objectives	<i>This working paper is related to ICAO Strategic Objective B.</i>

1. Introduction

1.1 Considering the need for Contracting States to establish, implement and maintain their AVSEC quality control programmes up to date, in order to assure compliance with the AVSEC National Programmes, as required by Standard 3.4.4, Annex 17, States are required to develop tools of AVSEC monitoring and oversight, regarding airports, air carriers, training centres and certified/accredited cargo agents.

3.4.4 Each Contracting State shall require the appropriate authority to develop, implement and maintain a national civil aviation security quality control programme to determine compliance with and validate the effectiveness of its national civil aviation security programme.

1.2 Although, Standard 3.4.6 of Annex 17 establish the audits, tests, surveys and inspections as control quality tools for been applied by the aviation security appropriate authorities of the States on a regular basis.

1.3 It is important to note that States may experience some difficulties when implementing such activities, due to financial or human resources constraints.

1.4 Thus, to make possible for these activities to be implemented in a sustainable manner, airport operator and air carriers as well as other stakeholders in aviation security should consider important establishing a definition of responsible management in charge of aviation security within their entities. The continuous evaluation of reports sent by the operators and a dedicated AVSEC related information communication channel that, along with the quality control tools, could also contribute to assure compliance with the AVSEC National Programmes.

1.5 Another important issue to be considered is the effectiveness of actions to ensure that non-compliances detected along the process of quality control are properly addressed.

2. Discussion

2.1 For the development and implementation of a sustainable methodology of AVSEC quality control, some concepts were defined, such as:

2.1.1 Assignment of responsibility in quality control activities applicable to each aviation security stakeholder.

2.1.1.1 Considering the diversity of airports that may exist in one State and the different requirements that may apply to each one, it is necessary to determine what quality control activities are applicable to each one, considering in some cases, its size and complexity.

2.1.1.2 For the implementation of this concept, table in Appendix A shows a model of assignment of responsibilities for the implementation of quality control tools, according to some guidelines that could be used when implementing a sustainable quality control system. It is important to mention that the periodicity or risk assessment criteria to be used in the assignment of responsibility of quality control tools implementation must be performed in such a manner to allow the State to verify security conditions at airports, air carriers, training centres and certified/accredited cargo agents.

2.2 A clear definition of person in charge of AVSEC at airport operator, air carrier, training centre, and certified cargo agent

2.2.1 Standard 3.2.2 of Annex 17 requires every airport to have an authority responsible for coordinating the application of security control activities.

2.2.2 Therefore, it is important to establish the clear definition and designation of the person responsible for coordination and implementation of AVSEC measures at each airport, air carrier, training centre and certified, cargo agent to ensure that quality control activities be accompanied and verified by an accountable authority, thus preventing Civil Aviation or AVSEC Authority from collecting information from personnel not authorized or designated to respond on behalf of the audited or inspected organization.

2.2.3 This designated representative will be responsible for providing AVSEC related information as well as for the compliance of all requirements established by the AVSEC authority. Thus, formalizing the requirement for designating a person responsible for aviation security in each certified organizations is strongly advised.

2.3 Requirement of an AVSEC programme that meets the Standards of the national AVSEC Programme

2.3.1 The establishment of AVSEC procedures compatible with each organization's activities complexity in the airport is essential to the fulfilment of requirements in the national AVSEC Programme. Annex 17 requires airports and airlines to develop and implement their own AVSEC programme, which complies with the national AVSEC programme.

2.3.2 Besides bringing the description of all security measures applicable by each airport, air carrier, training centre or a certified cargo agent which demonstrates a commitment of the organization to comply with the requirements of the National AVSEC Programme. Additionally, these AVSEC programmes also describe the form of verification of compliance for every national requirement, being a valuable tool of information to the AVSEC Authority, as well as to inspectors carrying on quality control activities.

3. Requirement of periodically submitting information regarding critical points to the AVSEC authority

3.1 AVSEC Programmes may turn out to be quite complex documents, often too extent for a complete verification and evaluation by an Aviation authority Inspector or appropriate authority carrying quality control activities. To standardize the oversight of airports, air carriers and other stakeholders a check list for issues considered critical by the State can be developed.

3.2 The requirement of submission of completed AVSEC questionnaires associated to sanctions due to lack of submission and severe penalties for submission of false information will be also a good tool as well as the quality of the questions in the questionnaire and the capability of airport personnel or other entity to provide the information required properly.

3.3 Simple questions regarding points considered critical that may bring indicators of compliance to the authority conducting the quality control will help with the verification of the level of compliance since the last quality control activities performed and the establishment of risk mitigation actions, if necessary.

4. Communication channel for receiving complaints as a mechanism of confirmation by the appropriate authority

4.1 Further to all concepts already described, the establishment of a secure system that allows sending information or complaints regarding AVSEC issues, by passengers, crew members, etc, allows the State to evaluate the situation of airports and other organizations, as required by Annex 17, item 3.4.7 letter c).

4.1.1 Although the information received it is not considered a fact, the State must provide ways to verify the veracity of this information.

4.1.2 A specific questionnaire with information regarding the complaint can be sent so that the airport representative in charge of AVSEC can present its vision of the situation as well as any risk mitigation actions planned or that may already be taken.

4.2 To establish countermeasures for when information provided via periodical submission of information sheet, the communication channel or non-conformities is verified.

4.2.1 Information received through the periodical submission of information sheet and via the communication channel as well as quality control activities reports´ can be a valuable data source for creating a monitoring and oversight mechanism of each airport, airline, training center or certified cargo agent.

4.2.2 The use of information submitted by the organization itself to support sanctions applied to it is a point of discussion, as it may discourage the submission of such information.

4.2.3 However, the state may establish the requirement for submission of such information and penalize the organization if it finds that there is some false information in the documentation, as well as, regarding public interest, adopt additional security measures or operational constraints consistent with the information provided, in order to mitigate the risk within acceptable levels by the State to prove by the authority that the non-compliances noted herein have been resolved.

4.3 Mechanism for prioritizing quality control activities

4.3.1 AVSEC risk management comprises the identification of vulnerabilities and threat levels, as well as the evaluation, control and mitigation of risks associated to air transport operations.

4.3.2 The levels of vulnerability of airports and airlines can be established based on the results of quality control activities, whilst threat levels are established regarding characteristics that may lead or attract one group or individual to perform an act of unlawful interference.

4.3.3 It is understood that airports and other organizations subject to higher associated risks require more attention from the state, regarding AVSEC issues and therefore a more frequent monitoring and oversight through quality control activities, while organizations subject to minor risks may require lesser security control actions by the State, thus allowing it to better elect investment priorities in Aviation Security, within acceptable levels, in order to promote a secure and sustainable development of air transport.

5. Suggested action

5.1 Members of the meeting are invited to evaluate the concepts proposed in this working paper and present suggestions to the adoption of such practices that can be developed.

5.2 A study is proposed for the development of the AVSEC information sheet that comprises all critical information necessary to the periodic and simplified evaluation of any organization regulated by the State regarding AVSEC.

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APPENDIX / APÉNDICE

Model for delimitation of application of quality control tools

Regulated organizations	AUDIT	INSPECTION	TEST	SURVEY
Airport	Periodically in all main airports Self-declaration, for smaller airports	Upon security information or complaint In order to verify compliance with corrective action, when necessary	Periodically, according to risk assessment Can be performed along with airline(s)	Periodically, limited to a certain amount of surveys that the AVSEC authority can perform, addressing specific issues that surface following application of other Quality Control Tools
Airline	Periodically on main operators	Upon security information or complaint In order to verify compliance with corrective action, when necessary	Periodically, according to risk assessment Can be performed along with airline(s) and/or cargo agent(s)	Periodically, limited to a certain amount of surveys that the AVSEC authority can perform, addressing specific issues that surface following application of other Quality Control Tools
Training center	Periodically, according to risk assessment	Upon security information or complaint	Non Applicable	Periodically, limited to a certain amount of surveys that the AVSEC authority can perform, addressing specific issues that surface following application of other Quality Control Tools
Certified cargo agent	Periodically, according to risk assessment	Upon security information or complaint	Non Applicable (test carried on along with the airline)	Periodically, limited to a certain amount of surveys that the AVSEC authority can perform, addressing specific issues that surface following application of other Quality Control Tools

Tabela 1: Model for delimitation of application of quality control tools

It is noteworthy that the periodicity, as well as the risk assessment to be used in the delimitation of application of quality control tools, must be such that allows the state to verify security conditions of airports, airlines, training centers and certified cargo agents.