



SAFE SKIES.  
**SUSTAINABLE  
FUTURE.**

**ICAO USAP-CMA SEMINAR**

**USAP-CMA Activity Process  
Preparation**

**Cairo, 23 to 26 September 2024**



# Module Objectives

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 audit preparation phase
- the associated interactions between the Team Leader and Team Members

# Module Outline

- Preparation Phase
  - Annual Schedule of Activities
  - State and Airport Selection
  - Official Notification Letter
- Assignment of Team Leader and Team Leader Responsibilities
- Assignment of Team Members
- Status of Short-Term Experts
- Pre-audit documentation
- State-specific Audit Plan
- Role of the National Coordinator

# Preparation Phase

Begins with an official notification letter from the Director Air Transport Bureau to the State

Concludes with the audit team briefing prior to the opening national briefing with State authorities

# Annual Schedule of Activities

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- ❑ Published by ICAO via Electronic Bulletin (EB) every year (June and updated in January)
- ❑ Developed based on the risk assessment conducted for all States
- ❑ Includes both on-site and documentation-based audits
- ❑ Regularly updated on the USAP secure portal
- ❑ States encouraged to immediately begin preparations for their USAP-CMA audit once it is announced



# State Selection

Beyond the use of the risk assessment methodology, certain additional factors are also considered when scheduling States for a USAP-CMA audit, including:

- Regional balance
- Requests received from States
- Geographical proximity between States and ease of travel between them
- Availability of TLs and TMs
- Planned USOAP-CMA activities or by other regional bodies

# Airport Selection

ASA has developed and applies a mechanism for identifying airports to be visited, based on the following elements:

- Scope and duration of the audit
- Proximity to the appropriate authority offices
- Airport(s) visited during previous USAP audits
- Principal airport in terms of passenger volume
- Potential SSeCs
- Significant changes in an airport or State (operational/ oversight)

# Official Notification (1/3)

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

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





# Official Notification (2/3)

## Assembly Resolution A41-18 App D:

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

- preparing and submitting to ICAO all required documentation prior to activities, as scheduled by ICAO
- facilitating the work of audit teams
- preparing and submitting an appropriate corrective action plan
- implementing the corrective action plan according to agreed timelines



# Official Notification (3/3)

## 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 is appointed by C/ASA for each audit.  
Each Team Leader is:

- A fully trained ASA staff member
- Responsible for all phases of the assigned USAP-CMA activity (preparation, conduct and reporting)
- Provides leadership and guidance to TMs in the case of on-site audits
- Covers one or more audit areas



# Team Leader Responsibilities (1/3)

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

# Team Leader Responsibilities (2/3)

- Determine the scope of the audit in terms of applicable PQs, duration and team size
- Draft a State-specific audit plan for an on-site audit
- Forward the PQ Worksheets to the National Coordinator for completion and further submission (doc-based)

# Team Leader Responsibilities

## (3/3)

- Assign audit areas to Team Members
- Coordinate administrative matters with the 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

# Assignment of Team Members (1/3)

Audit team size depends on the type, scope and complexity of the audit

The Team Members (TM) are selected from the roster of certified USAP-CMA auditors, taking into consideration:

- Their geographical proximity
- Any areas of specific expertise
- The language of the audit (English, French or Spanish)

# Assignment of Team Members (2/3)

ASA Section ensures the Team Member:

- Is available to participate in the audit
- Has not provided assistance to the concerned State in the past 24 months or oversight on behalf of their appropriate authority, any regional body or ICAO



# Assignment of Team Members (3/3)

The State is provided with the names of the Team Members at least two months prior to the audit in order to:

- Provide comments and feedback on the team composition
- Facilitate the visa application process and other administrative matters.



# Status of Short-Term Experts

- Team Members are short-term experts (STE) seconded to the Programme by:
  - Member States
  - Regional organizations
- Are considered ICAO Officials while on ICAO mission.



# Pre-audit documentation

SASAQ, CCs

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

Schedule of national quality control activities for years N and N-1

Previous USAP audit report

Status of progress in implementing the State CAP

Differences filed by the State with respect to Annex 17 SARPs and security-related Standards of Annex 9.

Relevant mission and project reports from CDI, ISD-SEC, RO

# State-specific Audit Plan (1/4)

Developed by the Team Leader and sent to the National Coordinator for coordination with all entities

Detailed schedule covering all aspects of the audit, including:

- Briefings and meetings
- Visits to concerned entities, facilities and aviation security service providers

# State-specific Audit Plan (2/4)



Provided to Team Members to assist them in preparing for the USAP-CMA audit.



Submitted to the State through the NC for consideration and agreement.



National Coordinator ensures coordination with all concerned entities within the State



Audit Plan is “formally” approved during the National Briefing with the State’s authorities.

# State-specific Audit Plan (3/4)

## General information included :



MoU  
signature  
date and  
audit dates



National  
briefing and  
Post-audit  
debriefing  
venue, date  
and time



Contact  
details of  
the  
Appropriate  
Authority  
and the NC



Scope of  
the audit  
(audit  
areas)



Language of  
the audit  
and the  
audit report



Checklist of  
documents  
submitted  
by the State

# State-specific Audit Plan (4/4)

Day 1 – Monday 26 May 2025		
ALL TEAM MEMBERS		
0900-1000	National briefing (CAA HQ).	
	TEAM 1 (AA-XY)	TEAM 2 (BB-ZZ)
1000-1300	Regulatory Framework and the National Civil Aviation Security System (LEG)	Airport Operations (OPS) National-level policies and procedures
1300-1400	Lunch	
1400-1700	Regulatory Framework and the National Civil Aviation Security System (LEG) (continued)	Airport Operations (OPS) National-level policies and procedures

# TL and NC – Flow of information



## Team Leader

E-mail to the National Coordinator  
 SASAQ, CCs templates  
 PQs (on-site)  
 PQ Worksheets (Doc-based)  
 Audit plan (on-site)



## National Coordinator

Completed SASAQ, CCs  
 Primary/Secondary AVSEC Legislation  
 NCASP, NCASTP, NQCP, NATFP  
 ASP  
 Schedule of quality control activities  
 Completed PQ WS (Doc-based)



# Role of the National Coordinator (1/5)

## Documents to submit:

- SASAQ, CCs
- Aviation security legislation and regulations
- NCASP, NCASTP, NQCP, NATFP
- ASP and SOPs
- Schedule of national quality control activities for current and previous year
- Flight schedule



# Role of the National Coordinator (2/5)

Coordinate the development of the audit plan with TL:

- Identify appropriate times and locations for national and daily briefings
- identify relevant entities, appropriate timings, for industry visits and visits to other Government departments.



# Role of the National Coordinator (3/5)

## Internal Coordination:

- Identify focal points for each audit area
- Brief key Government and industry management on the audit, the audit plan, and confirm availability
- Distribute relevant PQs to relevant entities
- Consolidate evidence to be presented to the team
- For doc-based audit, ensure that the TM WS are completed and returned to the Team Leader

# Role of the National Coordinator (4/5)

Administrative and logistical support:

- coordinate visits to aviation security stakeholders
- arrange local transportation
- arrange meeting facilities and work area for the team
- assist with hotel reservations
- help with immigration formalities, as required

# Role of the National Coordinator (5/5)

Facilitate the conduct of the audit:

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



# Module Review

- Preparation Phase
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# Questions?

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# Thank You

