



SAFE SKIES.
**SUSTAINABLE
FUTURE.**

ICAO USAP-CMA SEMINAR

**USAP-CMA Activity Process
Conduct**

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

Module Outline

- Conduct phase
- National Briefing
- Audit plan
- Observation of security measures
- Collection of evidence
- Preliminary findings and recommendations
- Audits Debriefings
- Role of the National Coordinator
- Role of the technical liaison officer

Conduct Phase

Commences with the National Briefing at the start of the audit

Concludes with the Post-audit Debriefing at the end of the audit

Conduct Phase

Systematic gathering of information and evidence through document review, interviews and observation

All activities will be transparent and conducted only with the approval of the State

Audit team will not engage in activities that could be perceived as covert efforts to test security operations

Conduct Phase

The State must:

- Make appropriate staff available for interview by the ICAO team, including staff responsible for regulatory, oversight and facilitation matters, and staff of other security stakeholders
- Make all relevant national and airport-level files, records and documentation available for review by the ICAO team, including legislation, regulations, programmes, quality control activity records, airport-level procedures and internal quality control activity records
- Provide access to aerodrome facilities and restricted areas of the airport for observation by the ICAO team of aviation security measures implemented by all relevant entities

National Briefing (1/3)



Held with 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



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

National Briefing (2/3)

Content:

- Audit team presented
- Overview of the USAP-CMA objectives
- Review scope and methodology of the audit, including methods for gathering evidence
- Reinforcement of confidentiality provisions concerning any information or documents received by the audit team
- Review of Audit plan and schedule

National Briefing (3/3)

Content:

- Overview of the activities at the airport(s) selected for observation
- Arrangements for visits to authorities and/or aviation security service providers finalized
- Time and place for the Post-audit Debriefing confirmed
- Any remaining details addressed

Typical Doc-based Audit Plan

Days
1-5



Review of national-level documentation in all relevant audit areas – Dialogue with the NC

Days
8-9



Preparation of the preliminary findings and recommendations

Day 10



Post-audit debriefing

The Documentation-based audit plan will be adjusted based on the relevant time zone

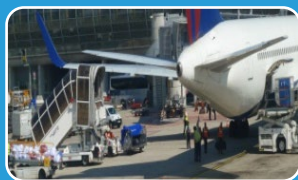
Typical On-site Audit Plan (1/3)

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

Duration adjusted based on audit scope & number of airports

Typical On-site Audit Plan (2/3)

Day 2 of Document Review		
	Team 1	Team 2
1000 – 1300	Daily NC briefing	Airport Operations National-level policies and procedures OPS
	Training of Aviation Security Personnel TRG	
1300 – 1400	Lunch	
1400 – 1700	Quality Control Functions QCF	Security Aspects of Facilitation – Passport office visit FAL

Typical On-site Audit Plan (3/3)

Day 4 – Airport Observations		
	Team 1	Team 2
1000–1300	Airport Operations OPS	Passenger and Baggage Security PAX
1300–1400	Lunch	
1400–1700	Daily NC briefing	Cargo, Catering and Mail Security – Visit to RAs and KCs CGO
	Aircraft and In-flight Security IFS	
2000–2300	Night Observations (if required)	

Observation of Security Measures

OPS

- Supporting resources and facilities
- Access control to airside and SRAs
- Airport pass system
- Background checks
- Equipment minimum detection settings
- 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
- Transport of weapons

PAX

- Screening of originating/transfer passengers/baggage
- One-stop security
- Protection of screened passengers/baggage
- Protection of transit passengers and airport
- Reconciliation and authorization of hold baggage

CGO

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

Observation at a Second Airport

- May be required based on a risk assessment carried out by ICAO
- State will always be notified well in advance
- Additional days will be added on to the audit and reflected in the audit plan
- Helps ensure equivalent measures are in use throughout the audited State

Collection of Evidence (1/6)

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 (2/6)

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
- ATSPs

Collection of Evidence (3/6)

- 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 (4/6)

- 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 are not audits of the stakeholder(s)
- System versus people: ICAO audits aviation security and oversight systems, not service providers or their staff

Collection of Evidence (5/6)

Documentation-based Audits

- Team Leader reviews the responses to each PQ submitted by the State, as well as other documentation provided
- Team Leader assesses the status of all PQs
- PQs related to the operational implementation of security measures are marked as “**Undetermined**”, unless their status has already been determined during an on-site audit

Collection of Evidence (6/6)

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

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

Preliminary 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

Preliminary 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

Drafting of Preliminary Findings (1/2)

- The audit team member records the evidence in the PQ WS, marks the status of the associated PQ as not satisfactory and clearly indicates how and why that determination was made
- Findings and recommendations are drafted by the Audit Team Leader

Drafting of Preliminary Findings (2/2)

Finding-XX	Finding Priority: High	Audit Area: CGO			
FINDING:					
<p>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.</p> <p>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.</p>					
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	

Final Debriefing with the NC

Held with the National Coordinator immediately prior to the Post-audit Debriefing, in order to:

- Review all the preliminary findings and recommendations
- Facilitate the Post-audit Debriefing
- Advise as to the next steps in the USAP-CMA process
- Review SSeC process, if applicable
- Review the CAP completion process

Post-audit Debriefing (1/3)

- 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 (2/3)

- 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 (3/3)

For documentation-based audits, the ICAO auditor will provide the national coordinator with a summary of the results to:

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

Role of the National Coordinator (1/2)



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 stakeholder visits

Role of the National Coordinator (2/2)



Ensure access to all relevant documentation, personnel and entities, as per the audit plan, including for those aspects related to facilitation



Keep key government officials informed of the progress and preliminary results of the audit



Ensure that each government official responsible for one of the audited areas attends the national briefing and the post-audit debriefing

Role of the Technical Liaison Officer (TLO)

- 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

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Questions?

Thank You

