



INTERNATIONAL CIVIL AVIATION ORGANIZATION (ICAO)
ORGANIZACIÓN DE AVIACIÓN CIVIL INTERNACIONAL (OACI)

COMISIÓN LATINOAMERICANA DE AVIACIÓN CIVIL (CLAC)
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AVSEC/FAL/RG/4 — WP/16
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**FOURTH MEETING OF THE AVIATION SECURITY AND FACILITATION REGIONAL
GROUP (AVSEC/FAL/RG/4)**

ICAO NACC Regional Office, Mexico City, Mexico, 3 to 5 June 2014

Agenda Item 9 Other business
9.3 Audit procedures development

**COORDINATION BETWEEN STATES FOR STANDARDIZING
THEIR SECURITY SYSTEMS AUDIT PROCEDURES**

(Presented by Argentina)

EXECUTIVE SUMMARY	
<p>This working paper proposes the creation of a Working Group to carry out a project aiming to develop harmonized protocols to be used in auditing activities of the aeronautical authority as a first step to harmonize audits in the NAM/CAR and SAM States.</p>	
Action:	Action is presented in Section 3.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"> • Security and Facilitation
<i>References:</i>	<ul style="list-style-type: none"> • AVSEC/FAL Regional Group (AVSEC/FAL/RG) Work Programme and Projects • Annex 9 – <i>Facilitation</i> • Annex 17 – <i>Security</i> • <i>Aviation Security Manual</i> (Doc 8973/8 – Restricted) • <i>Security Audit Reference Manual</i> (Doc 9807 – Restricted) • <i>Oversight manual, Part C – The Establishment and Management of a State’s Aviation Security Oversight System</i> (Doc 9734) • Universal Security Audit Programme (USAP)

1. Introduction

1.1 According to results of the ICAO USAP second audit cycle, Critical Element 7 –Quality Control Obligations— has one of the highest lack of compliance rates in the region.

1.2 Despite the different security systems available in NAM/CAM and SAM States, which respond to their threat and risk evaluations, many advantages can be obtained with the possibility of implementing homogeneous quality control processes. For example:

- comparable results to that of the USAP audits findings;
- a better identification and correction of deficiencies;
- indicators that can be compared with the USAP; y
- development of more efficient corrective action plans.

2. Analysis

2.1 In compliance with Annex 17 to Chicago Convention, the representatives of the States that integrate the Regional Group, have established quality control systems, developing an Aviation Security Quality Control Programme, based on Doc 8973 *ICAO Security Manual* reference material. However, the criteria according to which we define the audits are different and, in many cases, we do not have a clear nor defined guide to carry out audits.

2.2 To obtain the benefits indicated in paragraph 1.2, it is suggested that the Meeting consider the implementation of a Project aiming to develop harmonized audit protocol guidelines for quality control audits that each State carries out in its own aviation security systems.

2.3 It is necessary to point out that this initiative will provide States with homogeneous tools that could be included in their own aviation security quality control programme within their corresponding regulatory framework. Also, this initiative intends to define the application of uniform criteria for State audits, which will permit the creation of an adequate environment for the implementation of joint training activities and continuous process improvement, horizontal cooperation between States and coordination mechanisms.

2.4 In order to design the project, the creation of a Working Group is being proposed to define the activities to be implemented, resources required and the time necessary for each activity.

2.5 The Working Group could prepare a Gantt chart with this information and a presentation of the project for the Fifth Meeting of the AVSEC/FAL Regional Group, including the following information:

- development of model audit protocols for the States;
- required training activities;
- practical implementation exercises; and
- future activities.

3. Suggested action

3.1 The Meeting is invited to:

- a) study this initiative and consider the need to carry out this Project that will lead to a standardization of audits results of the States of the region, which will be similar to USAP audits results, developing audit protocol models and guidelines to be used by all States; and
- b) analyse and approve proposed deadlines for the presentation of conclusions of this Project.

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