



**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 - Reporting**

**Cairo, Egypt, 26 to 28 January 2015**

**Module 8**

## **Module objective**



At the end of this module the participants will have a clear understanding of the requirements and timelines both for Member States and ICAO during the Reporting phase of a USAP-CMA activity.

## Outline

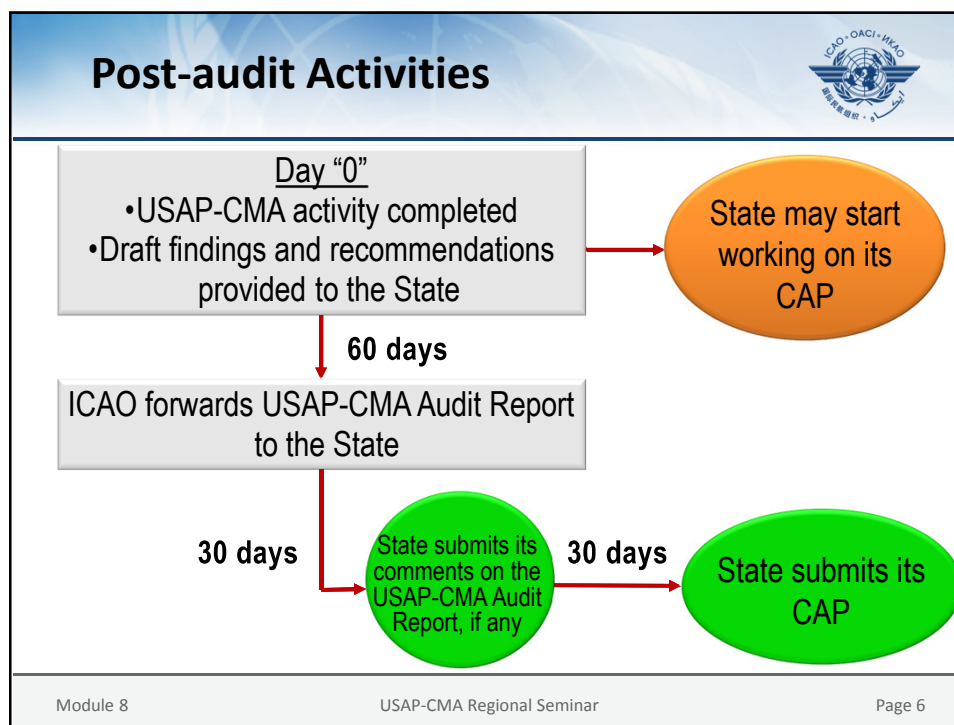
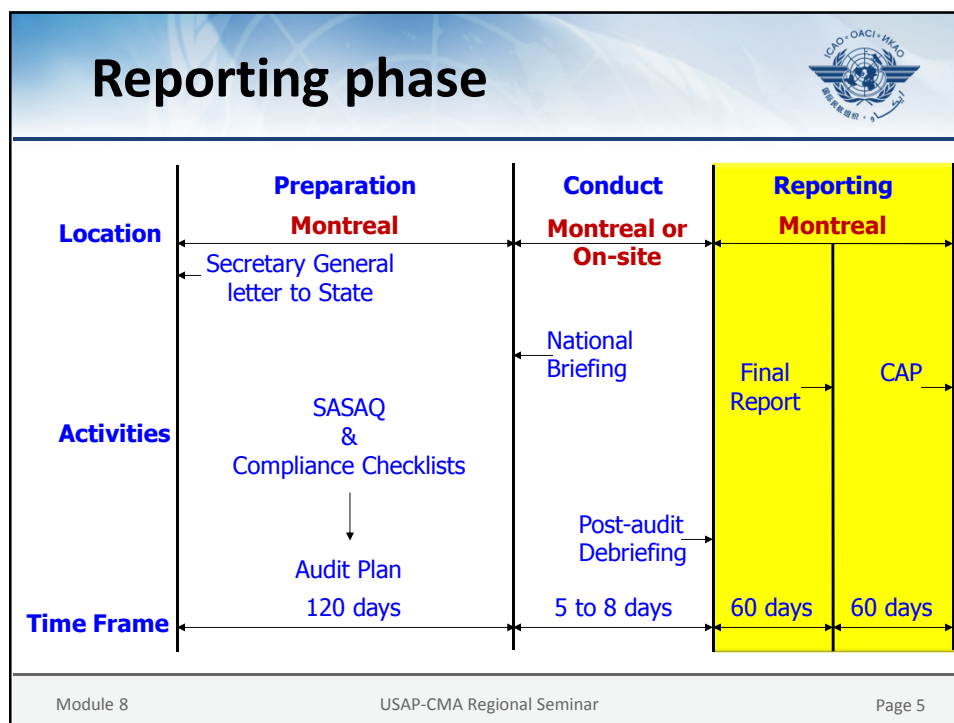


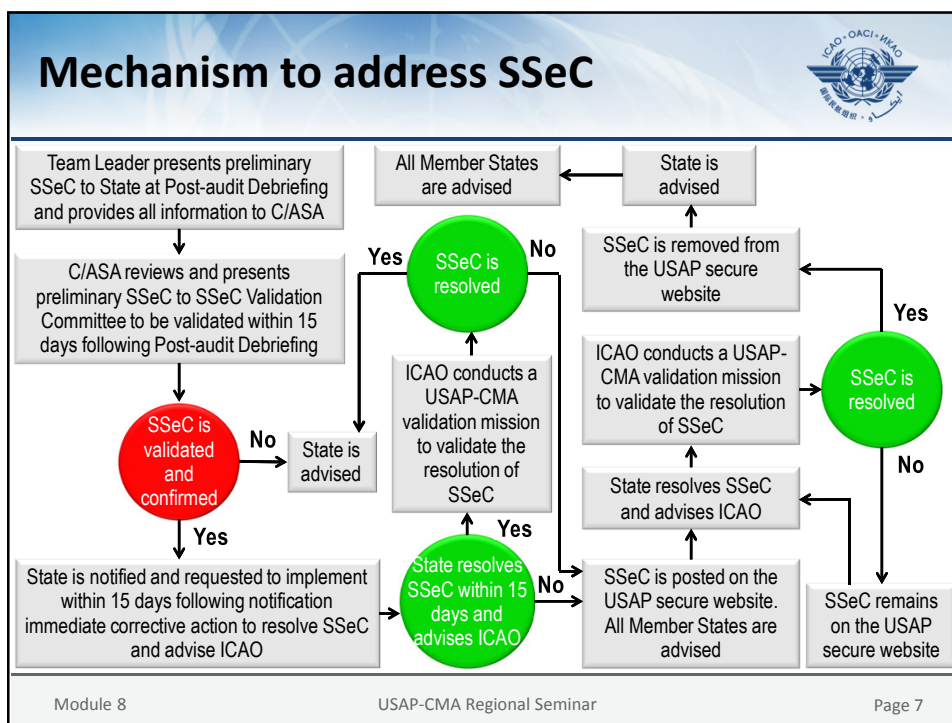
- Reporting phase
- USAP-CMA Audit Report
- State's Corrective Action Plan (CAP)
- Review, evaluation and validation of State's CAP
- Internal quality assurance – feedback forms
- Team Leader's responsibilities
- Role of the National Coordinator

## Reporting phase



- The Reporting phase commences at the end of the Post-audit Debriefing with the State.
- Under the USAP-CMA, this phase will become more interactive based on the USAP-CMA activity results.





## USAP-CMA Audit Report

- The USAP-CMA Audit Report is the official ICAO report of the USAP-CMA activity.
- It is submitted to the State within 60 calendar days following the Post-audit Debriefing.
- If the ICAO working language of the State is other than the language of the activity, the audit report will be translated into that language and subsequent timelines will be adjusted accordingly.

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## Contents of the USAP-CMA Audit Report



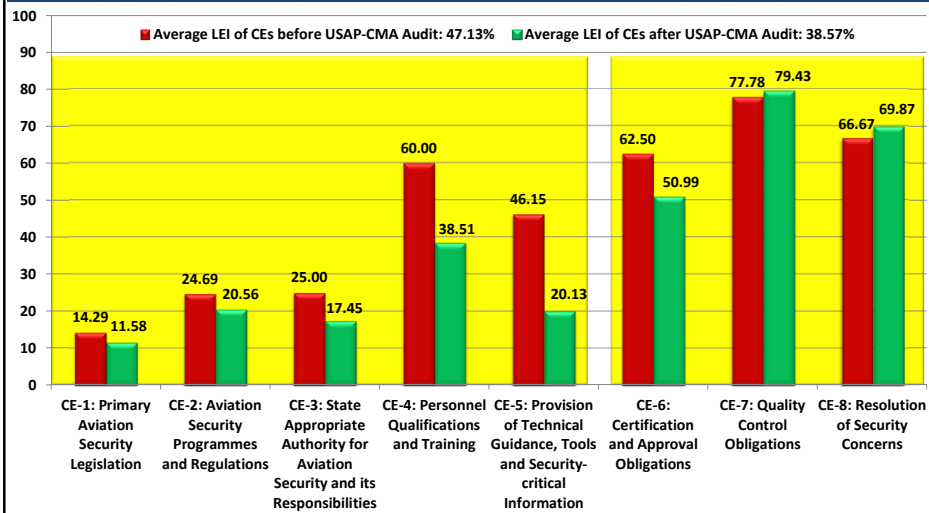
### PART I. INTRODUCTION

### PART II. OBJECTIVES OF THE USAP-CMA AUDIT

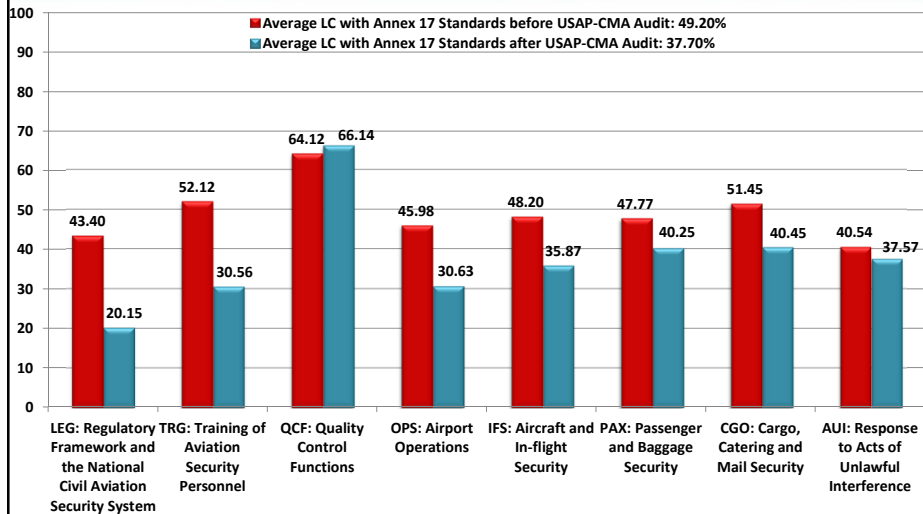
### PART III. SUMMARY OF THE USAP-CMA AUDIT RESULTS

Appendix 1. Analysis of the USAP-CMA Audit Results by Critical Element  
Appendix 2. USAP-CMA Audit Findings and Recommendations

## Graphs in the USAP-CMA Audit Report State's Oversight Indicator



## Graphs in the USAP-CMA Audit Report State's Compliance Indicator

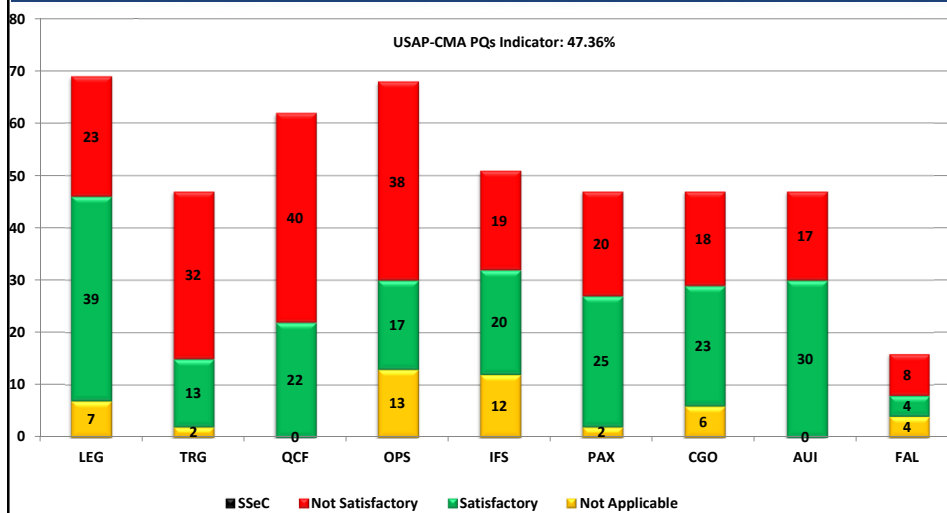


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## Graphs in the USAP-CMA Audit Report State's USAP-CMA Protocol Questions Indicator



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## Confidentiality and limited level of transparency



### Article 32 of the MOU

- USAP-CMA audit reports will be confidential and made available to State and ICAO staff on a need-to-know basis.
- In addition, charts depicting the level of implementation of the critical elements of an aviation security oversight system by State and an indication of compliance by State with Annex 17 Standards will be made available to all Member States on the USAP secure website.

## State's Corrective Action Plan



- The State is encouraged to start working on its Corrective Action Plan (CAP) on the basis of the draft findings and recommendations submitted to the State's authorities during the Post-audit Debriefing.
- The official State CAP, however, should be based on and reflect the findings contained in the USAP-CMA Audit Report.
- The State CAP should be submitted to ICAO within 60 calendar days following the receipt of the USAP-CMA Audit Report.

## State's Corrective Action Plan



- If the USAP-CMA Audit Report requires translation, the timeline for the production of a CAP starts when the State receives the translated USAP-CMA Audit Report. All subsequent actions will be sequenced accordingly.
- If no CAP is submitted within the determined period, ICAO will send a letter reminding the State of its obligations.
- Failure to submit a CAP will result in the referral of the State to the Monitoring and Assistance Review Board (MARB) which will determine possible courses of action.

## State's Corrective Action Plan



The State's CAP should:

- Address all points in the finding including the implementation based on the recommendation of the ICAO USAP-CMA Audit Report.
- Provide detailed and specific actions with realistic estimated implementation dates for the resolution of each of the findings.
- Identify the action office within the State responsible for each action.



# State's Corrective Action Plan



States are encouraged to use the State Corrective Action Plan template developed and provided by ICAO for this purpose.

# Corrective Action Plan template



Finding No.				Finding Priority:			Audit Area:	
Priority	SARP	CE	PQ	ICAO RECOMMENDATION	COMMENTS AND OBSERVATIONS	CORRECTIVE ACTION(S) PROPOSED	ACTION OFFICE(S)	ESTIMATED IMPLEMENTATION DATE(S)
				[State] should:				Starting Date

## Review of State's CAP



- The State's CAP will be reviewed by ASA to provide feedback on the acceptability of the CAP.
- If any proposed corrective actions do not fully address the associated findings and recommendations, the State will be notified accordingly and requested to resubmit the CAP.



## Evaluation of State's CAP



- States should continue sending information to ASA on the progress made in the implementation of their CAPs.
- The State's CAP, including progress updates, will be evaluated by ASA to measure (unvalidated) progress achieved in the rectification of deficiencies identified in the USAP-CMA Audit Report.
- Such evaluations may result in updating the State's USAP-CMA key parameters.

## Validation of State's CAP



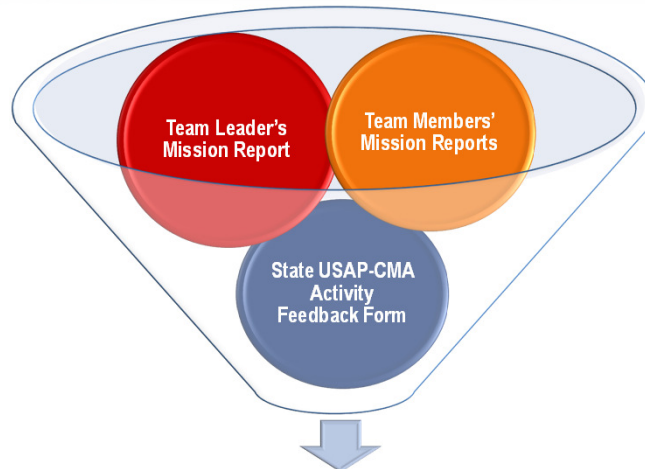
- Any subsequent USAP-CMA activity for a State will include a process to validate the progress made by the State in the implementation of its CAP.
- The nature, scope and scheduling of the next USAP-CMA activity for a State will be based on the following considerations:
  - ✓ the State's USAP-CMA key parameters;
  - ✓ nature of identified security deficiencies;
  - ✓ specific directions of the MARB, Secretariat or Council;
  - ✓ specific request from the State concerned.

## Update of State's Aviation Security Performance Indicators



- Future updates to the State's aviation security performance indicators and SSeC status, if any, will be determined through the conduct of subsequent USAP-CMA activities.
- Any such update will also result in the updating of the State's USAP-CMA key parameters.

## Internal quality assurance – feedback forms



**Greater quality and efficiency for USAP-CMA**

## Team Leader's responsibilities



- Develop and submit to C/ASA the draft USAP-CMA audit report in compliance with established timelines and requirements of the ASA.
- Provide the ASA with additional information and clarification during the report production phase, as required.
- In the event of a preliminary SSeC identified during the USAP-CMA activity, prepare and submit to C/ASA all related documentation.

## Team Leader's responsibilities



- Submit to C/ASA all confidential documents and notes collected during the USAP-CMA activity process.
- Prepare and submit to C/ASA the Team Leader's mission report.
- Review State's CAP and provide feedback, as necessary.

## Role of the National Coordinator



- Ensure that the State starts working on its corrective actions immediately following the Post-audit Debriefing using the draft findings and recommendations and the template provided by the ICAO team during the Post-audit Debriefing.
- Coordinate the preparation and submission of the State's CAP within 60 calendar days following receipt of the USAP-CMA Audit Report.
- Upon receipt of the USAP-CMA Audit Report, coordinate the comments from the State on the report and submit them to ICAO within 30 calendar days.

## Role of the National Coordinator



- Based on ASA's comments, coordinate changes or adjustments to the State's CAP and its re-submission to ICAO.
- Ensure that the State USAP-CMA Activity Feedback Form is duly completed and submitted to ICAO soon after the receipt of the USAP-CMA Audit Report.
- Keep ASA abreast of the State's progress in the implementation of its CAP.

## Review



- Reporting phase
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## ICAO Universal Security Audit Programme

# Questions?



## End of Module 8