



INTERNATIONAL CIVIL AVIATION ORGANIZATION
A United Nations Specialized Agency

ICAO Universal Security Audit Programme (USAP)

ICAO Regional Aviation Security Audit Seminar

Final Review

Cairo, Egypt, 26 to 28 January 2015

Module 9

Module objective



At the end of this module the participants will have a clear understanding of the main elements of the USAP-CMA methodology and the scope of activities undertaken both by Member States and by ICAO under the USAP-CMA.

Outline



- Main elements of the USAP-CMA
- Actions to be implemented by States
- Actions to be taken by the National Coordinator
- Actions to be taken by ICAO

USAP-CMA Objective



The objective of the USAP-CMA is to promote global aviation security through continuous auditing and monitoring of Member States' aviation security performance by:

- regularly and continuously obtaining and analysing data on Member States' aviation security performance, including the level of implementation of the critical elements of an aviation security oversight system and the degree of compliance with Standards of Annex 17 — *Security* and the relevant security-related provisions of Annex 9 — *Facilitation*, as well as associated procedures, guidance material and security-related practices;

USAP-CMA Objective



- identifying deficiencies in the overall aviation security performance of Member States and assessing the risks associated with such deficiencies;
- providing prioritized recommendations to assist Member States in addressing identified deficiencies;
- evaluating and validating corrective actions taken by Member States; and
- re-assessing Member States' aviation security performance, in order to continuously enhance their aviation security oversight and compliance capabilities.

State's Aviation Security Performance Indicators



The State's aviation security performance is defined as the State's level of implementation of the critical elements of an aviation security oversight system and the State's degree of compliance with Annex 17 Standards and security-related provisions of Annex 9.

Compliance Indicator



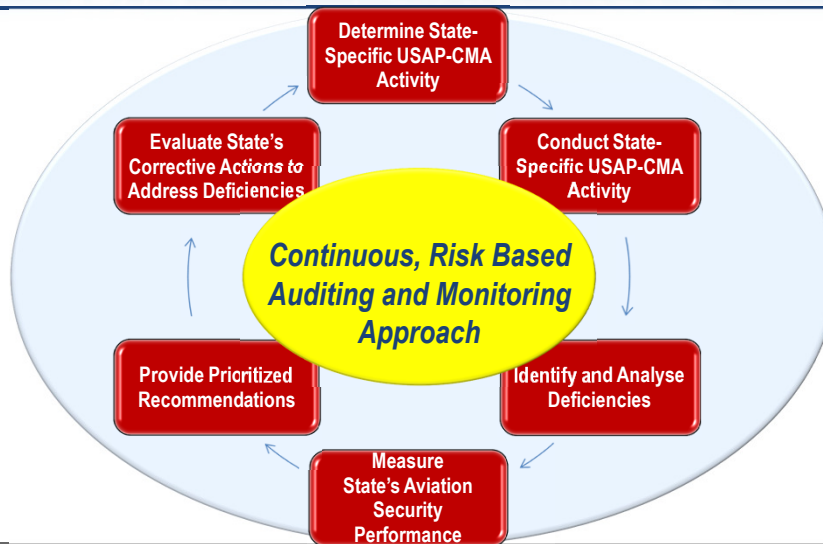
Average lack of compliance with Annex 17 Standards and average lack of compliance with security-related provisions of Annex 9.



Oversight Indicator

Average lack of effective implementation of the eight critical elements of an aviation security oversight system.

USAP-CMA Process



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USAP-CMA activities



Documentation-based audits

Oversight-focused audits

Compliance-focused audits

Other audit and monitoring activities

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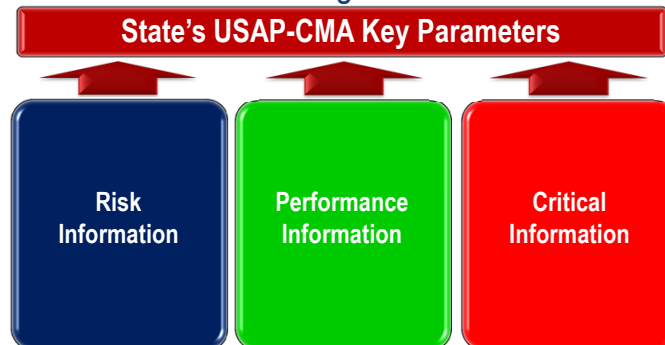
USAP-CMA Activity Process



State's USAP-CMA Key Parameters



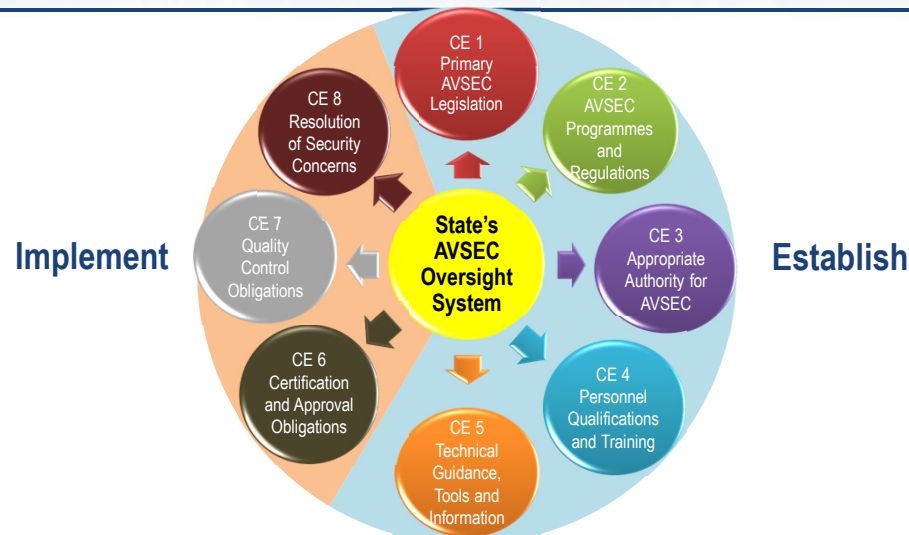
The priorities and frequency of audit and monitoring activities to be employed for Member States, as well as the type and scope of such activities are determined by the State's USAP-CMA key parameters based on the following information:



USAP-CMA principles



State's Aviation Security Oversight System



Classification of USAP-CMA Protocol Questions



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USAP-CMA Protocol Question Worksheet



| PQ No. | ICAO Ref. | Protocol Question | Status |
|------------------|-------------------|--|---|
| LEG 1.005 | 2.1.2 CE-1 | Has the State promulgated primary aviation security legislation (e.g. aviation security act or equivalent) to enable it to address its aviation security-related obligations as a signatory to the Chicago Convention? | <input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable |

Guidance for Review/Observation:

Identify and review the primary legislative framework for aviation security.

Identify the date of promulgation and last amendment.

Evidence:

Click here to enter text.

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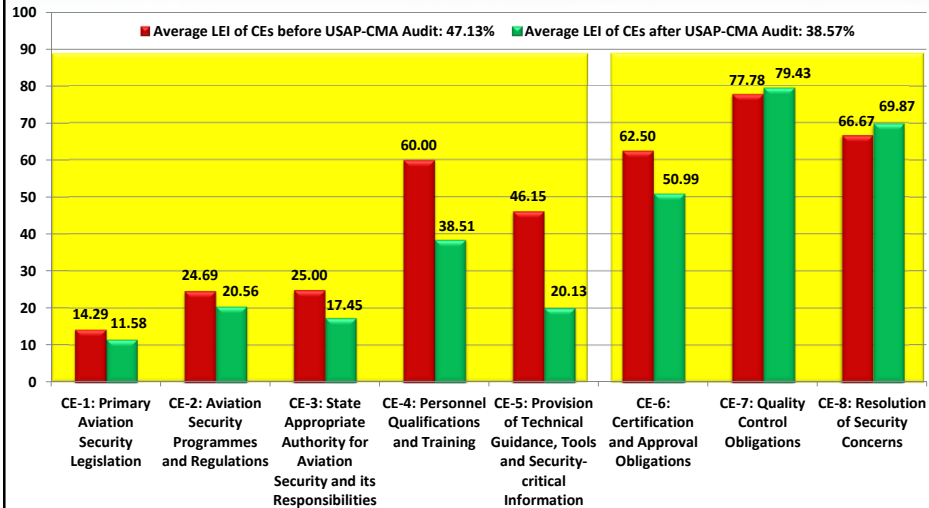
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| Finding No. | Finding Priority: | Audit Area: |
|-----------------|-------------------|----------------------|
| FINDING: | | |
| Finding Number | Finding | Audit Area |
| Finding | Finding Priority | |
| RECOMMENDATION: | | |
| [State] should: | PQ | CE SARP Priority |
| Recommendation | PQ Priority | Related PQ, CE, SARP |
| | | |
| | | |
| | | |
| | | |

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

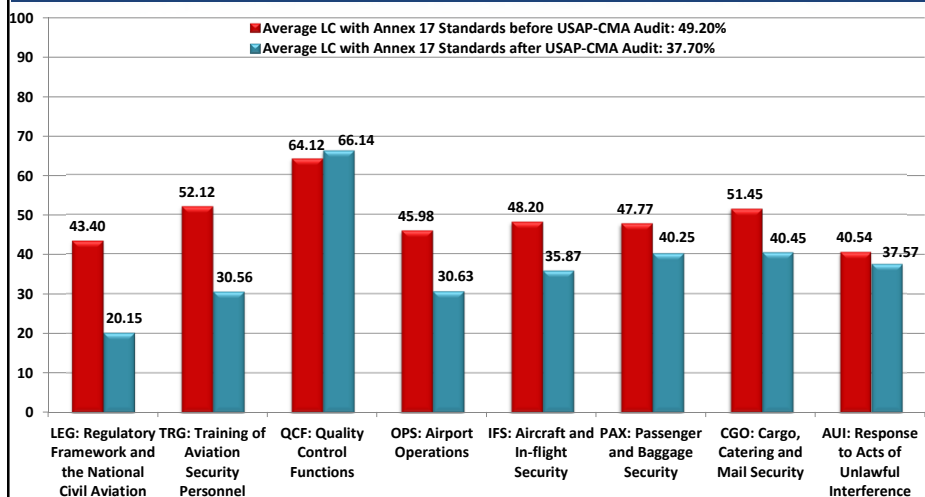


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Graphs in the USAP-CMA Audit Report State's Compliance Indicator



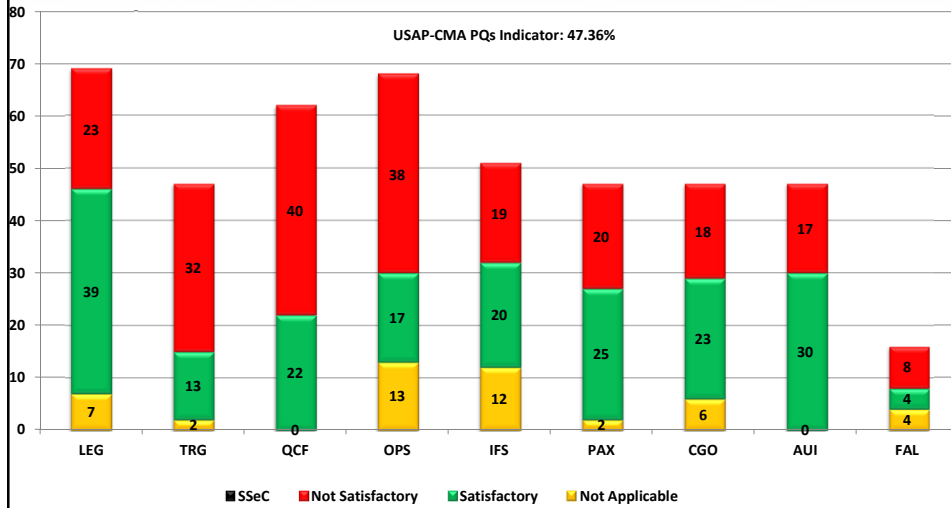
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Graphs in the USAP-CMA Audit Report

State's USAP-CMA Protocol Questions Indicator



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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 | Completion Date |
| | | | | | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |

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Actions to be implemented by States



- Sign and submit the MOU to ICAO
- Identify and appoint a National Coordinator
- Complete and maintain up-to-date the State Aviation Security Activity Questionnaire (SASAQ)

Actions to be implemented by States



- Complete and maintain up-to-date the Compliance Checklists (CCs)
- Prepare for, and participate in, USAP-CMA activities on the determined dates
- If a preliminary SSeC is confirmed, take appropriate and immediate action to resolve or mitigate it

Actions to be implemented by States



- Prepare a Corrective Action Plan to address identified deficiencies
- Comment on the USAP-CMA Audit Report
- Correct identified deficiencies, as applicable
- Prepare and submit updates to the Corrective Action Plan, as required

Actions to be implemented by States



- Complete the State Audit Feedback Form
- Carry out all other actions as detailed in the MOU

Actions to be taken by the National Coordinator



- Act as contact/focal point for ICAO/ASA with respect to USAP-CMA
- Ensure the initial signature and submission of the MOU to ICAO
- Ensure that the SASAQ and the CCs are duly completed and submitted to ICAO/ASA

Actions to be taken by the National Coordinator



- Ensure that the SASAQ and the CCs are maintained up-to-date
- Arrange for the submission of any additional State documentation/clarifications
- Coordinate preparation activities with ASA

Actions to be taken by the National Coordinator



- Advise State participants of USAP-CMA on-site mission dates and identify/verify their availability
- Distribute the USAP-CMA Protocol Questions to the relevant State and airport-level entities for preparation of evidence and documentation
- Coordinate the locations/times of the National Briefing and Post-audit Debriefing and ensure the attendance of appropriate State participants

Actions to be taken by the National Coordinator



- Coordinate State participant activities during the USAP-CMA on-site mission
- Coordinate the preparation and submission of the State's Corrective Action Plan, including any subsequent updates
- Coordinate the State's comments on the USAP-CMA Audit Report and their submission to ICAO by the determined date
- Coordinate the submission of the State Audit Feedback Form

Responsibilities of ICAO



- ICAO HQ/ASA
 - Develop, implement and maintain USAP-CMA
 - Manage USAP-CMA plan of activities
 - Conduct analysis and measurement of States' aviation security performance indicators and USAP-CMA key parameters
 - Prepare and submit USAP-CMA Audit Reports to States
 - Review, evaluate and provide comments on Corrective Action Plans submitted by States

Actions to be taken by ICAO



- ICAO Regional Offices
 - Assist in the coordination of USAP-CMA activities
 - Institute follow-up discussions with States on the implementation of their Corrective Action Plans
 - Ensure that corrective actions are taken by States in their regions in a timely manner
 - Provide input to ASA on the selection and prioritization of USAP-CMA activities

Summary



ICAO

- Implement and maintain USAP-CMA
- Manage USAP-CMA plan of activities
- Analyse and measure States' aviation security performance
- Prepare and submit USAP-CMA audit reports to States
- Evaluate and validate CAPs
- Continuously audit and monitor States' oversight and compliance capabilities



States

National Coordinator

- Apply for and maintain up-to-date the SASAQ and the CCs
- Participate in USAP-CMA activities
- Develop and implement a CAP

States

- Act as State's focal point for USAP-CMA
- Ensure that the SASAQ and the CCs are submitted and maintained up-to-date
- Coordinate all USAP-CMA activity phases with ASA
- Ensure the submission of the CAP

USAP



- For over a decade, ICAO has performed aviation security audits under the framework of the USAP.
- ICAO has evaluated compliance with Annex 17 and the oversight capabilities of its Member States, as well as monitored their corrective actions as they progress in improving global aviation security.
- The Member States were extremely pleased with the success of the USAP and its results.

USAP



- Under CMA, the objective of the USAP is to promote global aviation security through continuous auditing and monitoring of Member States' aviation security compliance and oversight capabilities.
- The USAP-CMA will enable ICAO to enhance States' compliance and oversight capabilities by:
 - ❖ Prioritizing audit and monitoring activities;
 - ❖ Identifying security deficiencies and assessing associated risks;
 - ❖ Providing prioritized recommendations; and
 - ❖ Continuously re-evaluating States' compliance and oversight capabilities.

In a nutshell:



- ➔ The successful and efficient implementation of the USAP-CMA depends on continuous partnership and shared responsibility.
- ➔ Only by effective team work between ICAO and Member States can the objectives of the USAP-CMA be achieved in an on-going and cost-effective way.
- ➔ We are looking forward to working with you to enable the successful implementation of the USAP-CMA.



Review



- Main elements of the USAP-CMA
- Actions to be implemented by States
- Actions to be taken by the National Coordinator
- Actions to be taken by ICAO

ICAO Universal Security Audit Programme



Questions?



End of Module 9