INTERNATIONAL CIVIL AVIATION ORGANIZATION
A United Nations Specialized Agency

ICAO Universal Security Audit Programme (USAP)

ICAO Regional Aviation Security Audit Seminar

USAP Continuous Monitoring Approach

Cairo, Egypt, 26 to 28 January 2015

Module 3

Module objective

At the end of this module the participants will be familiar with the USAP Continuous Monitoring Approach (USAP-CMA) methodology and the different types of activities for monitoring ICAO Member States.

Outline

- USAP-CMA background
- USAP-CMA objective
- State's aviation security performance indicators
- USAP-CMA process
- USAP-CMA activities
- State's USAP-CMA Key Parameters
- USAP-CMA principles
- USAP-CMA advantages
- USAP-CMA related documents
- USAP-CMA MoU
- USAP-CMA tools
- USAP-CMA transition plan
- Seminars and training

USAP-CMA Background

JUN 2009
- Council decision to assess the feasibility of applying CMA to the USAP after 2013

JUN 2011
- Secretariat Study Group (SSG) to assist the Secretariat in the development of options for the evolution of the USAP

MAR 2012
- Unanimous support for the concept of a USAP-CMA by the Aviation Security Panel

JUN 2012
- Council approval, in principle, of the USAP-CMA concept

USAP-CMA Background

SEP 2012	• Endorsement of the USAP-CMA by the High-Level Conference on Aviation Security (HLCAS)
OCT 2012	• Council formal approval of the USAP-CMA concept and associated transition plan
SEP 2013	• The 38th Session of the Assembly endorsed the USAP-CMA

HLCAS Recommendations

✓ Continued focus on deficiencies and corrective actions;

✓ Implementation of a risk-based continuous monitoring approach for all Member States;

✓ Methodology, framework and implications to be considered by Council;

✓ Limited level of transparency to remain; and

✓ No excessive administrative burden for States.

Assembly Resolution A38-15

- Endorsed the Council's decision to extend the CMA to the USAP in 2015, following the successful completion of the second cycle of USAP audits in 2013 and a transition period.

- Requested the Council to oversee the activities of the USAP-CMA as it monitors States' levels of effective implementation of the critical elements of an aviation security oversight system, compliance with the ICAO SARPs, and implementation of State corrective action plans.

Assembly Resolution A38-15

- Endorsed the policy of a limited level of transparency of security audit results for the USAP-CMA, particularly relating to the prompt notification of the existence of significant security concerns (SSeCs).

- Urged all Member States to share upon request, if appropriate and consistent with their sovereignty, the results of audits and other USAP-CMA activities carried out by ICAO and the corrective actions taken by the audited State.

Assembly Resolution A38-15

- Urged all Member States to give full support to ICAO by:

a) accepting USAP-CMA missions as scheduled by the Organization, in coordination with relevant States;

b) facilitating the work of the USAP-CMA teams;

c) preparing and submitting to ICAO all required documentation; and

d) preparing and submitting an appropriate corrective action plan to address deficiencies identified during USAP-CMA activities.

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.
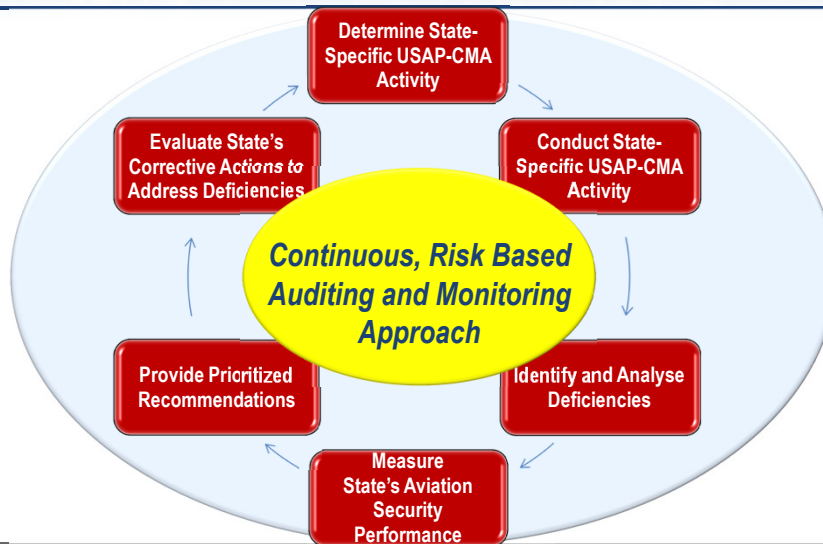
Compliance Indicator

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

Determine State-Specific USAP-CMA Activity

Conduct State-Specific USAP-CMA Activity

Evaluate State's Corrective Actions to Address Deficiencies

Continuous, Risk Based Auditing and Monitoring Approach

Identify and Analyse Deficiencies

Provide Prioritized Recommendations

Measure State's Aviation Security Performance

USAP-CMA activities

Documentation-based audits

Oversight-focused audits

Compliance-focused audits

Other audit and monitoring activities

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Documentation-based audits

- For States with the most developed aviation security and oversight systems.

- Are conducted primarily by correspondence between ICAO and the States concerned with increased requirements to submit documentation.

- Failure by State to provide documentation as requested by ICAO will make the State ineligible for a documentation-based audit and the State will be scheduled for an on-site USAP-CMA activity.

Documentation-based audits

- Any specific areas of concern will be identified and addressed either remotely through mandatory information requests or by means of an on-site USAP-CMA mission to the State concerned.

- May identify potential SSeCs, requiring a USAP-CMA on-site activity.

- States identified for documentation-based audits will still receive on-site audits from time to time, as appropriate.

Oversight-focused audits

- For States with oversight and quality control systems already in place but not sufficiently developed to effectively and sustainably oversee all aviation security measures and activities in compliance with relevant Annex provisions.

- Are conducted by means of on-site audits.

- The scope of such audits might be full, covering all audit areas, or partial, covering one or more specific audit areas, based on previous audit results and other information available to ICAO.

Compliance-focused audits

- For States with very limited or no quality control activities, as confirmed by previous audit activities.

- Are conducted by means of on-site audits.

- Include more observations of the implementation of security measures at the airport to assess the State's compliance with relevant SARPs.
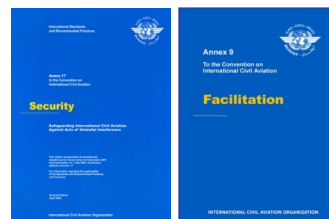
Other audit and monitoring activities

- USAP-CMA cost-recovery audits may be conducted at the request of a Member State and will be accommodated as resources and time permit.

- The methodology will be the same as for compliance-focused audits or oversight-focused audits, as applicable.

- The type, scope and scheduling of any such cost-recovery audit shall require agreement between ICAO and the State.

- The results will be treated in the same manner as the results from regularly-scheduled USAP-CMA activities, including the possibility of invoking the SSeC mechanism.

Other audit and monitoring activities

- It is recognized that a number of States are not in a position to derive full benefit from an audit.

- These States will be referred to the Implementation Support and Development - Security Programme and the Technical Cooperation Programme, for the determination and provision of appropriate and timely assistance.

- ASA will coordinate with ISD-SEC to determine the appropriate timing for a USAP-CMA audit-related activity to be conducted for such States.

ASSISTANCE
SUPPORT
GUIDANCE

# USAP-CMA Activity Phases
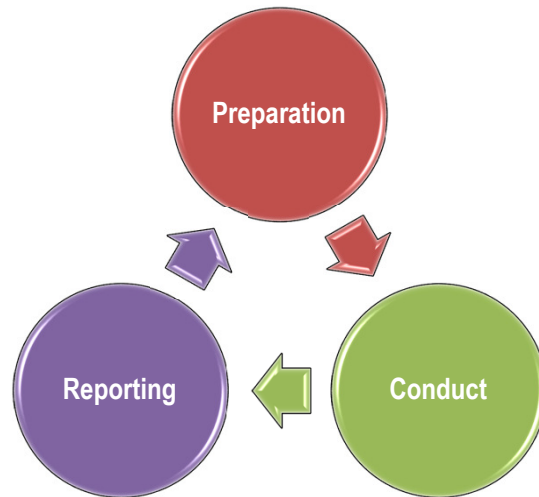
State's USAP-CMA Key Parameters

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:

State's USAP-CMA Key Parameters

Risk Information

Performance Information

Critical Information
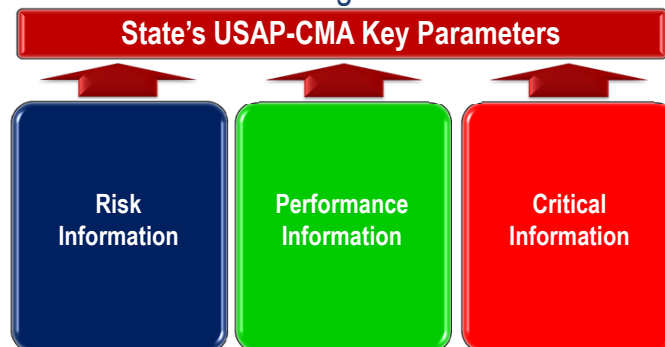
Risk Information

- Level or nature of activity inconsistent with security oversight capability.
- Security incidents linked to deficiencies in a State's security oversight responsibilities and obligations.
- State security record - acts of unlawful interference.
- Failure or refusal to participate in significant aspects of the USAP-CMA process, including, but not limited to, preparation, conduct and reporting requirements.
- Failure to resolve the critical security-related deficiencies identified in the USAP-CMA activity, such as SSeCs.

Performance Information

- Results of the previous USAP activity.

- State Compliance Indicator.

- State Oversight Indicator.

- Existing or potential SSeCs.

- Level of acceptability of the State's CAP.

- State's CAP implementation progress.

Critical Information

- Number of airports in the State serving international civil aviation.

- Number of aircraft operators providing service from the State.

- Annual number of aircraft movements.

- Annual number of originating and transfer passengers.

- Annual volume of exported cargo and mail.

- Significant development in the State's aviation security and oversight systems.

- ICAO assistance activities in the State.

- Time elapsed since the last USAP-CMA activity.

Launch of USAP-CMA activities

- For the initial audit and monitoring activities, States' USAP-CMA key parameters will be determined based on:

  – USAP Cycle I audit results;

  – Improvement at the time of follow-up visits;

  – USAP Cycle II audit results.

- As USAP-CMA activities progress, each State's USAP-CMA key parameters will be updated accordingly.

USAP-CMA principles

Quality	Confidentiality	
All-inclusiveness	Consistency and objectivity	Fairness
Sovereignty	Universality	Transparency of methodology	Timeliness

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USAP-CMA Advantages

✓ **Move from cyclical audits** providing only a snapshot of the aviation security and oversight situation in States to continuous, risk-based, monitoring by allowing ICAO to develop and maintain an on-going, updated picture of the aviation security situation in States.

✓ **Flexible framework and methodology,** as opposed to one-size-fits-all model, which encompasses administrative or on-site activities and enables increased flexibility in determining the real needs of each State, proposing different audit and monitoring activities.

USAP-CMA Advantages

✓ **A risk-based approach**, using various key parameters, to determine the type, scope, priority and frequency of audit and monitoring activities to be employed for a particular State.

✓ **Findings subjected to a risk assessment** based on their impact on aviation security.

✓ **More efficient use of resources** of both ICAO and the Member States thus ensuring a long-term cost effective, resource efficient and sustainable programme for the Organization.

USAP-CMA Advantages

✓ **Continuous feedback** for policy development and assistance activities, by generating up-to-date and useful State-specific and regional data.

✓ **A new type of audit report for the USAP-CMA**, providing prioritized recommendations which will help States in the development and implementation of short-, medium- and long-term corrective actions.
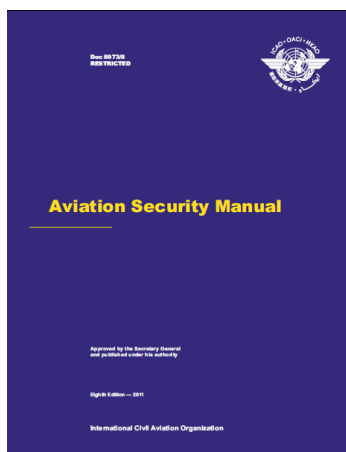
USAP-CMA related documents

International Standards
and Recommended Practices

Annex 17
to the Convention on
International Civil Aviation

Security

Safeguarding International Civil Aviation
Against Acts of Unlawful Interference

This edition incorporates all amendments
adopted by the Council prior to 18 November 2010
and supersedes, on 1 July 2011, all previous
editions of Annex 17.

For information regarding the applicability
of the Standards and Recommended Practices,
see Foreword.

Ninth Edition
March 2011

International Civil Aviation Organization

International Standards and
Recommended Practices

Annex 9
to the Convention on
International Civil Aviation

Facilitation

This edition incorporates all amendments
adopted by the Council prior to 8 March 2011
and supersedes, on 17 November 2011, all
previous editions of Annex 9.

For information regarding the applicability
of the Standards and Recommended Practices,
see Foreword.

Thirteenth Edition
July 2011

International Civil Aviation Organization

ANNEX 17: 81 Standards

ANNEX 9: 12 Standards

USAP-CMA related documents

Doc 8973/8
RESTRICTED

Aviation Security Manual

Approved by the Secretary General
and published under his authority

Eighth Edition — 2011
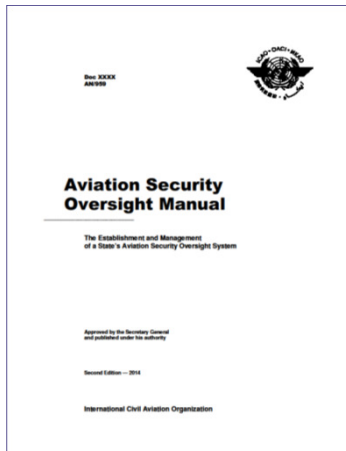
International Civil Aviation Organization

To assure the protection of passengers, crew, ground personnel, the general public and facilities of an airport serving international civil aviation against acts of unlawful interference.

To provide guidance on the implementation of Annex 17 Standards and Recommended Practices.
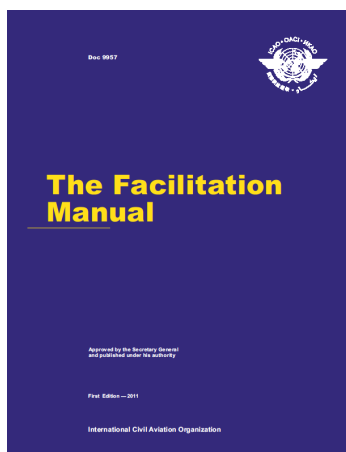
USAP-CMA related documents

Doc XXXX
AN/959

Aviation Security Oversight Manual

The Establishment and Management
of a State's Aviation Security Oversight System

Approved by the Secretary General
and published under his authority

Second Edition — 2014

International Civil Aviation Organization

To emphasize the obligations and responsibilities of an ICAO Contracting State for the oversight of its national civil aviation security system, through the establishment and management of a civil aviation security oversight system.

USAP-CMA related documents

Doc 9957

The Facilitation Manual

Approved by the Secretary General
and published under his authority

First Edition — 2011

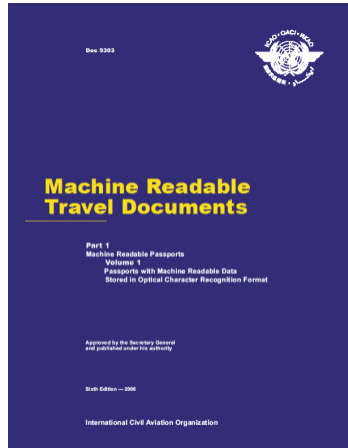International Civil Aviation Organization

To increase the level of knowledge of facilitation issues and concepts;

To improve the results of facilitation programmes in States; and

To increase conformance with Annex 9.

USAP-CMA related documents

Doc 9303, Part 1, Volume 1, contains all specifications required for a State to issue a machine readable passport. Volume 2 contains the specifications for enhancing the machine readable passport with the globally interoperable system of biometric identification and its associated data storage utilizing a contactless integrated circuit.

USAP-CMA related documents
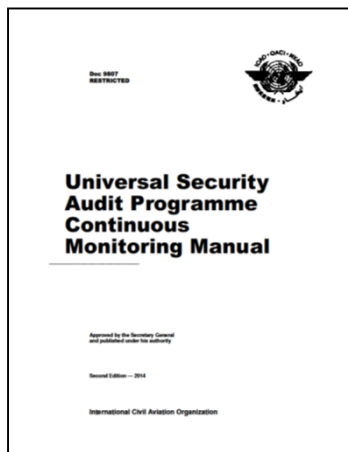
Sets out the principles, methodology, processes and procedures for the planning, conducting and reporting of various audit and monitoring activities under the USAP-CMA.

USAP-CMA MoU

- USAP-CMA audit report
- State feedback and CAP
- USAP secure web site
- SSeC mechanism

- State's commitment to participate
- Designation of an NC
- Types of information to be submitted
- Types of USAP-CMA activities

Part IV
Reporting

Part I
General

Part V
Dispute
Resolution

Part III
Conduct

Part II
Preparation

- Language
- State responsibilities to facilitate USAP-CMA activity
- Post-audit debriefing

- Annual schedule
- Notification
- Scope of USAP-CMA activity
- USAP-CMA team and audit plan

USAP-CMA Tools

Various tools are used throughout the various phases of the USAP-CMA activity process. The main USAP-CMA tools include:

- State Aviation Security Activity Questionnaire (SASAQ);

- Compliance Checklists (CCs);

- USAP-CMA Protocol Questions;

- State Corrective Action Plan;

- State Audit Feedback Form;

- USAP-CMA Mission Report.

USAP-CMA Tools: SASAQ
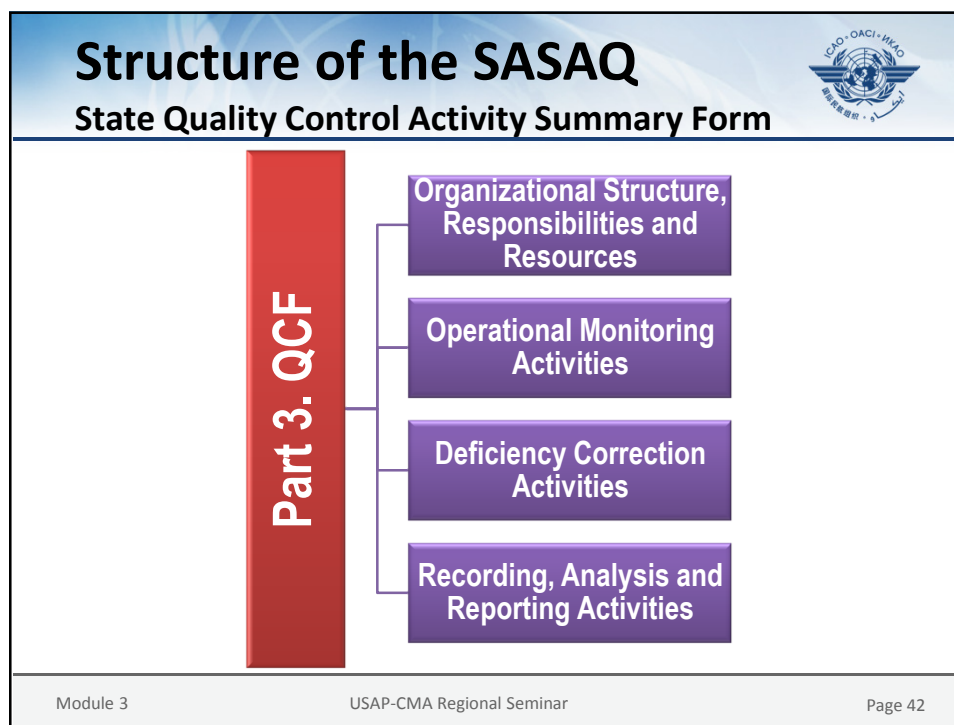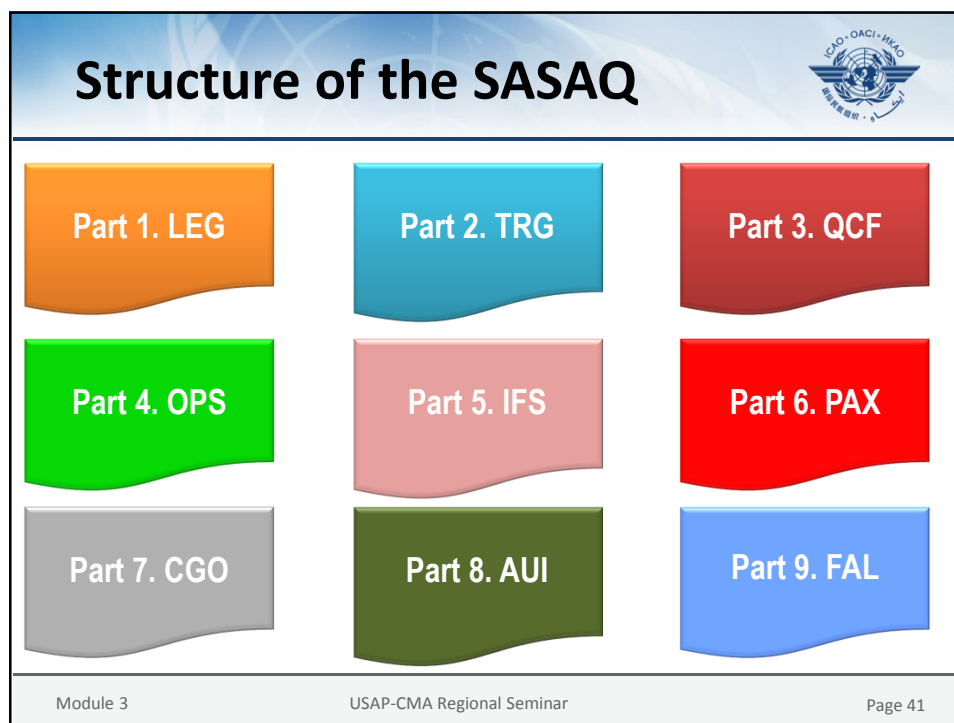
State Aviation Security Activity Questionnaire

- ❑ Designed to enable ICAO to collect useful information on the aviation security and oversight systems established by a State to meet its security-related obligations as a signatory to the Convention on International Civil Aviation.

- ❑ Used in the planning and customization of a USAP-CMA activity.

USAP-CMA Tools: SASAQ

State Aviation Security Activity Questionnaire

- ❑ States will be requested to complete it and submit it to ICAO at least 60 days prior to the start of a USAP-CMA activity.

- ❑ States will be invited to regularly update the information contained in their SASAQs to reflect any changes/developments in their aviation security and oversight systems.

Structure of the SASAQ

Part 1. LEG	Part 2. TRG	Part 3. QCF
Part 4. OPS	Part 5. IFS	Part 6. PAX
Part 7. CGO	Part 8. AUI	Part 9. FAL

Structure of the SASAQ
State Quality Control Activity Summary Form

Part 3. QCF

- Organizational Structure, Responsibilities and Resources
- Operational Monitoring Activities
- Deficiency Correction Activities
- Recording, Analysis and Reporting Activities

USAP-CMA Tools: Compliance Checklists

❑ Developed for ICAO Annex 17 and security-related provisions of Annex 9.

❑ Provides ICAO with information on a State's level of compliance with Annex 17 SARPs and security-related provisions of Annex 9.

❑ Enables States to identify any difference which may exist between their own practices and those established by relevant international Standards (Article 38 of the Chicago Convention).

USAP-CMA Tools: Compliance Checklists

❑ The completed Compliance Checklists submitted by States allow ICAO to maintain a database on each State's level of compliance with the ICAO Annex 17 and Annex 9 (security-related) SARPs.

❑ States will be required to complete the Compliance Checklists and maintain them up-to-date.

USAP-CMA Tools: Compliance Checklists

Compliance Checklists contents

- ❑ A foreword providing States with instructions on how to complete the document.

- ❑ The foreword also defines the categories to be considered in determining differences to be identified and submitted to ICAO.

- ❑ Standards and Recommended Practices of Annex 17 and security-related provisions of Annex 9.

Format of the Compliance Checklists

Annex Reference & SARP Identifier	Annex 17 Amendment 14		Legislation Compliance Quote relevant State Act/Regulation or Document Reference	Difference					Not applicable	Description of the difference	Remarks including the reason for the difference
	Security			No	Yes						
	Standard or Recommended Practice				Level of implementation of SARPs						
					More exacting or exceeds the ICAO SARP	Different in character or other means of compliance	Less protective or partially implemented /not implemented				
Chapter 2 Std. 2.1.1	Pr... 2.1 Objectives Each have the safe... crew, grou... the gener... blic in all matte... lated to safeguarding against acts of unlawful interference with civil aviation.										
Chapter 2 Std. 2.1.2	Each Contracting State shall establish an organization and develop and implement regulations, practices and procedures to safeguard civil aviation against acts of unlawful interference taking into account the safety, regularity and efficiency of flights.										

Annex Reference

Annex SARP

Level of Compliance

Space for Comments

Legislation Reference

SARP Not Applicable

Text of Difference

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USAP-CMA Tools: Compliance Checklists

Categories to consider as a guide in determining reportable differences:

More exacting or exceeds the ICAO SARP (*Category A*)

This category applies when the national regulation is more demanding than the corresponding SARP, or imposes an obligation within the scope of the Annex which is not covered by a SARP. This is of particular importance where a Member State requires a higher standard which affects the operation of aircraft of other Member States in and above its territory.

USAP-CMA Tools: Compliance Checklists

Categories to consider as a guide in determining reportable differences:

Different in character or other means of compliance (*Category B*)

This category applies when the national regulation is different in character from the corresponding ICAO SARP, or when the national regulation differs in principle, type or system from the corresponding SARP, without necessarily imposing an additional obligation. This category would be applied to a national regulation which achieves, by other means, the same objective as that of the corresponding ICAO SARPs and so cannot be classified under Categories A or C.

USAP-CMA Tools: Compliance Checklists

Categories to consider as a guide in determining reportable differences:

Less protective or partially implemented/not implemented (*Category C*)

This category applies when the national regulation is less protective than the corresponding SARP, or when no national regulation has been promulgated to address the corresponding SARP, in whole or in part.

USAP-CMA Tools: Compliance Checklists

Categories to consider as a guide in determining reportable differences:

Not applicable

When a Member State deems an ICAO SARP related to aircraft, personnel or auxiliary services not applicable to the prevailing aviation activities of the Member State.
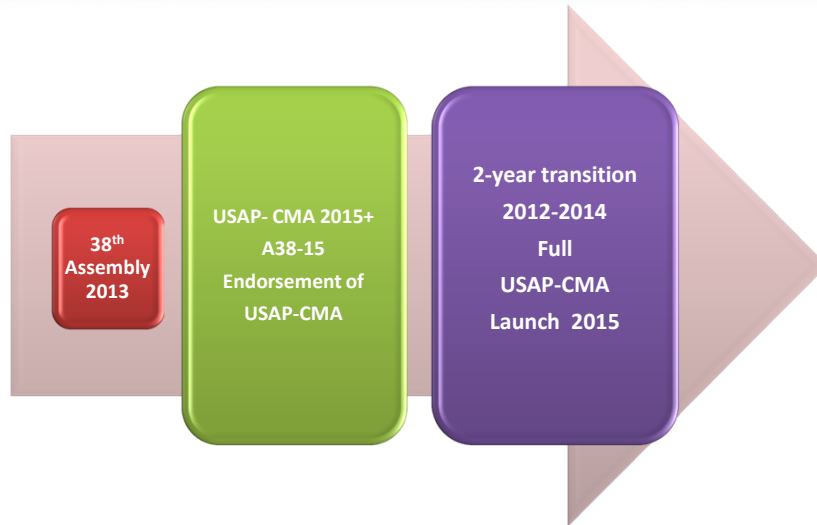
USAP-CMA Tools: Protocol Questions

- ❑ Developed by ASA
- ❑ Used for the conduct of USAP-CMA audits
- ❑ Enable auditing against Annex 17 Standards, security-related provisions of Annex 9 and the critical elements of a State's aviation security oversight system
- ❑ Provide guidelines to the auditor on what evidence should be reviewed and/or observed
- ❑ Can be used by States to conduct internal audits
- ❑ Discussed in detail in Module 5

USAP-CMA Tools: State CAP

- ✓ **State Corrective Action Plan**
- ✓ An action plan submitted to ICAO by an audited State, detailing the action the State proposes to take to correct deficiencies identified during the audit.
- ✓ Discussed in detail in Module 8.

USAP-CMA Transition Plan

| 38th Assembly 2013 | USAP- CMA 2015+ A38-15 Endorsement of USAP-CMA | 2-year transition 2012-2014 Full USAP-CMA Launch 2015 |

USAP-CMA Transition Plan

Q1/2012-Q4/2013 Development Phase	Q4/2012-Q1/2014 Preparatory Phase	Q3/2013-Q4/2014 Testing Phase
State Deliverables	**State Deliverables**	**State Deliverables** Update CAP Sign new MOU Complete SASAQ/CCs Nominate NC
ICAO Deliverables Audit Protocols Audit Report Template State-specific Activities	**ICAO Deliverables** DOC 9734, 9807 Internal Procedures International Agreements MOUs, SASAQ Software Development	**ICAO Deliverables** Test Activities Regional Seminars Auditor Re-certification Course

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Seminars

❑ Seminars provide States with information on the USAP-CMA and on how to prepare for an ICAO audit.

❑ Seminars provide a forum for sharing knowledge and experiences between experts from other States and organizations.

USAP Auditor Training

• Support from Contracting States

Seconded auditors provided by Member States for audit missions are, and will continue to be, a significant contribution to the success of the programme.

Review

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- USAP-CMA transition plan
- Seminars and training

ICAO Universal Security Audit Programme

Questions?

End of Module 3