



WORKING PAPER

SECOND HIGH-LEVEL CONFERENCE ON AVIATION SECURITY (HLCAS/2)

Montréal, 29 to 30 November 2018

Agenda Item 3: Global Aviation Security Plan (GASeP)

**REVIEW OF THE UNIVERSAL SECURITY AUDIT PROGRAMME
CONTINUOUS MONITORING APPROACH (USAP-CMA) INDICATORS**

(Presented by the Secretariat)

SUMMARY

This paper proposes modifications to the method by which the Universal Security Audit Programme continuous monitoring approach (USAP-CMA) reports on Member States' oversight capacity and indicative compliance with Annex 17 – *Security Standards*. The proposed indicators will more effectively meet Member States' expectations by providing a clear indication of operational implementation of aviation security measures, as well as a more accurate reflection of the sustainability of each State's aviation security oversight system.

Action by the High-level Conference on Aviation Security is in paragraph 6.

1. INTRODUCTION

1.1 The Universal Security Audit Programme continuous monitoring approach (USAP-CMA), launched in January 2015, aims to promote global aviation security through continuous auditing and monitoring of the aviation security performance of Member States. This aviation security performance is assessed on the basis of two indicators:

- a) an oversight indicator, which represents the State's capacity to establish and implement an effective and sustainable aviation security oversight system; and
- b) a compliance indicator, which provides an indication of the level of the State's compliance with Annex 17 – *Security Standards*.

1.2 The 39th Session of the ICAO Assembly (Assembly Resolution A39-18, Appendix E refers) requested the Council to direct the ICAO Secretariat to review the scope and methodology of the USAP, in consultation with Member States, to ensure that it provides reliable information to Member States regarding the effective implementation of aviation security measures on the ground, and that the methodology takes into consideration a risk-based approach for the implementation of aviation security measures. The Secretariat Study Group (SSG) on the USAP is the vehicle being used in carrying out this review.

1.3 Discussions within the SSG have considered a variety of topics, one of which is ensuring the audit programme continues to be risk-based and outcomes focused. This issue is being addressed through a comprehensive review of the USAP-CMA Protocol Questions (PQs), which will be completed by December 2018.

1.4 The SSG also considered issues related to the disclosure of audit results and the role of the audit programme in assessing the implementation of security measures. However, it has become apparent to the Secretariat that there is persistent misunderstanding regarding the meaning of the existing indicators, as they are currently defined. This paper presents a solution to address concerns with the existing indicators. More specifically, it proposes an approach to provide audit results that more accurately reflect the aviation security situation in ICAO Member States, while respecting the confidentiality requirements of the Memorandum of Understanding (MoU) on the USAP-CMA agreed between ICAO and each State.

2. CURRENT OVERSIGHT AND COMPLIANCE INDICATORS

2.1 Under the USAP-CMA, PQs have been developed to assess the sustainable implementation of each Annex 17 Standard. Each PQ is associated with one of eight Critical Elements of a State's Aviation Security Oversight System (CEs). Taken together, the information collected as a result of these PQs provides a complete picture of a State's oversight system, which is expressed as the level of effective implementation of the critical elements (EI), and is presented in a chart depicting the status of each CE. This chart is published on the USAP-CMA secure portal.

2.2 Annex 17, Chapter 4 – *Preventive Security Measures*, includes all preventive security measures that States are required to implement. Under the USAP-CMA, the operational implementation of these Standards is assessed using PQs associated with Critical Element 8 (Resolution of Security Concerns). Therefore, the current oversight indicator chart described above includes an assessment of the operation implementation of security measures under CE-8. In addition, the USAP-CMA audit report provided to States audited presents a breakdown of each CE into sub-groups to give the State as much information as possible. Under CE-8, the related sub-groups reflect the sub-headings of Annex 17, Chapter 4, showing the operational implementation of aviation security measures on the ground.

2.3 A second chart published on the USAP-CMA secure portal aims to provide an indication of compliance with Annex 17 Standards, and does so by breaking down all the PQs by Standard and grouping the Standards by Audit Area. Samples of these two charts are contained in Appendix A.

3. DISCLOSURE OF AUDIT RESULTS

3.1 The final sentence of Section 32 of the generic MoU, as approved by the ICAO Council during its 203rd Session in 2014, reads "...charts depicting the level of implementation of the critical elements of an aviation security oversight system by State [*abbreviated name*] and an indication of compliance by State [*abbreviated name*] with Annex 17 Standards will be made available to all Member States on the USAP secure website."

4. OPTIONS FOR THE MODIFICATION OF THE OVERSIGHT AND COMPLIANCE INDICATORS

4.1 In order to address the need for a clearer picture regarding both the sustainability of States' oversight systems and the operational implementation of security measures, it is proposed that the format of the indicators used to present USAP-CMA audit results be changed. In this regard, the current oversight indicator chart showing "the effective implementation of the critical elements of a State's aviation security oversight system (EI)" would be renamed as the "State's Aviation Security

Sustainability Indicator”. This title more accurately reflects the purpose of the chart, which is to provide an indication of the sustainability of a State’s aviation security oversight system. In addition, CE-8 PQs related to the operational implementation of security measures would no longer be used to create this chart. Consequently, the CE-8 column would only provide results related to the State’s ability to resolve deficiencies identified through its oversight activities. This change would make the chart more consistent with the objective of assessing the sustainability of the State’s aviation security oversight system.

4.2 Based on discussions during SSG meetings and with State representatives during other aviation security events, it has also become apparent that when the compliance indicator is discussed, there is interest in modifying this indicator to better reflect the operational implementation of security measures. Consequently, two options have been identified to address this issue. The first option would be to replace the existing Compliance Indicator with a single measure, expressed as a percentage, to reflect the operational implementation of the Standards in Annex 17, Chapter 4. Individual State results would then have a single percentage figure for the Compliance Indicator in the USAP secure portal. However, regional and global analyses of this indicator could be conducted using the sub-headings of Annex 17, Chapter 4, which would provide an enhanced opportunity to more effectively target assistance, both globally and by region, and measure the impact of the GASeP.

4.3 The second option would be to publish a chart showing the operational results of the audit (CE-8 PQs), divided by the sub-headings of Chapter 4 of Annex 17, in the USAP secure portal as the Compliance Indicator. This would facilitate the targeting of assistance related to operational implementation of security measures and, as with the previous indicator, could be used to generate regional and global analyses, and measure the impact of the GASeP. Appendix B contains a sample of the proposed Compliance Indicator.

5. IMPACT OF THE PROPOSED CHANGES ON USAP STATISTICS

5.1 Should modifications to the indicators be supported and then approved by the ICAO Council, the information currently shared through the USAP secure portal would be updated for all States to reflect the new indicators. The USAP-CMA audit report template would be similarly updated, as would the annual statistics that are produced by the Aviation Security Audit Section.

5.2 Although the revised indicators would more accurately represent the aviation security situation within Member States, the adoption of the revised indicators would lead to some States having a higher Sustainability Indicator than their preceding EI, while for other States this would decrease. The Secretariat has modelled the impact of this change and, in a majority of cases; the change in the overall percentage between the EI and Sustainability Indicator would be less than two per cent. Additionally, for most States this represents a change of less than 10 percentage points, up or down, in the CE-8 bar of the chart. Globally, the Sustainability Indicator would be approximately 0.24 per cent lower than the current global EI. Appendix C contains a table showing the approximate changes between the EI and Sustainability Indicator, by region.

5.3 Due to the change that is proposed for the Compliance Indicator, which would rely on different data, no comparison is possible between the old and the updated indicator.

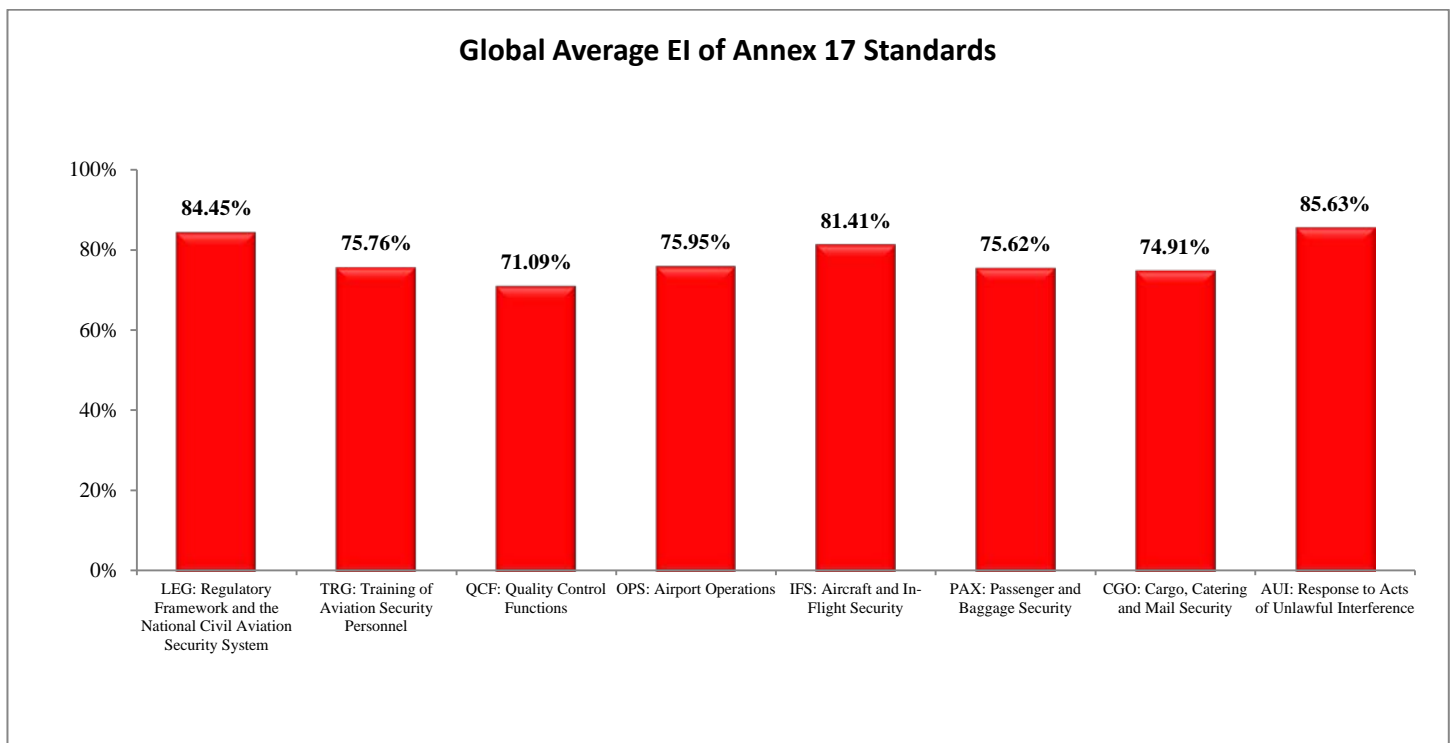
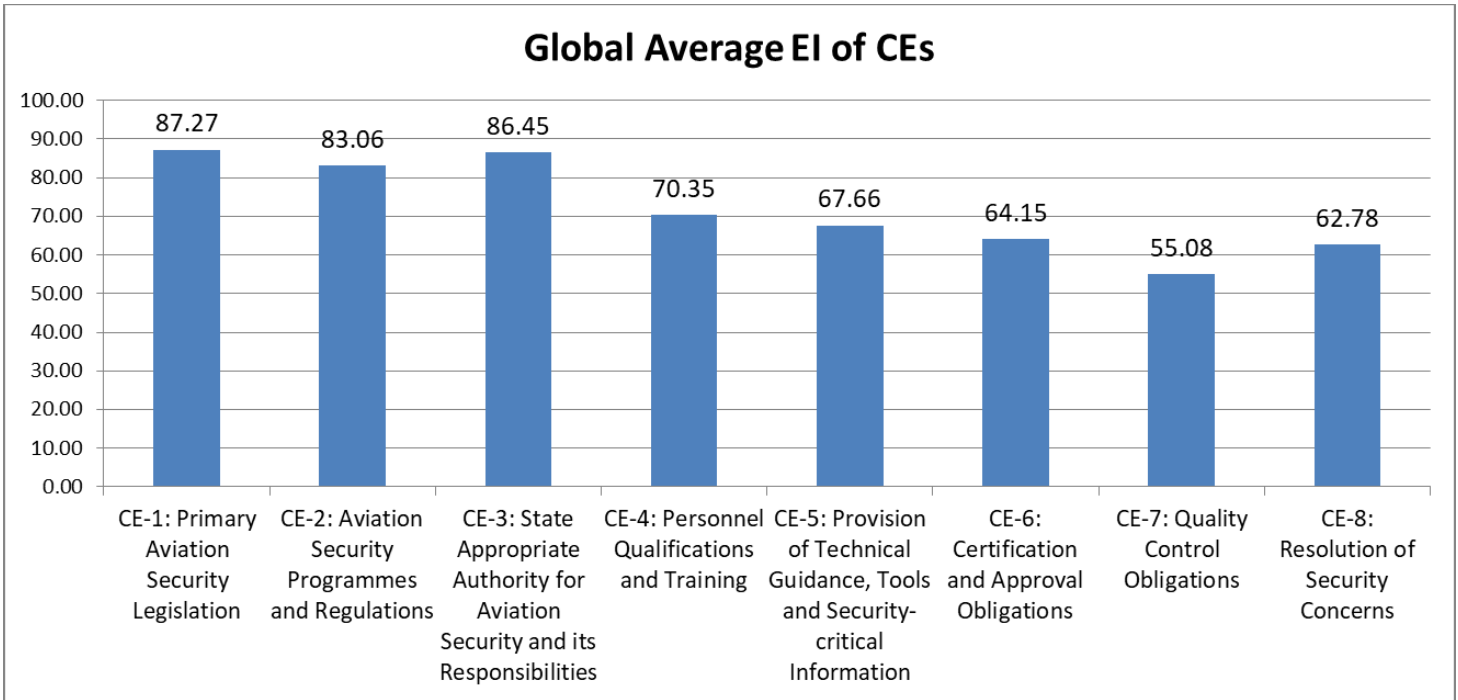
6. ACTION BY THE HIGH-LEVEL CONFERENCE

6.1 The High-level Conference on Aviation Security is invited to:

- a) agree that the USAP-CMA results should more closely reflect the sustainability of Member States' aviation security oversight system and the implementation of operational aviation security Standards;
- b) support the renaming of the current Oversight Indicator to a Sustainability Indicator, with the minor modification described in this working paper; and
- c) support the replacement of the existing Compliance Indicator with one that will focus on the implementation by States of Annex 17, Chapter 4 Standards, being either:
 - i) a CE-8 chart, divided by the sub-headings of Chapter 4 of Annex 17; or
 - ii) a single figure, expressed as a percentage.

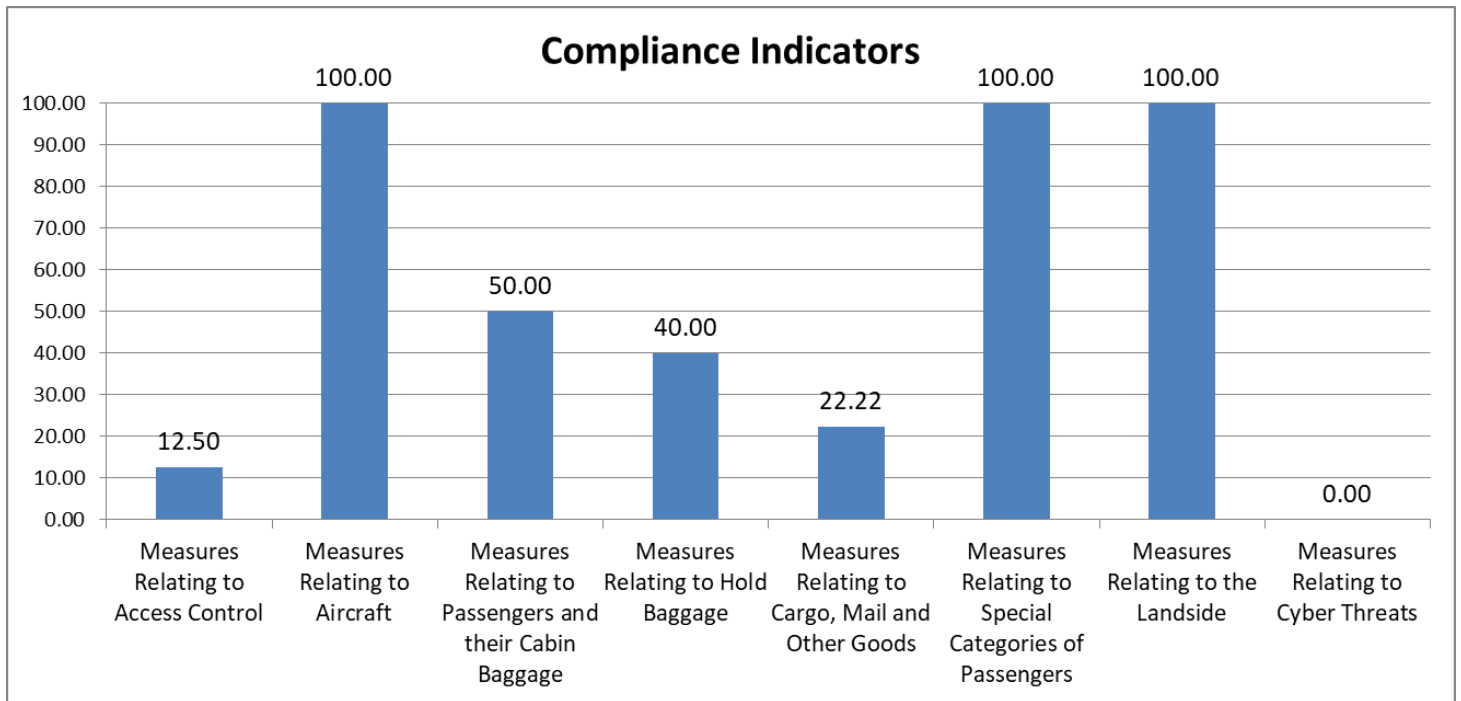
APPENDIX A

Current Oversight and Compliance Indicators



APPENDIX B

Sample of Proposed Compliance Indicators



APPENDIX C

Forecast Changes between the EI and Sustainability Indicator
(Based on August 2018 results)

	Global EI	APAC EI	ESAF EI	EUR/NAT EI	MID EI	NACC EI	SAM EI	WACAF EI	AFI EI
CE-8: Resolution of Security Concerns – including operational implementation results	62.54	58.52	43.54	84.00	54.29	57.72	58.85	46.76	43.97
CE-8: Resolution of Security Concerns – without operational implementation results	60.62	54.44	42.78	83.27	54.46	58.69	59.96	38.79	39.81
CE-8: Variance	-1.91	-4.07	-0.76	-0.73	0.17	0.97	1.11	-7.97	-4.16

	Global EI	APAC EI	ESAF EI	EUR/NAT EI	MID EI	NACC EI	SAM EI	WACAF EI	AFI EI
Current Oversight Indicator (all CEs)	72.10	67.58	58.84	88.67	71.30	69.61	71.35	55.34	56.84
Forecast Sustainability Indicator (all CEs)	71.86	67.07	58.74	88.58	71.28	69.49	71.21	54.34	56.32
Impact on Sustainability Indicator (all CEs)	-0.24	-0.51	-0.10	-0.09	0.02	0.12	0.14	-1.00	-0.52

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