



WORKING PAPER

ASSEMBLY — 38TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 14: Universal Security Audit Programme (USAP)

**UNIVERSAL SECURITY AUDIT PROGRAMME (USAP):
TRANSITION TO A CONTINUOUS MONITORING APPROACH**

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

This paper presents an outline of the planned methodology for the Universal Security Audit Programme (USAP) Continuous Monitoring Approach (USAP-CMA), which will replace the second cycle of USAP audits which ends in 2013. The paper also provides an overview of the transition plan to the USAP-CMA, which identifies the beginning of 2015 for the commencement of the full implementation of the new approach.

Action: The Assembly is invited to endorse the USAP-CMA transition plan as outlined in this working paper.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective B — <i>Security</i> .
<i>Financial implications:</i>	No additional resources required.
<i>References:</i>	C-WP/13876 A38-WP/16 Doc 9958, <i>Assembly Resolutions in Force</i> (as of 8 October 2010)

1. BACKGROUND

1.1 The second cycle of Universal Security Audit Programme (USAP) audits was launched in January 2008 and was recently completed. In order to prepare for the continuation of the USAP beyond 2013, the 37th Session of the Assembly (Resolution A37-17, Appendix E refers) requested the Council to assess the feasibility of extending the Continuous Monitoring Approach (CMA) being applied by the Universal Safety Oversight Audit Programme (USOAP) to the USAP after the conclusion of the second cycle of audits. Accordingly, the 187th Session of the Council directed the Secretary General to study the feasibility of applying a CMA to the USAP.

1.2 The Secretariat in 2012 examined the options for the future of the USAP, including the feasibility of adopting a CMA and it recommended that the Programme move towards a CMA, specific to aviation security, while incorporating risk-management elements. This recommendation was endorsed by the Twenty-third Meeting of the Aviation Security Panel (AVSECP/23), and the 2012 High-Level Conference on Aviation Security (HLCAS) expressed strong support for the concept and for the implementation of a transition period.

1.3 The 197th Session of the Council was presented with information regarding the proposed methodology for the USAP-CMA. It was also presented with a suggested transition plan with timelines, with the objective of full implementation of the USAP-CMA beginning in 2015; the Council formally approved the USAP-CMA and the transition plan.

2. OUTLINE OF THE USAP-CMA METHODOLOGY

2.1 The scope of the USAP-CMA will remain unchanged from the second cycle of the USAP, covering Annex 17 – *Security*, the security-related provisions of Annex 9 – *Facilitation*, and associated guidance material. While the scope will remain the same, the methodology of the Programme will be new, incorporating a variety of monitoring activities tailored to each Member State's aviation security situation. The USAP-CMA will not constitute a third cycle of audits. Rather, the expectation is that the USAP-CMA will be ongoing, and therefore continuous, and will use a methodology that can adapt in response to the changing needs of States and the global aviation security situation.

2.2 Planned activities under the USAP-CMA will include documentation-based audits, oversight-focused audits, compliance-focused audits, validation missions and assessments based on mandatory submissions of information, as determined to be most appropriate for each State. USAP-CMA activities will aim to gather information, identify deficiencies and provide recommendations, as appropriate.

2.3 It is anticipated that initially a number of States will not be in a position to derive the most benefit from an audit under the USAP-CMA, as opposed to a different form of engagement from the Organization. These States will instead be considered for another type of monitoring activity and will be referred to the Organization's Implementation Support and Development – Security Programme, typically leading to an offer by the Organization of appropriate assistance.

2.4 The Secretariat will adopt a risk-management approach to select the most appropriate monitoring activity and methodology for each State and, as well, to determine the scheduling and frequency of monitoring activities. This system will be flexible enough to optimize the use of ICAO resources and will be able to respond to the changing needs of aviation security, including focusing on States' implementation of measures to counter new and emerging threats, as well as to respond to

improving levels of development of States' aviation security and oversight systems. Existing USAP audit and follow-up mission results will be used initially to determine the most appropriate type of monitoring activity for each State. The scheduling and scope of individual USAP-CMA activities will then be determined based on indicators including, but not limited to: time elapsed since the last audit activity; time elapsed since the last on-site audit activity; existence, or possible existence of a Significant Security Concern (SSeC) based on information gathered through a previous audit activity; geographical balance; recent audits/inspections conducted by regional oversight organizations; a significant development in the State; a recent occurrence of an act of unlawful interference or significant security incident; information gathered during ICAO assistance activities; and the quantity and quality of data provided by each State as part of the continuous monitoring process, or in response to ICAO information requests. The precise mechanism for making such determinations is currently being developed and will be tested as part of the transition plan.

2.5 It is envisaged that States may, on occasion, proactively request monitoring activities under the USAP-CMA. Such requests could be accommodated as ICAO resources and time permit, and will be conducted on a cost-recovery basis. The results of these monitoring activities will be treated identically to results derived from regularly-scheduled USAP monitoring activities.

2.6 The principle of universality will be maintained under the USAP-CMA, as all States will continue to be monitored, though the type, scope and frequency of activities will vary based on each State's specific circumstances. The Monitoring and Assistance Review Board (MARB) will continue to oversee the activities of the USAP and regular reports will be provided to the Council.

2.7 The USAP-CMA will provide States with audit reports in a new format containing both oversight and compliance information. The findings and recommendations will be presented in such a way as to allow States to prioritize short-, medium- and long-term corrective actions. As subsequent USAP-CMA activities are conducted, results for individual States will be updated on the USAP secure website. This information will be available to all ICAO Member States and, based on the decisions of ICAO's Governing Bodies, could include, but not necessarily be limited to, information on levels of lack of effective implementation of the critical elements of an aviation security oversight system, levels of compliance with ICAO Standards, and the existence of any identified and unresolved SSeCs.

3. THE TRANSITION TO A USAP-CMA

3.1 The work necessary to transition to a USAP-CMA is currently underway. This transition will be completed in the following three overlapping phases:

- a) **Development Phase:** The initial phase involves completing the preparatory work necessary to underpin the USAP-CMA. Amongst a variety of activities, this includes rewriting and prioritizing the USAP audit protocols, developing the necessary software tools, including means to prevent unauthorized access to sensitive security information, creating and templating the new audit reports, and determining the most appropriate initial type of activity for each State based on existing audit results and other information;
- b) **Preparatory Phase:** The second phase will involve developing and implementing new procedures in order to prepare for field testing of the USAP-CMA. Specifically, this phase will include entering into cooperation agreements with regional oversight organizations, identifying States for initial testing of USAP-CMA activities, rewriting manuals and internal procedures, and disseminating pre-audit questionnaires and Memoranda of Understanding (MoUs) to Member States; and

- c) **Testing Phase:** The final transition phase will involve the field testing of USAP-CMA software and activities, the conduct of regional information seminars, the conduct of existing auditor re-certification courses, and the conduct of initial auditor certification courses for new auditors.

3.2 The transition to the USAP-CMA is expected to be completed by the end of 2014, with full implementation of the new methodology beginning in early 2015. A visual representation of the three phases and the respective estimated timelines can be found in the Appendix to this paper. These timelines are approximate and may be adjusted according to changing circumstances.

4. **CURRENT STATUS OF IMPLEMENTATION OF THE USAP-CMA**

4.1 The development phase of the transition to the USAP-CMA is already well underway. The audit management and analysis software tool is currently in development and considerable progress has already been made. It is anticipated that an initial version of the new software will be ready for testing early in 2014. Meanwhile, USAP audit team leaders have conducted a complete rewrite and reorganization of the audit protocols. This extensive revision draws heavily on the experience of the second cycle of USAP audits and will aim at making the protocols more comprehensive while also being more user-friendly for both States and ICAO auditors.

4.2 It is still early in the transition to a USAP-CMA, but to date the transition work has been progressing on schedule and on budget. The Secretariat will make regular reports to the Council on the implementation of the USAP-CMA transition plan.

5. **IMPACT OF THE USAP-CMA ON MEMBER STATES**

5.1 During the initial development phase of the transition to a USAP-CMA, the impact on Member States will be limited. However, during the preparatory and testing phases States are urged to fully participate in the transition by attending regional seminars on the implementation of the USAP-CMA, promptly signing a new MoU, submitting updates on the status of implementation of corrective action plans, associated documentation and other information as required and, in some instances, by actively participating in the conduct of field testing of USAP-CMA activities.

5.2 Once the USAP-CMA is formally launched, the Secretariat does not anticipate that Member States would need to devote more resources to the USAP than was the case under the second cycle of audits. As with the first and second cycles of USAP audits, the support of Member States through the secondment of aviation security experts to participate in USAP-CMA activities will continue to be essential for the effective implementation of the Programme. Given that the transition to a USAP-CMA involves the development of new methodologies, refresher training and re-certification will be required for all experts already on the USAP auditor roster. Both initial auditor certification and existing auditor re-certification courses will be provided in each ICAO region in order to maintain a sufficient number of experts on the USAP roster for the implementation of the USAP-CMA. Member States are urged to continue to provide their invaluable support to the Programme through the release of aviation security experts to participate in USAP-CMA activities.

APPENDIX

Transition Plan to the USAP-CMA

ID	Task Name	Start	Finish	Q2 12		Q3 12			Q4 12			Q1 13			Q2 13			Q3 13			Q4 13			Q1 14			Q2 14			Q3 14			Q4 14		
				May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
1	Development Phase: rewriting and prioritizing the USAP audit protocols, creating and templating the new audit reports, developing software tools and determining the most appropriate type of activity for each State	01/05/2012	31/12/2013	[Blue bar spanning from May 2012 to Dec 2013]																															
2	Preparatory Phase: rewriting manuals and internal procedures, entering into international agreements, identifying States for initial testing of USAP-CMA activities, and sending out pre-audit questionnaires and MOUs	01/11/2012	28/03/2014	[Blue bar spanning from Nov 2012 to Mar 2014]																															
3	Testing Phase: field testing of USAP-CMA software and activities and the conduct of regional seminars and auditor re-certification courses	01/08/2013	31/12/2014	[Blue bar spanning from Aug 2013 to Dec 2014]																															

— END —