



Agenda Item 6: Aviation Security (AVSEC) Matters
6.1 Universal Security Audit Programme (USAP)

**RESULTS OF THE SECOND CYCLE OF THE UNIVERSAL SECURITY AUDIT
PROGRAMME (USAP) AND TRANSITION TO A CONTINUOUS MONITORING APPROACH
(USAP-CMA)**

(Presented by the Secretariat)

SUMMARY	
This working paper provides relevant information on the completed second cycle of ICAO Universal Security Audit Programme (USAP) audits and on the audit results for the Eastern Caribbean States. It also looks at the future of the USAP as it transitions to a risk-based Continuous Monitoring Approach (USAP-CMA).	
References:	
<ul style="list-style-type: none">• EB 2013/1 – Latest Developments Related to the Universal Security Audit Programme• <i>Universal Security Audit Programme - Analysis of audit results: November 2002 to June 2013</i>, Fifth Edition, 2013	
Strategic Objective	<i>This working paper is related to Strategic Objective: B. Security – Enhance Global Civil Aviation Security</i>

1. Introduction

1.1 The ICAO USAP was established in 2002 pursuant to the recommendations of the High-level Ministerial Conference on Aviation Security (Montreal, February 2002). The second cycle of USAP audits was launched in January 2008 and focused, wherever possible, on State aviation security oversight systems. The scope of these audits included both Annex 17 — *Security Standards* and relevant security-related provisions of Annex 9 — *Facilitation*.

1.2 In the ICAO Secretariat, the Air Transport Bureau, Aviation Security Branch, Aviation Security Audit Section is responsible for the management and administration of the USAP. The Secretariat has completed the second cycle of USAP audits as mandated by the ICAO Assembly. Details of the second-cycle audit results can be found in the *Universal Security Audit Program – Analysis of audit results: November 2002 to June 2013*, Fifth Edition 2013, available through the USAP secure website (<http://portal.icao.int/>).

2. Second Cycle Audit Results

2.1 A total of 177 audits of ICAO Member States were conducted under the second cycle of USAP audits, as well as an audit of the Macao Special Administrative Region of China and an assessment of the European Commission aviation security inspection system. Of the Eastern Caribbean States, Trinidad and Tobago was audited in 2008; Antigua and Barbuda, and Saint Kitts and Nevis were audited in 2009; Grenada in 2011, and Barbados, Saint Lucia, and Saint Vincent and the Grenadines were all audited in 2012. It should be noted that, as was the case in the first cycle of USAP audits, it was not possible to conduct a second-cycle audit of all ICAO Member States. Some States were not audited due to their security level, as assigned by the United Nations Department of Safety and Security (UNDSS). In other cases, an analysis of first-cycle audit and follow-up mission results, and/or a review of Corrective Action Plans (CAPs) and information supplied in Pre-Audit Questionnaires (PAQs), identified certain States that would benefit from referral to the Implementation Support and Development – Security (ISD-SEC) Programme for the provision of appropriate assistance prior to the conduct of a USAP audit.

2.2 USAP second-cycle audits measured the level of Lack of Effective Implementation (LEI) by States of the eight Critical Elements (CEs) of an aviation security oversight system as identified in Doc 9734 — *Oversight Manual, Part C — The Establishment and Management of a State’s Aviation Security Oversight System*. The first graph, depicted in the **Appendix** to the working paper, shows the global results for each of the eight CEs based on all audits conducted compared to the results for the Eastern Caribbean States. The regional average LEI was 54.9%, compared to a global average of 30.7% (where 0% is the desired result). The second graph depicts the same information by audit area.

2.3 Given these results, and considering the security challenges and priorities in the foreseeable future as documented in the Report of the High-level Conference on Aviation Security held 12-14 September 2012, and as reflected in the ICAO Global Risk Context Statement, there is significant room for improvement both globally and within the Eastern Caribbean States. The audit results further display that States’ quality control obligations (CE-7) are the least effectively implemented of the critical elements, while the resolution of security concerns (CE-8); certification and approval obligations (CE-6); the provision of technical guidance, tools and security-critical information (CE-5); and personnel qualification and training (CE-4) are also areas of concern.

3. Transition to the USAP Continuous Monitoring Approach (USAP-CMA)

3.1 In 2012, the Secretariat examined options for the future of the USAP, including the feasibility of adopting a CMA, and recommended that the Programme move towards a CMA, specific to aviation security, while incorporating risk-management elements. This recommendation was endorsed by the Aviation Security Panel (AVSECP/23), while the 2012 High-Level Conference on Aviation Security expressed strong support for the concept and for the implementation of a transition period. The 197th Session of the ICAO Council formally approved the USAP-CMA approach and the transition plan with the objective of full USAP-CMA implementation beginning in 2015. The USAP-CMA was further endorsed by the 38th Session of the ICAO Assembly (A38-15 refers).

3.2 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 State needs and the global aviation security situation.

3.3 The Secretariat will adopt a risk-management approach to select the most appropriate monitoring activity and methodology for each State under the USAP-CMA, including documentation-based audits, oversight-focused audits, compliance-focused audits, validation missions, and assessments based on submissions of specific information. USAP-CMA activities will aim to gather information, identify deficiencies, and provide recommendations, as appropriate. 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, and respond to improving levels of States' aviation security and oversight system development.

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

3.5 A regional seminar on the USAP-CMA and its implementation was recently conducted in Trinidad and Tobago. Additional seminars will also be offered in each ICAO Region and at ICAO Headquarters in order to allow all States to prepare for the full implementation of USAP-CMA beginning in 2015.

4. Assistance and Cooperation in Aviation Security within the Region

4.1 An ICAO AVSEC Regional Improvement Project is currently being delivered to the Eastern Caribbean Civil Aviation Authority (ECCAA) and its member States, providing training and direct assistance. This project was developed and continues to evolve in coordination between ICAO, ECCAA and its Member States, through funding by the Transport Canada ICAO Global Plan of Action. As part of this project, ICAO also delivered Aviation Security Risk Management Overview Workshops, in English, to States in the E/CAR area, including one held in Suriname in February 2013, and one in Antigua and Barbuda in May 2013. Two fellowships were awarded to each participant State.

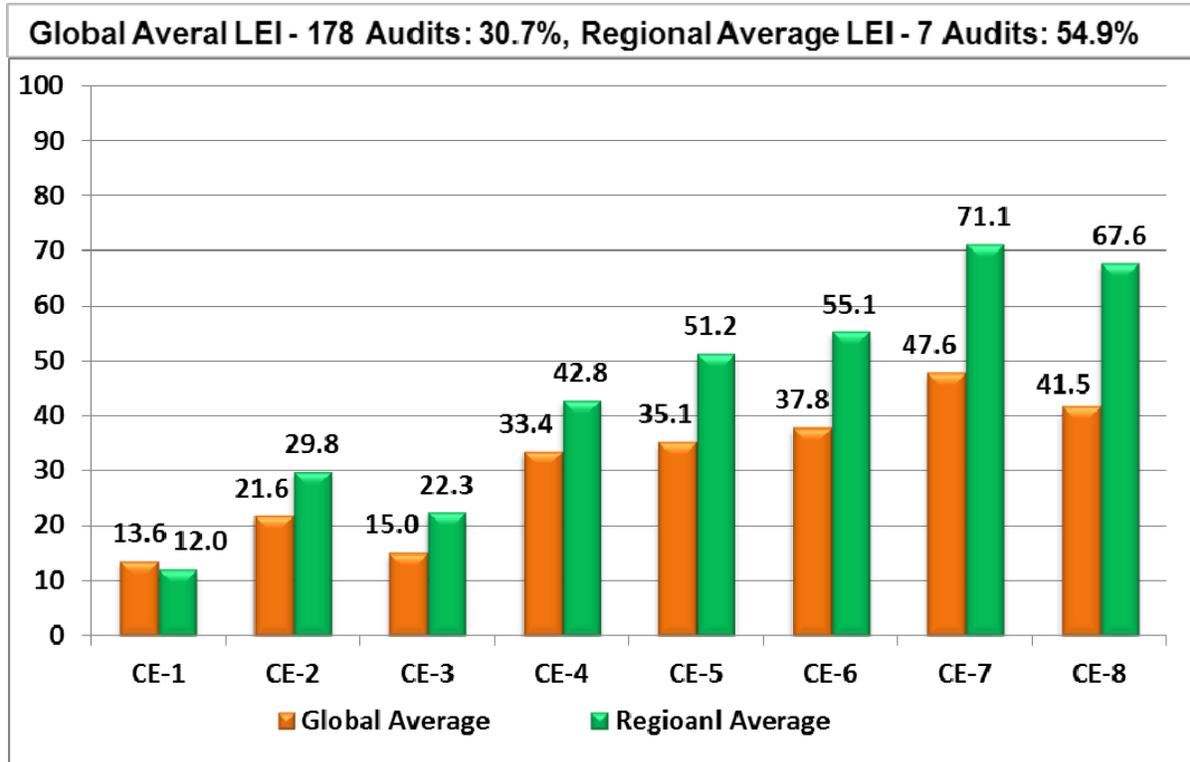
5. Conclusion

The Meeting is invited to:

- a) take note of the information provided in this paper;
- b) urge States to continue improving their aviation security oversight systems, taking into consideration, among other things, the findings and recommendations from their second-cycle USAP audits in order to reinforce implementation of Annex 17 Standards and the security-related provisions of Annex 9; and
- c) urge E/CAR States to continue supporting the USAP by:
 - i) attending future regional seminars on USAP-CMA;
 - ii) signing the new USAP-CMA Memorandum of Understanding, when requested;
 - iii) submitting updates to their Corrective Action Plans; and
 - iv) continuing to collaborate with ICAO in ensuring the future success of the USAP by providing aviation security experts on short-term secondment to participate in USAP-CMA activities.

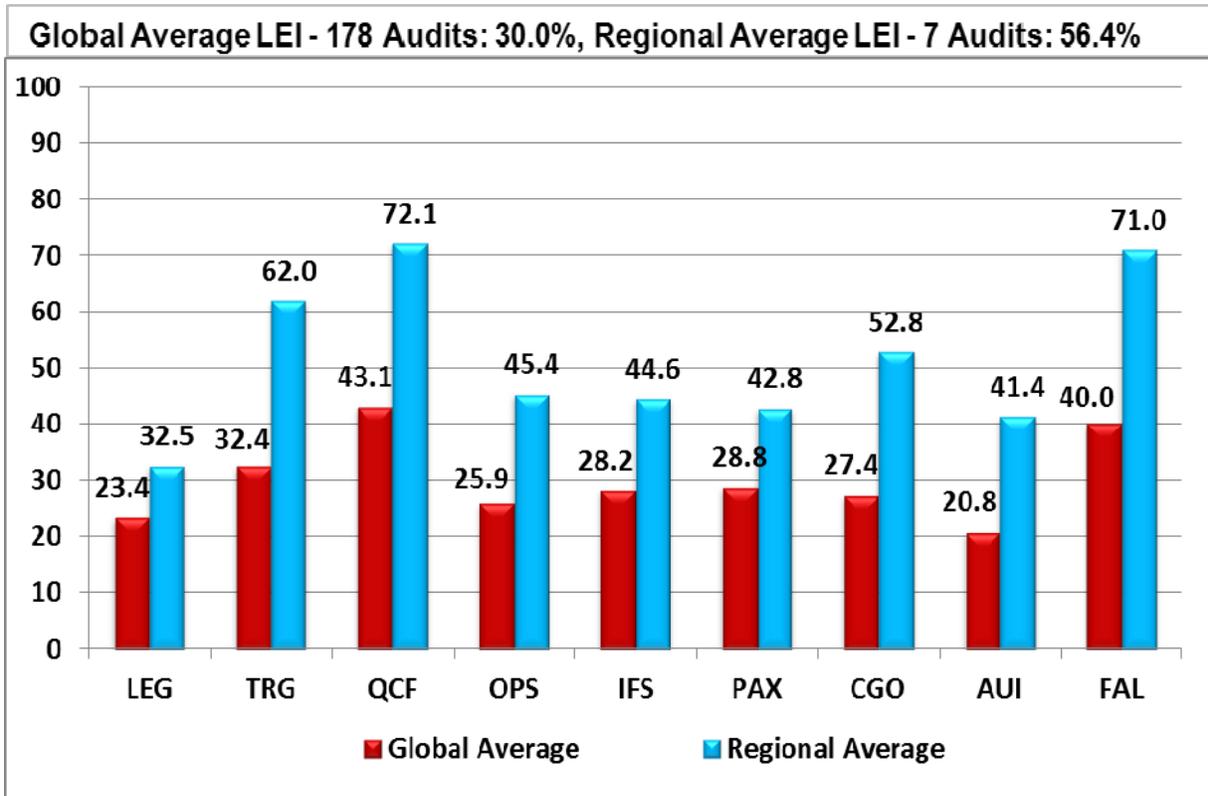
APPENDIX
GLOBAL AVERAGE AUDIT RESULTS COMPARED TO EASTERN CARIBBEAN STATES

Results by Critical Element



- CE-1** Aviation Security Legislation
- CE-2** Aviation Security Programmes and Regulations
- CE-3** State Appropriate Authority for Aviation Security and its Responsibilities
- CE-4** Personnel Qualifications and Training
- CE-5** Provision of Technical Guidance, Tools and Security-Critical Information
- CE-6** Certification and Approval Obligations
- CE-7** Quality Control Obligations
- CE-8** Resolution of Security Concerns

Results by Audit Area



- LEG** Regulatory framework and the national civil aviation security system
- TRG** Training of aviation security personnel
- QCF** Quality control functions
- OPS** Airport operations
- IFS** Aircraft and in-flight security
- PAX** Passenger and baggage security
- CGO** Cargo, catering and mail security
- AUI** Response to acts of unlawful interference
- FAL** Security aspects of facilitation