ICAO

INTERNATIONAL CIVIL AVIATION ORGANIZATION

A UN SPECIALIZED AGENCY

ICAO USAP-CMA SEMINAR

Bangkok, 28 to 31 October 2025

USAP-CMA Activity Process Audit Report

Module Objective

At the end of this module the participants will have a clear understanding of the processes, requirements and timelines both for Member States and ICAO during the USAP-CMA activity reporting phase

Module Outline

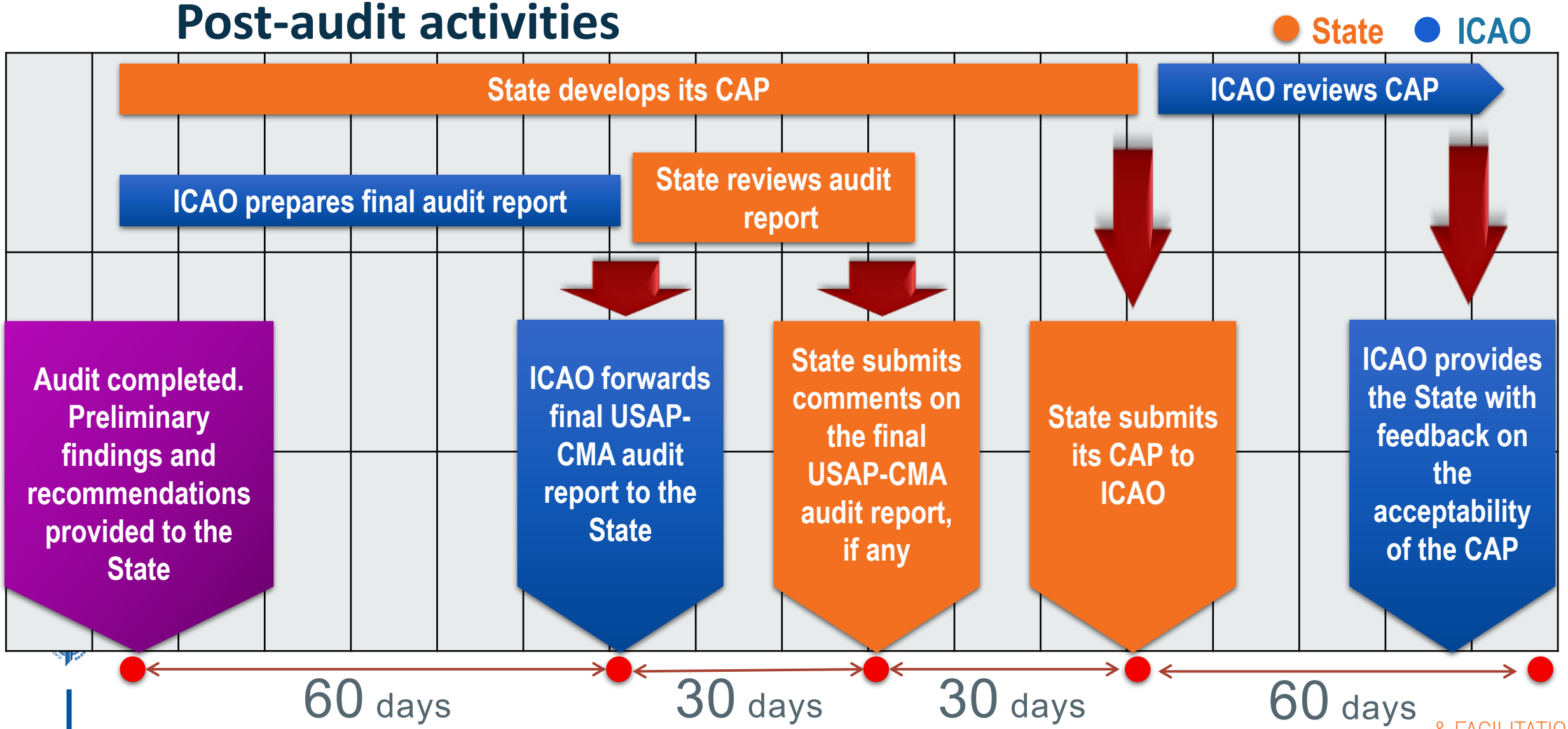
- Reporting Phase
- Post-audit Activities
- Significant Security Concern
- Monitoring and Assistance Review Board
- USAP-CMA Audit Report
- State's Corrective Action Plan
- CAP Review
- Activity Feedback Form
- Role of the National Coordinator

Reporting Phase

Commences at the end of the Post-audit Debriefing

Concludes with the review of the Corrective Action Plan (CAP) submitted by the State

Post-audit activities



Significant Security Concern (SSeC) – Definition

A **significant security concern** occurs when the appropriate authority responsible for aviation security in the State **permits aviation activities to continue**, despite the **lack of effective implementation** of the **minimum security requirements established by the State** and by the provisions set forth in **Annex 17** — Security related to **critical aviation security controls** resulting in an **immediate security risk** to international civil aviation

Significant Security Concerns (SSeCs)

- Definition and mechanism established on 17 February 2010 by the Council of ICAO
- Objective of addressing SSeCs in a timely manner following their identification during a USAP audit

Significant Security Concerns (SSeCs)

- During on-site audits, the audit team might identify deficiencies that constitute an SSeC
- The TL provides all relevant information on the preliminary SSeC to C/ASA
- The TL then brings it to the attention of the State to allow for immediate corrective action
- At the Post-audit Debriefing, the SSeC is described as preliminary until it is validated and confirmed by the SSeC Validation Committee at ICAO HQ

Significant Security Concerns (SSeCs)

These **critical aviation security controls** may include:

- screening and protection from unauthorized interference of passengers, cabin and hold baggage
- the security of cargo and catering
- access control to airside and security restricted areas of airports
- the security of departing aircraft

Significant Security Concerns (SSeCs)

- The Audit Team Leader will immediately bring a potential SSeC to the attention of the National Coordinator to allow for the implementation of urgent mitigating measures
- Any preliminary SSeC is notified to the State at the post-audit Debriefing, but is only considered official once confirmed by ICAO's SSeC Validation Committee

SSeC Mechanism (1/2)

Preliminary SSeC

- The Team Leader identifies preliminary SSeC
- Consults with and provides all information to C/ASA
- Describes at the Post-audit Debriefing as preliminary SSeC

Validation

- Within 15 calendar days of the Post-audit Debriefing the SSeC Validation Committee Committee confirms whether it constitutes an SSeC or not

Notification

- If SSeC is confirmed, State is notified by official letter
- State is required to take immediate corrective action(s) within 15 calendar days of receipt of the notification letter

SSeC Mechanism (2/2)

Disclosure

- Failure to implement corrective action and notify ICAO within 15 calendar days results in notifying all other Member States and posting information on the ICAO secure website
- If the SSeC is not resolved after 3 months, ICAO will publish the audit area of the SSeC in the ICAO secure website

Resolution

- If State resolves SSeC and notifies ICAO within 15 calendar days, ASA puts on hold posting information on the ICAO secure website, conducts a Validation mission to the State and submits the mission results to the SSeC Validation Committee
- If State resolves SSeC and notifies ICAO following posting information on the ICAO secure website, ASA conducts a Validation mission and submits the mission results to the SSeC Validation Committee
- If SSeC Validation Committee confirms resolution of SSeC, State is notified by official letter. Information is removed from the ICAO secure website, if already posted and all other Member States are notified

Monitoring and Assistance Review Board (MARB)

- High-level Secretariat team chaired by the Secretary General
- Responsible for both safety and security issues
- Reviews monitoring and assistance activities in referred States and proposes specific courses of action
- Closely follows States with SSCs and SSeCs
- If situation cannot be resolved, may refer a State to the Council of ICAO for special consideration and possible further action

MARB (Continued)

States are referred to the MARB for:

- One or more confirmed SSeCs
- State not responding to monitoring or assistance processes (i.e. rejecting or repeatedly postponing monitoring activities, not providing a CAP)
- State not fulfilling its commitment to implement CAP

USAP-CMA Audit Report

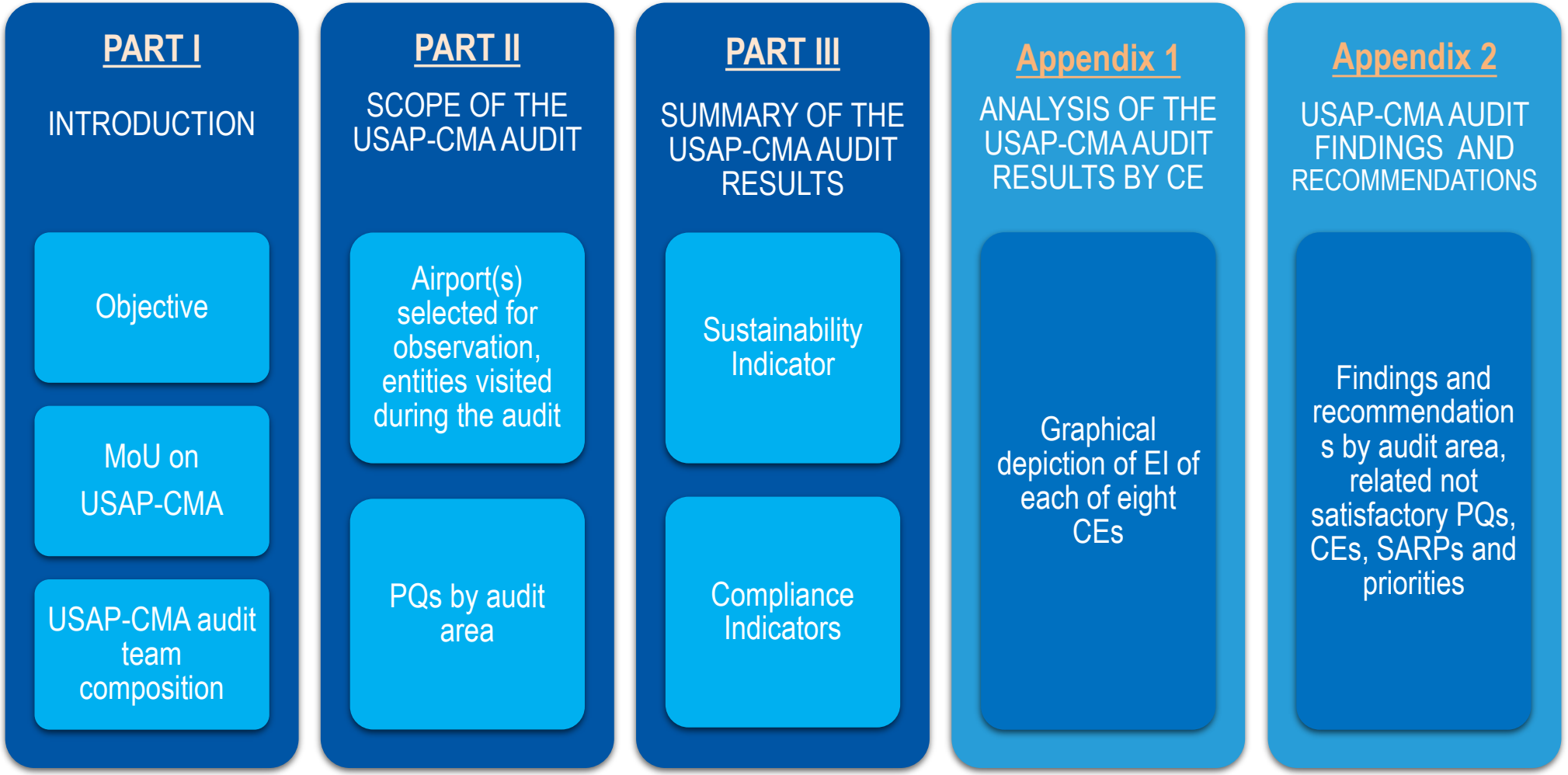
- Official ICAO report of the mission
- Submitted within 60 calendar days following the Post-audit Debriefing
- If the ICAO language of the State is other than the language of the audit, the report will be translated and timelines adjusted accordingly

Confidentiality v. Limited Level of Disclosure

Article 32 of the MoU

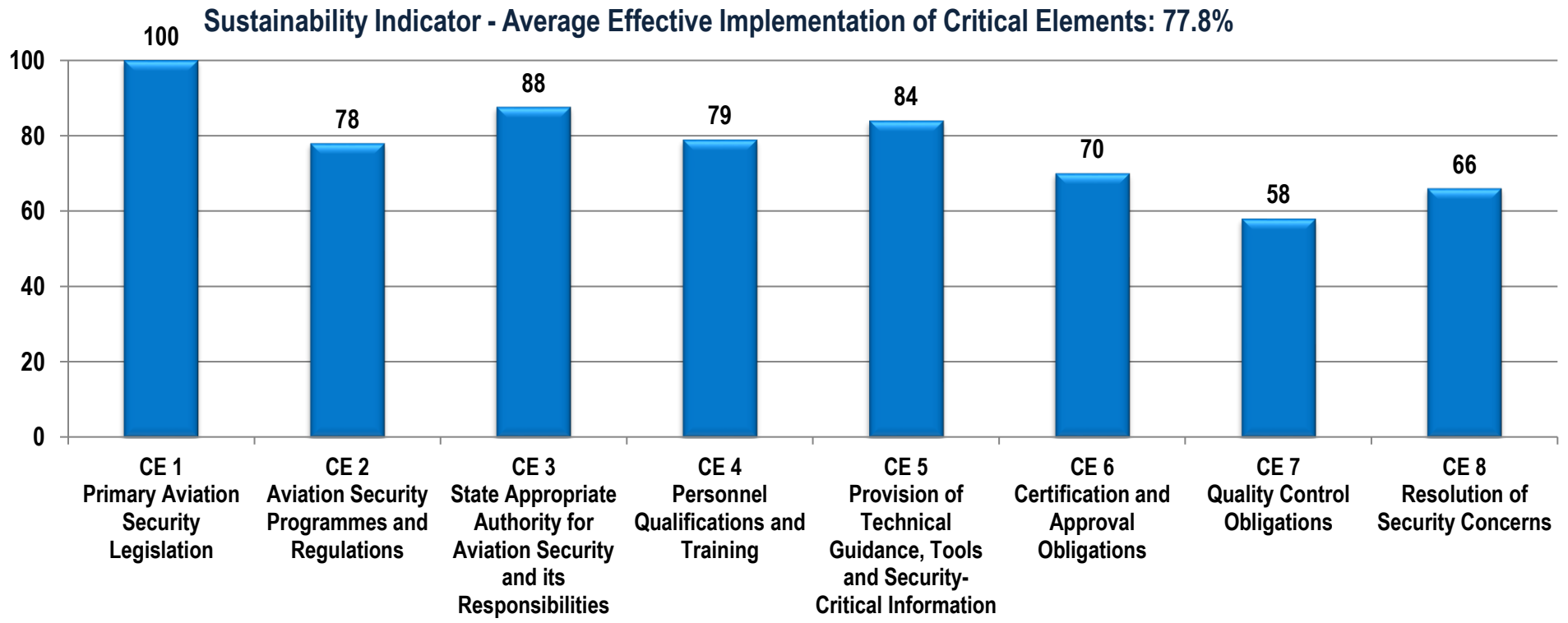
- USAP-CMA audit reports will be confidential and made available to State and ICAO staff on a need-to-know basis
- Effective Implementation and Compliance charts will be made available to all Member States on the USAP secure website

Content of the Audit Report



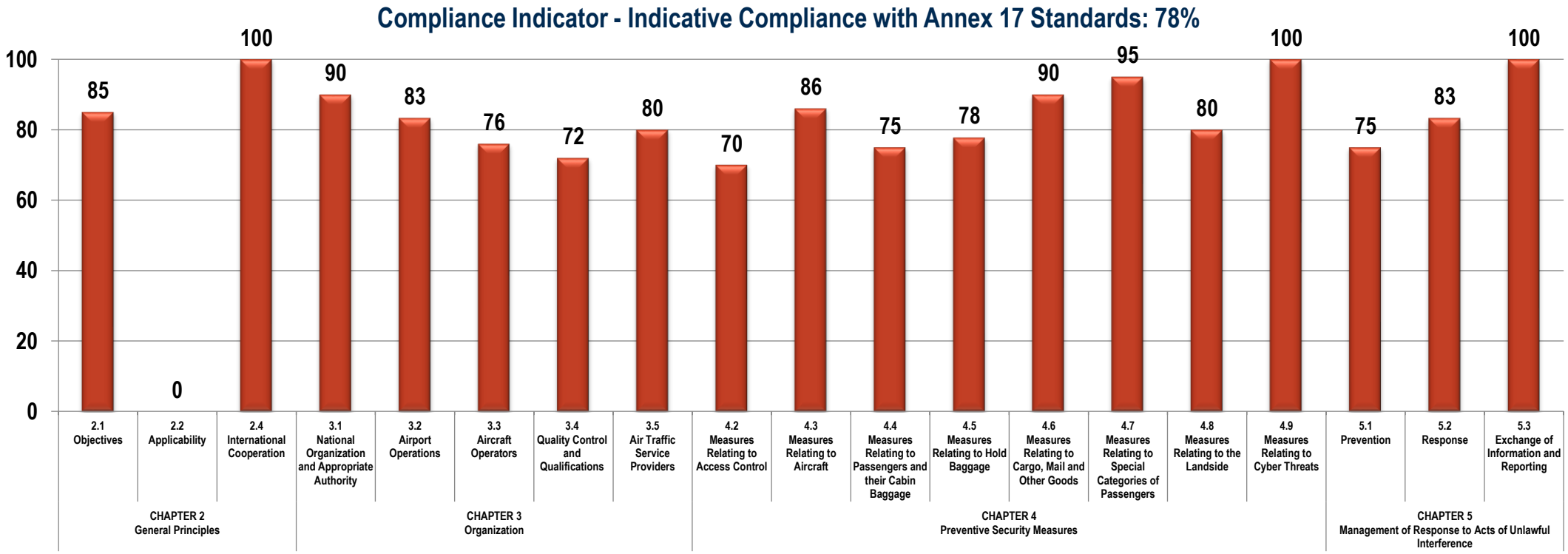
Content of the Audit Report

PART III: Sustainability Indicator



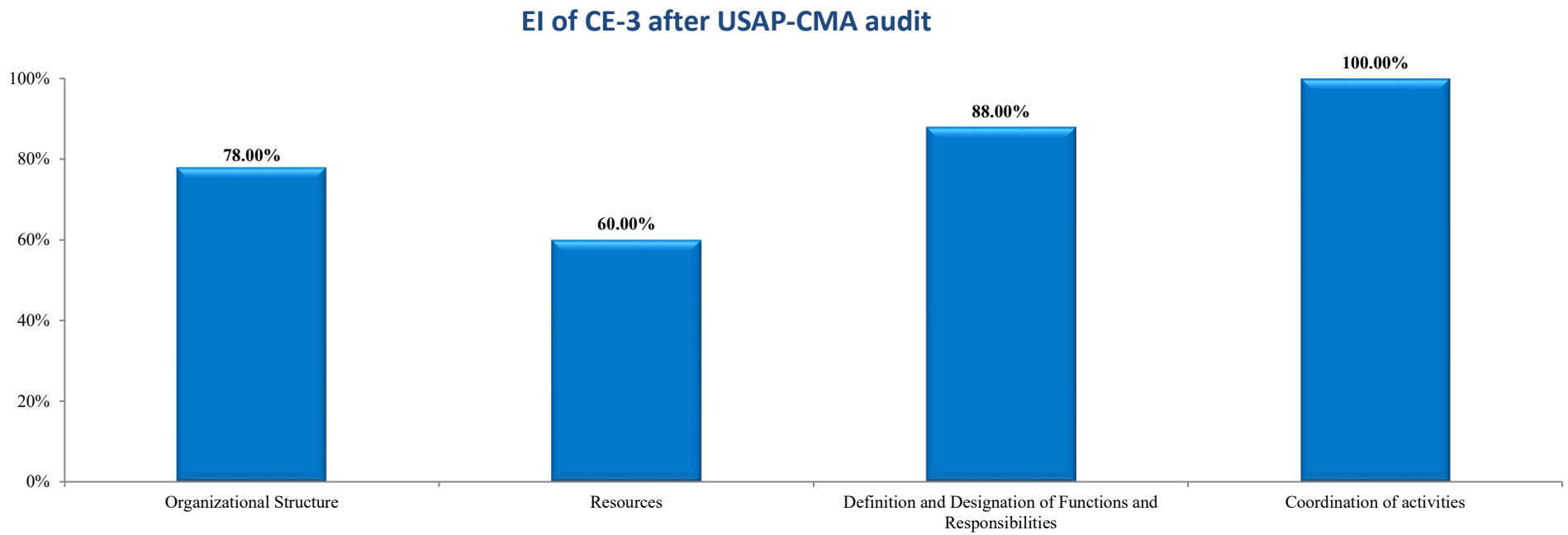
Content of the Audit Report

PART III: Compliance Indicator



Content of the Audit Report

APPENDIX 1: Analysis of Audit Results by CE



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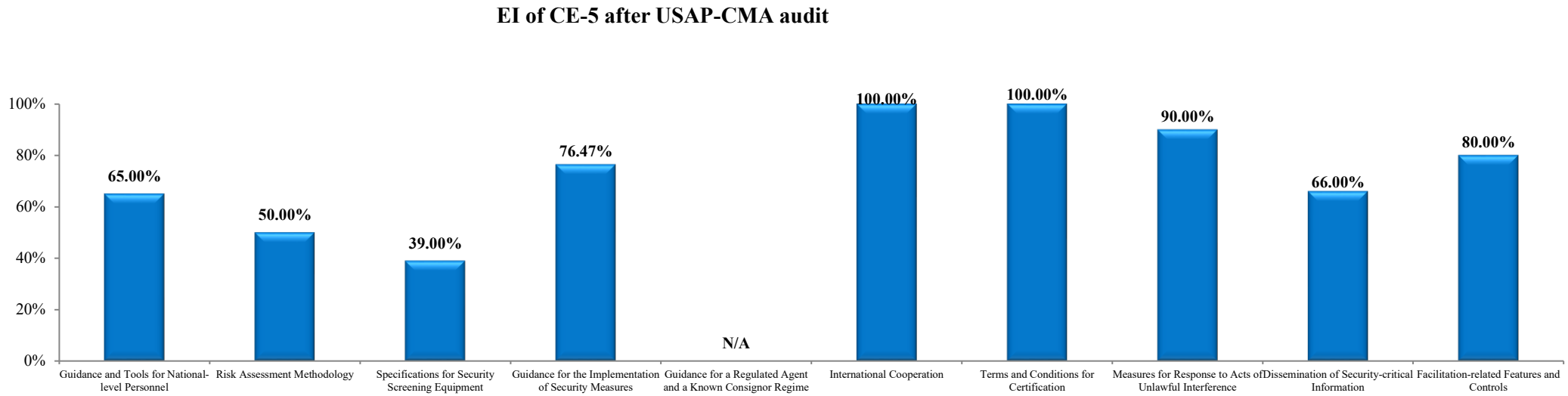

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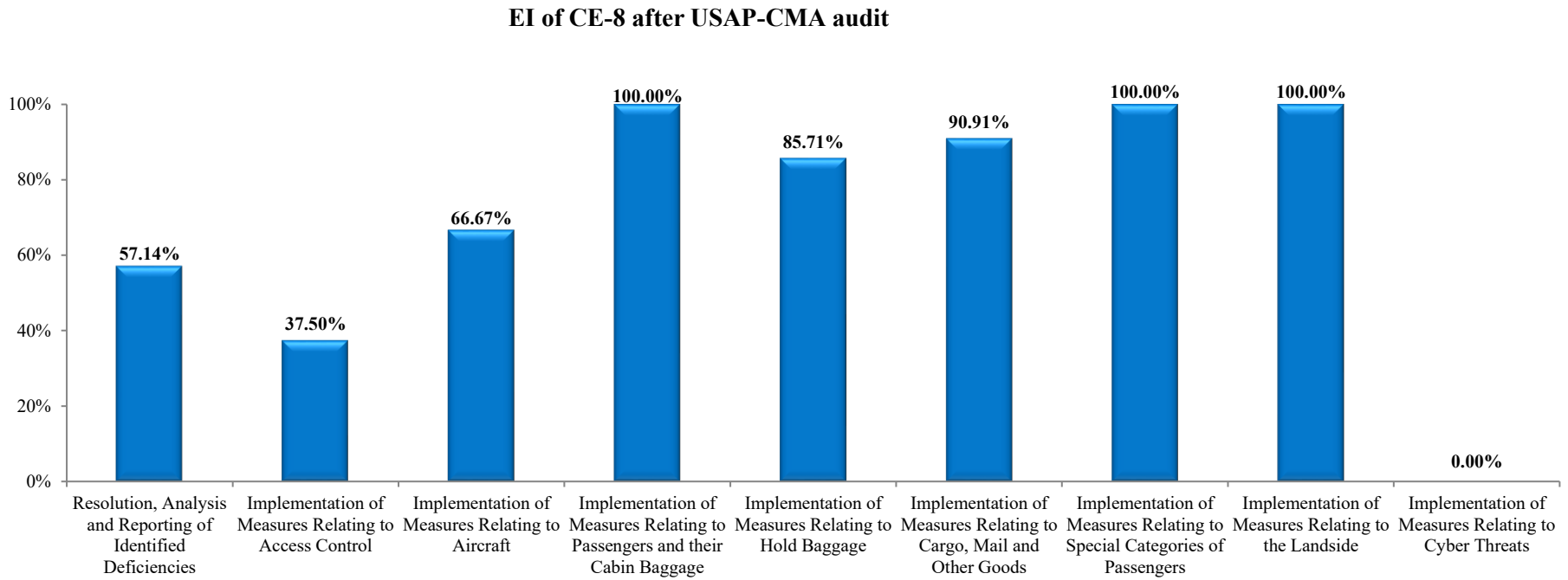

Post-audit Activities

APPENDIX 2: Findings and Recommendations

Finding-10	Finding Priority: Medium	Audit Area: QCF			
FINDING:					
The NCASP establishes a requirement for a risk assessment to be conducted to determine the priorities and frequency of national quality control activities. The NQCP contains a list of factors to be considered in such risk assessment. However, no appropriate risk assessment methodology is available to be utilized for determining the priorities and frequency of national quality control activities. The priorities and frequency of activities included in the annual schedule of quality control activities for 2017 and 2018 have not been determined on the basis of a risk assessment.					
RECOMMENDATION:					
Usapia should:		**PQ**	**CE**	**SARP**	**Priority**
Develop an appropriate risk assessment methodology for determining the priorities and frequency of national quality control activities based on the risk factors established in the NQCP.		3.055	CE-5	3.4.5	Medium
Utilize a risk assessment methodology in order to determine the priorities and frequency of national quality control activities, when developing the annual schedule of such activities.		3.070	CE-7	3.4.5	Medium

Classification of Protocol Questions

Very High	Serious deficiencies related to critical operational aviation security controls, including SSeC.
High	Deficiencies in airport-level training, national-level guidance, certification requirements, performance criteria, contingency measures, airport-level procedures, resources and operational measures.
Medium	Deficiencies in policies, designations, coordination, resources, national/airport level guidance/procedures, national inspectors' training, quality control activities, certain operational measures.
Low	Deficiencies in policies, programmes and regulations.

Prioritized recommendations

- Pre-assigned priorities may be adjusted by Team Leader during audit
- Provides States with guidance when developing their short-, medium- and long-term actions in their CAP
- Assists in allocating resources

State's Corrective Action Plan (CAP) (1/3)

- State is strongly encouraged to start working on its CAP using the draft findings and recommendations provided during the Post-audit Debriefing
- Findings with a "Very High" priority should be addressed urgently, ideally within 30 days of the Post-audit debriefing
- The CAP should be submitted within 60 calendar days following receipt of the final report
- If translation is required, the 60-day timeline starts when the translated report is received

State's Corrective Action Plan (CAP) (2/3)

The CAP should:

- Reflect the findings contained in the official audit report
- Address all recommendations related to each finding
- Take a project management approach to its structure, identifying the short-, medium- and long-term steps
- Include detailed and specific actions
- Specify realistic start and completion dates, with dates consistent between findings
- Identify an action office for each action

Note : Some recommendations are to be implemented on an ongoing basis, such as those associated with PQs related to CE-4, CE-7 and CE-8. In this case completion dates should indicate that the actions are "ongoing". We use 31/12/2099 to indicate on-going

State's Corrective Action Plan (CAP) (3/3)

- If CAP is not submitted on time, ICAO will send a reminder
- Failure to submit a CAP will result in referral to the MARB

Corrective Action Plan

CAP Manager

FINDING	Finding-01	FINDING PRIORITY	LOW	AUDIT AREA	LEG	% COMPLETE	63%	STATE	Usapia

FINDING

A review of the national-level documentation revealed that the C[illegible] implemented amendment procedures to incorporate the recent amendments to Annex 17 in the NCASP and other national-level documentation. The ICAO audit also i[illegible]ew instances in which regulations, practices or procedures have not been established or implemented to fully address certain Annex 17 Standards. However, the CA[illegible]mplemented a process to identify and notify ICAO of differences between such Annex 17 Standards and national aviation security regulations, practices and proced[illegible]

PQ	1.035	CE		SARP	2.1.2	PRIORITY	LOW	% COMPLETE	63%

Pre-filled by ICAO

ICAO RECOMMEND[illegible]	STATE COMMENTS	ICAO FEEDBACK
Implement the amendment of [illegible]ional aviatio[illegible] security regulations and proced[illegible]es to take int[illegible] consideration Annex 17 Standards and their lates[illegible] amendments.	The CAA agrees with the ICAO recommendation.	The proposed corrective action is acceptable.

To be completed by State

	CORRECTIVE ACTION(S)	ACTION OFFICE(S)	STARTING DATE	COMPLETION DATE	% COMPLETE
1	Consultation with the industry.	CAA	01/03/2021	01/04/2021	100%
2	Endorsement of the amendments by the NCASC.	NCASC	01/04/2021	01/05/2021	100%
3	Revision of the NCASP and the AVSEC Regulation to incorporate [illegible]mendment to Annex 17.	CAA	01/05/2021	01/06/2021	50%
4	Approval of the NCASP and the AVSEC Regulation.	DG CAA	01/06/2021	01/07/2021	0%
5					
6					

CAP Review

- ICAO review should take approximatively 60 days
- CAP will be reviewed by ASA to provide feedback to the State on acceptability (completeness and coherence)
- If any proposed actions do not fully address the associated recommendations, the State will be requested to resubmit the CAP

CAP Review

FINDING	Finding-01	FINDING PRIORITY	LOW	AUDIT AREA	LEG	% COMPLETE	63%	STATE	Usapia

FINDING
A review of the national-level documentation revealed that the CAA has not implemented amendment procedures to incorporate the recent amendments to Annex 17 in the NCASP and other national-level documentation. The ICAO audit also identified a few instances in which regulations, practices or procedures have not been established or implemented to fully address certain Annex 17 Standards. However, the CAA has not implemented a process to identify and notify ICAO of differences between such Annex 17 Standards and national aviation security regulations, practices and procedures.

PQ	1.035	CE	CE-2	SARP	2.1.2	PRIORITY	LOW	% COMPLETE	63%

ICAO RECOMMENDATION	STATE COMMENTS	ICAO FEEDBACK
Implement the amendment of its national aviation security regulations and procedures to take into consideration Annex 17 Standards and their latest amendments.	The CAA agrees with the ICAO recommendation.	The proposed corrective action is acceptable.

	CORRECTIVE ACTION(S)	ACTION OFFICE(S)	STARTING DATE	COMPLETION DATE	% COMPLETE
1	Consultation with the industry.	CAA	01/03/2021	01/04/2021	100%
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3	Revision of the NCASP and the AVSEC Regulation to incorporate the latest Amendment to Annex 17.	CAA	01/05/2021	01/06/2021	50%
4	Approval of the NCASP and the AVSEC Regulation.	DG CAA	01/06/2021	01/07/2021	0%
5					
6					

Corrective Action Plan – ICAO Regional Office

Article 37 of the MoU

The ICAO Regional Office accredited to the State will be actively involved in monitoring the progress made by the State towards implementing its CAP and in the provision of advice and assistance, as required

USAP-CMA State Activity Feedback Form

- To be **completed by the State** and submitted 30 days after receiving the report.
- Allows ICAO to **evaluate the USAP-CMA audit** and a**ddress identified deficiencies** in the preparation and conduct **of the audit**
- **ICAO welcomes suggestions** to improve the USAP-CMA

Note: Online using Sogolytics

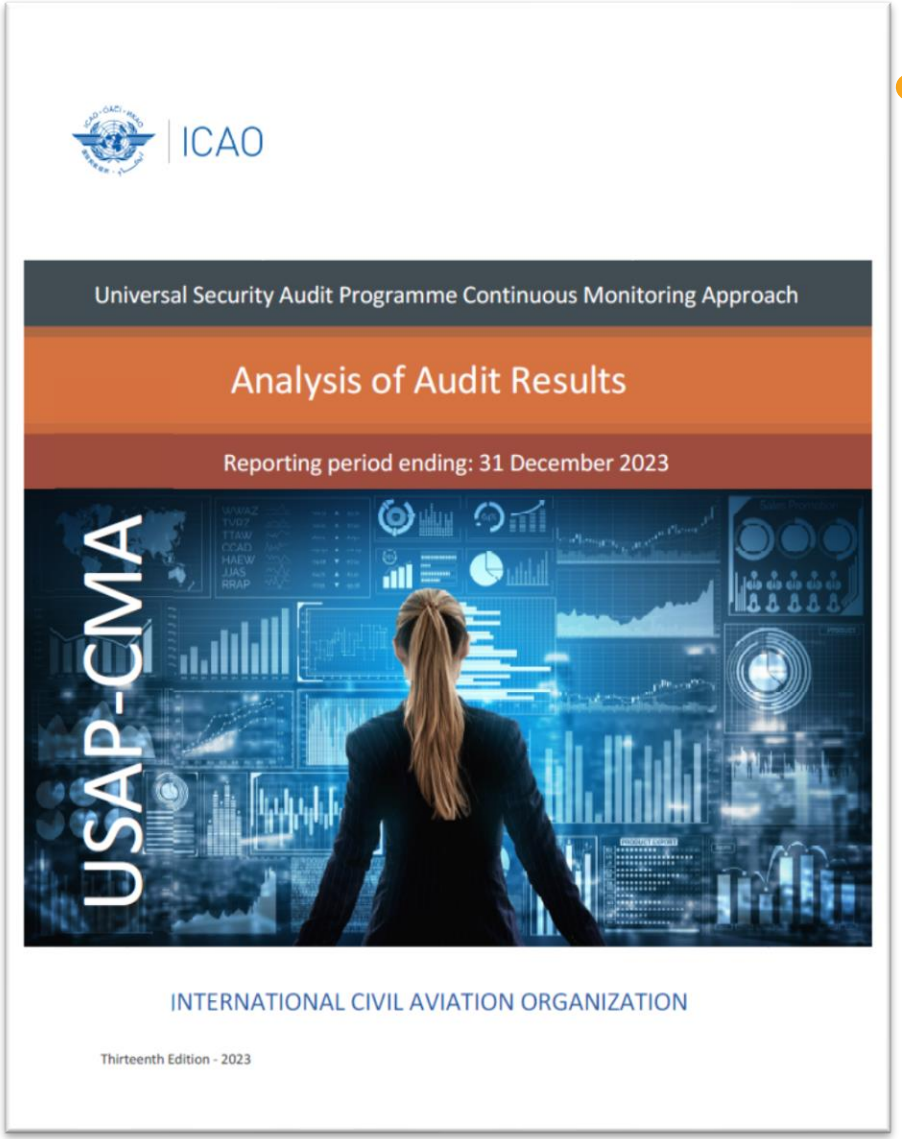
Role of National Coordinator (1/2)

- Ensure work on the CAP begins immediately following the Post-audit Debriefing
- Upon receipt of the final Audit Report:
  - coordinate and submit comments, if any, within 30 calendar days
  - coordinate preparation and submission of the State's CAP within 60 calendar days

Role of National Coordinator (2/2)

- Ensure the Activity Feedback Form is duly completed and submitted to ICAO
- Based on ICAO's CAP review, coordinate changes or adjustments and re-submit CAP, if necessary
- Keep ICAO updated of the State's progress in the implementation of its CAP

Analysis of USAP-CMA Audit Results



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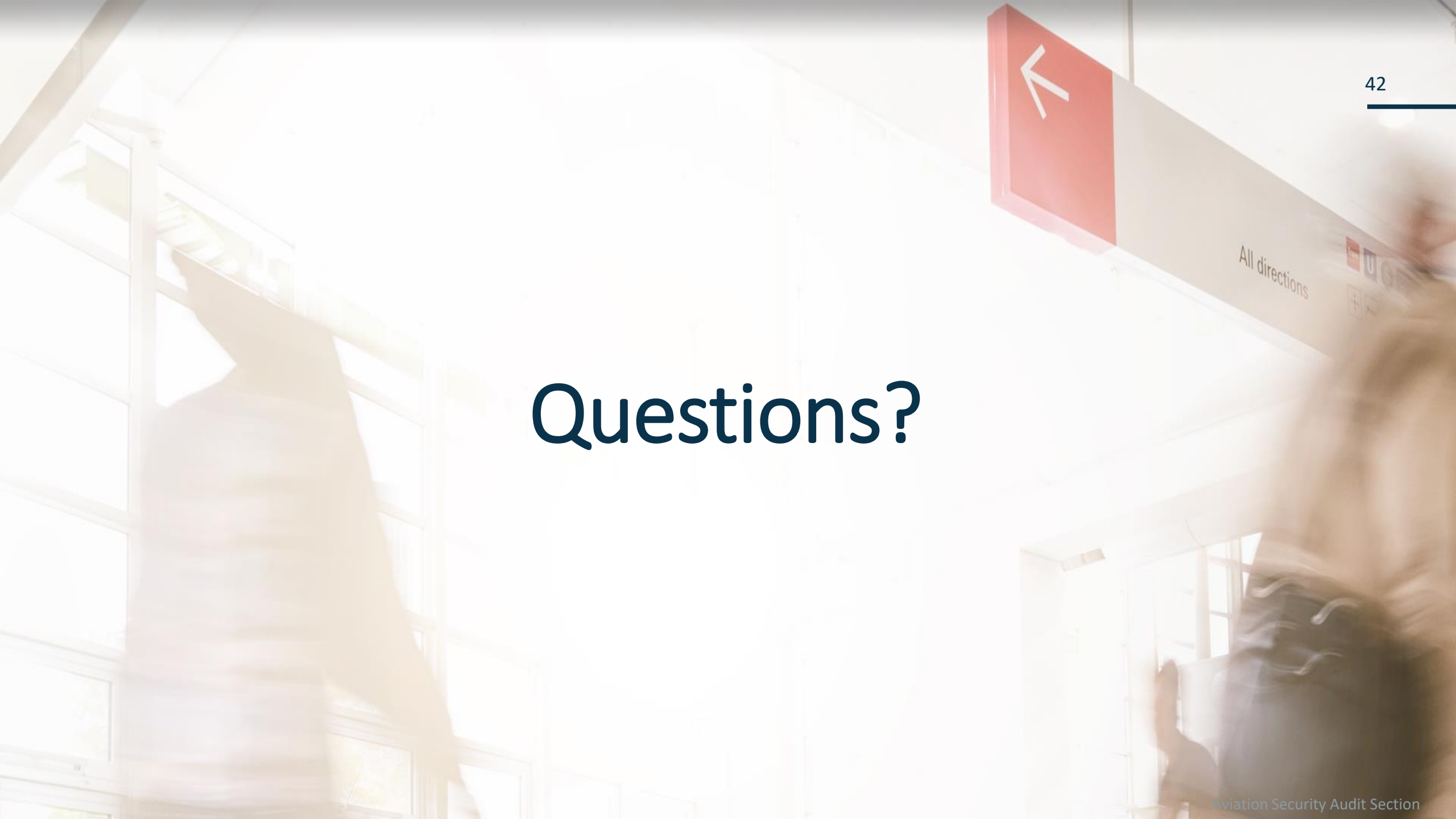
Module Review

- Reporting Phase
- Post-audit Activities
- Significant Security Concern
- Monitoring and Assistance Review Board
- USAP-CMA Audit Report
- State's Corrective Action Plan
- CAP Review
- Activity Feedback Form
- Role of the National Coordinator



Questions?

Thank You

ICAO