



SAFE SKIES.
**SUSTAINABLE
FUTURE.**



ICAO USAP-CMA SEMINAR

The Universal Security Audit

Programme – Continuous Monitoring

Approach (USAP-CMA)

Cairo, 23 to 26 September 2024

Module Objectives

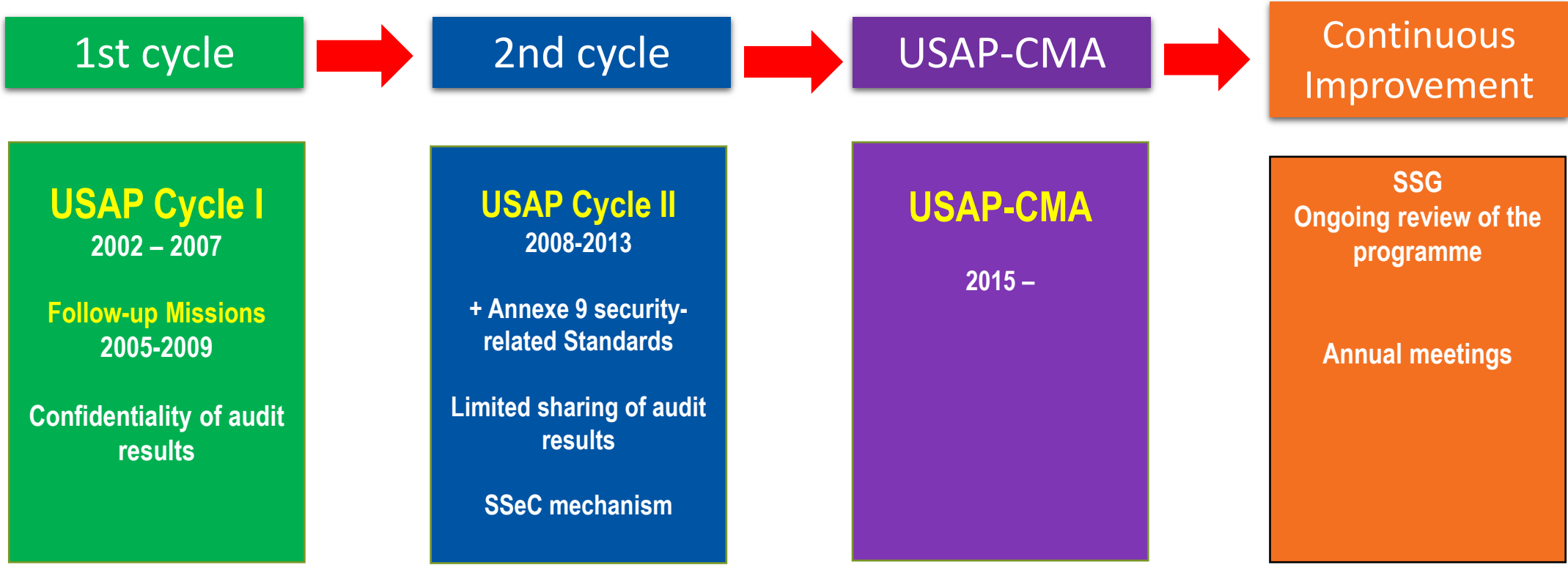
At the end of this module the participants will be familiar with the USAP Continuous Monitoring Approach (USAP-CMA) methodology and the different types of activities for auditing and monitoring ICAO Member States



Module Outline

- Evolution of the USAP
- USAP-CMA Objective
- State's Aviation Security Performance
- USAP-CMA Process
- Risk-based Approach
- USAP-CMA Activities
- USAP-CMA Principles
- USAP-CMA Reference Documents
- USAP-CMA MoU

From Cycles to Continuous Monitoring



USAP-CMA Objective

The **objective** of the USAP-CMA is to **improve global aviation security** through **auditing and continuous monitoring** of the aviation security performance of Member States.



Overview of USAP-CMA

Objective

The USAP-CMA objective is achieved by assessing:

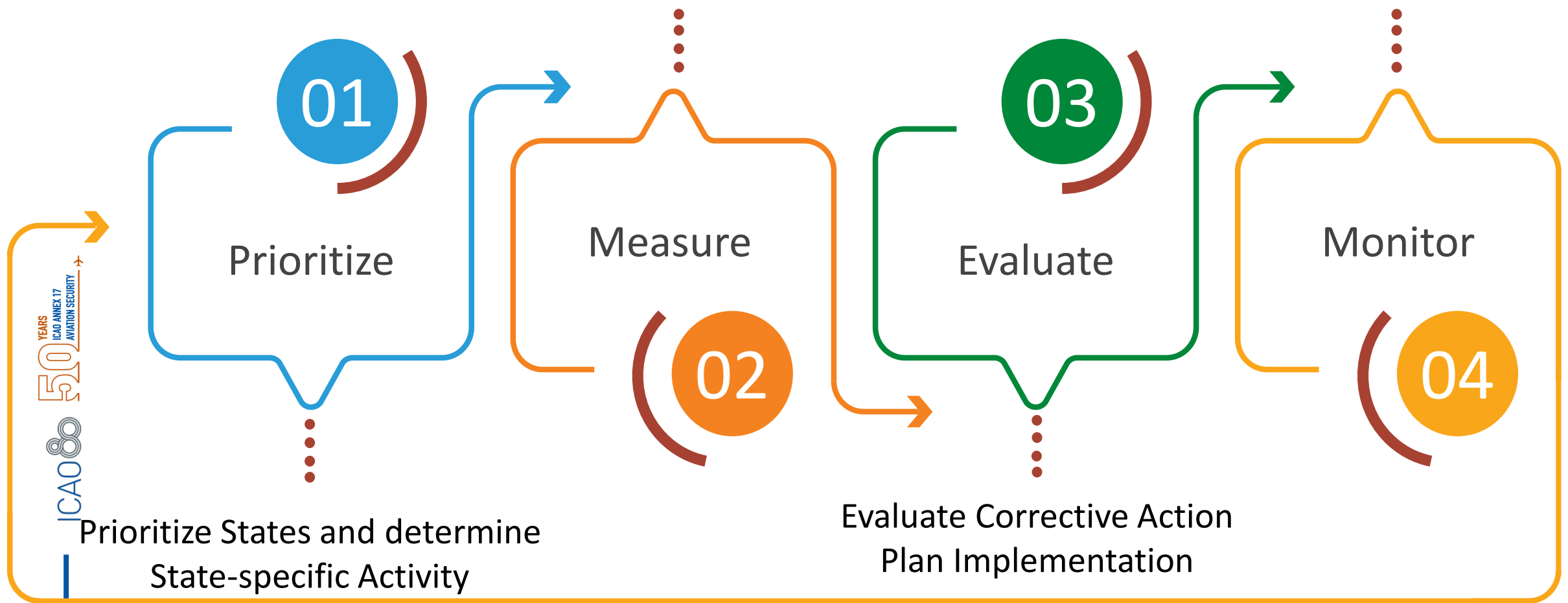
The sustainability of State's aviation security system through the Effective Implementation (EI) of the Critical Elements (CEs) of an aviation security oversight system – Average of 8 CEs

The indicative degree of compliance with Annex 17 — *Aviation Security* Standards and security-related Standards of Annex 9 — *Facilitation* to the Chicago Convention – Average of relevant Stds

USAP-CMA Process

Measure Aviation Security Performance and Provide Recommendations

Monitor States' Aviation Security Performance



50 YEARS ICAO ANNEX 17 AVIATION SECURITY ICAO 8000

Prioritize States and determine State-specific Activity

Evaluate Corrective Action Plan Implementation

State Prioritization

- The USAP-CMA incorporates a risk-based approach to prioritizing States for audit activities
- This requires the gathering and regular review of State-specific information to determine the type, scope and frequency of audit activities to be employed for a particular State
- The ASA Section has developed and utilizes a risk assessment methodology that takes into consideration State-specific information in order to prioritize States for USAP-CMA audits and apply variable audit frequency

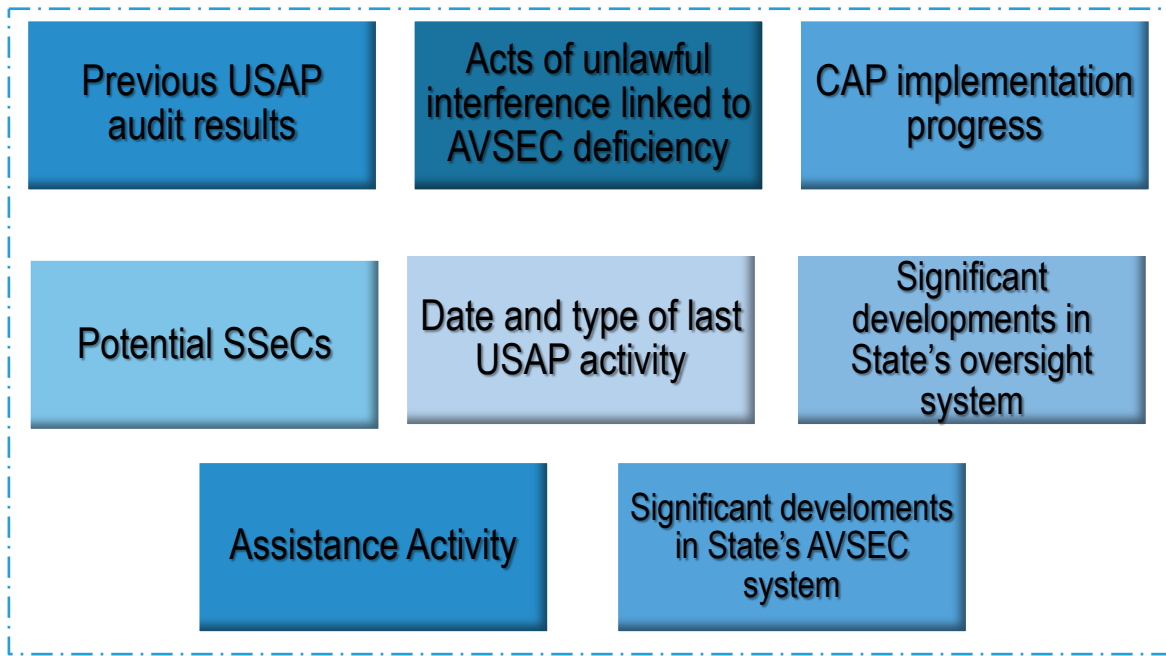
State Prioritization

Risk Profile (1/2)

UNDSS Indicator (THREAT)



Vulnerability Indicator



Impact Indicator (OPPORTUNITY)



State Prioritization: Risk profile (2/2)

Member States	Region	Last doc-based audit	Last on-site audit	UNDSS TA	EC-8	Impl. score	EI	Oversight score	Security incident	CAP Progress	Oversight devpt	Operational devpt	Vulnerability score	Opportunity score	Overall prioritization score	Potential SSeC
Usapia	ABE		2010-01-01	6		5		5					10	4	240	
Aculeo	ABE		2015-12-08	3	70.03	3	72.37	3		2			8	5	120	
Adoradéa	ZAC		2010-01-20	4	30.01	5	29.98	5		1			11	7	308	
Barova	GHI		2013-07-20	1		5		5					10	1	10	
United Usapia	XYZ		2018-05-01	3	23.94	5	47.02	4					9	5	135	possible
Montenaro	GHI		2018-07-31	2	27.01	5	45.23	4					9	5	90	
Pamparigouste	DEF		2012-11-10	5	75.41	3	87.97	2		1		1	7	7	245	
Elyria	DEF		2019-07-06	3	42.79	4	47.90	4					8	5	120	
Noland	ABE		2017-01-28	2	98.51	1	96.01	1			1		3	10	60	
Olasko	XYZ	2016-05-01		2	99.88	1	98.56	1					2	10	40	

State USAP-CMA risk assessment value	Frequency of USAP-CMA Audits	Mode of USAP-CMA Monitoring
1-49	Every 10 years	Random
50-99	Every 9 years	Irregular
100-149	Every 7 years	Occasional
150-299	Every 5 years	Regular
300+	Every 3 years	Constant

USAP-CMA Activities

Overview

Documentation-based audits

- Limited-scope, off-site audits
- Focus on continuous processes
- Not satisfactory PQs related to Establishment CE
- PQs related to new Annex Standards and not applicable PQs
- Operational PQs not in the scope

Oversight-focused audits

- Full or limited-scope, on-site audits
- Review of NCASP/NCASP/NQCP, sample entity programs
- Spot checks at airport(s) selected for observation
- Focus on implementation of NQCP
- Adequacy and effectiveness of compliance monitoring activities

Other audit activities

- Validation missions
- Cost-recovery (oversight/compliance-focused) audits

Compliance-focused audits

- Full or limited-scope, on-site audits
- Detailed observation of security measures
- Focus on State's compliance with security-relevant Standards

Programme Results

- As of 31 July 2024, a total of 257 USAP-CMA activities had taken place in 176 States



176 on-site audits



58 documentation-based audits



23 on-site validation missions to evaluate the resolution of SSeCs

- Electronic Bulletin EB 2024/1 : 44 States selected for audits in 2024
- EB 2024/13 : list of audits planned for the second half of 2024 and 2025

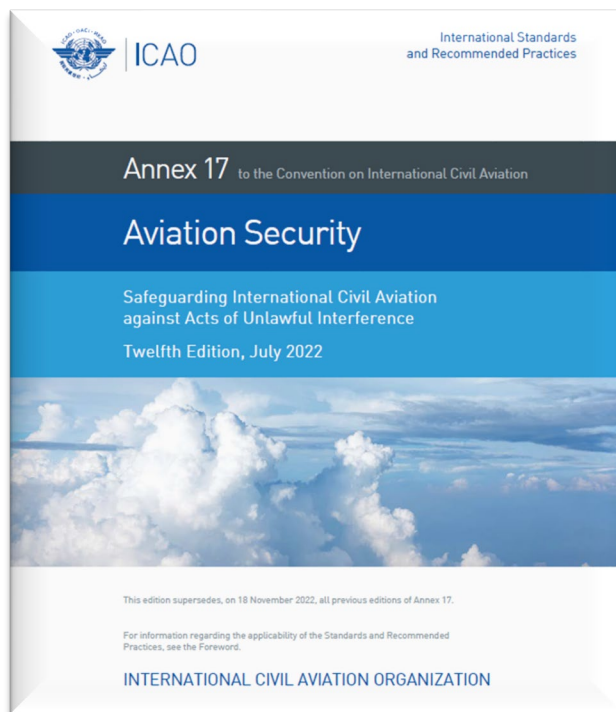
USAP-CMA Audit activity phases



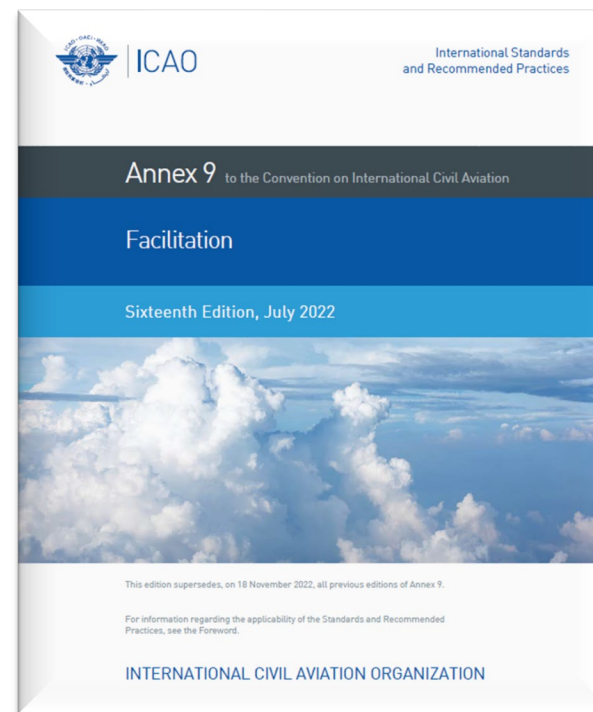
USAP-CMA Principles



USAP-CMA Related Documentation



ANNEX 17 - Amendment 18
93 Standards audited



ANNEX 9 - Amendment 29
23 Standards audited

USAP-CMA Reference Documentation



**DOC 8973:
Aviation Security Manual**



**DOC 10047:
Aviation Security
Oversight Manual**



**DOC 9807:
USAP Continuous
Monitoring Manual**

USAP-CMA Reference Documentation

FAL 2024

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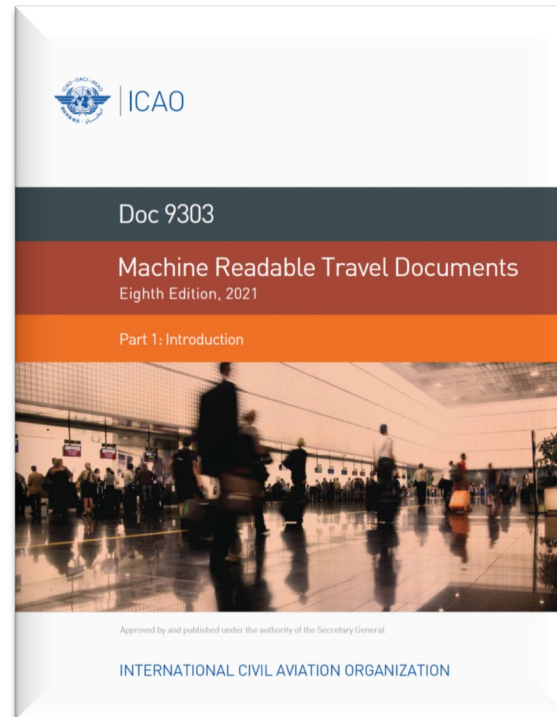
YEAR ANNIVERSARY
OF ANNEX 9
FACILITATION

2024 YEAR OF
FACILITATION

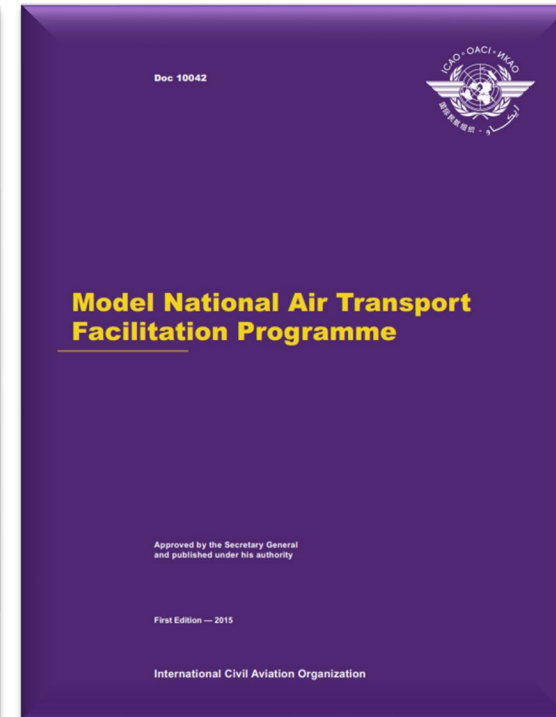
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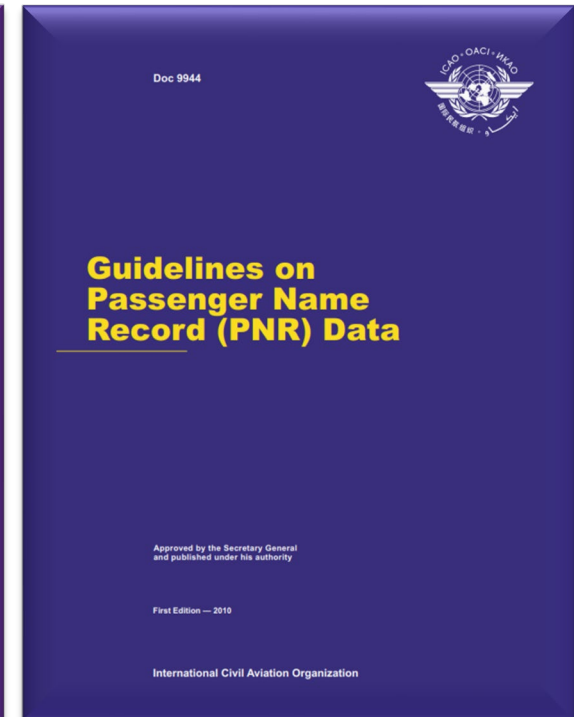
DOC 9957: Facilitation Manual



**DOC 9303:
Machine Readable
Travel Documents**



**DOC 1042: Model National Air
Transport Facilitation Programme**



DOC 9944: Guidelines on PNR

Memorandum of Understanding



I - General

State's commitment to participate

Designation of an NC

Types of information to be submitted

Types of USAP-CMA activities



II - Preparation

Annual schedule

Notification

Scope of USAP-CMA activity

USAP-CMA team and audit plan



III - Conduct

Language

State responsibilities to facilitate USAP-CMA activity

Post-audit debriefing



IV - Reporting

USAP-CMA audit report

State feedback and CAP

USAP secure web site

SSEC mechanism



V – Dispute Resolution

Module Review

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Questions?

Thank You

