



**WORKING PAPER**

**ASSEMBLY — 39TH SESSION**

**EXECUTIVE COMMITTEE**

**Agenda Item 17: Universal Security Audit Programme –  
Continuous Monitoring Approach (USAP-CMA)**

**IMPLEMENTATION OF THE UNIVERSAL SECURITY AUDIT PROGRAMME –  
CONTINUOUS MONITORING APPROACH (USAP-CMA)**

(Presented by the Council of ICAO)

**EXECUTIVE SUMMARY**

ICAO Resolution A38-15, Appendix E requested the Council to report to the next ordinary session of the Assembly on the overall implementation of the ICAO Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA).

The second cycle of USAP was completed in 2013 and, following a transition period, the implementation of the USAP-CMA began in January 2015. The USAP-CMA incorporates elements of both a continuous monitoring and a risk-based approach, using various key parameters to determine the type, scope, priority and frequency of audit and monitoring activities. This working paper provides the Assembly with a progress report on the implementation of the USAP-CMA, including the average level of implementation of the critical elements of States' aviation security oversight systems, and an indicative level of compliance with Annex 17 – *Security Standards*. Since the launch of the USAP-CMA, a total of 38 USAP-CMA activities (including 37 audits and 1 validation mission) have been conducted.

**Action:** The Assembly is invited to:

- a) note the report on the implementation of the USAP-CMA; and
- b) request States to continue their support to the USAP in seconding short- and long-term experts and participating in the training courses and seminars.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective C — <i>Security and Facilitation</i> .
<i>Financial implications:</i>	The activities referred to in this paper will be undertaken within the resources available in the Regular Programme Budget and/or from extra-budgetary contributions.
<i>References:</i>	Electronic Bulletin, <i>Security Risk Indicators and Significant Security Concerns</i> (EB 2010/31) Annex 9 — <i>Facilitation</i> Annex 17 — <i>Security</i> Doc 10047, <i>Aviation Security Oversight Manual — The Establishment and Management of a State's Aviation Security Oversight System</i> Doc 10022, <i>Assembly Resolutions in Force</i> (as of 4 October 2013)

## 1. INTRODUCTION

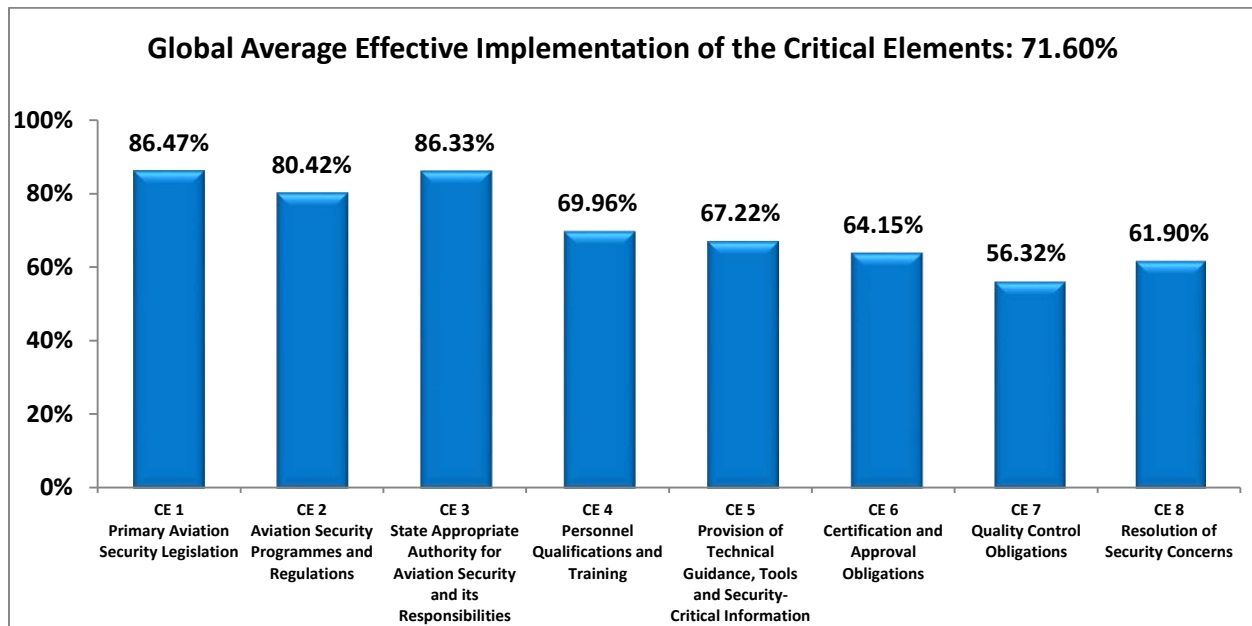
1.1 The ICAO Universal Security Audit Programme (USAP) was established in 2002, pursuant to the recommendations of the High-level Ministerial Conference on Aviation Security (Montréal, February 2002). Following the completion of a first cycle of Universal Security Audit Programme (USAP) audits in 2007, the second cycle of USAP audits was launched in January 2008 and completed in 2013. Second-cycle audits focused, wherever possible, on States' aviation security oversight systems and included both Annex 17 — *Security* Standards and relevant security-related provisions of Annex 9 — *Facilitation*.

1.2 In October 2012, the Council formally approved the concept of a Universal Security Audit Programme continuous monitoring approach (USAP-CMA) and the transition plan presented by the Secretariat. In April 2013, the twenty-fourth meeting of the Aviation Security Panel (AVSECP/24) supported the evolution to the USAP-CMA, which incorporates elements of both a continuous monitoring and a risk-based approach. The transition to the USAP-CMA was completed at the end of 2014 and implementation of the new approach was initiated in 2015.

## 2. IMPLEMENTATION OF THE USAP-CMA

2.1 Since the launch of the USAP-CMA, 38 USAP-CMA activities have been conducted as of 26 May 2016 in 37 States, including 27 on-site audits, 10 documentation-based audits and one validation mission to evaluate the resolution of Significant Security Concerns (SSeCs) in one Member State. A total of 31 USAP-CMA audits are currently scheduled for 2016, including 26 on-site audits and 5 documentation-based audits.

2.2 The following chart illustrates the global aggregated results for the USAP audits conducted under the second cycle and under the USAP-CMA, measuring the effective implementation (EI) by States of the eight critical elements of an aviation security oversight system (CEs), as identified in Doc 10047 — *Aviation Security Oversight Manual — The Establishment and Management of a State's Aviation Security Oversight System*. It should be noted that while this information has been aggregated into a single chart, the underlying protocol questions used for the conduct of the audits have changed significantly since the second cycle. As a result, the global aggregated percentage should be used with some caution, particularly when comparing the global results to individual States' USAP-CMA results. As more USAP-CMA audits are conducted in all regions, it is expected that the global results will become increasingly precise.



2.3 The chart depicted above shows a global average EI of 71.60 per cent over all of the CEs. These results indicate that there is still significant room for improvement and that States' quality control obligations remain the critical element that is the least effectively implemented. Meanwhile, the resolution of security concerns, certification and approval obligations, the provision of technical guidance, tools and security-critical information, and personnel qualifications and training are also areas of concern.

2.4 Besides USAP-CMA audits, since 2014 the Secretariat continues to carry out auditor training courses and regional seminar/workshops in all ICAO regions. The Secretariat has also conducted an assessment of the European Commission's (EC) aviation security inspection system (which covers the 28 European Union Member States plus Switzerland) and continues to participate in airport inspections conducted by the EC.

2.5 As of 26 May 2016, 91 of the 191 ICAO Member States had signed the Memorandum of Understanding (MoU) regarding the USAP-CMA. The Secretariat would like to re-emphasize that it is important for all States to sign the MoU at the earliest opportunity.

2.6 The USAP-CMA primary tools, including the Protocol Questions (PQs), the State Aviation Security Activity Questionnaire (SASAQ) and the Compliance Checklists (CCs), are posted on the USAP secure website (<http://portal.icao.int>) in all ICAO languages. Member States are encouraged to make use of these tools to conduct self-assessments and to prepare for scheduled USAP-CMA activities.

### ***Significant Security Concerns***

2.7 During its 189th Session, the Council approved a mechanism to address Significant Security Concerns (SSeCs) identified during USAP audits in a timely manner. Details of the SSeC mechanism are described in Electronic Bulletin EB 2010/31 dated 23 August 2010. The mechanism has been implemented since October 2010. As at 26 May 2016, twelve SSeCs remain unresolved in five States. The Secretariat is working closely with these States to monitor progress toward the resolution of all outstanding SSeCs and to provide assistance in this regard.

***Disclosure of audit results***

2.8 Graphical representations of the EI for States audited under the USAP-CMA are available on the USAP secure website, together with a graph providing an indication of compliance with Annex 17 – *Security* Standards. In addition, the website provides all Member States with access to information pertaining to the existence of SSeCs.

**3. CONCLUSION**

3.1 The ICAO USAP has successfully transitioned to the Continuous Monitoring Approach. The engagement of Member States in the USAP-CMA confirms States' commitment to implement ICAO security-related Standards and strengthen aviation security. USAP audits continue to play a central role in the identification of deficiencies, providing useful information for the targeting of assistance activities and the development of aviation security policy, thus serving as a catalyst for Member States' continued efforts to meet their international obligations in the field of aviation security.

3.2 Nevertheless, the results of both the second-cycle audits and USAP-CMA audits indicate that a number of States continue to experience difficulties in meeting aviation security obligations. Ongoing monitoring of progress made by States in this regard will continue to be provided under the USAP-CMA.

— END —