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ASSEMBLY — 39TH SESSION

REPORT OF THE EXECUTIVE COMMITTEE ON AGENDA ITEM 17

(Presented by the Chairman of the Executive Committee)

The attached report on Agenda Item 17 has been approved by the Executive Committee.

Note.— After removal of this covering sheet, this paper should be inserted in the appropriate place in the report folder.

(3 pages)

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

17.1 At its fifth meeting, the Executive Committee considered the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA). The Council reported on the overall implementation of the Programme since its inception in January 2015 (WP/20), and there were four additional papers submitted by States and Observers: WPs 151, 224, 316 and 371.

17.2 The Council, in WP/20, reported on the implementation of the USAP-CMA, including the average level of implementation of the critical elements of States' aviation security oversight systems. It proposed continued support to the USAP in seconding short- and long-term experts and participating in the training courses and seminars.

17.3 The African Civil Aviation Commission (AFCAC), in WP/151, reiterated on behalf of its Member States the need to maintain levels of disclosure of USAP audit results in line with Recommended Practice 2.4.5 of Annex 17 – *Security*, taking into consideration the risks and benefits of disclosing such information. It also urged ICAO to continue to provide assistance to States with low levels of compliance with Annex 17 Standards and the security-related provisions of Annex 9 – *Facilitation*.

17.4 The Russian Federation, in WP/316, proposed that the Assembly support the freedom of each State to share audit results on the basis of limited levels of disclosure, while maintaining the principle of confidentiality, and to determine whether their audit results should be shared through the USAP secure website.

17.5 In an information paper (WP/224), Indonesia provided an overview of its experience undergoing a USAP-CMA audit, and concluded with some lessons learned from the audit process.

17.6 In an information paper (WP/371), China provided an explanation of its National Aviation Security Audit Programme, established in 2004. This audit programme covers airports and aircraft operators, and is sustainable, risk-based and integrated with the Security Management Systems (SeMS) certification. The programme has greatly improved security management and overall security in China's civil aviation system.

17.7 The Committee expressed support for the USAP-CMA, recognized its importance in helping to ensure the effectiveness and sustainability of the global aviation security system, and urged States to continue to support the audit programme through the secondment of experts, by signing the Memorandum of Understanding (MoU) on the USAP-CMA, and by participating in training courses and seminars.

17.8 The Committee expressed concern that while the audit programme in its current form focuses mainly on States' aviation security oversight systems, it does not cover in sufficient detail or depth the operational implementation of security measures. Consequently, there was broad consensus that the scope and methods of the USAP-CMA should be reviewed by ICAO, in consultation with Member States, in order to ensure that the audit programme provides stronger assurances about the implementation of security measures on the ground, and that the methodology takes into consideration risk-based approaches to implementing aviation security measures. It was agreed that the existing Secretariat Study

Group (SSG) on the USAP-CMA would be a suitable vehicle for carrying out this review. The Membership of the SSG should be reviewed and updated, as appropriate, to ensure adequate representation of all interested parties.

17.9 On the issue of the disclosure of audit results, the Committee members expressed differing points of view regarding how best to achieve the right balance between making information available to all States with a need to know, and protecting the confidentiality of audit results. This confidentiality is important to prevent the disclosure of potentially sensitive information, while respecting the sovereignty of States. It was agreed that the SSG on the USAP-CMA could also serve as an effective forum to continue discussions on this matter. Many members also noted that such information should, in any case, be available to States receiving flights from other States on a bilateral basis, and recalled the conclusions of the Aviation Security Panel in this regard.

17.10 The Committee also called on ICAO to continue to provide targeted assistance to States with low levels of effective implementation of the critical elements of an aviation security oversight system and low effective implementation of ICAO's security-related Standards.

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