



ASSEMBLY — 40TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Audit Programmes — Continuous Monitoring Approach (CMA)

THE NEED FOR THE ENHANCEMENT OF THE UNIVERSAL SECURITY AUDIT PROGRAMME - CONTINUOUS MONITORING APPROACH (USAP-CMA)

(Presented by the African Civil Aviation Commission (AFCAC) on behalf of the 55 Member States)²

EXECUTIVE SUMMARY

This Working Paper highlights the concerns in the implementation of the Universal Security Audit Programme - Continuous Monitoring Approach (USAP-CMA) relating to the Continuous Monitoring Approach aspect; the methodology applied; the number of Team Leaders; and the training for National Coordinators.

Action: The Assembly is invited to:

- a) Note the information contained in this Working Paper;
- b) Direct the Secretariat to continue the excellent work that the Secretariat Study Group (SSG) is doing in conducting the review of the scope and methodology of USAP-CMA to ensure the continuous improvement of the USAP-CMA;
- c) Direct the Council to apply a more clear and transparent selection criteria for the USAP-CMA activities, which is consistent with its principles;
- d) Instruct the Secretariat to develop and implement a technological monitoring mechanism, similar to the On-line Framework (OLF) that is implemented in the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) and that will allow ICAO to obtain and analyse data continuously on Contracting States' aviation security performance;
- e) Instruct the Secretariat to consider increasing the number of Team Leaders to include Aviation Security Auditors from the regions; and
- f) Instruct the Secretariat to set up regular training programmes or workshops on the USAP-CMA for National Coordinators, at regional level, and encourage Member States to take advantage of this initiative.

Strategic Objectives:

This working paper relates to *Security and Facilitation* Strategic Objectives.

References:

ICAO Assembly Resolution – A38-15;
Doc 9807 – *Universal Security Audit Programme Continuous Monitoring Manual*;
A40-WP/23 – Implementation of the ICAO Continuous Monitoring Approach (CMA) Audit Programmes
A40-WP/32 – Report on the Review of the Scope and Methodology of the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA).

¹English and French versions provided by AFCAC

²Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cabo Verde, Cameroon, Central African Republic, Chad, Comoros, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Djibouti, Egypt, Equatorial Guinea, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, Saharawi Arab Democratic Republic, Sao Tome and Principe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Eswatini, Togo, Tunisia, Uganda, United Republic of Tanzania, Zambia, Zimbabwe

1. INTRODUCTION

1.1 The establishment of the ICAO Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA) is to promote aviation security through continuous auditing and monitoring of Member States' security performance, which is viewed as a key element in the ICAO's response to global aviation security threats.

1.2 The USAP-CMA audits provide Member States with the information required to make informed and effective decisions on how to continuously improve their aviation security oversight system.

1.3 The USAP-CMA incorporates a risk-based approach, using various key parameters to determine the type, scope, priority and frequency of audits and monitoring activities.

1.4 Through the USAP-CMA, ICAO monitors the sustainability of States' oversight systems through a comprehensive audit of all the elements of an aviation security regime, and provides recommendations to improve it through a corrective action plan where gaps are identified.

2. DISCUSSION

2.1 The USAP-CMA activities offer several advantages over the previous approach to auditing which include amongst others, the flexible risk-management-based framework in a tailored auditing system and the ability to update audit results as required.

2.2 AFCAC wishes to express strong support and appreciation for the work accomplished by the Secretarial Study Group (SSG), in cooperation with the Secretariat, in carrying out the review of the in the scope and methodology USAP requested by the 39th Session of the ICAO Assembly and recommended by the Second High-level Conference on Aviation Security. AFCAC is confident that the continued work of the SSG will ensure continuous improvement of the USAP-CMA.

2.3 In addition to the continued work on the already identified areas, AFCAC wishes to add the following areas as possible areas of improvement to be considered by the Secretariat in conjunction with the SSG with regards to USAP-CMA:

Methodology for conducting USAP-CMA

2.4 According to the principle of Universality, *“all Member States will be subject to continuous audit and monitoring activities by ICAO, in accordance with the principles, methodology, processes and procedures established for conducting such activities, and on the basis of the MoU signed between ICAO and each Member State, though the types and frequency of USAP-CMA audit and monitoring activities undertaken for each Member State may differ. The objective of the USAP-CMA audit applies to all the contracting States, hence there should be consistency, universality and fairness in the application of the methodology.”*

2.5 Paragraph 3.4.1 of ICAO Document 9807 – *Universal Security Audit Programme Continuous Monitoring Manual* states that “the USAP-CMA takes into consideration the varying levels of development and maturity of aviation security and oversight systems of Member States, and incorporates a variety of audit and monitoring activities tailored to each Member State's aviation security situation as part of the strategy for promoting the enhancement of global aviation security on a continuous basis.

The determination of a specific type of USAP-CMA activity for a given State will be made by ASA using defined criteria.”

2.6 Practically, inconsistency in the application of this practice has been observed. The criteria that is currently used in the selection of Member States for on-site audit is not in line with the afore-mentioned principles.

2.7 Therefore, there is a need for a clear and qualified criteria used in the decision process for the types and frequency of USAP-CMA activities undertaken for each Contracting State.

Continuous Monitoring Approach (CMA) Implementation

2.8 The 38th Session of the ICAO Assembly endorsed the full implementation of Continuous Monitoring Approach (CMA) on 1 January 2015, as being applied by the Universal Safety Oversight Audit Programme Approach (USOAP) to the USAP after the conclusion of the second cycle of audits.

2.9 One of the principles of the USAP-CMA is consistency and objectivity in the application of the methodology, which is not evident in the process of the recording and analysis of audit results.

2.10 Currently, there is no mechanism for re-assessing the overall levels of Member States aviation security performance, which is aimed at continuously enhancing their aviation security compliance and oversight capabilities, as was envisaged in the introduction of the USAP-CMA. The results recorded and displayed are not updated on regular basis to reflect the improvement made by the State audited under the USAP-CMA.

2.11 There is a need for ICAO to develop and implement a technological monitoring mechanism similar to the On-line Framework (OLF) that is implemented in the USOAP CMA to allow ICAO to obtain and analyse data continuously on Member States’ aviation security performance. This mechanism should allow access by the National Coordinator while taking into account the protection and disclosure of the sensitive security information collected from unauthorised access.

Insufficient number of Team Leaders

2.12 In paragraph 2.2.5 of A40-WP/23 presented by the Council of ICAO, challenges facing the implementation of the USAP-CMA are highlighted, including the shortage of Team Leaders (5 for the whole world), leading to inability to meet achieve the set target of planned audits.

2.13 In view of the above, the appointment of Team Leaders should cut across all the ICAO regions in the spirit of the ICAO initiative of “No Country Left Behind”, and to have sufficient manpower relating to team leadership, similar to Safety where Team Leaders are not restricted to ICAO Headquarters.

Awareness Training for National Coordinator

2.14 The new Standards and Recommended Practices (SARPs) are included in the audit scope as they come into effect and are subject to new protocol questions, while there is insufficient mechanism to keep the National Coordinators abreast of the new changes that have been included in the audit mechanism.

2.15 In view of the above, it is advisable to set up a regular training program on the USAP-CMA, particularly for National Coordinators in order to support its activities.

3. CONCLUSION

3.1 In order to further strengthen the USAP-CMA, there is a need to address the above concerns so as to achieve its objective.

4. ACTION BY THE ASSEMBLY

4.1 The Assembly is hereby invited to:

- a) Note the information contained in this Working Paper;
- b) Direct the Secretariat to continue the excellent work that the SSG is doing in conducting the review of the scope and methodology of USAP-CMA to ensure the continuous improvement of the USAP-CMA;
- c) Direct the Council to apply a more clear and transparent selection criteria for the USAP-CMA activities, which is consistent with its principles;
- d) Instruct the Secretariat to develop and implement a technological monitoring mechanism, similar to the On-line Framework (OLF) that is implemented in the USAP CMA and that will allow ICAO to obtain and analyse data continuously on Contracting States' aviation security performance;
- e) Instruct the Secretariat to consider increasing the number of Team Leaders to include Aviation Security Auditors from the regions; and
- f) Instruct the Secretariat to set up regular training programmes or workshops on the USAP-CMA for National Coordinators, at regional level, and encourage Member States to take advantage of this initiative.