



ASSEMBLY — 40TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 12: Aviation Security — Policy

**INCORPORATION OF SECURITY OVERSIGHT EIGHT CRITICAL ELEMENTS (CE)
INTO ANNEX 17**

(Presented by the Islamic Republic of Iran)

EXECUTIVE SUMMARY

ICAO Resolution A39-18, Appendix E urges all Member States to give full support to ICAO on the 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. In spite of the fact that ICAO emphasises full support of USAP-CMA activities and urges the States to consider the eight critical elements for aviation security oversight, the obligation for establishment and implementation of critical elements is not explicitly mentioned in ICAO SARPs. This working paper provides the Assembly with a proposal for amendment of Annex 17 for strengthen the implementation of the USAP-CMA activities.

<i>Strategic Objectives:</i>	This working paper relates to the <i>Security and Facilitation</i> Strategic Objective.
<i>Financial implications:</i>	None
<i>References:</i>	Annex 17 — <i>Security</i> Annex 19 — <i>Safety Management</i> <i>Convention on International civil aviation</i> (Doc 7300) <i>Universal Security Audit Programme Continuous Monitoring Manual</i> (Doc 9807) <i>Aviation Security Oversight Manual — The Establishment and Management of a State's Aviation Security Oversight System</i> (Doc 10047)

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).

1.2 The 36th Session of the Assembly, in Resolution A36-20, requested the Council to ensure the continuation of the USAP following the initial cycle of audits at the end of 2007 focusing, wherever possible, on a State's capability to provide appropriate national oversight of its aviation security activities through the effective implementation (EI) of the critical elements (CEs) of an aviation security oversight system. 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*.

1.3 In order to prepare for the continuation of the USAP beyond 2013, and in accordance with the direction of the 37th Session of the Assembly (Resolution A37-17, Appendix E refers), the Council at its 187th session directed the Secretary General to study the feasibility of applying a Continuous Monitoring Approach (CMA) to the USAP.

2. DISCUSSION

2.1 The Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA), launched in January 2015, aims to promote global aviation security through continuous auditing and monitoring of the aviation security performance of Member States. This aviation security performance is assessed on the basis of two indicators: a) an oversight indicator, which represents the State's capacity to establish and implement an effective and sustainable aviation security oversight system; and b) a compliance indicator, which provides an indication of the level of the State's compliance with Annex 17 – *Security Standards*.

2.2 CEs are the main building blocks of a State's aviation security oversight system required for the effective implementation of security-related standards and associated procedures. Each Member State should address all CEs in its efforts to establish and implement an effective aviation security oversight system that reflects the shared responsibility of the State and the aviation community. CEs of an aviation security oversight system cover the whole spectrum of civil aviation security activities. The level of implementation of the CEs is an indication of a State's capability for aviation security oversight and compliance with security-related SARPs.

2.3 The Security Oversight system CEs are not referred in ICAO SARPs. ICAO has defined the CEs of a State's aviation security oversight system in the Aviation Security Oversight Manual — The Establishment and Management of a State's Aviation Security Oversight System (Doc 10047).

2.4 In relation to safety issues, ICAO has launched the USOAP-CMA Programme. The 32nd Session of the Assembly in 1998 resolved that a Universal Safety Oversight Audit Programme (USOAP) be established, to enable the International Civil Aviation Organization (ICAO) to carry out regular, mandatory, systematic and harmonized safety oversight audits. The ultimate goal of USOAP is to promote global safety through regular audits of safety oversight systems in all ICAO Member States. Following the successful implementation of the USOAP, the 37th Session of the Assembly in 2010 directed the Secretary General to transition the USOAP, commencing in 2011, to integrate a Continuous Monitoring Approach (CMA). The CMA has been fully operational since 1 January 2013.

2.5 Under the ICAO Universal Safety Oversight Audit Programme (USOAP), the eight CEs of a State safety oversight system have been used to assess the State's capability for safety oversight as well as for aircraft accident and incident investigation. The safety oversight system CEs were not referred in ICAO SARPs but were referred in ICAO Doc 9734, Safety Oversight Manual — Part A

2.6 Annex 19 — *Safety Management* was adopted by the Council in February 2013 and it became applicable on 14 November 2013. The SARPs in Annex 19 are intended to assist States in managing aviation safety risks and to support the continued evolution of a proactive strategy to improve safety performance. A roll-out plan was published in April 2013 outlining amendments required for USOAP CMA tools to address the new SARPs in Annex 19 in a comprehensive manner.

2.7 The CEs of a State safety oversight (SSO) system form the foundation of the SSP. The Second Edition of Annex 19 emphasizes the importance of a safety oversight system by maintaining the provisions related to the eight CEs at the level of a Standard.

2.8 The European Commission also organises regular inspection working group meetings, as well as meetings with all national auditors to discuss new developments (e.g. policy, technology, test protocols, inspection results, recurrent deficiencies, and interpretation of legislation). These meetings, in addition to the peer review system as described in 3.4 above, are carried out in line with GASeP task actions 5.A.

3. CONCLUSION

3.1 In spite of the fact that ICAO emphasizes full support of USAP-CMA activities and urges the States to consider the eight critical elements for aviation security oversight, the obligation for establishment and implementation of critical elements is not explicitly mentioned in ICAO SARPs. ICAO have the experience of Universal Safety Oversight Audit Programme (USOAP). Same issue was existed at the context of USOAP programme and eight critical elements for safety oversight manual were incorporated to Annex 19 at the level of Standard. The Assembly is invited to request Council for amendment of Annex 17 for incorporation of critical elements of State's aviation security oversight system in to Annex 17.

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