



Agenda Item 3: Review of results obtained in the SAM Region on security matters

**IMPLEMENTATION OF THE UNIVERSAL SECURITY AUDIT PROGRAMME (USAP-CMA)
AND PROGRESS MADE AT THE REGIONAL LEVEL**

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
This working paper summarises the information contained in the USAP secure website, so that it may be used as a tool by States to prepare for the audits under the Universal security audit programme (USAP) continuous monitoring approach (CMA). It also presents an overview of USAP-CMA activities in the Region.	
REFERENCES	
– Annex 17, Amendment 15; – Annex 9, Amendment 25 - Security provisions – Universal security audit programme – Doc 8973/9, Security manual	
ICAO strategic objectives:	<i>C – Security and facilitation</i>

1. Background

1.1 The implementation of the Universal Security Audit Programme (USAP) under a continuous monitoring approach started in January 2015 as one of the priority programmes of ICAO. The objective of the USAP-CMA is to promote global security through audits and continuous monitoring of member States. In order to achieve this objective, the level of effective implementation of the critical elements (CEs) of a security oversight system must be determined and an indication provided of the effective implementation of the standards contained in Annex 17 – *Security* and security-related standards of Annex 9 – *Facilitation* to the *Chicago Convention*.

2. The programme and its activities

2.1 The USAP CMA presents audit **reports** to the States in a format containing findings and recommendations, which allows them to prioritise short-, medium-, and long-term corrective action. The USAP CMA also allows ICAO to carry out audit activities for updating State results and, thus, the graphs posted on the USAP secure website.

2.2 The following information, *inter alia*, is available to ICAO member States:

- information on the “average EI of CEs following the USAP-CMA audit;
- level of compliance with Annex 17 following the USAP-CMA audit; and
- existence of any identified and unresolved SSeC.

2.3 The USAP secure website also contains the documents that need to be completed by the States and which serve as a tool to prepare for a USAP-CMA audit, including, *inter alia*, the following:

- Questionnaire on State security activities;
- Form summarising quality control activities by the State;
- Compliance checklist;
- Corrective action template; and
- USAP-CMA protocol questions

2.4 The USAP secure website contains a list of audits scheduled for 2018, by Region and in alphabetical order. The type of audit activity, the scope of each activity, and the audit dates are notified to each State through the corresponding official notification letters.

2.5 Since the launching of the first USAP audit cycle, the ICAO Assembly has been urging all contracting States to give their full support to the USAP by accepting the audit missions scheduled by the Organization in coordination with the relevant States. Since the audit programme as a whole enables States to prioritise the short-, medium-, and long-term corrective measures to meet the relevant standards, it is an additional tool for States that wish to achieve that same objective. Furthermore, given the complexity of coordinating missions worldwide, States are urged to accept the proposed audit dates.

2.6 To date, **6 USAP-CMA audits have been performed** in the SAM Region, and their results posted on the USAP secure website.

3. **Suggested action**

3.1 States are invited to:

- a) continue supporting the ICAO USAP-CMA;
- b) sign the new Memorandum of Understanding with the USAP-CMA, if it has not been signed yet;
- c) submit updates on the status of implementation of their correction action plans;
- d) cooperate by appointing their aviation security experts to participate in USAP-CMA activities;
- e) accept the dates proposed for USAP-CMA audits to the extent possible;
- f) continue improving their security oversight systems, taking into account, *inter alia*, the findings and recommendations resulting from USAP-CMA audits, in order to improve compliance with the standards contained in Annex 17 and security-related standards contained in Annex 9; and
- g) use EI improvement in their States as metrics for the Region.