



WORKING PAPER

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**Tenth Meeting of the ICAO/LACAC NAM/CAR and SAM Aviation Security and
 Facilitation Regional Group (AVSEC/FAL/RG/10)**

Foz de Iguazú, Brazil, 25 to 27 March 2020

Agenda Item 3

Global and Regional Developments

**3.1 ICAO Global Activities related to Aviation Security and Facilitation:
 Universal Security Audit Programme and Continuous Monitoring
 Approach (USAP-CMA)**

**REPORT ON THE UNIVERSAL SECURITY AUDIT PROGRAMME - CONTINUOUS MONITORING APPROACH
 (USAP-CMA)**

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
<p>This paper provides a progress report on the implementation of the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA) at the global and regional levels since the last meeting of the NACC/SAM Regional Aviation Security and Facilitation Group.</p>	
Action:	Action by the Group is in paragraph 3
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"> • Security & Facilitation
<i>References:</i>	<ul style="list-style-type: none"> • C-WP/14917 Restricted, C-DEC 217/13 • C-WP/14918, C-DEC 217/12 • Doc 10075, Assembly Resolutions in Force (as of 6 October 2016) • AVSECP/30 Restricted (Yellow Cover) Report • Report of the Second High-level Conference on Aviation Security • EB 2020/1, Latest Developments related to the Universal Security Audit Programme

1. Introduction

1.1 The Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA) aims to improve global aviation security through auditing and continuous monitoring of the aviation

security performance of Member States. This performance is assessed through the evaluation of the indicative compliance with Annex 17 – Security Standards and Annex 9 – Facilitation security-related Standards that support both border management and border security objectives, as well as through the assessment of States’ aviation security oversight systems. This paper provides an update to the Middle East Regional Aviation Security and Facilitation Group on the status of implementation of the USAP-CMA up to 31 January 2020.

2. Implementation at global and regional level

2.1 From the commencement of the USAP-CMA to 31 January 2020, a total of 148 USAP-CMA activities have been conducted in 128 States, including 109 on-site audits, 27 documentation-based audits and 12 validation missions to evaluate the resolution of Significant Security Concerns (SSECs). The updated schedule of USAP-CMA activities for 2020 was distributed to States via Electronic Bulletin EB 2020/1. A total of 38 States, 4 of which are located in the Middle East region, were selected for audits in 2020, including 34 on-site audits and 4 documentation-based audits.

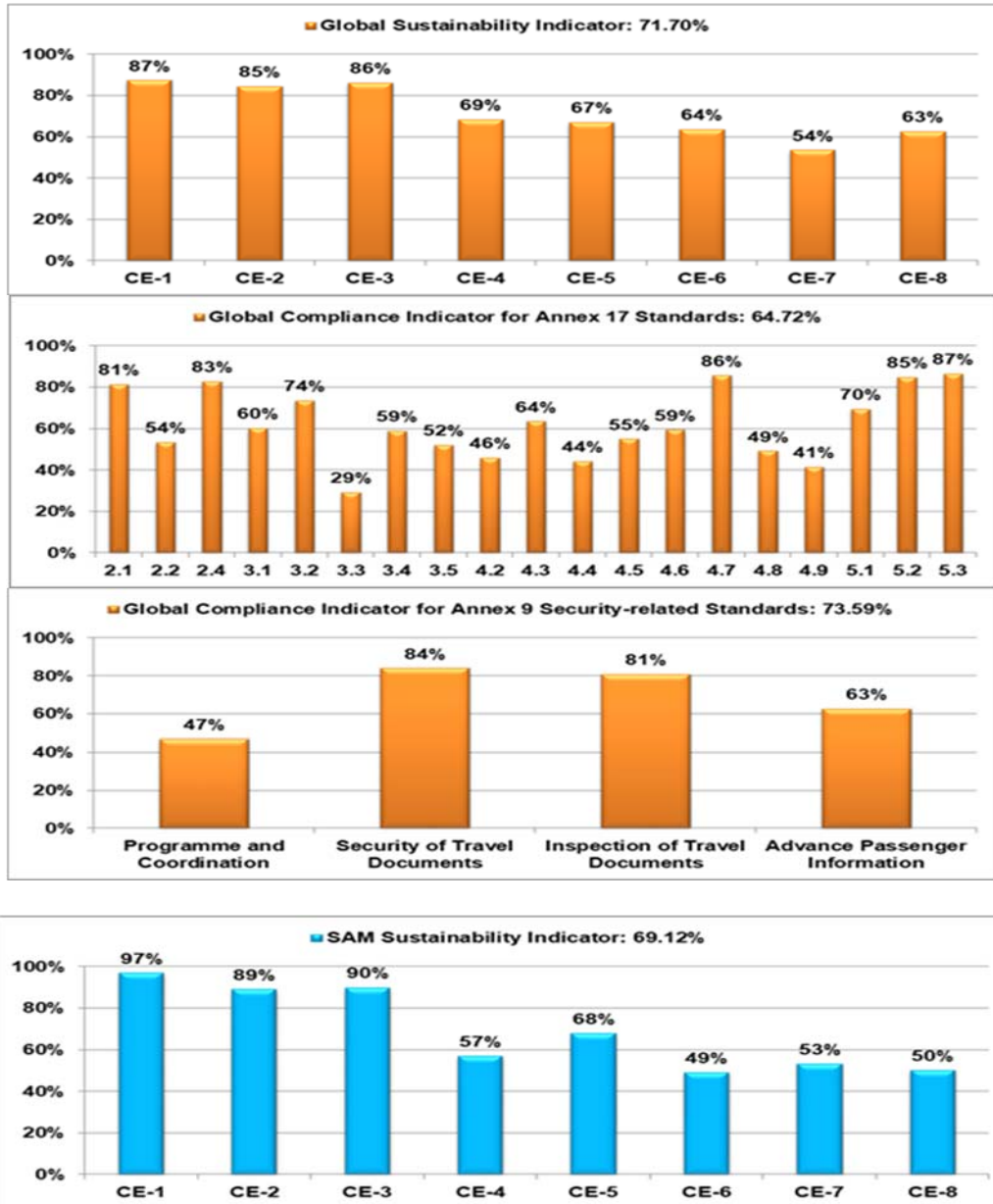
2.2 The USAP continues to face challenges with regard to the number of States requesting a postponement of their planned audit activities. It is important to note that, when scheduling audits, ICAO seeks to pair States based on geographical proximity and ease of transportation between them, but also considers many other factors to facilitate the smooth conduct of activities, minimize costs and optimize human and financial resources. These include, inter alia, the availability of audit team leaders and team members; national holidays; field security status reports from the United Nations Department of Safety and Security; and the audit schedules of the ICAO Universal Safety Oversight Audit Programme and other regional audit programmes. Thus, deferral requests add another significant factor to the already complex task of scheduling audits based on a risk assessment, generally lead to increased costs for the Organization, and can have a negative impact on other activities planned by the Aviation Security Audit Section. As a result, the Secretariat would like to discourage such requests, barring exceptional circumstances.

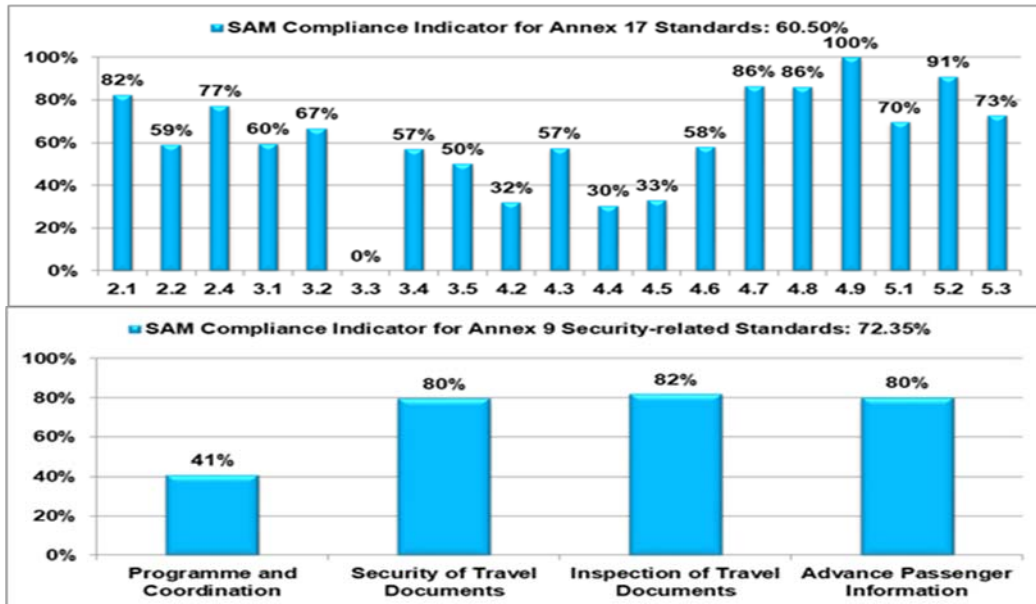
2.3 A further challenge faced by the USAP relates to the timeliness of documentation submitted by States prior to their audits. Under the terms of Article 12 of the Memorandum of Understanding (MoU) signed between ICAO and States on the USAP-CMA, States agree to submit to ICAO, no later than 60 calendar days prior to the start of a USAP-CMA activity, a completed State Aviation Security Activity Questionnaire (SASAQ). States are also required under Article 4 of the MoU to provide ICAO with other relevant security information, such as national-level aviation security legislation and airport-level aviation security procedures and practices. In practice, such documentation is often submitted only days before the start of an activity, creating an additional burden on the assigned audit team. In this regard, States are encouraged to submit all requested documentation in a timely manner.

2.4 During 2019, 14 Significant Security Concerns (SSECs) were identified in nine States. Of these, seven SSECs were addressed by the States concerned, prior to being published on the USAP secure portal. As at 31 January 2020, twenty unresolved SSECs in seven States were posted on the USAP secure site, though none of them from the NACC region and one from the SAM region. Global and NACC / SAM aggregated regional audit results for USAP audits up to 31 January 2020 are presented in the charts below.

2.5 The first chart displays the global Sustainability Indicator compared to the indicator for the NACC / SAM regions. This indicator consists of the effective implementation (EI) of the eight critical

elements (CEs) of a State’s aviation security oversight system based on aggregated results of USAP second-cycle and USAP-CMA audits. The second chart displays the global and NACC / SAM region indicative compliance with Annex 17 Standards, based on USAP-CMA audit results. This compliance indicator was developed as a result of recommendations made by the Secretariat Study Group on the USAP-CMA (SSG) that were supported by the AVSEC Panel and approved by the Council. All ICAO Member States that have received a USAP-CMA audit were sent a copy of the new graph showing their individual compliance with Annex 17 Standards. These graphs are posted on the USAP secure portal.





2.6 A Frequently Asked Questions (FAQ) document (see Appendix) has been prepared in all languages in order to clarify the content and method of calculating the revised compliance graphs, as well as to facilitate their interpretation. A list of compliance-related Protocol Questions (PQs) has also been developed in this regard. Both this list and the FAQ document are available through the USAP secure portal.

2.7 The latest version of the USAP-CMA Analysis of Audit Results (Ninth Edition) is available under the “Audit Analysis” section of the USAP secure website. It includes global and regional trends in effective implementation of the CEs, by year, from 2008 to 2019, as well as global and regional levels of indicative compliance with Annex 17 Standards.

2.8 In addition to the aforementioned activities, three seminars were conducted in 2019 in Bangkok (Thailand), Lima (Peru) and Riyadh (Saudi Arabia) in order to familiarize States with the USAP-CMA process and methodology and with the various types of audit and monitoring activities.

2.9 As of 31 January 2020, 171 States had signed the 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. One State in the NACC region has not yet signed the MoU and all States in the SAM region have already signed.

2.10 In November 2018, the latest version of the USAP-CMA Protocol Questions (PQs), incorporating the new and amended Standards from the 10th Edition of Annex 17 (Amendment 16), was made available to States through the USAP secure site. These PQs also address Amendment 26 to Annex 9, which became applicable on 23 February 2018. Since then, the USAP-CMA PQs have been revised substantially based on experience gained through USAP-CMA audits and the recommendations of the SSG on the USAP, as well to address new and modified Standards from Amendment 17 to Annex 17. The revised PQs were sent to the SSG members for comments, and the final version of the PQs will be posted on the USAP secure website by 1 May 2020, prior to their use during USAP-CMA audits beginning 1 August 2020.

2.11 In 2019 the SSG continued supporting the ICAO Secretariat in addressing Assembly Resolution A39-18 which requested the review of the scope and methodology of the USAP-CMA. Based on the recommendations of the AVSEC Panel, the Council, during its 217th Session, approved 26 recommendations proposed by the SSG, together with their expected benefits and impact assessment. These recommendations were further endorsed by the 40th Session of the ICAO Assembly. Eighteen Recommendations are now considered to have been successfully implemented by the Secretariat and eight are started or in the process of being implemented. Among the eight recommendations that are not yet fully implemented, two of them would likely require changes to the MoU and three will require additional technical and human resources to allow their complete implementation.

3. Action by the regional group

3.1 The Regional Group is invited to:

3.2

- a) take note of the information contained in this paper;
- b) support the USAP-CMA by encouraging the submission of documentation to ICAO by States in a timely manner prior to their audit activities; and
- c) support the USAP programme by discouraging postponements of planned audit activities.

APPENDIX A

FREQUENTLY ASKED QUESTIONS (FAQs) REGARDING THE NEW USAP-CMA COMPLIANCE GRAPH

(Originally posted: 19 December 2019, Last update: 7 January 2020)

Q1. Why is my compliance graph changing?

A. This change is happening now as a result of decisions taken by the ICAO Council and endorsed by the 40th Session of the Assembly.

Assembly Resolution A39-18, Appendix E, further supported by the Second High-Level Conference on Aviation Security (HLCAS/2) in November 2018, requested the Secretariat, in collaboration with the Secretariat Study Group (SSG), to conduct a comprehensive review of the scope and methodology of the USAP. This review aimed to ensure that the Programme provides, *inter alia*, reliable information regarding the effective implementation of aviation security measures on the ground, and that it is able to effectively support the Global Aviation Security Plan (GASeP).

The outcomes of this review included recommendations which were presented to the Aviation Security Panel during its 30th meeting in May 2019 (AVSECP/30-WP/7 refers). A total of 26 recommendations were then sent to the Council (C-WP/14917, Appendix C refers) and approved (C-DEC 217/13 refers). The recommendations were subsequently endorsed by the 40th Session of the Assembly after reviewing working paper A40-WP/32.

Among the recommendations approved by the Council and endorsed by the 40th Session of the Assembly, Recommendation 4 requires the Secretariat to determine the audit Protocol Questions (PQs) assessing compliance of individual Standards, and present compliance by Annex 17 Chapters and Subchapters, and Annex 9, solely based on these PQs (the new graph). Recommendation 5 requires the Secretariat to maintain the existing oversight indicator on the secure portal and update the compliance indicator to better reflect USAP State performance, based on PQs that assess compliance of individual Standards, as described above.

In response to these recommendations, the Aviation Security Audit Section has identified the PQs that assess compliance for each audited Standard. These PQs are identified in a separate table that is being shared through the USAP secure portal and will be included in the next revision of the PQ document. Based on these PQs, revised compliance indicator graphs have been prepared for all States audited under the CMA, which have been updated on the secure portal.

Q2. How can this change be made retroactively?

A. The actual results from each State's audit (status of PQs) have not changed. What has changed is the method of calculating and displaying compliance with Annex 17 Standards. Under the terms of Article 32 of the generic Memorandum of Understanding (MoU) signed between ICAO and each State prior to

the first CMA audit, charts depicting their level of implementation of the critical elements of an aviation security oversight system and an indication of compliance with Annex 17 Standards will be made available to all Member States on the USAP secure website. How compliance is calculated is not specified. In this case the decision to recalculate compliance has been made based on the abovementioned Council decision, and the shared graphs are being updated to reflect this change.

Q3. How is the new graph different from the old graph, and how is it calculated?

A. Each USAP-CMA PQ is associated with one Critical Element (CE) and one Standard. Previously, compliance was calculated using all PQs associated with a given Standard, including PQs used to assess the sustainability of the State's aviation security oversight system, which did not necessarily reflect compliance. All 475 USAP-CMA PQs related to Annex 17 were therefore used to assess compliance.

Under the revised methodology, the specific PQs used to determine compliance with Annex 17 Standards have been identified, for a total of 230 questions. Moreover, compliance is now presented by Annex 17 Subchapter, providing an additional breakdown of audit results. Within each Subchapter, compliance-related PQs related to the relevant Standards that were assessed as satisfactory during the audit are divided by the total number of applicable compliance-related PQs under that Subchapter. This provides a percentage of compliance for the relevant Subchapter. Overall State compliance is calculated as the total number of satisfactory compliance-related PQs divided by all applicable compliance-related PQs.

This revised calculation yields a graph that has more precise results, allowing areas of low or high compliance to be clearly identified.

It is important to note that the sustainability indicator graph, showing the overall effective implementation of the CEs of a State oversight system (EI), is still shared on the secure portal for all States audited under the USAP-CMA.

Q4. Why does my State result in a given Subchapter show as 0%, or much lower than I expected?

A. During a USAP-CMA audit, PQs may be assessed as satisfactory, not satisfactory, not applicable or undetermined (unobserved). There is no possibility for a PQ to be assessed as partially satisfactory. This means that a PQ can either be satisfactory (100%) or not satisfactory (0%). This has always been the case, but with the new graphs it becomes more obvious in the overall indicators, as in some sub-areas very few PQs are included in the calculation. Please see a couple of examples below.

Example 1: Subchapter 2.2: Applicability

The only Standard assessed under this Subchapter is Standard 2.2.2 regarding the applicability of security measures to domestic operations. Under this Standard, only PQs 1.195 and 1.200 are used to determine compliance. Therefore, a State that has a not satisfactory result for these PQs will see a compliance level

of 0% related to Subchapter 2.2 – Applicability. This does not mean that no security measures are applied to domestic operations in the State. Rather, it means that a suitable risk-assessment methodology was not used to determine the applicable security measures for domestic operations, and that one or more of the applicable measures were not being implemented satisfactorily at the airport(s) visited during the audit.

Example 2: Subchapter 3.3: Aircraft Operators

The only Standard assessed under this Subchapter is Standard 3.3.1 regarding the establishment, implementation and maintenance of written air operator security programmes (AOSPs) by all commercial air transport operators providing service from the State. Only PQ 5.010 is used to determine compliance with this Standard. Therefore, a State that has a not satisfactory result for this PQ will see a compliance level of 0% related to Subchapter 3.3 – Aircraft Operators. It should be noted that this does not mean that no aircraft operators have approved AOSPs. It simply means that deficiencies in the content of these AOSPs were identified during the audit.

Q5. Are Annex 9 Standards covered by the compliance graph?

A. Annex 9 – *Facilitation* security-related Standards are still assessed during USAP-CMA audits, and the results of the relevant PQs are still included within each State’s EI score (sustainability). However, they are not included within the compliance graph, which covers only compliance with Annex 17 Standards. A separate compliance indicator for Annex 9 Standards is provided to each State within Appendix I to their confidential audit report.

Q6. How will this change affect my State? Will this impact our Global Aviation Security Plan (GASeP) targets?

A. The primary metric used as GASeP targets is the State’s EI score (oversight indicator), which has not changed and is still shared through the USAP secure portal. The revised compliance graph may assist States in identifying priority areas for improvement or assistance. In the future, GASeP metrics may be adjusted to take the compliance indicator into consideration, but a decision in this regard has not yet been taken.

Q7. What does UNDT mean on this graph?

A. UNDT means undetermined, indicating that the audit team was not able to assess the contents of the protocol question, or that the relevant PQs were added after the audit of that State was conducted.