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ICAO Regional FAL Seminar Bangkok, Thailand 23-26 March 2015

Aviation Security USAP Audits, CMA and Annex 9

26 March 2015



Auditing of ANNEX 9 : OVERVIEW

1. Evolution of the ICAO USAP
2. USAP 2nd Cycle Annex 9 security-related results
3. USAP-Continuous Monitoring Approach (USAP-CMA)
4. Proposal for increase of scope Annex 9 auditing *pros* and *cons*



Evolution of the USAP

Voluntary Technical Evaluations AVSEC Mechanism

1989 – 2001
140 Requests
112 Assessments
Annex 17

33rd
Assembly 2001
High-Level
Conference
2002

USAP Cycle I
2002 – 2007
181 Audits Annex
17 Standards

A35-9

**Follow-up
Missions**
2005-2009
172 Follow-ups

Confidentiality
of Audit Results

36th
Assembly
2007

USAP Cycle II
2008-2013
178 Audits
Annex 17 Standards
+
Security-related
provisions of Annex
9

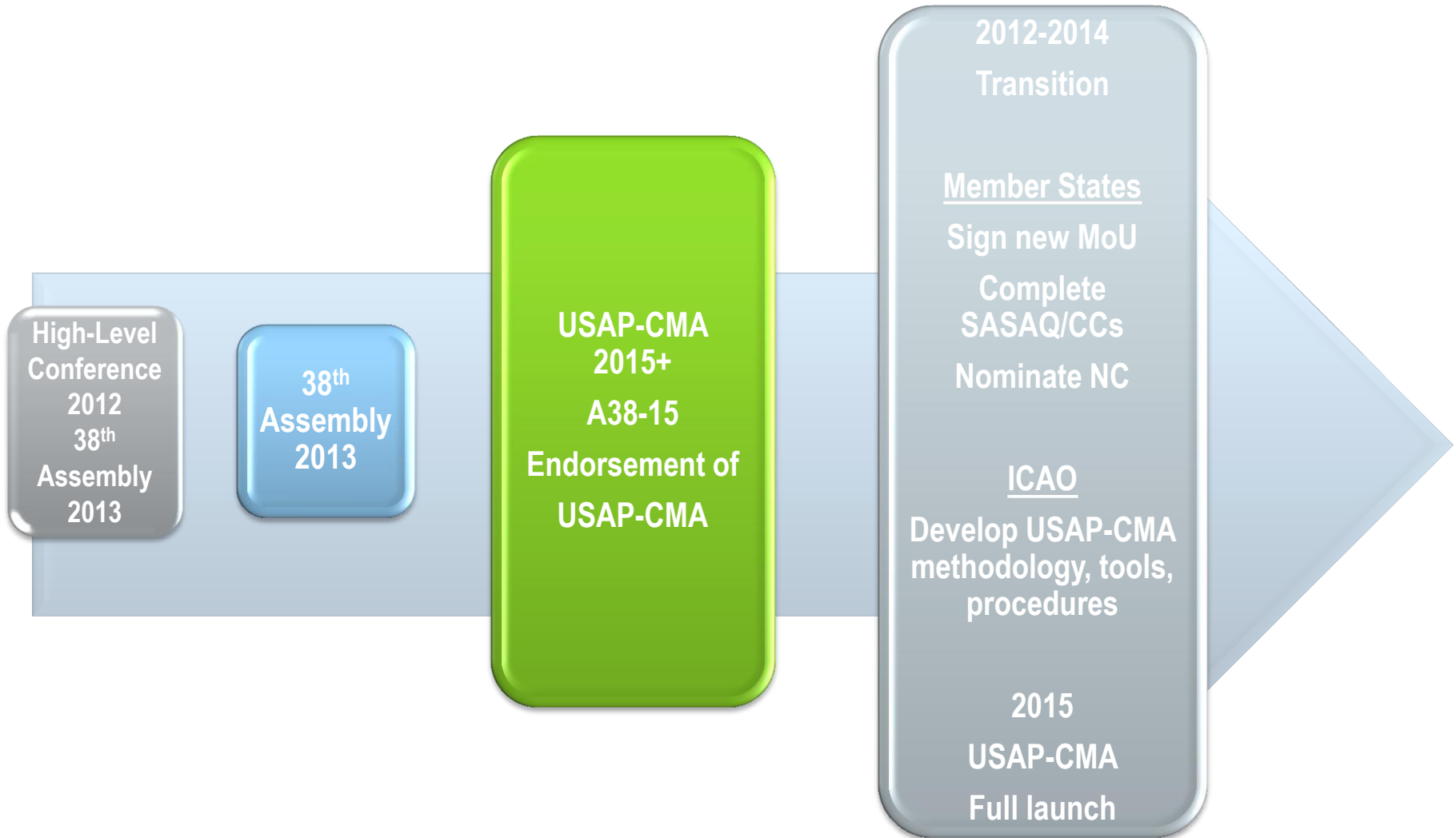
A37-17

States' AVSEC
Oversight System

Limited Level of
Transparency
SSeC

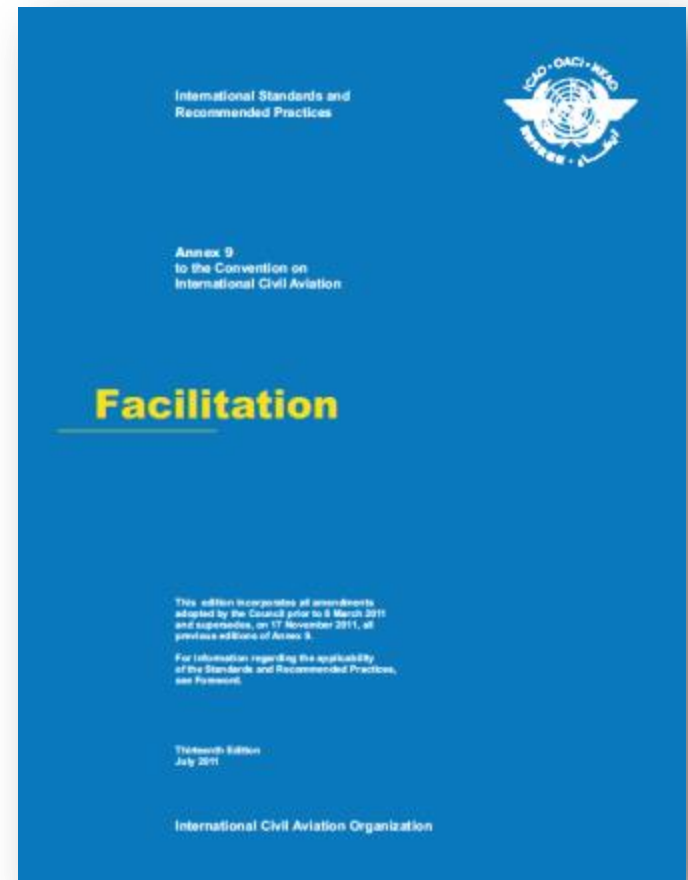


USAP-CMA





ANNEX 17: 81 Standards

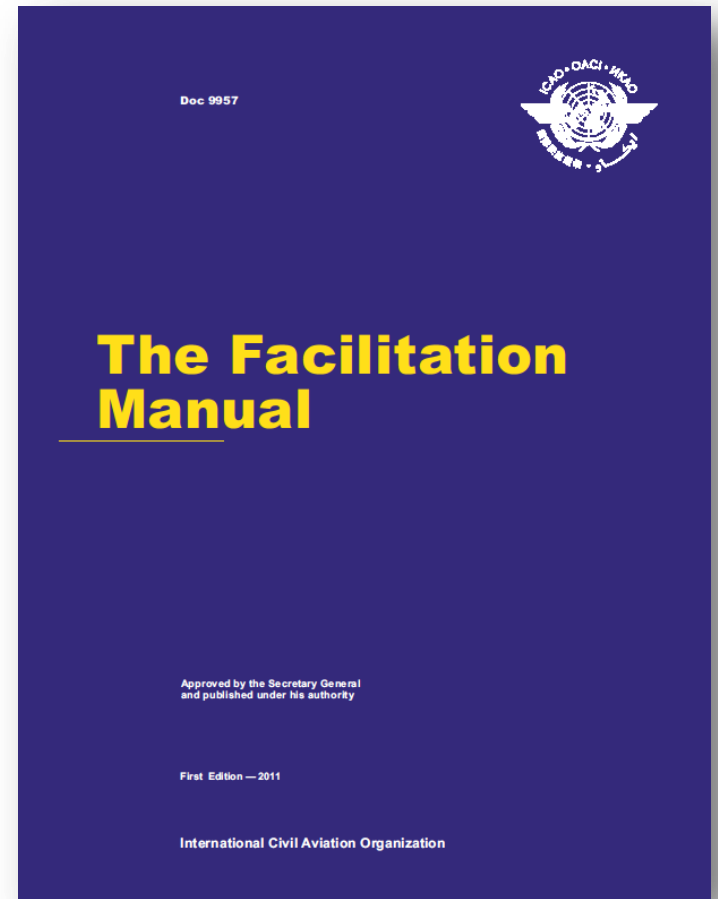
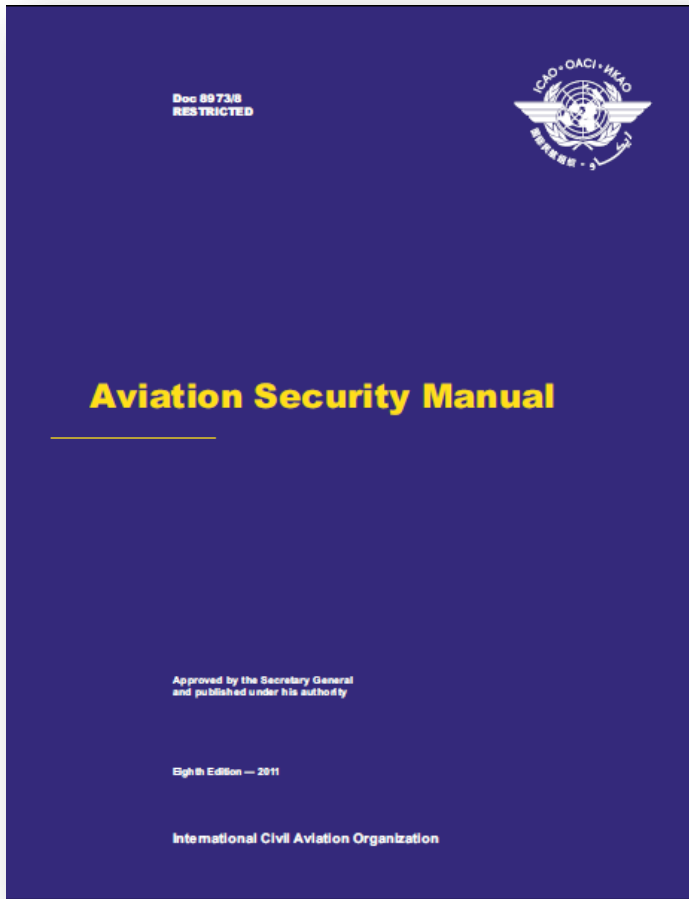


ANNEX 9: 12 Standards



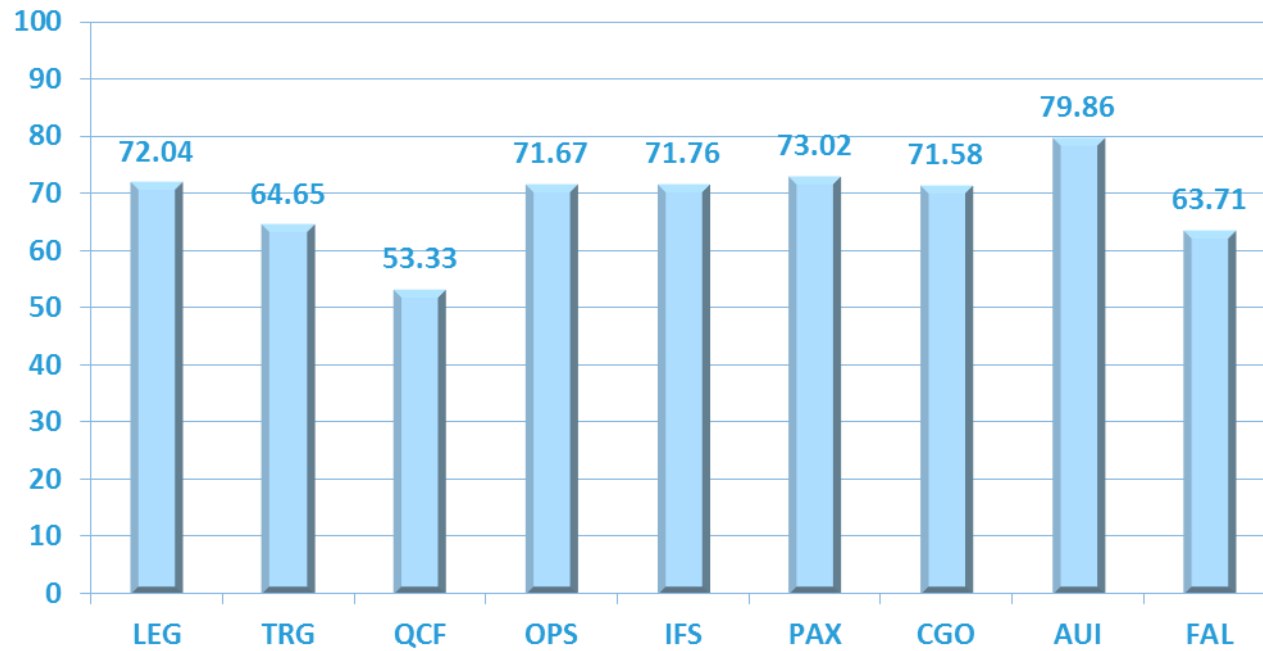
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USAP-CMA Related Documents



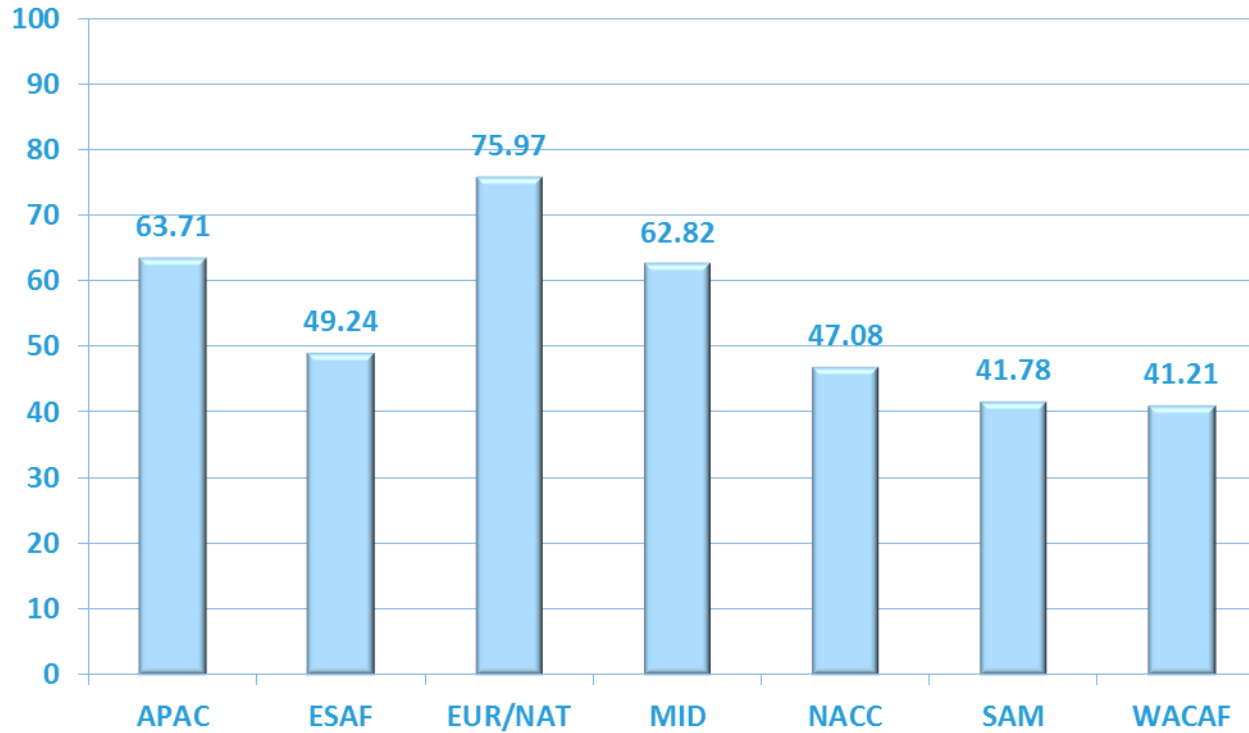


APAC average EI by AA: 69.07 %





Average EI in FAL: 54.54%





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USAP-CMA Objective

The objective of the USAP-CMA is to promote global aviation security through continuous auditing and monitoring of Member States' aviation security performance by:

- regularly and continuously obtaining and analyzing data on Member States' aviation security performance, including the level of implementation of the critical elements of an aviation security oversight system and the degree of compliance with Standards of Annex 17 — *Security* and **the relevant security-related provisions of Annex 9 — *Facilitation***, as well as associated procedures, guidance material and security-related practices;



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USAP-CMA Objective

- identifying deficiencies in the overall aviation security performance of Member States and assessing the risks associated with such deficiencies;
- providing prioritized recommendations to assist Member States in addressing identified deficiencies;
- evaluating and validating corrective actions taken by Member States; and
- re-assessing Member States' aviation security performance, in order to continuously enhance their aviation security oversight and compliance capabilities.



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USAP-CMA Activities

**Documentation-based
audits**

**Oversight-focused
audits**

**Compliance-focused
audits**

**Other audit and
monitoring activities**



USAP-CMA Audit Area 9 FAL (Annex 9) Standards to be Audited

- **3.7** regular updating of security features in new versions of travel documents
- **3.8** safeguard against theft/misappropriation of blank travel documents
 - **3.8.1** appropriate controls over travel document application, adjudication & issuance process
- **3.10** all passports to be machine readable as per 9303 Pt. 1
- **3.31** assist aircraft operators in evaluation of travel documents
- **3.33** aircraft operators to take necessary precautions at point of embarkation to ensure pax in possession of necessary documents



USAP-CMA Audit Area 9 FAL (Annex 9) Standards to be Audited (Cont.)

- **3.33.1** seizure of fraudulent, falsified, counterfeit travel documents
- **3.46** if introduce API do so in prescribed manner
- **3.64** if issue CMCs do so in prescribed machine readable format
- **3.66** CMCs only issued only after background checks and adequate controls placed on blank stocks
- **8.17** establish NATFP
- **8.19** establish NATFC and Airport Facilitation Committees

Also USOAP Standards **8.15** communicable diseases PIC to notify ATC & **8.16** national aviation plan for outbreak of communicable disease



Proposal for Expansion of Auditing Scope of Annex 9

On 29 October 2014, the Council, while considering the report of the joint UIC-ATC meeting, requested that the Secretariat, in coordination with the relevant Panels, consider the feasibility of auditing **all of the Standards contained in Annex 9** (as opposed to the current practice of auditing only the security-related Standards and communicable disease processes) and to report thereon through the pertinent Committee(s) (C-DEC 203/2 refers).



Proposal for Expansion of Scope of Auditing of Annex 9 (Cont.)

The 8th Meeting of the FAL Panel (Nov. 2014) noted the following concerns;

- a) the financial impact of such audits on ICAO and on States;
- b) whether there would be any added value achieved by auditing all Annex 9 Standards;
- c) whether there would be benefits or difficulties in covering security and facilitation matters during the same audit process;
- d) practical considerations regarding the expertise and training required before auditors would be able to audit Annex 9 Standards, given the range and complex nature of some of the subject matters involved;
- e) the practical difficulties in auditing subjects that are the responsibility of a wide range of government agencies;



Proposal for Expansion of Scope of Auditing of Annex 9 (Cont.)

Continued....

- f) the lack of National Facilitation Programmes in many States, completion of which may improve compliance with Annex 9 Standards; in this regard, the FAL Panel also pointed out that a Model National Facilitation Programme had just been developed and that States should first be provided an opportunity to develop their own programmes before assessing implementation of the same;

- g) the need for ICAO to devote its resources to activities that will deliver the most desirable outcome; and

- h) the difficulties in securing a mandate for ICAO to audit non-aviation-related entities.



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QUESTIONS?