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ICAO Regional USAP-CMA Seminar

USAP-CMA



Cairo, 15 to 17 October 2018



Module Objective

At the end of this module the participants will be familiar with the USAP Continuous Monitoring Approach (USAP-CMA) methodology and the different types of activities for auditing and monitoring ICAO Member States



Module Outline

- USAP-CMA Objective
- USAP-CMA Principles
- State's Aviation Security Performance
- USAP-CMA Process
- Risk-based Approach
- State's Key Parameters
- USAP-CMA Activities
- USAP-CMA Reference Documents
- USAP-CMA MoU
- USAP-CMA Advantages
- Auditor Training and Certification



USAP-CMA Objective

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





This objective is achieved by:

- determining the level of effective implementation of the critical elements of an aviation security oversight system
- providing an indication of the effective implementation of Annex 17 – Security Standards and security-related Standards of Annex 9 – Facilitation to the Convention on International Civil Aviation





USAP-CMA Principles

Fairness

Quality

Confidentiality

Timeliness

All-inclusiveness

Consistency and
objectivity

Sovereignty

Universality

Transparency of
methodology



State's Aviation Security Performance



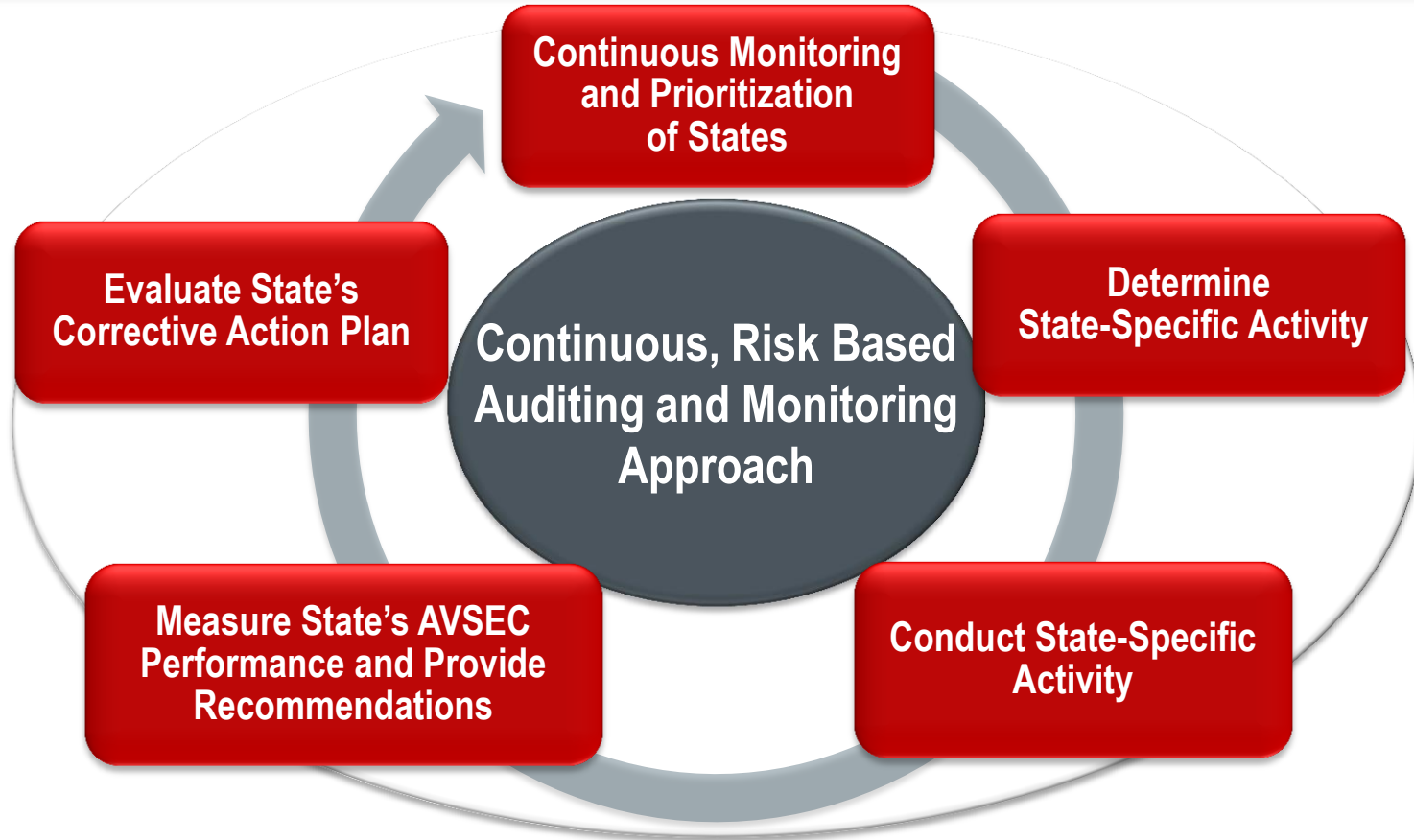
Oversight Indicator

Average effective implementation of the eight critical elements of a State's aviation security oversight system.



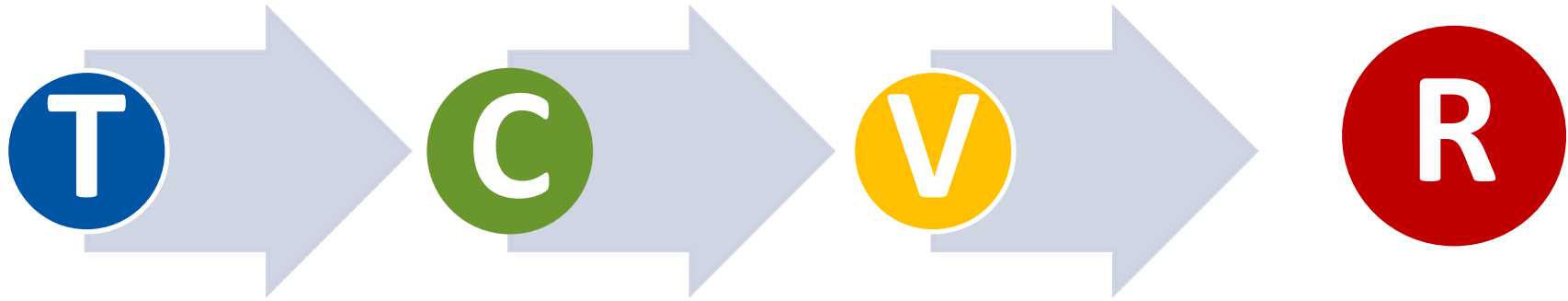
Compliance indicator

Average effective implementation of Annex 17 Standards and average effective implementation of security-related Standards of Annex 9.





The Risk-based Approach





State's Key Parameters (Vulnerability)

- Assessed for all States in order to determine the priority and frequency of audit and monitoring activities
- All States are monitored equally, although the types and frequency of USAP-CMA activities for each State may differ



State's Key Parameters (Vulnerabilities)

Performance

- Acts of unlawful interference linked to security deficiencies
- Failure or refusal to participate in significant aspects of the USAP-CMA process
- Potential SSeCs
- SSeC Resolution
- Date and type of last activity
- Previous USAP audit results
- CAP implementation progress
- Significant development in the State's oversight system
- Assistance activities

Opportunity

- Annual number of originating international flights
- Annual number of originating and transfer passengers
- Annual volume of exported cargo and mail
- Significant development in the State's aviation security system



USAP-CMA Activities

**Documentation-based
audits**

**Oversight-focused
audits**

**Compliance-focused
audits**

**Other audit and
monitoring activities**



Documentation-based Audits

- Conducted by correspondence with additional requirement for documentation to be submitted
- Specific deficiencies are identified and addressed by phone or correspondence. In the case of a potential SSeC, a physical visit to the State would be required





Documentation-based Audits

- The scope will include a set of core PQs related to the implementation of continuous processes, such as:
 - amendment of national aviation security requirements
 - coordination of aviation security activities at the national/airport levels
 - training of aviation security personnel
 - certification and approval obligations
 - quality control activities
 - resolution of security concerns





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Documentation-based Audits

- Core PQs will be augmented by additional PQs based on:
 - previous USAP audit results of the State
 - the updated CAP
 - new Annex provisions
 - the State quality control activity results
 - any significant change in the State's aviation security and oversight systems
 - acts of unlawful interference in the State





Documentation-based Audits

Article 16 of the MoU

Failure by the State to provide documentation as requested by ICAO will make the State ineligible for a documentation-based audit and the State will be scheduled for an on-site USAP-CMA activity





Oversight-focused Audits

- Conducted on-site
- Scope might be full or partial
- Include the review of national-level regulations and programmes, followed by spot checks conducted at airport(s) selected for observation to verify the effectiveness of aviation security measures on the ground
- Emphasis on the implementation of the State's NQCP





Compliance-focused Audits



- Conducted on-site
- Scope might be full or partial
- Include the review of national-level programmes and regulations, followed by thorough observations at the selected airport(s) to verify operational implementation
- Emphasis on assessing compliance with Annex 17 Standards and security-related Standards of Annex 9



Other activities: Cost-recovery Audits

- Scheduled upon request, accommodated if possible
- Same methodology as for regularly scheduled audits
- Subject to cost-recovery agreement between ICAO and the State
- Results treated in the same manner as the results from regularly-scheduled activities, including the possibility of invoking the SSeC mechanism



Other activities: Validation Missions

- Conducted on-site to gather evidence on corrective actions implemented by a State to resolve or mitigate SSeCs
- May be carried out by any certified USAP-CMA auditor selected by ICAO Headquarters, including Regional Officers
- Evidence will be presented to the SSeC Validation Committee
- No new findings may be identified, but information on identified deficiencies will be reported for inclusion in the Key Parameters

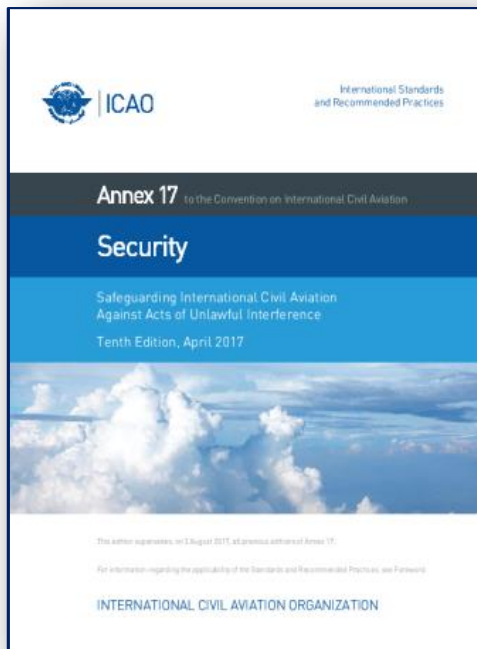


Referral for Assistance

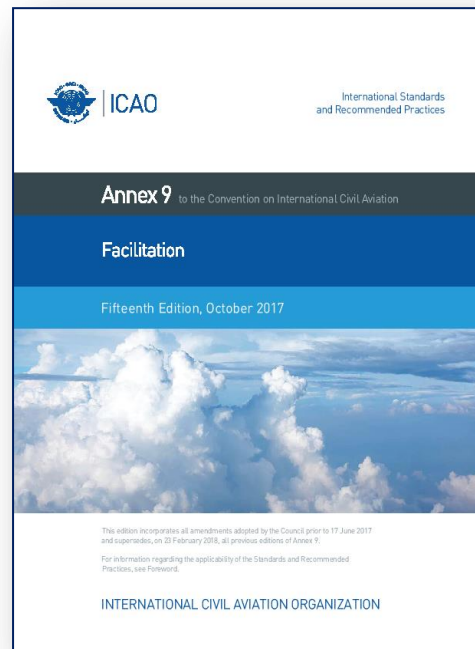
- Based on the Key Parameters, a State should be scheduled for an audit, but has not demonstrated progress in implementing its CAP
- State is referred to the ICAO assistance programmes for a needs assessment and provision of appropriate assistance
- ASA monitors assistance activities to determine the appropriate timing for a new USAP-CMA activity



USAP-CMA Reference Documents



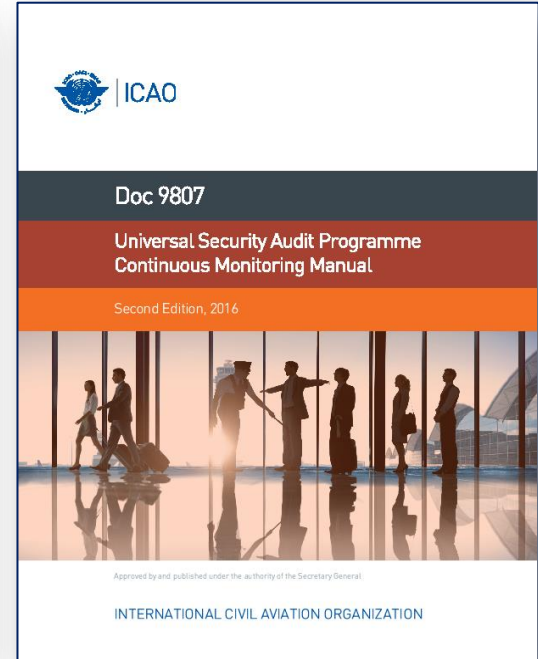
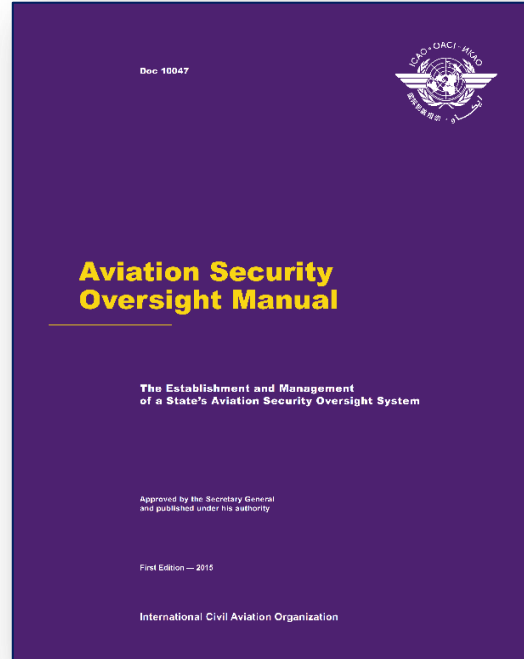
ANNEX 17: 86 Standards



ANNEX 9: 15 Standards

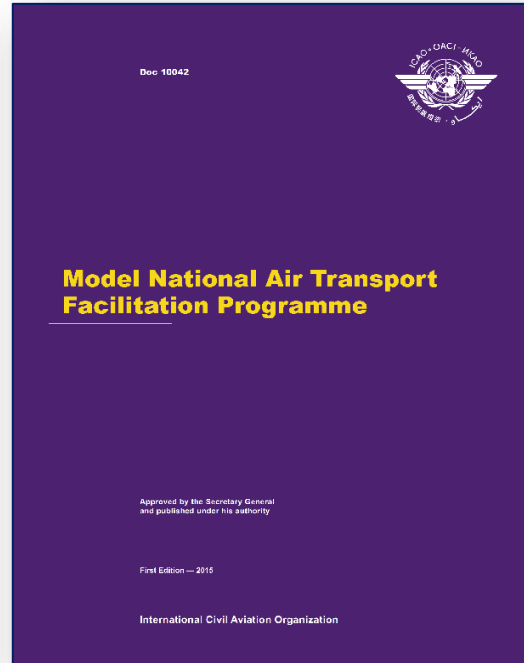
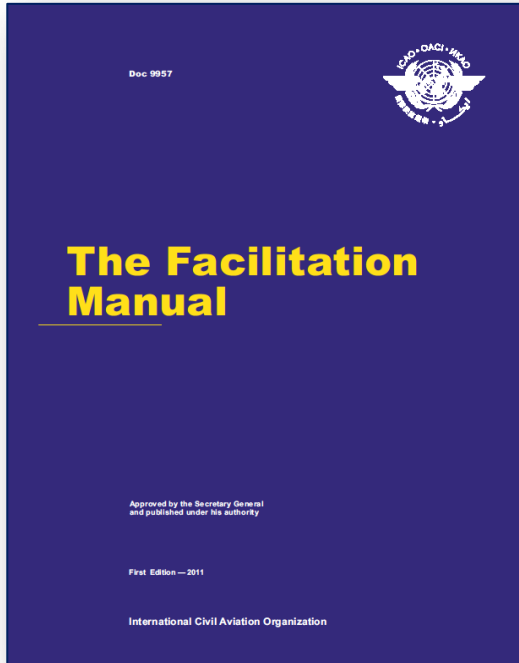


USAP-CMA Reference Documents





USAP-CMA Reference Documents





**Total MoUs signed: 150
(42 outstanding)**

1 - General

State's commitment to participate

Designation of an NC

Types of information to be submitted

Types of USAP-CMA activities

2 - Preparation

Annual schedule

Notification

Scope of USAP-CMA activity

USAP-CMA team and audit plan

3 - Conduct

Language

State responsibilities to facilitate USAP-CMA activity

Post-audit debriefing

4 - Reporting

USAP-CMA audit report

State feedback and CAP

USAP secure web site

SSeC mechanism

5 - Dispute Resolution



USAP-CMA Advantages

Move from cyclical audits

- No longer just a snapshot of the aviation security and oversight situation
- Continuous, risk-based monitoring
- ICAO can develop and maintain an up-to-date picture of the aviation security situation in States



USAP-CMA Advantages

Improved analysis capability

- Only 1 Standard associated to each PQ allows Standard by Standard analysis
- CE-8 PQs dedicated to Annex 17, Chapter 4 Standards permits assessment of operational implementation of aviation security



USAP-CMA Advantages

Flexible framework and methodology

- No longer one-size-fits-all model
- Includes off-site or on-site activities
- Increased flexibility in determining the real needs of each State and proposing appropriate activities



USAP-CMA Advantages

A risk-based approach

- Uses Key Parameters to determine priority and frequency of audit and monitoring activities
- Type and scope of activities are tailored on a State-by-State basis



USAP-CMA Advantages

Improved use of resources

- For both ICAO and States
- Help ensure a long-term cost effective, resource efficient and sustainable programme for the Organization



USAP-CMA Advantages

Continuous feedback

- For policy development and assistance activities
- Generates up-to-date and useful State-specific and regional data

A new type of audit report for the USAP-CMA

- Provides prioritized findings and recommendations
- Helps States to develop and implement short-, medium- and long-term corrective actions



Auditor Training and Certification

- Provides participants with a thorough knowledge and understanding of the methodology, tools and techniques of the USAP-CMA
- Seconded auditors provided by Member States are a significant contribution to the success of the programme
- Auditors are trained in each ICAO region





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Questions?



North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montreal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Office
Bangkok

End of Module 4