# ICAO Regional USAP-CMA Seminar

# USAP-CMA Activity Process Reporting

## Cairo, 15 to 17 October 2018

# Module Objective

At the end of this module the participants will have a clear understanding of the processes, requirements and timelines both for Member States and ICAO during the USAP-CMA activity reporting phase

# Module Outline

- Reporting Phase

- Post-audit Activities

- Significant Security Concern

- Monitoring and Assistance Review Board

- USAP-CMA Audit Report

- State's Corrective Action Plan

- CAP Review

- Activity Feedback Form
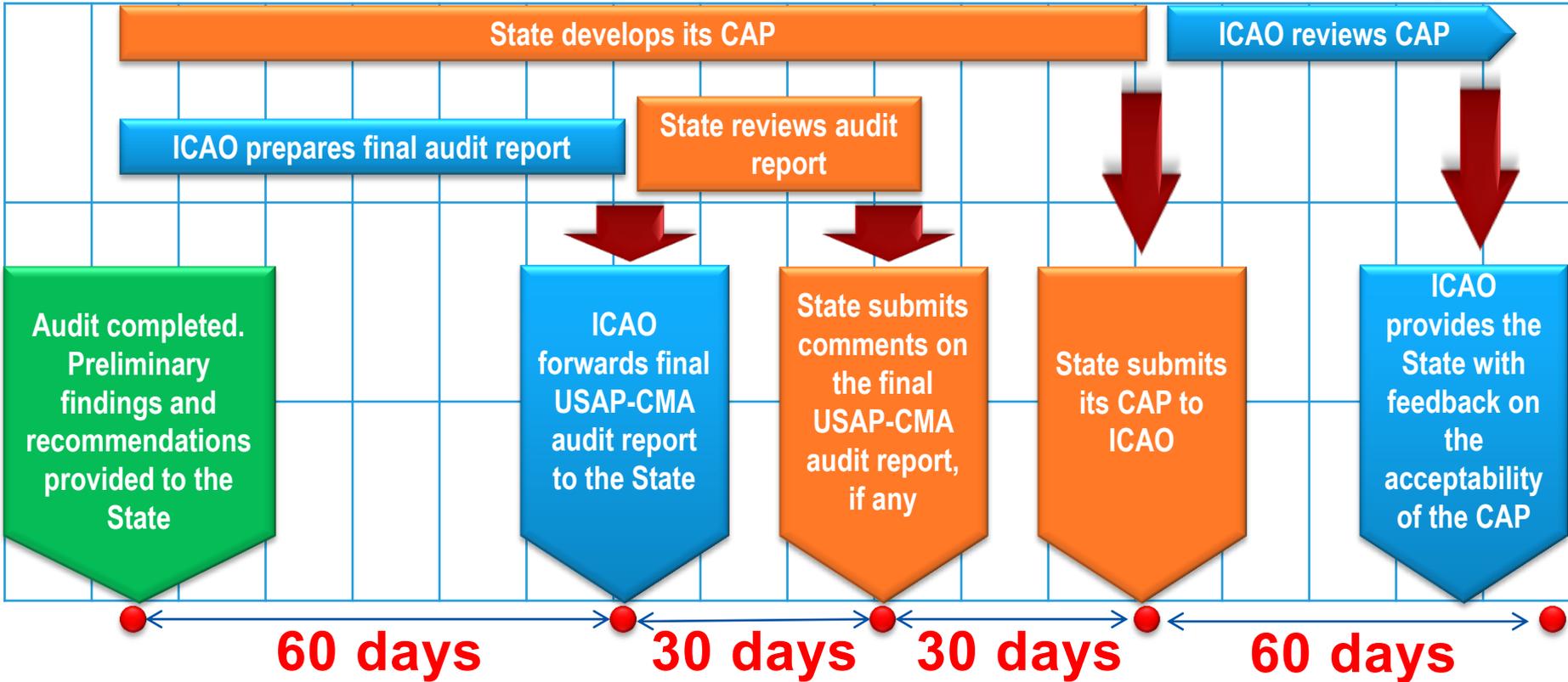
- Role of the National Coordinator

# Reporting Phase

The reporting phase commences at the end of the Post-audit Debriefing and concludes with the review of the Corrective Action Plan (CAP) submitted by the State

# Significant Security Concern (SSeC)

- Definition and mechanism established on 17 February 2010 by the Council of ICAO

- Objective of addressing SSeCs in a timely manner following their identification during a USAP audit

# SSeC Definition

A Significant Security Concern (SSeC) occurs when the appropriate authority responsible for aviation security in the State permits aviation activities to continue, despite **lack of effective implementation of the minimum security requirements** established by the State and by the provisions set forth in Annex 17 — Security related to **critical aviation security controls** resulting in **an immediate security risk** to international civil aviation

# Critical Aviation Security Controls

These critical aviation security controls may include:

- Screening and protection of passengers, cabin and hold baggage

- Security controls applied to cargo, mail and catering

- Access control to security-restricted areas of airports

- Security of departing aircraft

# SSeC Mechanism

**Preliminary SSeC**
- Team Leader identifies a potential SSeC
- Consults with C/ASA, providing all relevant information
- Describes preliminary SSeC at the Post-audit Debriefing

**Validation**
- Within 15 calendar days of the Post-audit Debriefing
- SSeC Validation Committee decides whether SSeC is confirmed

**Notification**
- State is notified whether SSeC is confirmed
- If confirmed, State must take immediate corrective action within 15 calendar days

**Disclosure**
- Failure to implement corrective action and notify ICAO within 15 calendar days results in sending an EB and posting of information on the USAP secure website.

# Monitoring and Assistance Review Board (MARB)

- High-level Secretariat team chaired by the Secretary General

- Responsible for both safety and security issues

- Reviews monitoring and assistance activities in referred States and proposes specific courses of action

- Closely follows States with SSCs and SSeCs

- If situation cannot be resolved, may refer a State to the Council of ICAO for special consideration and possible further action

# MARB

States are referred to the MARB for:

- One or more confirmed SSeCs

- State not responding to monitoring or assistance processes (i.e. rejecting or repeatedly postponing monitoring activities, not providing a CAP)

- State not fulfilling its commitment to implement CAP

# Audit Report

- Official ICAO report of the mission

- Submitted within 60 calendar days following the Post-audit Debriefing

- If the ICAO language of the State is other than the language of the audit, the report will be translated and timelines adjusted accordingly

# Confidentiality v. Limited Level of Disclosure

**Article 32 of the MoU**

- USAP-CMA audit reports will be confidential and made available to State and ICAO staff on a need-to-know basis

- Effective Implementation and Compliance charts will be made available to all Member States on the USAP secure website

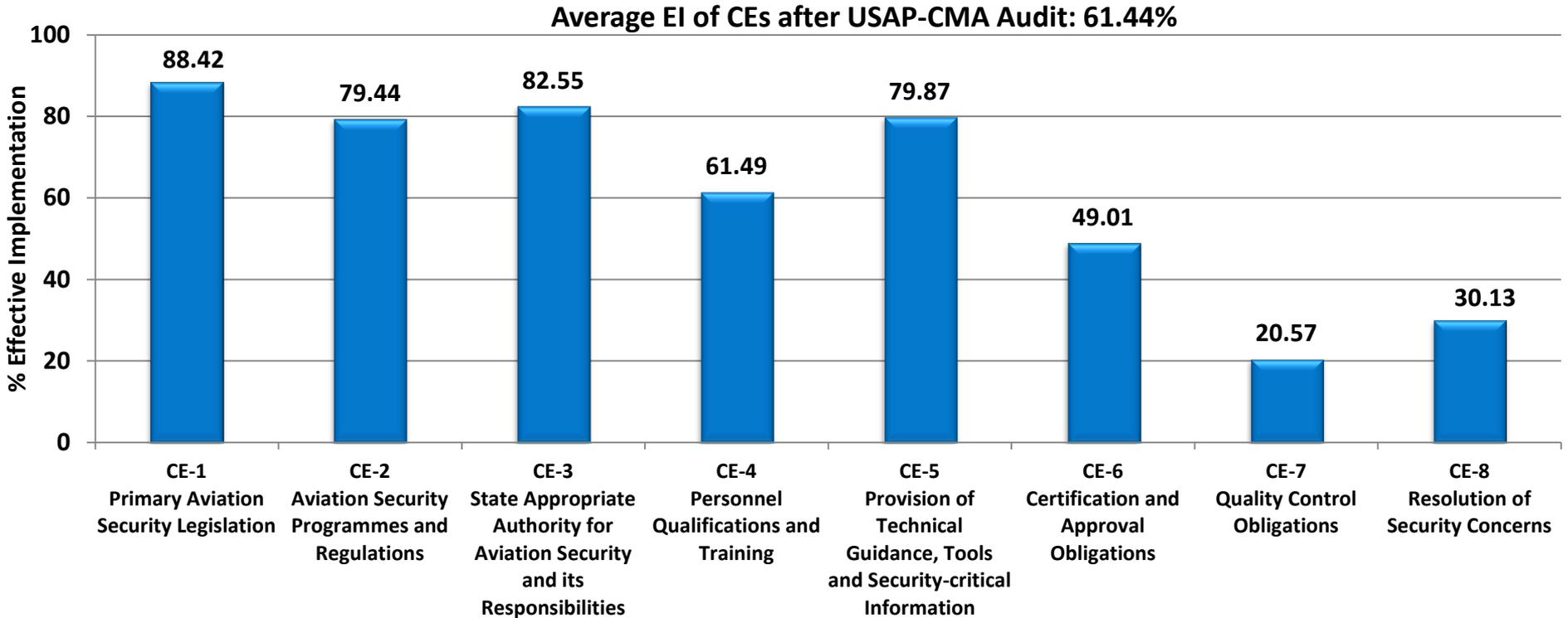# Content of the Audit Report

**PART I. INTRODUCTION**

**PART II. SCOPE OF THE AUDIT**

**PART III. SUMMARY OF AUDIT RESULTS**
- Appendix 1. Analysis of the Results by Critical Element
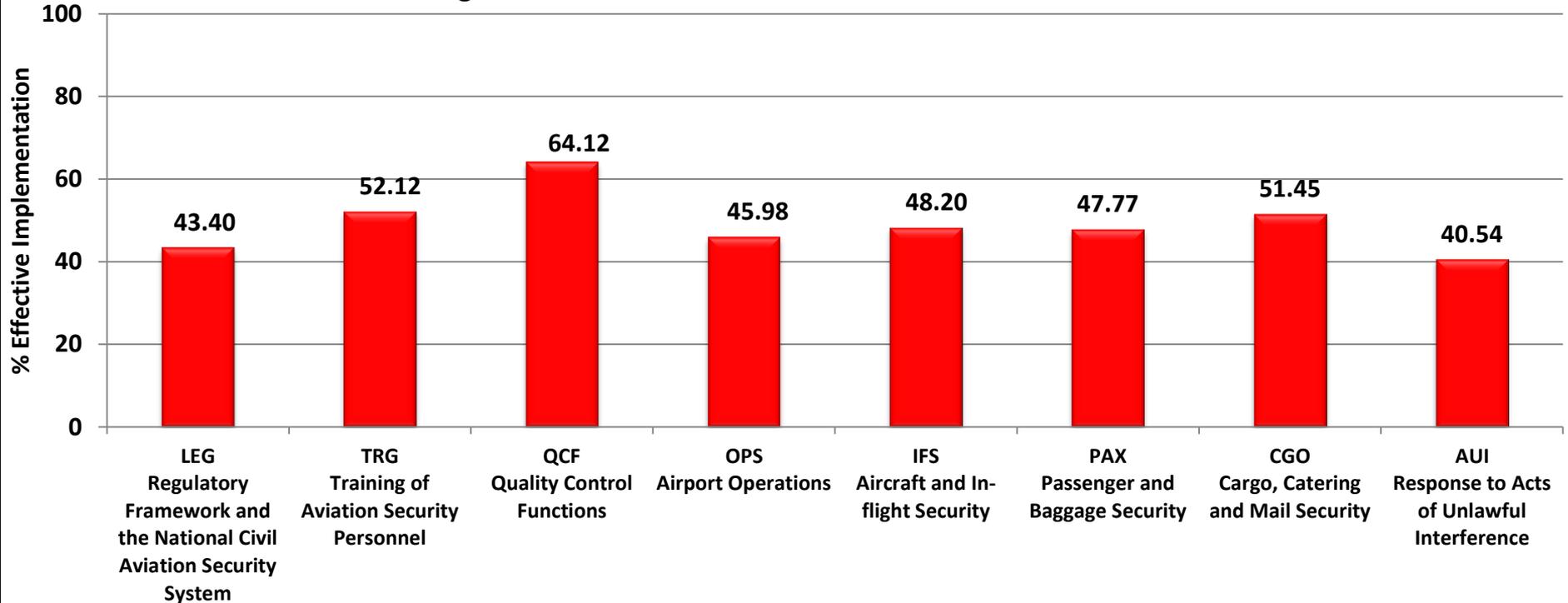- Appendix 2. Findings and Recommendations

# Part III. State's Oversight Indicator



Average EI of CEs after USAP-CMA Audit: 61.44%

% Effective Implementation

| CE | Value |
|---|---|
| CE-1 Primary Aviation Security Legislation | 88.42 |
| CE-2 Aviation Security Programmes and Regulations | 79.44 |
| CE-3 State Appropriate Authority for Aviation Security and its Responsibilities | 82.55 |
| CE-4 Personnel Qualifications and Training | 61.49 |
| CE-5 Provision of Technical Guidance, Tools and Security-critical Information | 79.87 |
| CE-6 Certification and Approval Obligations | 49.01 |
| CE-7 Quality Control Obligations | 20.57 |
| CE-8 Resolution of Security Concerns | 30.13 |

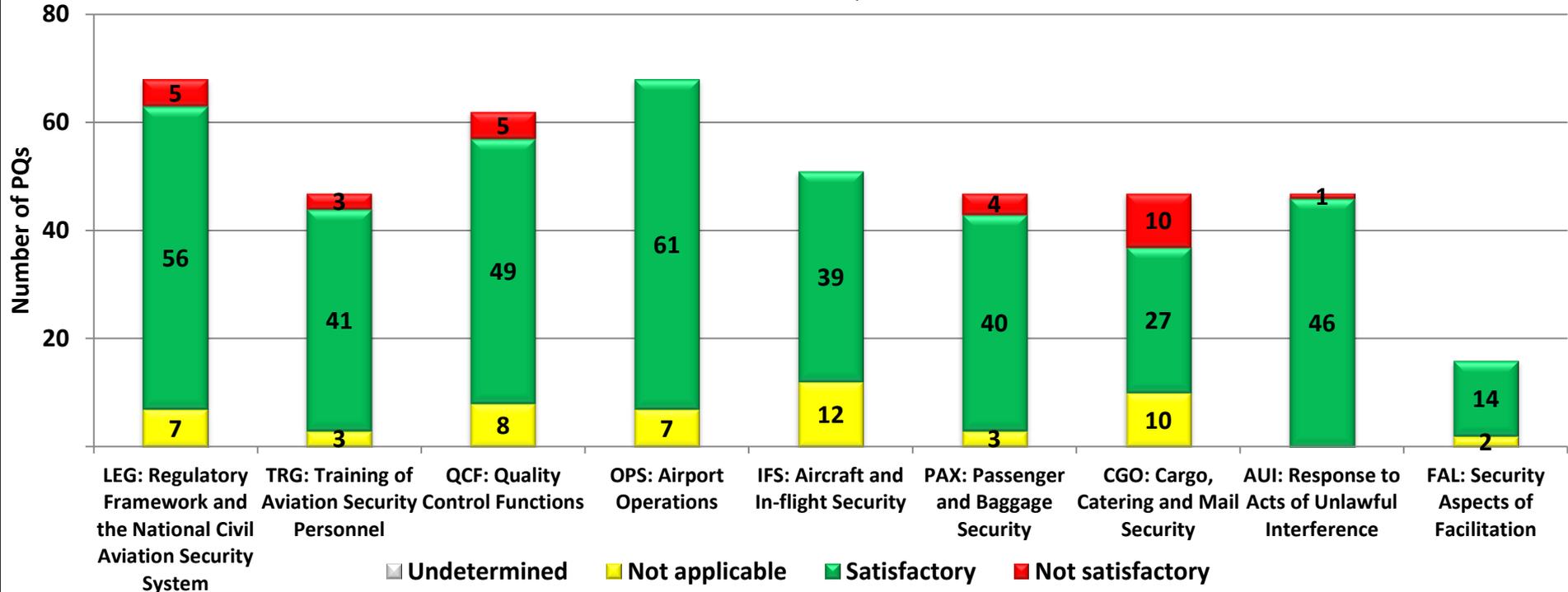# Part III. State's Compliance Indicator for Annex 17 Standards



Average EI of Annex 17 Standards after USAP-CMA Audit: 49.20%

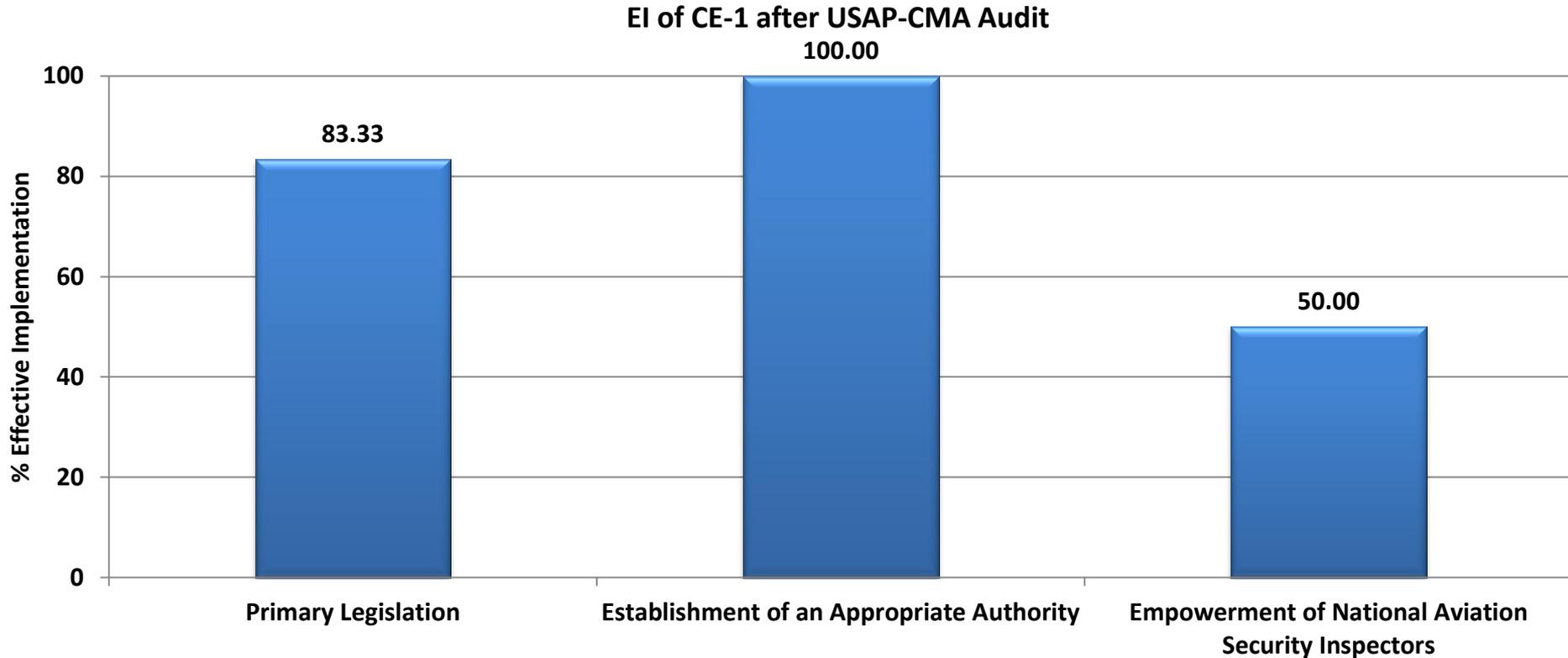# Part III. State's USAP-CMA PQ Indicator



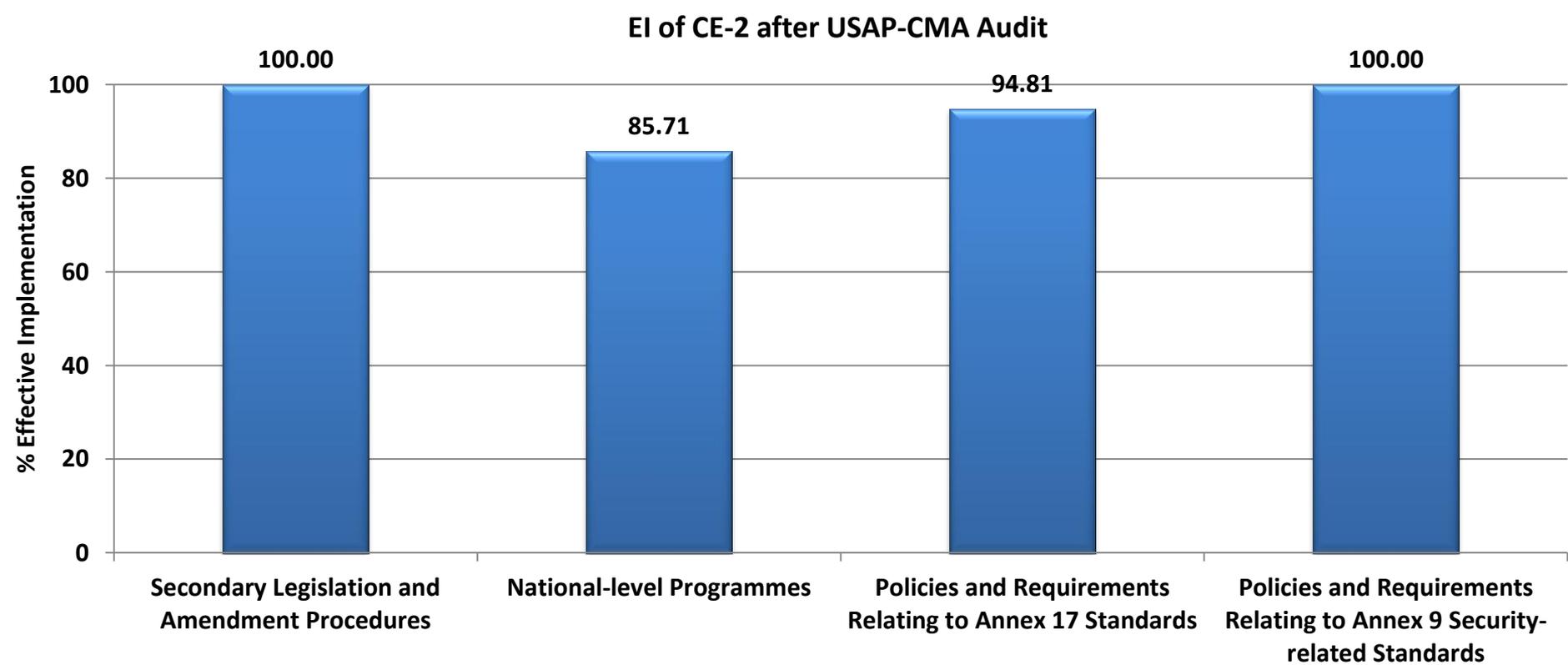**EI of USAP-CMA Protocol Questions: 93.02 %**

Number of PQs

- LEG: Regulatory Framework and the National Civil Aviation Security System — Not applicable: 7, Satisfactory: 56, Not satisfactory: 5
- TRG: Training of Aviation Security Personnel — Not applicable: 3, Satisfactory: 41, Not satisfactory: 3
- QCF: Quality Control Functions — Not applicable: 8, Satisfactory: 49, Not satisfactory: 5
- OPS: Airport Operations — Not applicable: 7, Satisfactory: 61
- IFS: Aircraft and In-flight Security — Not applicable: 12, Satisfactory: 39
- PAX: Passenger and Baggage Security — Not applicable: 3, Satisfactory: 40, Not satisfactory: 4
- CGO: Cargo, Catering and Mail Security — Not applicable: 10, Satisfactory: 27, Not satisfactory: 10
- AUI: Response to Acts of Unlawful Interference — Satisfactory: 46, Not satisfactory: 1
- FAL: Security Aspects of Facilitation — Not applicable: 2, Satisfactory: 14

Legend: Undetermined | Not applicable | Satisfactory | Not satisfactory

# Appendix 1. Analysis of USAP-CMA Audit Results by CE

**EI of CE-1 after USAP-CMA Audit**



Bar chart showing % Effective Implementation:
- Primary Legislation: 83.33
- Establishment of an Appropriate Authority: 100.00
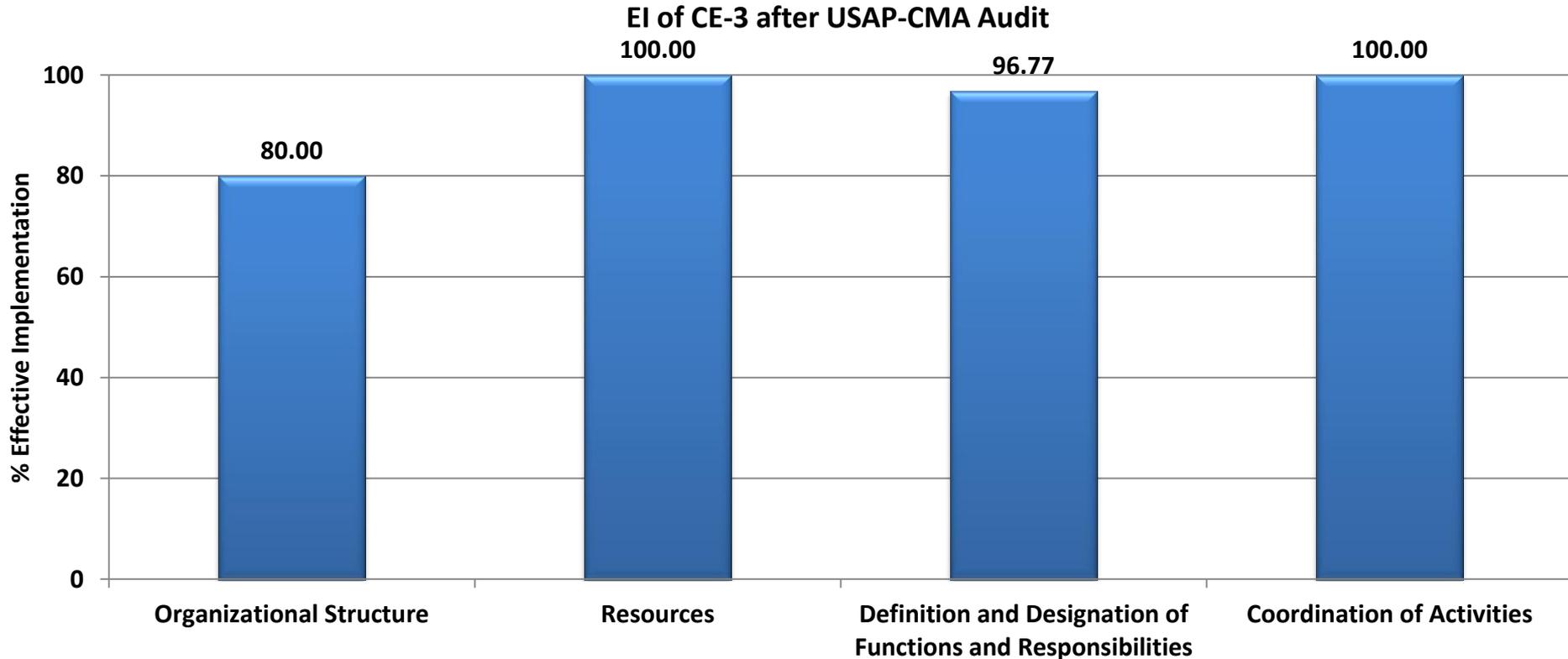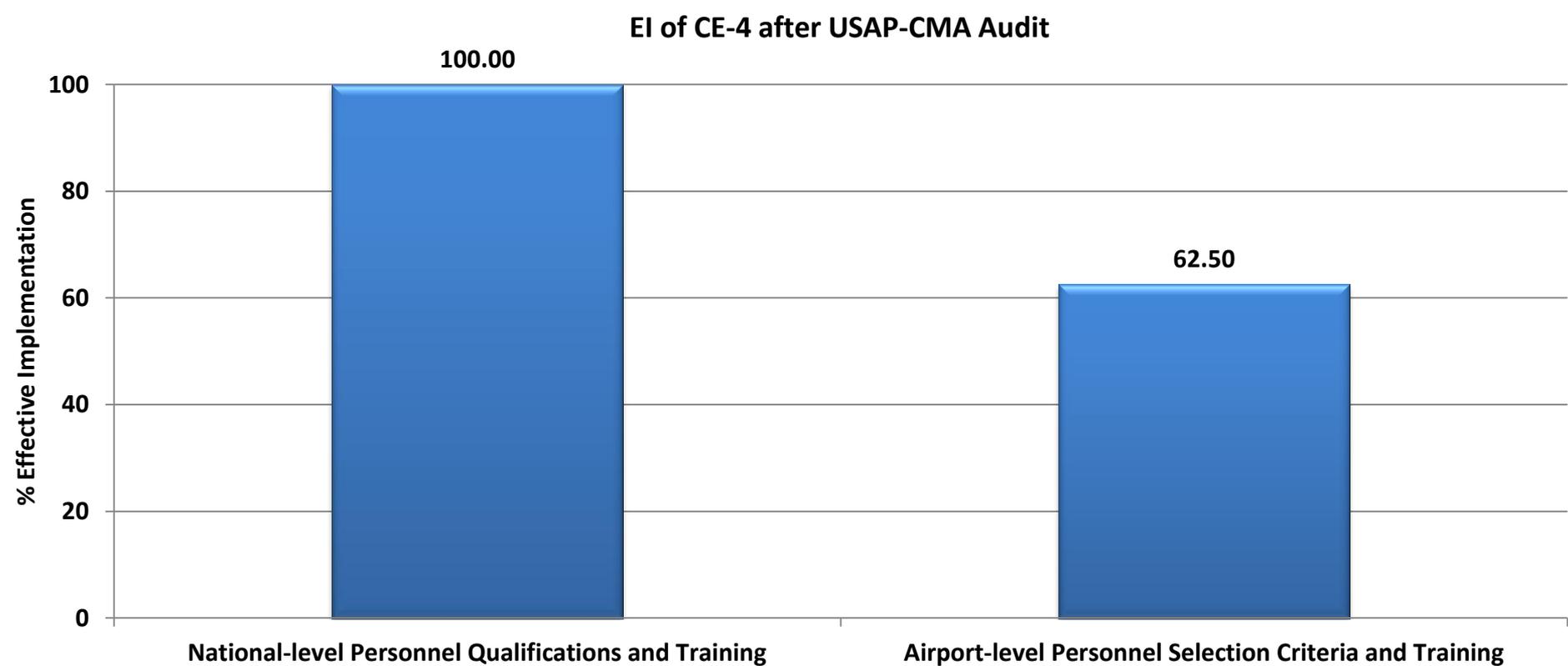- Empowerment of National Aviation Security Inspectors: 50.00

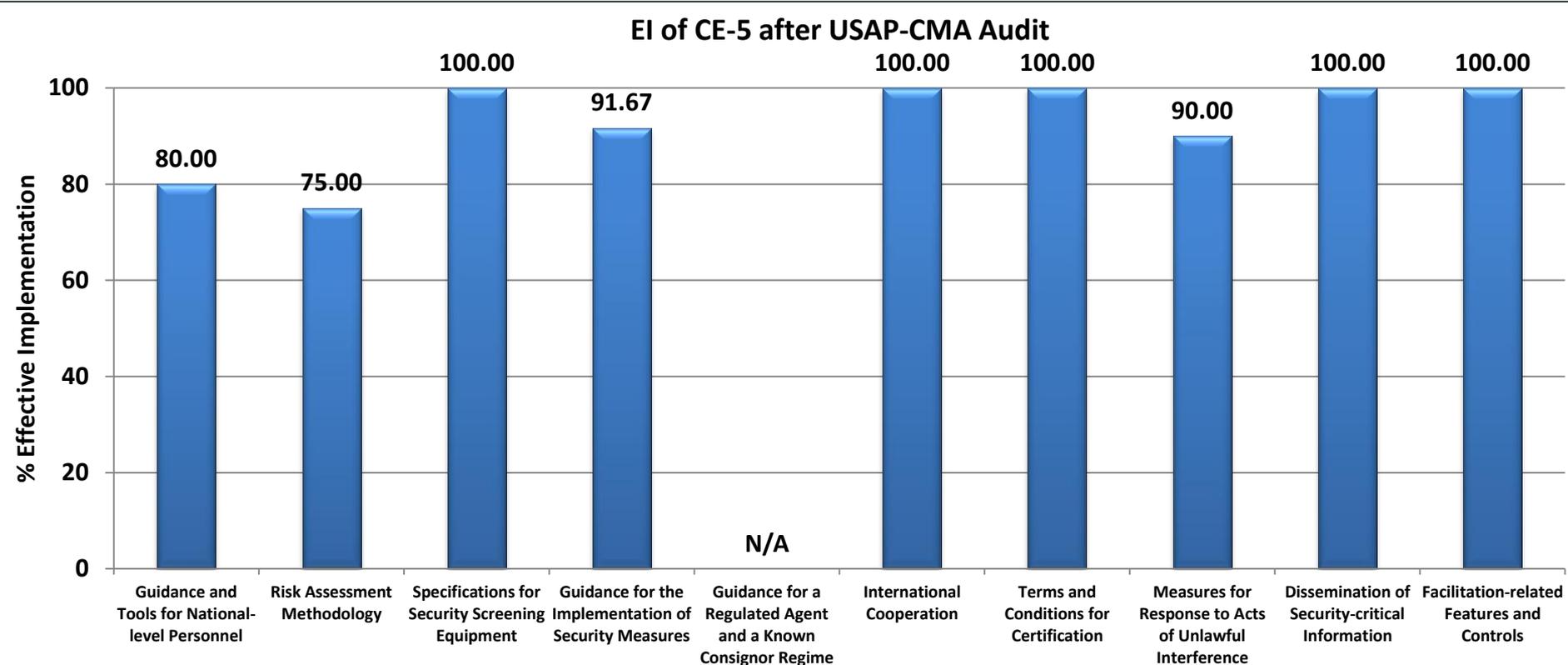# Appendix 1. Analysis of USAP-CMA Audit Results by CE



EI of CE-2 after USAP-CMA Audit
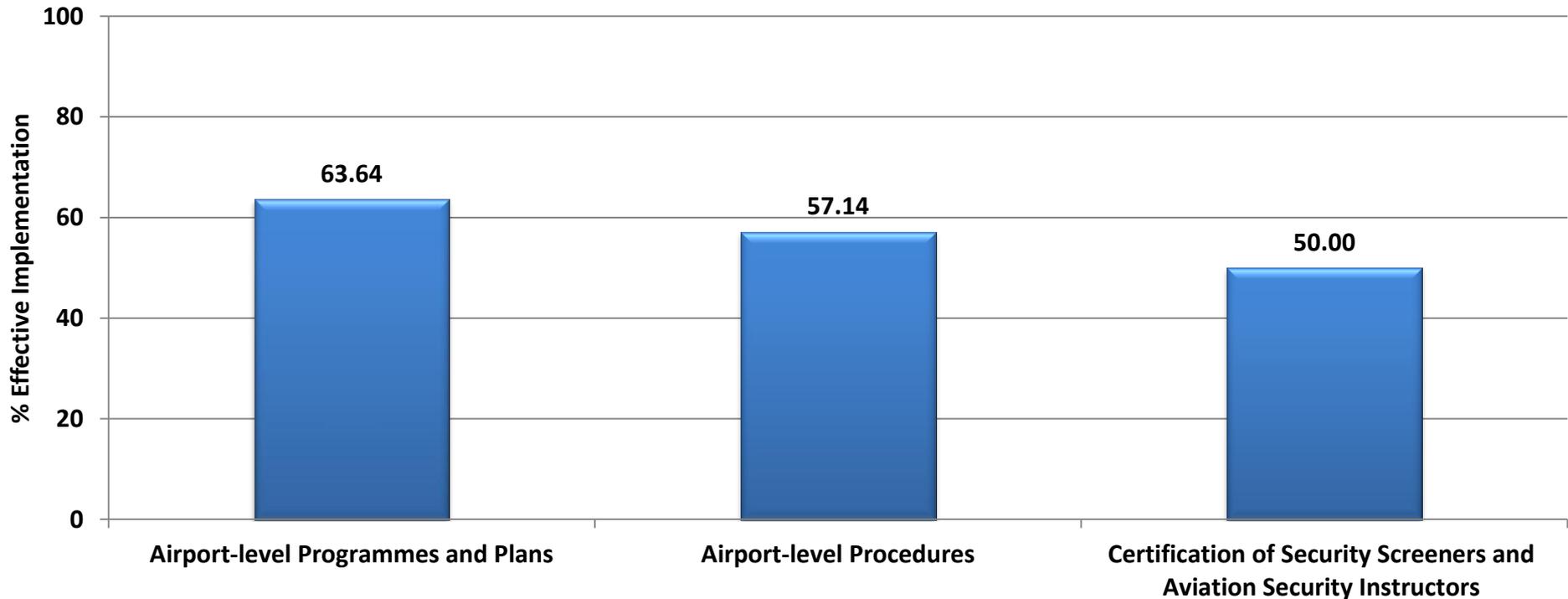
# Appendix 1. Analysis of USAP-CMA Audit Results by CE

**EI of CE-3 after USAP-CMA Audit**



Bar chart showing % Effective Implementation:
- Organizational Structure: 80.00
- Resources: 100.00
- Definition and Designation of Functions and Responsibilities: 96.77
- Coordination of Activities: 100.00

# Appendix 1. Analysis of USAP-CMA Audit Results by CE

**EI of CE-4 after USAP-CMA Audit**



Chart: % Effective Implementation

- National-level Personnel Qualifications and Training: 100.00
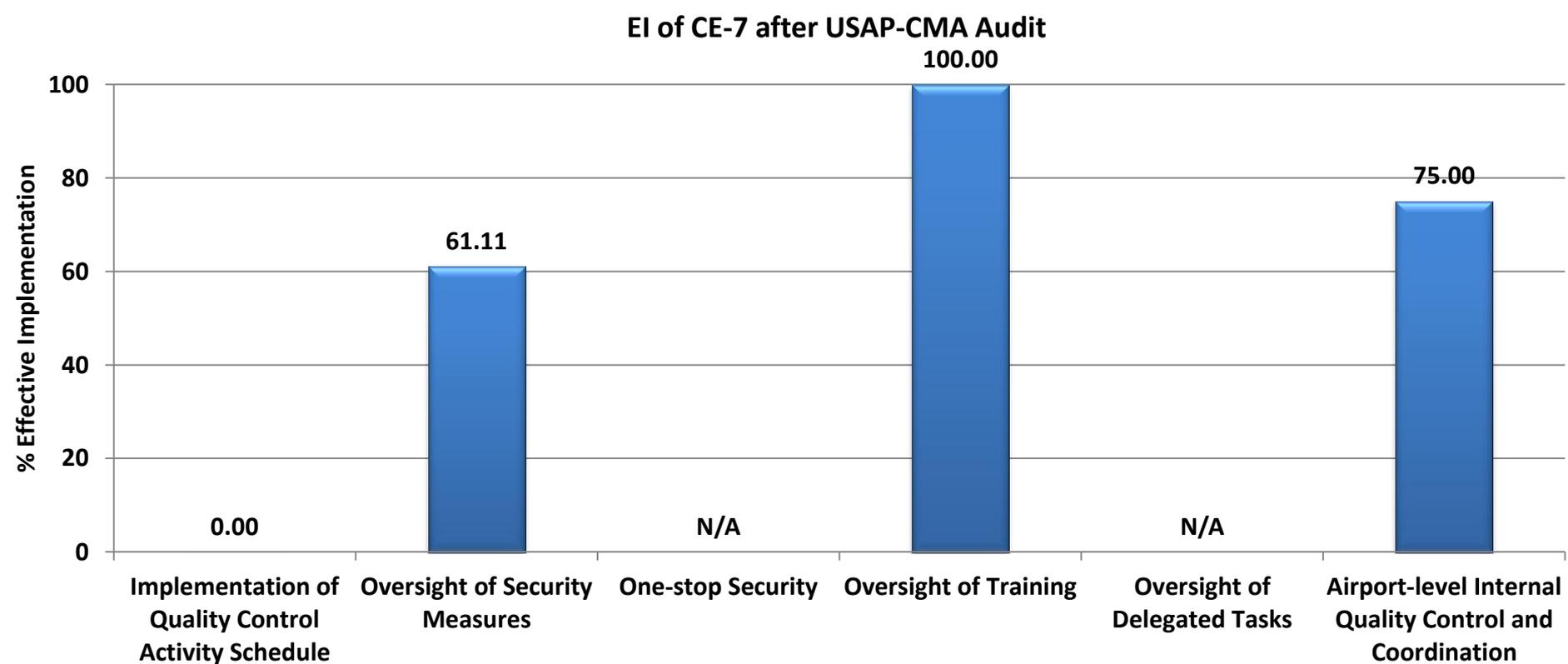- Airport-level Personnel Selection Criteria and Training: 62.50

# Appendix 1. Analysis of USAP-CMA Audit Results by CE



EI of CE-5 after USAP-CMA Audit

# Appendix 1. Analysis of USAP-CMA Audit Results by CE



**EI of CE-6 after USAP-CMA Audit**

Airport-level Programmes and Plans: 63.64
Airport-level Procedures: 57.14
Certification of Security Screeners and Aviation Security Instructors: 50.00

# Appendix 1. Analysis of USAP-CMA Audit Results by CE

# Appendix 1. Analysis of USAP-CMA Audit Results by CE



EI of CE-8 after USAP-CMA Audit
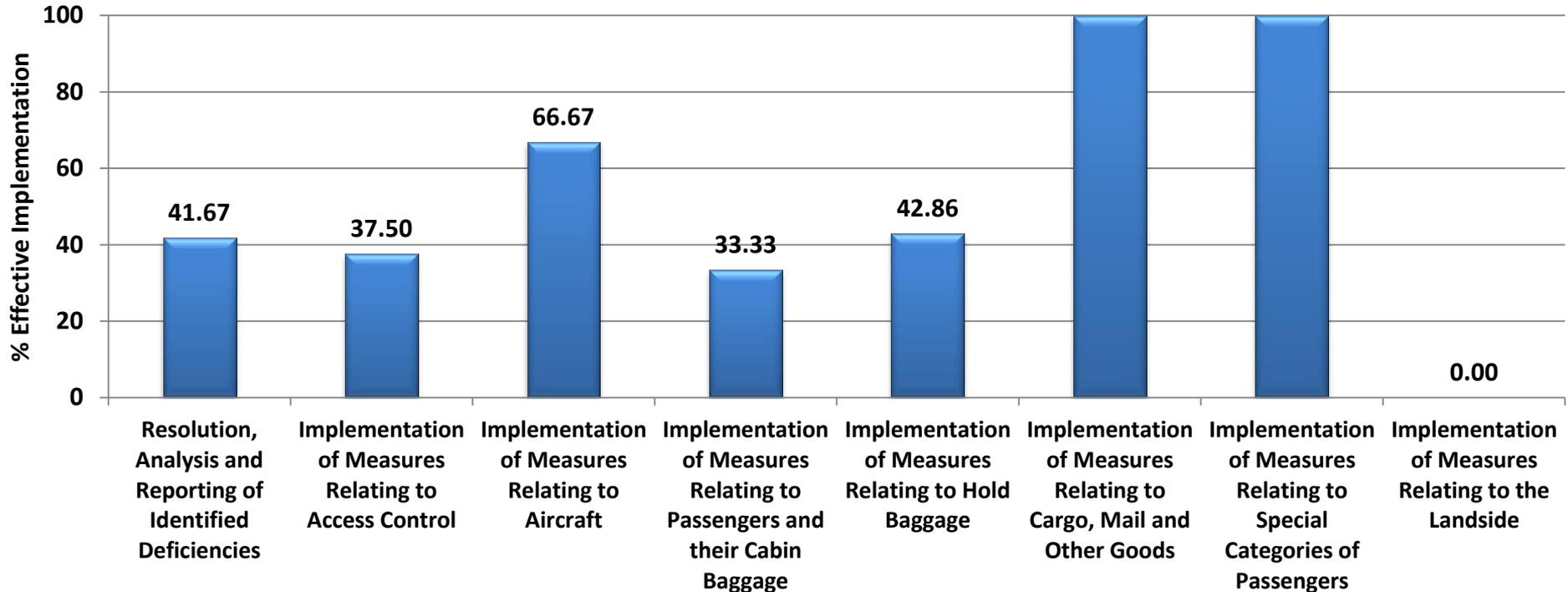
# Appendix 2. Findings and Recommendations

| Finding-XX | Finding Priority: Medium | Audit Area: QCF | | | |
|---|---|---|---|---|---|
| **FINDING:** | | | | | |
| The NCASP establishes a requirement for a risk assessment to be conducted to determine the priorities and frequency of national quality control activities. The NQCP contains a list of factors to be considered in such risk assessment. However, no appropriate risk assessment methodology is available to be utilized for determining the priorities and frequency of national quality control activities. The priorities and frequency of activities included in the annual schedule of quality control activities for 2017 and 2018 have not been determined on the basis of a risk assessment. | | | | | |
| **RECOMMENDATION:** | | | | | |
| Usapia should: | | **PQ** | **CE** | **SARP** | **Priority** |
| Develop an appropriate risk assessment methodology for determining the priorities and frequency of national quality control activities based on the risk factors established in the NQCP. | | 3.055 | CE-5 | 3.4.5 | Medium |
| Utilize a risk assessment methodology in order to determine the priorities and frequency of national quality control activities, when developing the annual schedule of such activities. | | 3.070 | CE-7 | 3.4.5 | Medium |

# Priority of Recommandations

| Very High | Lack of effective implementation of the minimum security requirements related to critical aviation security controls (potential SSeC) |
|-----------|-----------|
| High | Deficiencies in airport-level training, certification, national-level guidance, performance criteria, contingency measures, airport-level procedures, resources and operational measures. |
| Medium | Deficiencies in policies, designations, coordination, resources, national/airport level guidance/procedures, national inspectors' training, quality control activities, certain operational measures. |
| Low | Deficiencies in legislation, programmes and regulations. |

# Prioritized recommendations

- Pre-assigned priorities may be adjusted by Team Leader during audit

- Provides States with guidance when developing their short-, medium- and long-term actions in their CAP

- Assists in allocating resources

# State's Corrective Action Plan (CAP)

- State is strongly encouraged to start working on its CAP using the draft findings and recommendations provided during the Post-audit Debriefing

- Final CAP should reflect the findings contained in the official Audit Report

- CAP should use template provided by ICAO

# State's CAP

- The CAP should be submitted within 60 calendar days following receipt of the final report
- If translation is required, the 60-day timeline starts when the translated report is received
- If CAP is not submitted on time, ICAO will send a reminder
- Failure to submit a CAP will result in referral to the MARB

# Content of the CAP

The CAP should:

- Address all recommendations related to the finding

- Include detailed and specific actions

- Specify realistic start and completion dates (may be ongoing)

- Ensure dates are consistent between findings

- Identify an action office for each action

| Finding-01 | | | | | Finding Priority: Medium | | | Audit Area: AUI | |
|---|---|---|---|---|---|---|---|---|---|
| Priority | SARP | CE | PQ | **ICAO RECOMMENDATION**<br><br>Usapia should: | COMMENTS AND OBSERVATIONS | CORRECTIVE ACTION(S) PROPOSED | ACTION OFFICE(S) | ESTIMATED IMPLEMENTATION DATE(S) | |
| | | | | | | | | Starting Date | Completion Date |
| | | | | | | | | | |
| | | | | | | | | | |

Pre-filled by ICAO

To be completed by State

# CAP Review

- ICAO review should take approximatively 60 days

- CAP will be reviewed by ASA to provide feedback to the State on acceptability (completeness and coherence)

- If any proposed actions do not fully address the associated recommendations, the State will be requested to resubmit the CAP

# Activity Feedback Form

- Completed by the State and submitted with the final CAP

- Allows ICAO to evaluate the success of any given activity

- Allows ICAO to address any deficiencies in methodology or auditor conduct

- ICAO welcomes suggestions to improve the USAP-CMA, particularly the tools

# Role of the National Coordinator

- Ensure work on the CAP beings immediately following the Post-audit Debriefing

- Upon receipt of the final Audit Report:

  - coordinate and submit comments, if any, within 30 calendar days

  - coordinate preparation and submission of the State's CAP within 60 calendar days

# Role of the National Coordinator

- Ensure the Activity Feedback Form is duly completed and submitted to ICAO

- Based on ICAO's CAP review, coordinate changes or adjustments and re-submit CAP, if necessary

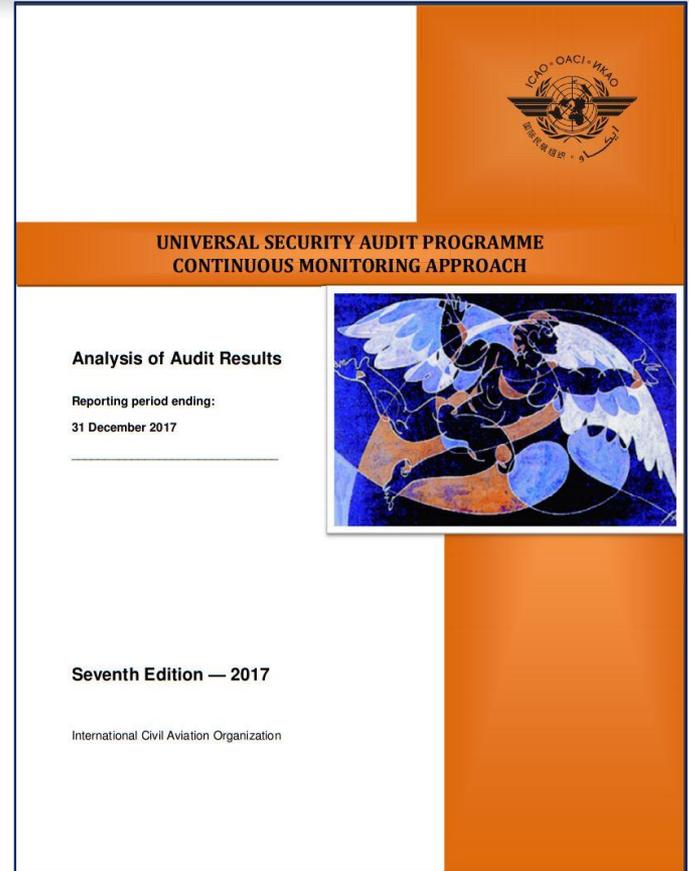- Keep ICAO updated of the State's progress in the implementation of its CAP

# Analysis of USAP-CMA Audit Results

https://portallogin.icao.int/



UNIVERSAL SECURITY AUDIT PROGRAMME
CONTINUOUS MONITORING APPROACH

**Analysis of Audit Results**

Reporting period ending:
31 December 2017

**Seventh Edition — 2017**

International Civil Aviation Organization

# Module Review

- Reporting Phase

- Post-audit Activities

- Significant Security Concern

- Monitoring and Assistance Review Board

- USAP-CMA Audit Report

- State's Corrective Action Plan

- CAP Review

- Activity Feedback Form

- Role of the National Coordinator

# Questions?

**End of Module 8**