Analysis of USAP-CMA FAL Results

Kyal Barter

Senior Aviation Security Advisor | Programme Coordinator
ICAO Cooperative Aviation Security Programme – Asia Pacific

Hong Kong ICAO TRIP Regional Seminar

Universal Security Audit Programme - Continuous Monitoring Approach (USAP-CMA)

- USAP-CMA is designed to promote global aviation security through auditing and monitoring aviation security performance of Member States on an on-going basis

- Objective is to promote global aviation security through <u>continuous</u> auditing and monitoring

- USAP activities assess:
  - Capability to provide appropriate national oversight; and
  - Compliance with Annex 17 Standards and **<u>security-related provisions in Annex 9</u>**

- Conducted by the ICAO Aviation Security Audit section

Universal Security Audit Programme - Continuous Monitoring Approach (USAP-CMA)

- A USAP-CMA assesses nine audit areas:
  - Regulatory Framework and the National Civil Aviation Security System   (LEG)
  - Training of Aviation Security Personnel   (TRG)
  - Quality Controls Functions   (QCF)
  - Airport Operations   (OPS)
  - Aircraft and In-flight Security   (IFS)
  - Passenger and Baggage Security   (PAX)
  - Cargo, Catering and Mail Security   (CGO)
 - Response to Acts of Unlawful Interference   (AUI)
  - **Security Aspects of Facilitation**   **(FAL)**

9. FAL – SECURITY ASPECTS OF FACILITATION

9.1 Programme and Coordination

A9 8.17	FAL 9.001 Has the State established an NATFP based on the facilitation requirements of the Chicago Convention and of Annex 9 thereto?	Verify documented evidence of the approval of the NATFP. When was the NATFP established/last revised? Verify whether the NATFP contains elements as outlined in Appendix 12 to Annex 9.	☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	2
A9 8.19	FAL 9.005 Has the State established an NATFC and AFCs as required, or similar coordinating bodies, for the purpose of coordinating facilitation activities between departments, agencies and other organizations of the State concerned with or responsible for various aspects of international civil aviation, as well as with airport and aircraft operators?	Verify the existence and functioning of the NATFC and the AFCs as required, or similar coordinating bodies, for the purpose of coordinating facilitation activities between departments, agencies and other organizations of the State concerned with or responsible for various aspects of international civil aviation, as well as with airport and aircraft operators. Verify whether the State has ensured that certain members of facilitation committees are also members of aviation security committees. Note. — *Necessary arrangements should be established to ensure appropriate cross-representation between facilitation and security committees at the national and airport levels to ensure that the aims of facilitation and security programmes within the State are compatible and effectively implemented.*	☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	3

9.2 Security of Travel Documents

A9 3.7	FAL 9.010 Does the State incorporate security features in its current travel documents and plan to periodically update security features in new versions of its travel documents?	Review security features in current travel documents and interview relevant personnel to verify plans for periodically updating security features in future redesign of travel documents. Verify whether Doc 9303 is available to the relevant issuing	☐ Satisfactory ☐ Not satisfactory ☐ Not applicable	5

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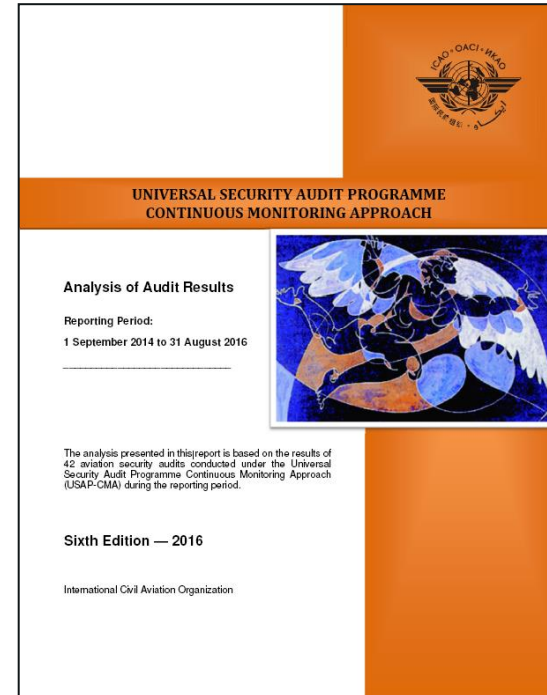
- Four sub-areas of assessment with the FAL audit area:

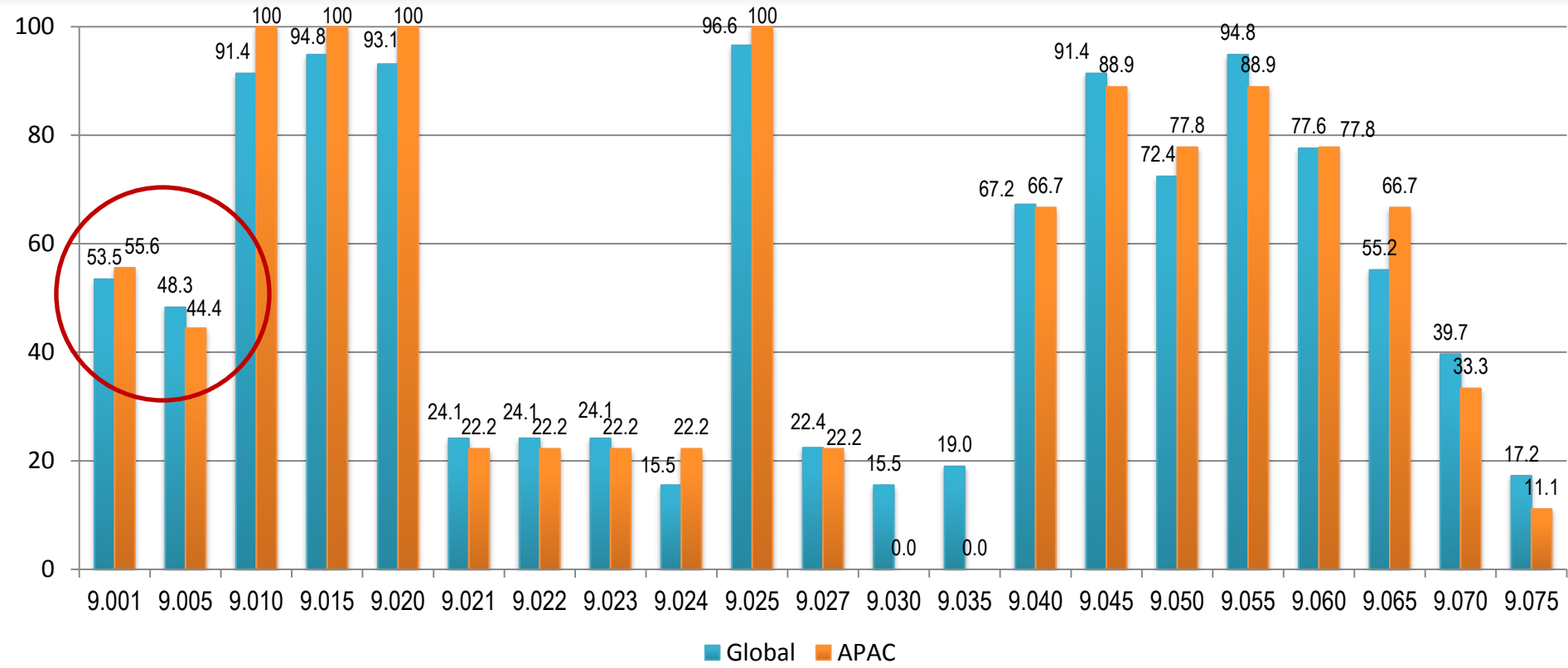|	
9.1 Programme and Coordination	Protocol Questions 9.001, 9.005
9.2 Security of Travel Documents	Protocol Questions 9.010, 9.015, 9.020, 9.021, 9.022, 9.023, 9.024, 9.025, 9.027, 9.030, 9.035
9.3 Inspection of Travel Documents	Protocol Questions 9.040, 9.045, 9.050, 9.055, 9.060, 9.065
9.4 Entry Procedures and Responsibilities	Protocol Questions 9.070, 9.075
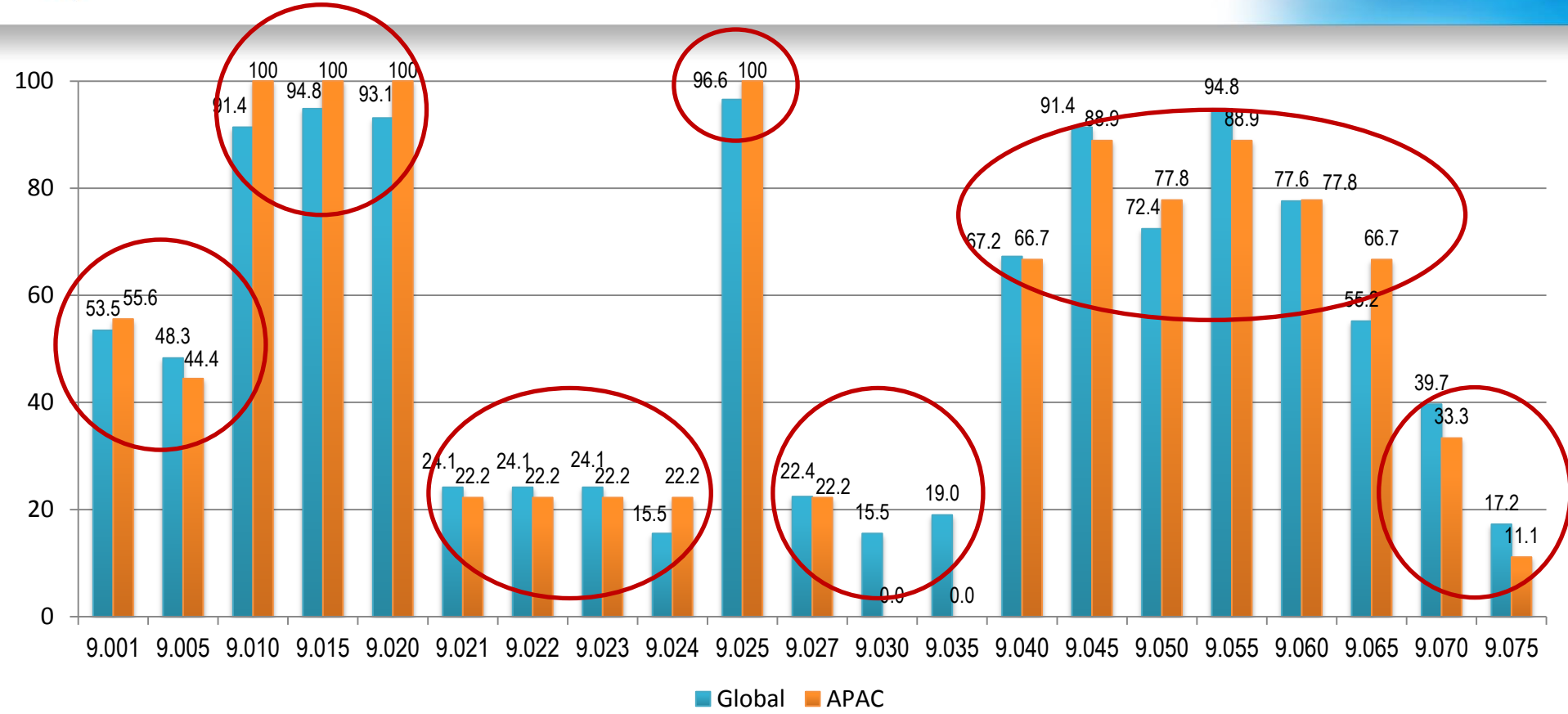
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- Taking a closer look at what the data is telling us:

  - Analysis of Audit Results
    - 1 September 2014 – 31 August 2016
    - 42 aviation security audits

- *Note the data in the previous graph includes results from audits conducted since 31 August 2016*

UNIVERSAL SECURITY AUDIT PROGRAMME
CONTINUOUS MONITORING APPROACH

Analysis of Audit Results

Reporting Period:
1 September 2014 to 31 August 2016

The analysis presented in this report is based on the results of 42 aviation security audits conducted under the Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) during the reporting period.

Sixth Edition — 2016

International Civil Aviation Organization

Universal Security Audit Programme - Continuous Monitoring Approach (USAP-CMA)

9.1 Programme and Coordination (PQs 9.001, 9.005)

- **45%** of audited States **have not** established a National Air Transport Facilitation Programme based on the facilitation requirements of Annex 9.

- More than **50%** of the audits reveal States **have not** established a National Air Transport Facilitation Committee and/or Airport Facilitation Committees, or similar coordinating bodies.
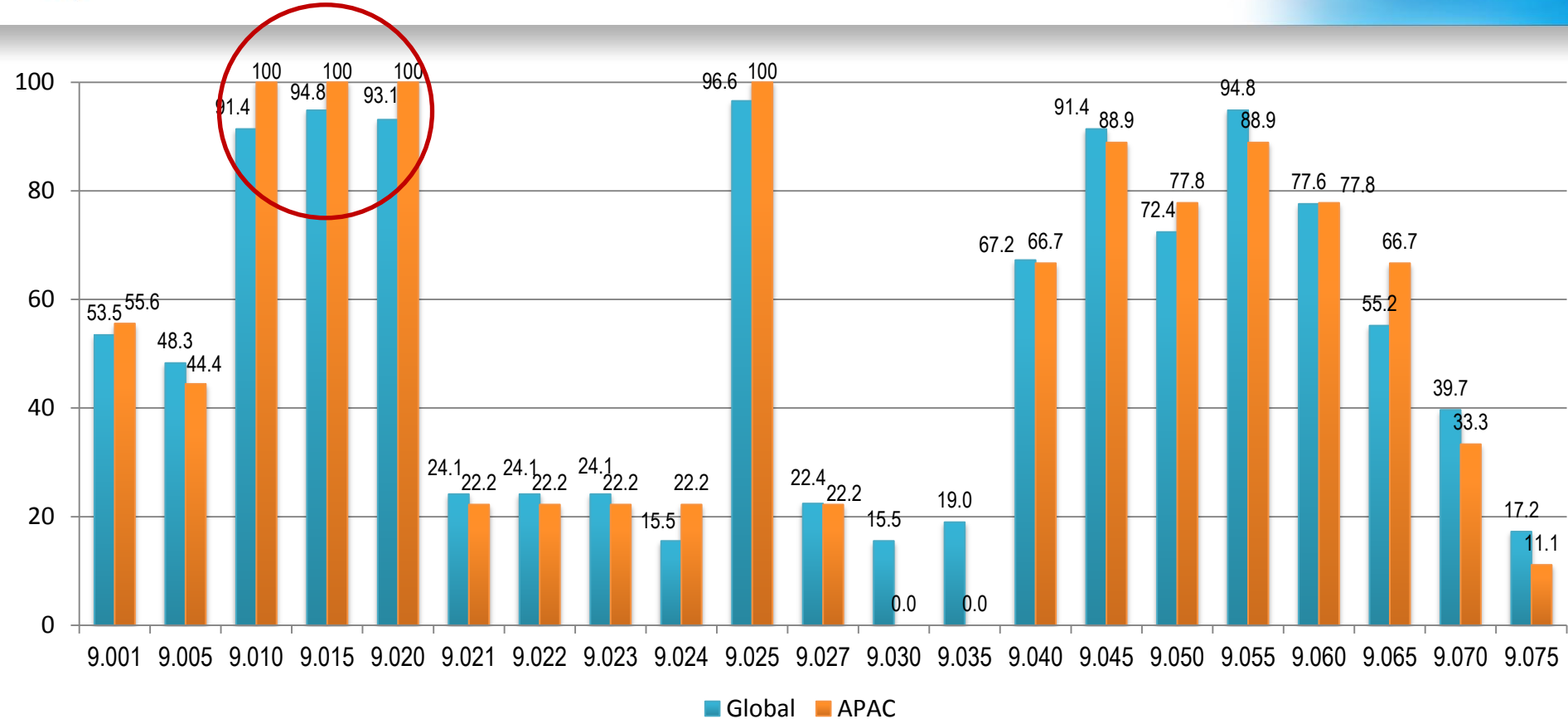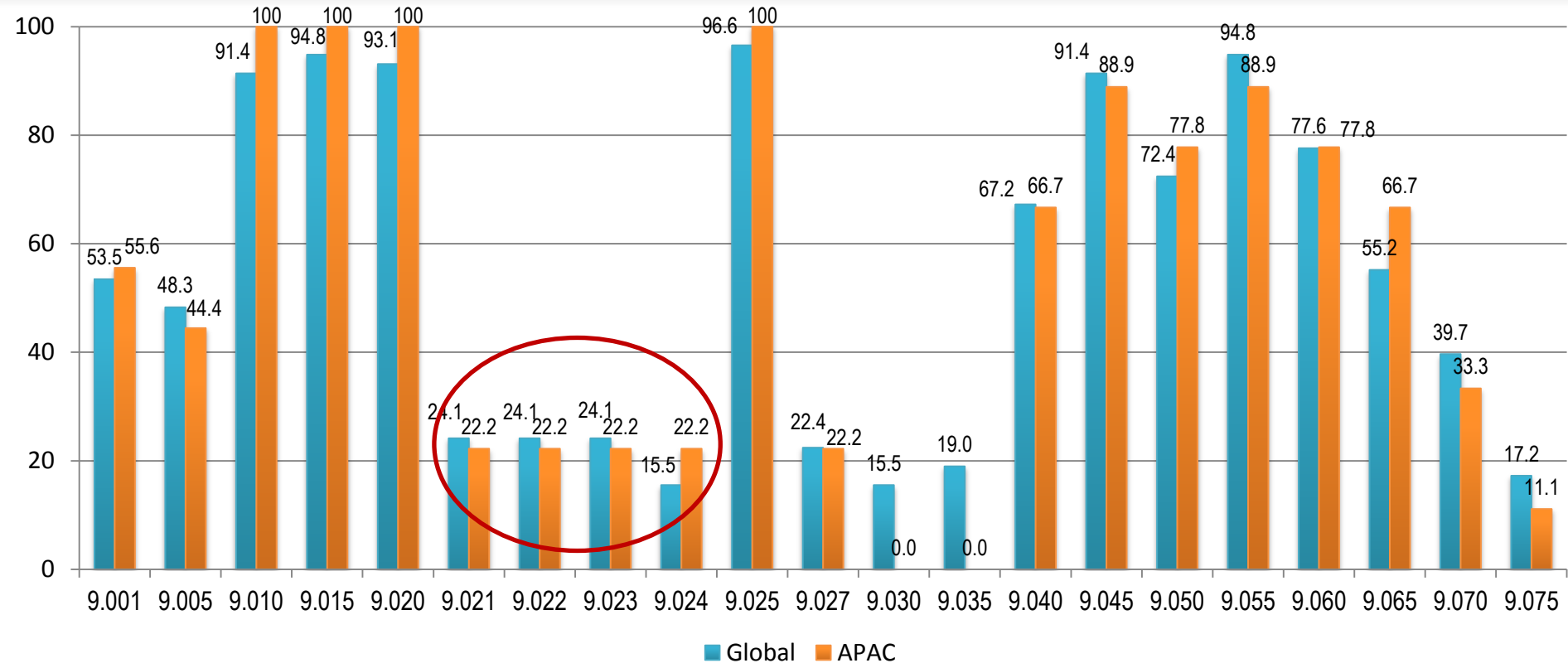
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9.2 Security of Travel Documents (PQs 9.010, 9.015, 9.020)

- Globally over **90%**, and in the APAC region **100%** of audited States **have** demonstrated compliance with:
    - Incorporating security features in current travel documents; and

    - Having safeguards against theft of blank travel documents; and

    - Establishing appropriate controls over the entire travel document application, adjudication and issuance processes.
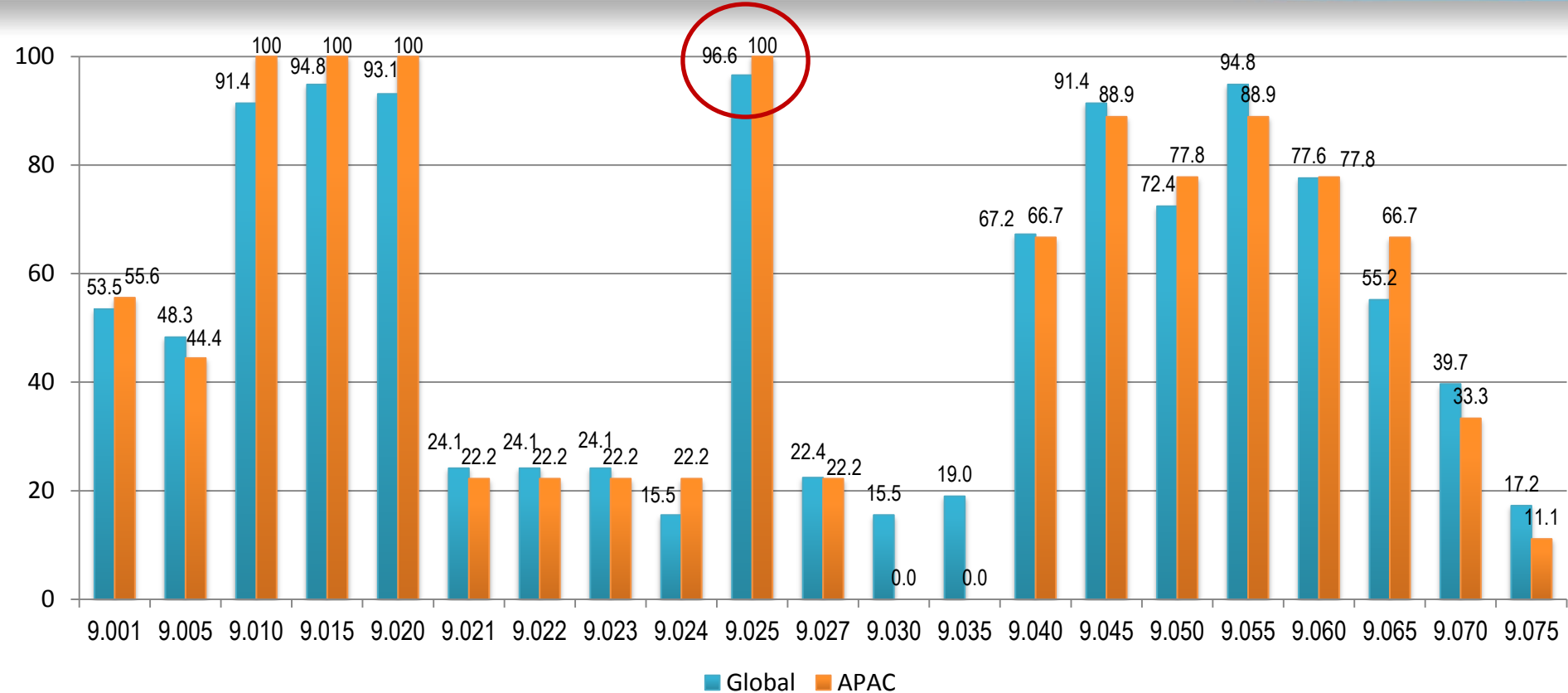
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9.2 Security of Travel Documents (PQs 9.021, 9.022, 9.023, 9.024)

- These Protocol Questions assess the State's policies and processes to report information about stolen, lost, and revoked travel documents, issued by the State, to INTERPOL

- Approximately **80%** of States **have not**:
    - established a policy to report to INTERPOL
    - designated an office or entity as responsible for reporting information
    - developed guidelines for reporting information
    - have not reported stolen, lost, and revoked travel documents to INTERPOL for inclusion in the SLTD database
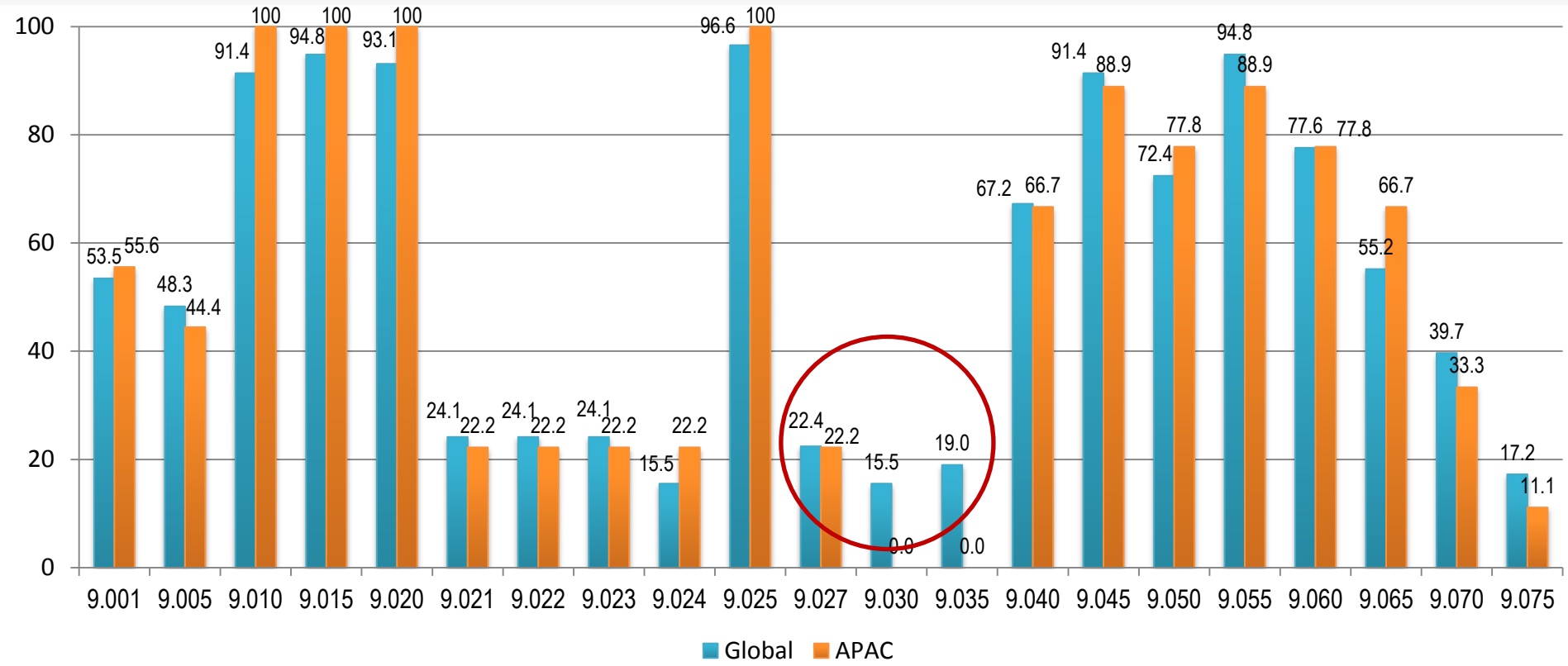
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9.2 Security of Travel Documents (PQs 9.025)

- This Protocol Question assesses whether the passports in the State are machine readable and in accordance with DOC 9303

- Globally, close to 100% compliance, with States audits in the APAC region demonstrating **100%** compliance.

Bar chart comparing Global and APAC values across protocol questions 9.001 to 9.075:

Question	Global	APAC
9.001	53.5	55.6
9.005	48.3	44.4
9.010	91.4	100
9.015	94.8	100
9.020	93.1	100
9.021	24.1	22.2
9.022	24.1	22.2
9.023	24.1	22.2
9.024	15.5	22.2
9.025	96.6	100
9.027	22.4	22.2
9.030	15.5	0.0
9.035	19.0	0.0
9.040	67.2	66.7
9.045	91.4	88.9
9.050	72.4	77.8
9.055	94.8	88.9
9.060	77.6	77.8
9.065	55.2	66.7
9.070	39.7	33.3
9.075	17.2	11.1

■ Global ■ APAC

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9.2 Security of Travel Documents (PQs 9.027, 9.030, 9.035)

- Close to **80%** of audited States **have not** demonstrated compliance with the issue of Convention Travel Documents ("CTDs") for refugees or stateless persons
  - Possibly not signatory to the respective conventions; or
  - CTDs are not machine readable, in accordance with the specifications of Doc 9303

- Only a limited number of audited States are issuing Crew Member Certificates ("CMCs")
  - Not a mandatory requirement
  - If issued, need to comply with DOC 9303
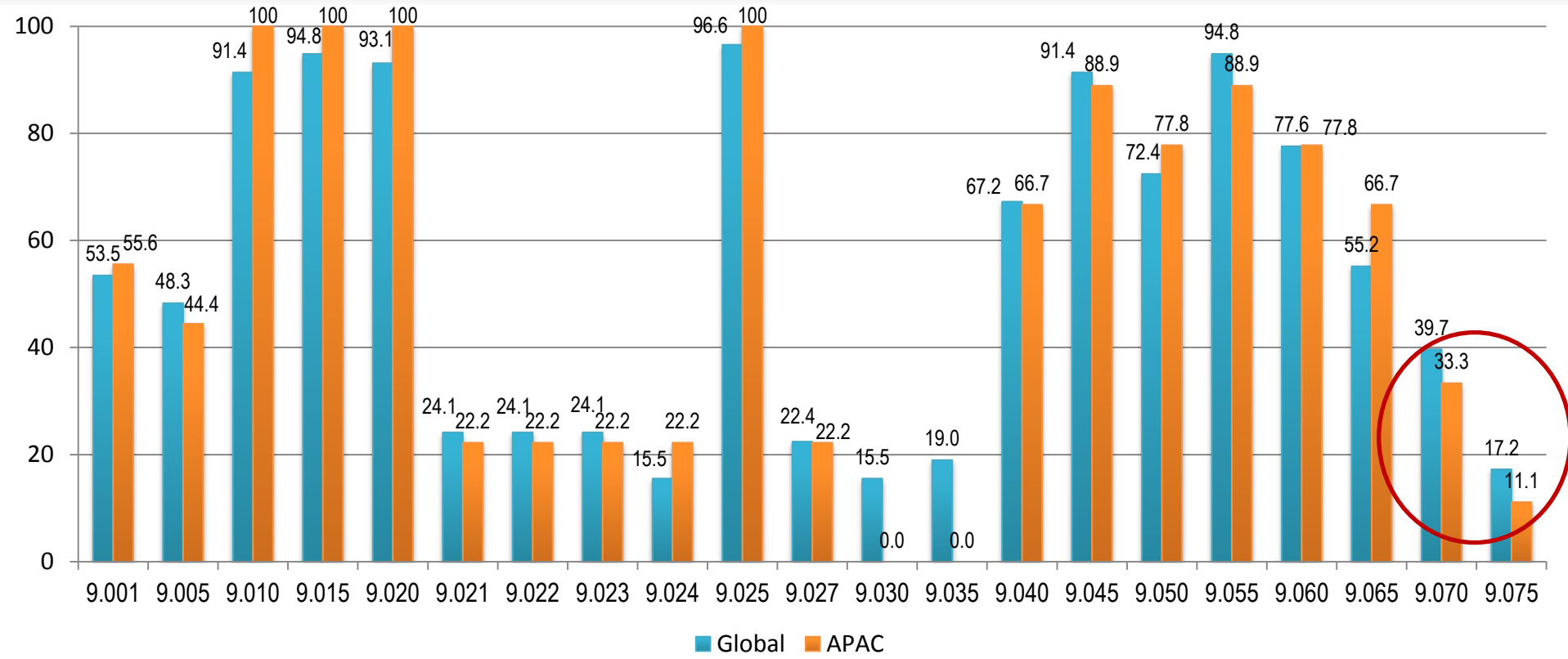 - Adequate controls are required for issuance
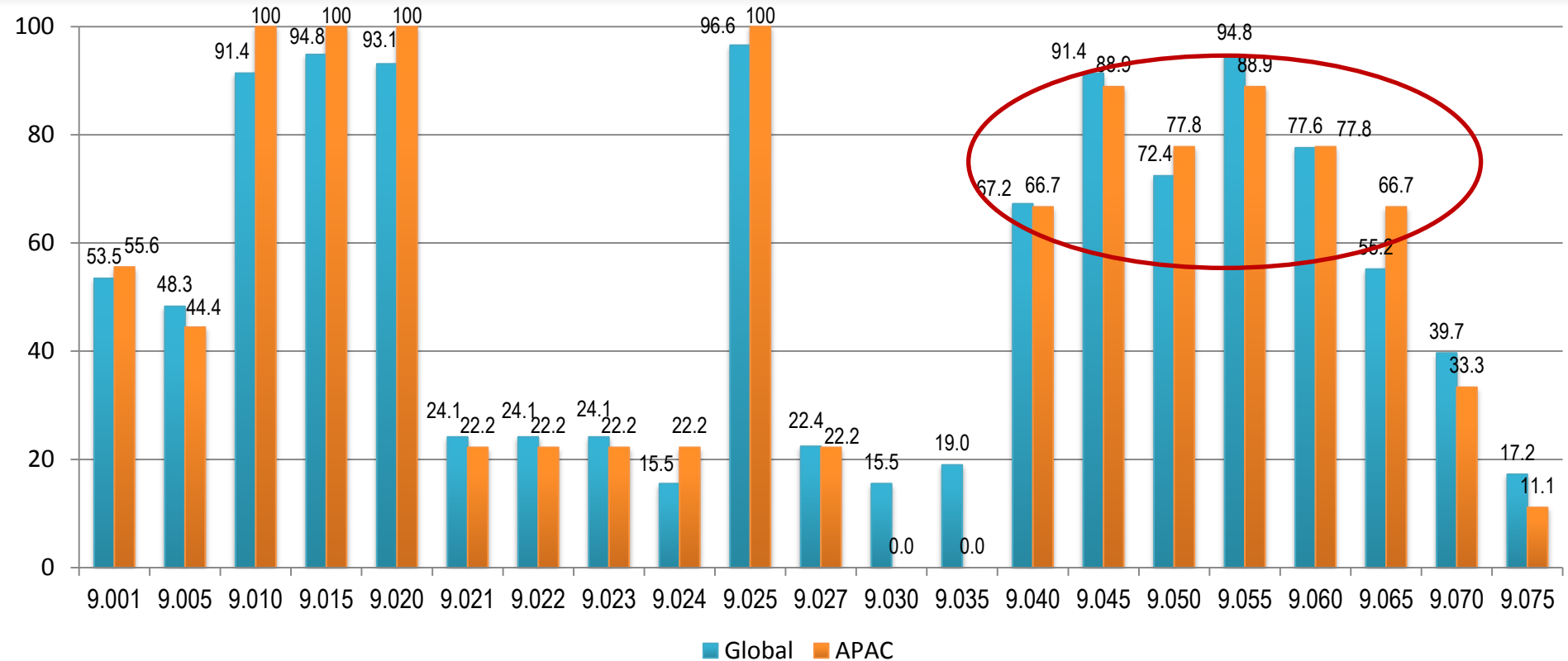
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9.3 Inspection of Travel Documents (PQs 9.040, 9.045, 9.050, 9.055, 9.060, 9.065)

- Approximately **35%** of audited States **have not** ensured that appropriate measures and procedures have been established to assist aircraft operators in the evaluation of travel documents presented by passengers in order to deter fraud and abuse.

- In practice necessary precautions are consistently and effectively taken by aircraft operators at the point of embarkation to ensure that persons are in possession of the documents prescribed by the States of transit and destination.

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9.4 Entry Procedures and Responsibilities (PQs 9.070, 9.075)

- More than **60%** of audited States **have not** introduced an Advance Passenger Information (API) system under their national legislation

  - Not all States that have implemented API adhere to international recognized standards for the transmission of API

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SUMMARY:

- High levels of effective implementation for Travel Document security and compliance with DOC 9303

- Strengthening of evaluation of Travel Documents presented by Passengers

- Increased effective implementation for:
  - National programme, coordination and committees
  - Reporting information about stolen, lost, and revoked travel documents to INTERPOL
  - API – will become mandatory in 2018

Universal Security Audit Programme - Continuous Monitoring Approach (USAP-CMA)

SUMMARY:

- Evaluation of Travel Documents presented by Passengers
  - ICAO Course: Control of the Authentication and Validity of Travel Documents at Airport Borders – Level 1

- National programme, coordination and committees
  - Facilitation Manual (DOC 9957), templates
  - ICAO – CASP-AP/Singapore SAA FAL Writing Programme workshop

- API – will become mandatory in 2018
  - Joint efforts between UNCTC, ICAO and IATA with workshops and field visits

Contact Details

Name: Kyal Barter
Email: kbarter@icao.int

ICAO

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

South American
(SAM) Office
Lima

ICAO
Headquarters
Montréal

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) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok

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