International Civil Aviation Organization
Latin American Civil Aviation Commission
ICAO/LACAC NAM/CAR/SAM Aviation Security and
Facilitation Regional Group (AVSEC/FAL/RG)

INFORMATION PAPER

SIXTH MEETING OF THE AVIATION SECURITY AND FACILITATION REGIONAL GROUP (AVSEC/FAL/RG/6)

ICAO NACC Regional Office, Mexico City, Mexico, 6 to 10 June 2016

Agenda Item 3: **Global and Regional Developments**

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

PROGRESS REPORT ON THE IMPLEMENTATION OF THE UNIVERSAL SECURITY AUDIT PROGRAMME – CONTINUOUS MONITORING APPROACH (USAP-CMA) TRANSITION PLAN

(Presented by the Secretariat)

EXECUTIVE SUMMARY
This information paper provides the Group with a progress report on the implementation of the USAP-CMA, including the average level of implementation of the critical elements of States' aviation security oversight systems, and an indicative level of compliance with Annex 17 – *Security* Standards. Since the launch of the USAP-CMA, a total of 34 USAP-CMA activities (including 33 audits and 1 validation mission) have been conducted.

| *Strategic Objectives:*	• Security & Facilitation
References:	• Doc 10047 — *Aviation Security Oversight Manual*
	• Electronic Bulletin EB 2010/31 dated 23 August 2010
	• Electronic Bulletin EB 2015/31 dated 30 June 2015

1.   Introduction

1.1   Since the completion of the second cycle of Universal Security Audit Programme (USAP) audits in June 2013, the Programme transitioned to a new methodology: the USAP continuous monitoring approach (USAP-CMA). The plan for the transition to the USAP-CMA was formally approved by the Council during its 197th Session (C-DEC 197/1 refers) and called for the launch of the USAP-CMA in 2015. The transition to the USAP-CMA was completed at the end of 2014 and implementation of the new approach was initiated in 2015.

2.   Implementation of the USAP-CMA

2.1   Since the launch of the USAP-CMA, 34 USAP-CMA activities have been conducted as of 11 March 2016 in 33 States, including 23 on-site audits, 10 documentation-based audits and one validation mission to evaluate the resolution of Significant Security Concerns (SSeCs) in one Member State. A total of 31 USAP-CMA audits are currently scheduled for 2016, including 26 on-site audits and 5 documentation-based audits.

2.2   The following chart illustrates the global aggregated results for the USAP audits conducted under the second cycle and under the USAP-CMA, measuring the effective implementation (EI) by States of the eight critical elements of an aviation security oversight system (CEs), as identified in Doc 10047 — *Aviation Security Oversight Manual — The Establishment and Management of a State's Aviation Security Oversight System.* It should be noted that while this information has been aggregated into a single chart, the underlying protocol questions used for the conduct of the audits have changed significantly since the second cycle. As a result, the global aggregated percentage should be used with some caution, particularly when comparing the global results to individual States' USAP-CMA results. As more USAP-CMA audits are conducted in all regions, it is expected that the global results will become increasingly precise.
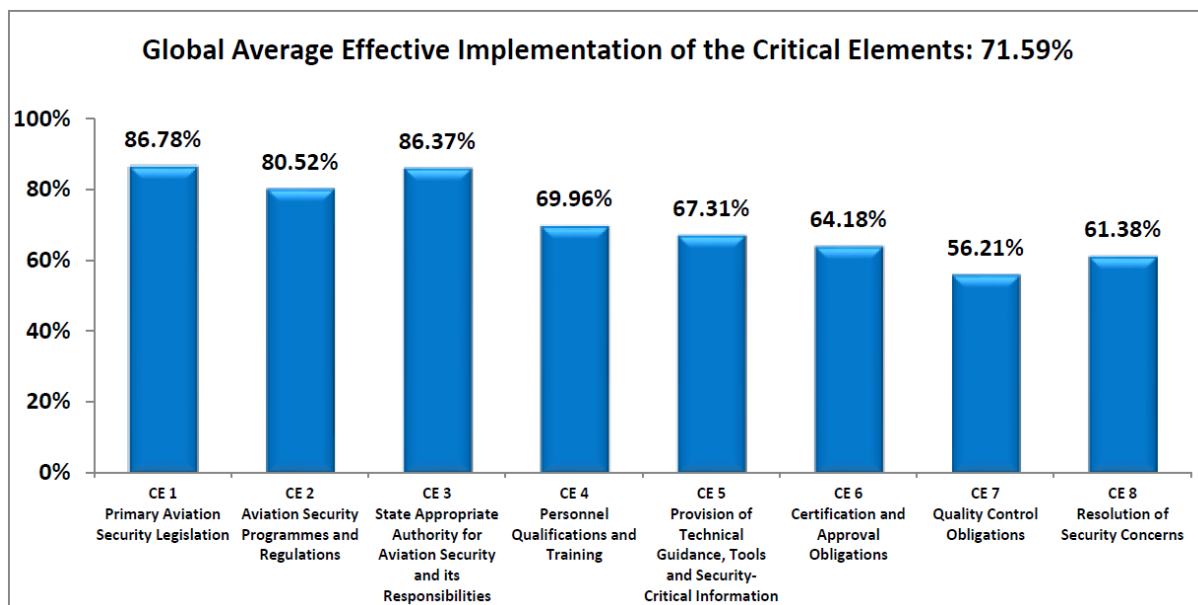
2.3   The chart depicted above shows a global average EI of 71.59 per cent over all of the CEs. These results indicate that there is still significant room for improvement and that States' quality control obligations remain the critical element that is the least effectively implemented. Meanwhile, the resolution of security concerns, certification and approval obligations, the provision of technical guidance, tools and security-critical information, and personnel qualifications and training are also areas of concern.

2.4   Besides USAP-CMA audits, since 2014 the Secretariat continues to carry out auditor training courses and regional seminar/workshops in all ICAO regions. The Secretariat has also conducted an assessment of the European Commission's (EC) aviation security inspection system (which covers the 28 European Union Member States plus Switzerland) and continues to participate in airport inspections conducted by the EC.

2.5   As of 11 March 2016, 91 of the 191 ICAO Member States had signed the Memorandum of Understanding (MoU) regarding the USAP-CMA. However, 9 States in the ICAO NACC region and 6 States in the ICAO SAM region have not yet signed the USAP-CMA MoU. The Secretariat would like to re-emphasize that it is important for all States to sign the MoU at the earliest opportunity.

2.6   The USAP-CMA primary tools, including the Protocol Questions (PQs), the State Aviation Security Activity Questionnaire (SASAQ) and the Compliance Checklists (CCs), are posted on the USAP secure website (http://portal.icao.int) in all ICAO languages. Member States are encouraged to make use of these tools to conduct self-assessments and to prepare for scheduled USAP-CMA activities.

2.7   **Significant Security Concerns**

2.7.1   During its 189th Session, the Council approved a mechanism to address Significant Security Concerns (SSeCs) identified during USAP audits in a timely manner. Details of the SSeC mechanism are described in Electronic Bulletin EB 2010/31 dated 23 August 2010. The mechanism has been implemented since October 2010. As at 11 March 2016, ten SSeCs remain unresolved in four States. The Secretariat is working closely with these States to monitor progress toward the resolution of all outstanding SSeCs and to provide assistance in this regard.

2.8   **Disclosure of audit results**

2.8.1   Graphical representations of the EI for States audited under the USAP-CMA are available on the USAP secure website, together with a graph providing an indication of compliance with Annex 17 – *Security* Standards. In addition, the website provides all Member States with access to information pertaining to the existence of SSeCs.

3.   **Implementation of the USAP-CMA in 2016**

3.1   The initial schedule of USAP-CMA activities for 2016 was distributed to States *via* Electronic Bulletin EB 2015/31 dated 30 June 2015. A total of 37 USAP-CMA global activities are scheduled including the following States from the ICAO NACC/SAM regions:

Bahamas	Paraguay
Suriname	Mexico
Venezuela	Colombia
Ecuador	Guyana

3.2   As was the case during the first and second cycles of USAP audits, the successful implementation and completion of the annual schedule remains dependent on States accepting audit dates as proposed by the Secretariat. The USAP-CMA PQs, the SASAQ and the CCs are posted on the USAP secure website in all ICAO languages. Member States are encouraged to make use of these tools to conduct self-assessments and to prepare for scheduled USAP-CMA activities.

4.   Conclusions

4.1   The ICAO USAP has successfully transitioned to the Continuous Monitoring Approach. The engagement of Member States in the USAP-CMA confirms States' commitment to implement ICAO security-related Standards and strengthen aviation security. USAP audits continue to play a central role in the identification of deficiencies, providing useful information for the targeting of assistance activities and the development of aviation security policy, thus serving as a catalyst for Member States' continued efforts to meet their international obligations in the field of aviation security.

4.2   Nevertheless, the results of both the second-cycle audits and USAP-CMA audits indicate that a number of States continue to experience difficulties in meeting aviation security obligations. Ongoing monitoring of progress made by States in this regard will continue to be provided under the USAP-CMA.

4.3   The Regional Group is invited to take note of this information paper and to encourage all ICAO Member States in the NACC and SAM Regions to give their full support to the programme. Support for the USAP-CMA includes, amongst other things, completing and signing the new USAP-CMA Memorandum of Understanding (MoU) and returning the signed copies to ICAO. States are also urged to accept dates for USAP-CMA activities as proposed by ICAO.

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