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Seventh Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/07)

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Agenda Item 5:   **NAM/CAR Regional Safety/Air Navigation/Aviation Security Implementation Matters**
5.6   Improvements in Aviation Security/Facilitation (AVSEC/FAL) implementation

UPDATE ON THE IMPLEMENTATION OF THE UNIVERSAL SECURITY AUDIT PROGRAMME – CONTINUOUS MONITORING APPROACH (USAP-CMA)

(Presented by the Secretariat)

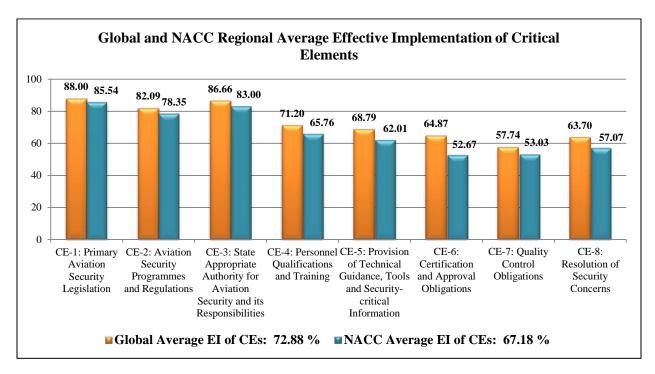| EXECUTIVE SUMMARY |
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| This information paper provides an update on the implementation of the Universal Security Audit Programme continuous monitoring approach (USAP-CMA) as of 1 August 2017. Updated information is also provided on the auditing of the upcoming Amendment 15 to Annex 17 – *Security.* |

Strategic Objectives:	• Security & Facilitation
References:	• Annex 17 – *Security*
	• Second Edition of Doc 9807 – *Universal Security Audit Programme Continuous Monitoring Manual*
	• Aviation Security Manual (Doc 8973 – Restricted)
	• Electronic Bulletin 2016/43
	• Electronic Bulletin 2017/9

1.   Introduction

1.1   The Universal Security Audit Programme continuous monitoring approach (USAP-CMA) aims to promote global aviation security through continuous auditing and monitoring of the aviation security performance of Member States. This aviation security performance is assessed on the basis of two indicators: an oversight indicator, which considers the State's capacity to establish and implement an effective and sustainable aviation security oversight system; and a compliance indicator, which assesses the State's indicative levels of compliance with Annex 17 – *Security* Standards. The USAP-CMA incorporates a risk-based approach, using various key parameters to determine the type, scope, priority and frequency of audit and monitoring activities.

2.   Implementation of the USAP-CMA

2.1   A total of 66 USAP-CMA activities have been conducted in 62 States, including 46 on site audits, 17 documentation-based audits and 3 validation missions to evaluate the resolution of Significant Security Concerns (SSeCs) since its launch in January 2015. The schedule of USAP-CMA activities for 2017 was distributed to States via Electronic Bulletin 2016/43, and updated via Electronic Bulletin 2017/9. A total of 32 USAP-CMA activities are currently scheduled for 2017, including 25 on-site audits and 7 documentation-based audits. The schedule of USAP-CMA activities for 2018 was distributed to States via Electronic Bulletin 2017/39. A total of 37 USAP-CMA activities have been scheduled for 2018, including 32 on-site audits and 5 documentation-based audits.

2.2   The following chart shows the aggregated results for the USAP audits conducted globally and in NACC States under the second cycle and under the USAP-CMA up to 1 August 2017, measuring the Effective Implementation (EI) of the eight Critical Elements (CEs) of a State's aviation security oversight system. It should be noted that while this information has been presented in 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 percentages should be used with some caution. As more USAP-CMA audits are conducted in all regions, it is expected that the results will more accurately reflect the current global situation.

2.3   In addition to the aforementioned activities, the Secretariat carried out four USAP-CMA regional seminars (Bangkok, Dakar, Moscow and Nairobi) in 2016-2017. A USAP-CMA auditor training and certification course was conducted in July 2017 in Singapore for the APAC Region.

2.4   As of 1 August 2017, 133 States had signed the Memorandum of Understanding (MoU) regarding the USAP-CMA. The Secretariat would like to re-emphasize that it is important for all States that had not signed it yet, to sign the MoU at the earliest opportunity.

2.5   The USAP-CMA Protocol Questions (PQs), the State Aviation Security Activity Questionnaire (SASAQ) and the Compliance Checklists (CCs) are posted on the USAP secure website in all ICAO languages. The Second Edition of Doc 9807 – *Universal Security Audit Programme Continuous Monitoring Manual* was also issued in English, French, Spanish and Russian and is available through the secure website. The Arabic- and Chinese-language versions will be available shortly. Member States are encouraged to make use of these tools to conduct self assessments and to prepare for scheduled USAP CMA activities.

3.   **Auditing of Amendment 15 to Annex 17 –** *Security*

3.1   Amendment 15 to Annex 17 has become applicable on 3 August 2017. As of that date, States are expected to comply with new and revised Standards on the following subjects, inter alia: landside security, risk assessments and Man-Portable Air Defence Systems (MANPADS). The Secretariat has revised the USAP-CMA PQs, in consultation with the Secretariat Study Group on the USAP, to address the new Standards introduced with Amendment 15 to Annex 17.

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