



Fourteenth Symposium and Exhibition on the ICAO Traveller Identification Programme (TRIP)

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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.





USAP-CMA Objective

This objective is achieved by:

- determining the level of effective implementation of the critical elements of an aviation security oversight system; and
- 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*.





Audit Areas

LEG	Regulatory Framework and the National Civil Aviation Security System
TRG	Training of Aviation Security Personnel
QCF	Quality Control Functions
OPS	Airport Operations
IFS	Aircraft and In-flight Security
PAX	Passenger and Baggage Security
CGO	Cargo, Catering and Mail Security
AUI	Response to Acts of Unlawful Interference
FAL	Security Aspects of Facilitation



FAL Audit Area:

Subarea	Annex 9 Standards
9.1 Programme and Coordination	8.17, 8.19 (NATFP and NATFC/AFC)
9.2 Security of Travel Documents	3.7, 3.8, 3.8.1 (security features and controls) 3.10 (INTERPOL SLTD Database) 3.11, 3.12 (MRP, CTD) 3.63, 3.65 (CMC)
9.3 Inspection of Travel Documents	3.32 (assistance to aircraft operators) 3.34 (aircraft operators) 3.34.1 (public authorities)
9.4 Entry Procedures and Responsibilities	9.5, 9.6, 9.8 (API)



9.1 Programme and Coordination (Standards 8.17, 8.19)

- **37** per cent of audited States have approved National Air Transport Facilitation Programme based on the requirements of Annex 9.
- **42** per cent of audited States have an established and functioning National Air Transport Facilitation Committee and/or Airport Facilitation Committees, or similar coordinating bodies.



9.2 Security of Travel Documents (Standards 3.7, 3.8, 3.8.1)

- **68** per cent of audited States have incorporated security features in current travel documents that are regularly updated;
- **76** per cent of audited States have effective safeguards against theft of blank travel documents; and
- **38** per cent of audited States have established appropriate controls over the entire travel document application, adjudication and issuance processes.



9.2 Security of Travel Documents (Standard 3.10)

- **75*** per cent of audited States have:
 - ✓ established a policy to report to INTERPOL;
 - ✓ designated a responsible office or entity;
 - ✓ developed guidelines for reporting information about stolen, lost, and revoked travel documents, issued by their States, to INTERPOL.

- **62*** per cent of audited States have reported stolen, lost, and revoked travel documents to INTERPOL for inclusion in the SLTD database.



9.2 Security of Travel Documents (Standard 3.11)

- Globally, **90** per cent of audited States issue only machine readable passports.



9.2 Security of Travel Documents (Standards 3.12, 3.63, 3.65)

- **53*** per cent of audited States issue Convention Travel Documents (“CTDs”) for refugees and stateless persons in machine readable form
- **34** per cent of audited States issue Crew Member Certificates (“CMCs”)
 - ✓ Not a mandatory requirement, but if issued, then machine readable
 - ✓ **16*** per cent of audited States issue machine readable CMCs
 - ✓ **28** per cent of audited States issuing CMCs have appropriate security control



9.3 Inspection of Travel Documents (Standards 3.32, 3.34)

- **64** per cent of audited States have ensured appropriate measures and procedures to assist aircraft operators in the evaluation of travel documents presented by passengers in order to deter fraud and abuse.
- **79** per cent of audited States require that aircraft operators at the point of embarkation consistently take actions to ensure that persons are in possession of the documents prescribed by the States of transit and destination.



9.3 Inspection of Travel Documents (Standard 3.34.1)

- **82** per cent of audited States have established a requirement for their public authorities to seize fraudulent, falsified or counterfeit travel documents, as well as the travel documents of a person impersonating the rightful holder of the travel document.
- **66** per cent of audited States have also established a requirement for their public authorities to ensure that such travel documents are removed from circulation immediately and returned to the appropriate authorities of the State named as issuer or to the resident Diplomatic Mission of that State.
- In practice only **60** per cent of audited States demonstrated that the above policy is implemented.



9.4 Entry Procedures and Responsibilities (Standard 9.5, 9.6, 9.8)

- **42** per cent of audited States have introduced an Advance Passenger Information (API) system
- **80** per cent of audited States implementing API follow UN/EDIFACT PAXLST format
- API became mandatory with Amendment 26 to Annex 9 as of **23 February 2018**



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