International Civil Aviation Organization
North American, Central American and Caribbean Office

ICAO

WORKING PAPER

Fourteenth Directors of Civil Aviation of the Central Caribbean Meeting (C/CAR/DCA/14)
Kingston, Jamaica, 11 to 13 May 2015

Agenda Item 6: **Aviation Security (AVSEC) and Facilitation (FAL)**
 6.2 **Universal Security Audit Programme (USAP) Continuous Monitoring Approach (USAP-CMA)**

**UNIVERSAL SECURITY AUDIT PROGRAMME
CONTINUOUS MONITORING APPROACH (USAP-CMA) PROGRESS**

(Presented by the Secretariat)

EXECUTIVE SUMMARY
This working paper provides general overview of the progress of the transition plan, after the completion of the second cycle of the ICAO Universal Security Audit Programme (USAP) audits; and presents a summary on the USAP Continuous Monitoring Approach (CMA) methodology, which started this 2015. The Central Caribbean States are invited to support the USAP-CMA audit programme signing the respective Memorandum of Understanding (MoU), and use the Lack of Effective Implementation (LEI) of their respective State as metrics for improvement within their Corrective Action Plans.

Action:	See Section 6
Strategic Objectives:	• Security & Facilitation
References:	• Electronic Bulletin 2014/44, dated 14 August 2014 - *Latest Developments Related to the Universal Security Audit Programme and Activity Plan for 2015* • Electronic Bulletin 2014/45, dated 14 August 2014 - *Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA) Memorandum Of Understanding* • Report on Item 15 of the 38th Assembly • *Universal Security Audit Programme - Analysis of audit results: November 2002 to June 2013*, Fifth Edition, 2013

1.   Introduction

1.1   After conclusion of the USAP second audit cycle last June 2013, which general results are presented in the *Universal Security Audit Programme - Analysis of audit results: November 2002 to June 2013*, Fifth Edition, the Twenty-third Meeting of the Aviation Security Panel (AVSECP/23), the 2012 High-Level Conference on Aviation Security (HLCAS), the 37th Session of the Assembly (see Resolution A37-17, Appendix E), and the 38th Session of the ICAO Assembly decidedly supported the concept and the implementation of a transition period as reflected in Resolution A38-15.

2.   **USAP-CMA Methodology General Aspects**

2.1   The scope of the USAP-CMA will remain covering Annex 17 – *Security* and Annex 9 – *Facilitation* security provisions, and associated guidelines. The new methodology of the programme will incorporate a series of monitoring activities specifically adapted to aviation security conditions in each Member State. The USAP-CMA will be a permanent and thus an on-going process, and does not constitute a third cycle of audits, and furthermore, may be adapted to the changing needs of the States and global security situation

2.2   Activities conducted within the USAP-CMA context will be aimed at collecting information, identifying deficiencies, and formulating recommendations, as appropriate; and it is included some of the following activities as considered necessary for each State:

- Document-based audits
- Audits focusing on oversight
- Audits focusing on compliance
- Validation missions
- Assessments based on compulsory reports

2.3   Although at the beginning some States will not be able to take maximum advantage of an audit conducted within the context of the USAP-CMA, ICAO will consider another type of monitoring activity for those States, and will refer them to its Implementation Support and Development – Security (ISD-Security Section), and will offer them appropriate assistance.

2.4   ICAO will adopt **a risk management approach** to select the most appropriate activity and monitoring methodology for each State and determine the schedule and frequency of such monitoring activities. This system will be flexible enough to optimize the use of ICAO resources and respond to changing security needs of ICAO member States. The results of previous USAP audits and follow-up missions will be initially used to determine the most appropriate type of monitoring activity for each State. The programming and scope of each activity related to the USAP-CMA will be defined **based on indicators** such as:

- Time elapsed since the last audit activity
- Existence or possible existence of a Significant Security Concern (SSeC) based on information collected during a previous audit activity
- Geographic equilibrium
- Recent audits/inspections conducted by regional oversight organisations
- Development or significant change within the State
- Recent occurrence of an act of unlawful interference
- Significant security incident
- Information collected during ICAO assistance activities
- Amount and quality of the data provided by each State as part of the continuous monitoring process, or in response to information requests by ICAO

2.5   For proactive purposes, it has been foreseen that States may occasionally request monitoring activities within the context of the USAP-CMA. These requests can be made based on ICAO resources and time available, and will be conducted on a cost-recovery basis. The results of monitoring activities conducted on a cost-recovery basis will be treated as those derived from the regular USAP monitoring activities.

2.6   The USAP-CMA will maintain the universality principle since all States will continue to be monitored, although the type, scope, and frequency of activities will vary according to the specific circumstances of each State. The Monitoring and Assistance Review Board (MARB) will continue to oversee USAP CMA activities, and regular reports will be submitted to the Council.

2.7   States will receive **audit reports** in a new format, containing information on **oversight** and **compliance**. Findings and recommendations will assist States to prioritize short, medium, and long-term corrective measures. The results corresponding to each State will be updated on the secure USAP website, as subsequent USAP-CMA activities are completed.

2.8   This information will be available to all ICAO member States and, based on the decisions of ICAO governing bodies, could include, *inter alia*:

- Information on the level of Lack of Effective Implementation (LEI) of the critical elements of a security oversight system
- Level of compliance with ICAO standards
- Existence of any SSeC that has been identified or that has not been resolved

3.   USAP-CMA Transition Activities

3.1   The USAP-CMA transition work included three phases. The **Development Phase** included the preparatory work to support the USAP-CMA, the redrafting and prioritization of USAP audit protocols, developing the necessary software tools, including means to prevent unauthorized access to security-sensitive information, preparing a new audit reports with templates, and determining the most appropriate initial activity for each State based on risk analysis.

3.2   The **Preparatory Phase** included the development and implementation of new procedures. This phase specifically included entering into cooperation agreements with regional oversight organisations, identification of States for initial USAP-CMA testing, updating manuals and internal procedures, as well as circulation of questionnaires to member States prior to the audits and Memoranda of Understanding (MoU).

3.3   The **Testing Phase** or final transition phase included of on-site testing of USAP-CMA software and activities, holding regional informative seminars, courses for recertifying existing auditors, and courses for initial certification of new auditors.

3.4   As part of this final phase, USAP-CMA Regional seminars were conducted in Trinidad and Tobago previously in November 2013; and in the ICAO Regional Offices in Mexico and Lima in April 2014. Additionally, an Auditors Certification/Recertification Course in Spanish was conducted in Lima in August 2014; and an Auditors Recertification for English speaking auditors was conducted at Headquarters Montreal, in February 2015.

4.   **Implementation Status of the USAP-CMA in the NAM/CAR Regions**

4.1   An USAP-CMA audit was conducted in Trinidad and Tobago in September 2014 under the new methodology, that included the audit management and analysis software tool, and the reviewed and fully reorganized audit protocols that are easier to use by both States and ICAO auditors.

4.2   As announced by EB2014/44, dated 14 August 2014 - *Latest Developments Related to the Universal Security Audit Programme and Activity Plan for 2015* (**Appendix A)**, Haiti will receive an on-site audit in May; and Jamaica in November 2015. Additionally, Cuba will have a document-based audit in August 2015. All of these States have been officially notified.

5.   **USAP-CMA Impact on Member States**

5.1   During the preparatory phase and even before receiving the State letter of an audit, it is of outmost importance that States sign the respective MoU, which establishes the legal framework of commitments and responsibilities for the States and ICAO. Therefore, as requested in EB2014/45, dated 14 August 2014 - *Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA) Memorandum of Understanding* (**Appendix B**), all Central Caribbean States are urged to fully participate by timely signing the new MoU and submitting it to ICAO as soon as possible.

5.2   Those States that were officially notified that will receive an on-site audit or a document-based USAP-CMA audit, and that have not replied yet, are urged to complete, sign and submit the signed MoU for the ICAO USAP-CMA as soon as possible, as well as to submit updated information on the implementation status of corrective action plans and associated documentation and any other information as needed.

5.3   Another important component for the implementation of the USAP-CMA is the support of the Member States by seconding security experts that were already recertified to participate in USAP-CMA activities in order to achieve effective implementation of the programme.

5.4   A similar Working Paper informed to the Fifth North American, Central American and Caribbean Directors of Civil Aviation Meeting (NACC/DCA/5) the previous advances of the USAP-CMA, and urged States to review the status of their Corrective Action Plans for their aviation security systems from previous USAP audits, and to prepare for receiving the new USAP-CMA. That Plenary approved **Conclusion NACC/DCA/5/7**; and reminded States to comply with of Annex 17 and Annex 9 security related provisions.

6. **Suggested Actions:**

6.1   Appealing to their commitment with Conclusion NACC/DCA/5/7, the Central Caribbean States are invited to:

   a)   take note of the information provided in this paper;

   b)   participate with the implementation of the USAP-CMA, by timely signing the new USAP-CMA Memorandum of Understanding (MoU), as requested in the ICAO EB2014/45, and even before receiving the audit notification to their States;

   c)   submit updates to ICAO on the implementation status of their Corrective Action Plans and associated documentation and any other information as needed in a timely manner; and

   d)   second recertified security experts to participate in USAP-CMA activities.

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International Civil Aviation Organization

ELECTRONIC BULLETIN

For information only

EB 2014/44   14 August 2014

LATEST DEVELOPMENTS RELATED TO THE UNIVERSAL SECURITY AUDIT PROGRAMME AND ACTIVITY PLAN FOR 2015

1.   The ICAO Universal Security Audit Programme (USAP) ended its second cycle of aviation security audits in 2013; since that time, substantial progress has been made in all aspects of the transition of the Programme to a continuous monitoring approach (USAP-CMA). Full implementation of the new approach will begin in 2015.

2.   Seminar-workshops designed to familiarize Member States with the methodology that will be applied and with the various types of audit and monitoring activities that will be conducted under the USAP-CMA have been completed in most ICAO regions, as follows: Port of Spain, Trinidad and Tobago (November 2013); Auckland, New Zealand (December 2013); Mexico City, Mexico (April 2014); Lima, Peru (April 2014); Dakar, Senegal (May 2014); Nairobi, Kenya (May 2014); Paris, France (May 2014); Moscow, Russian Federation (June 2014); and Hong Kong Special Administrative Region (SAR), China (July 2014). An additional seminar-workshop is planned for the Middle East Region in 2015.

3.   In order to ensure that the Programme has access to a sufficient number of trained and certified auditors to carry out its audit and monitoring activities, USAP-CMA auditor training and certification/recertification courses have been conducted in Montréal, Canada (March/April 2014) and Hong Kong SAR, China (June/July 2014). Other such courses will be conducted in Lima, Peru (August 2014); Dakar, Senegal (October 2014); Nairobi, Kenya (October/November 2014); Manama, Bahrain (November 2014); Paris, France (November/December 2014); and in the North American and Central Caribbean Region (2015). Appreciation is expressed to all State Authorities and Aviation Security Training Centres that have assisted, and continue to assist, in the organization and delivery of the seminar-workshops and courses.

4.   Two audit missions are scheduled to be conducted in 2014 in order to test the new audit methodology and tools, together with the software applications that have been developed for the USAP-CMA. Acknowledged with thanks are the Governments of Trinidad and Tobago, and Turkey for agreeing to host these audit activities. Audits planned for 2015 are presented in the attachment (in alphabetical order). Upon receipt of the official notification and dates for these audits, States are kindly requested to submit all required pre-audit documentation as early as possible. A key element of the transition to the USAP-CMA is the signature by all States of the new USAP-CMA Memorandum of Understanding (MoU). A separate Electronic Bulletin (EB 2014/45) is being issued on this subject. The USAP-CMA activity plan, which will be updated every six months, can be found on the USAP secure website at http://portal.icao.int/.

Enclosure:

USAP-CMA Audits Planned for 2015

Issued under the authority of the Secretary General

ATTACHMENT to EB 2014/44

USAP-CMA ON-SITE AUDITS AND ASSESSMENT PLANNED FOR 2015		
Bolivia	Ghana	Kenya
Cameroon	Guyana	Maldives
Ecuador	Haiti	Nigeria
El Salvador	Honduras	Timor-Leste
European Commission (assessment)	Indonesia	United Arab Emirates
Georgia	Jamaica	United Republic of Tanzania

USAP-CMA DOCUMENTATION-BASED AUDITS PLANNED FOR 2015		
Austria	Cuba	Israel
Brazil	Greece	Lithuania
Bulgaria	India	Mongolia

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EB 2014/45   14 August 2014

UNIVERSAL SECURITY AUDIT PROGRAMME – CONTINUOUS MONITORING APPROACH (USAP-CMA) MEMORANDUM OF UNDERSTANDING

1.   In 2013, the Council of ICAO approved the Universal Security Audit Programme (USAP) transition to a Continuous Monitoring Approach (USAP-CMA), beginning in 2015. The Assembly endorsed this decision and requested the Council to oversee the activities of the USAP-CMA. The Assembly also urged all Member States to give full support to ICAO in implementing the USAP-CMA.

2.   A key element of the transition to the USAP-CMA is the signature, by all ICAO Member States, of the new generic USAP-CMA Memorandum of Understanding (MoU) which will govern the implementation of the USAP-CMA. Unlike the MoU used during the second cycle of USAP audits, the new MoU is not limited to a single activity or period of time, although it may be subject to subsequent amendments.

3.   The USAP-CMA MoU can be found in all ICAO languages on the ICAO Secure Portal at http://portal.icao.int/. States are urged to complete, sign and return the USAP-CMA MoU to ICAO before the end of 2014. Instructions on how to access, complete and return the document to ICAO for subsequent signature by the Secretary General are attached. States are also requested to designate and provide contact details for a National Coordinator for the USAP-CMA.

Enclosure:
    USAP-CMA MoU Instructions

Issued under the authority of the Secretary General

**INSTRUCTIONS ON HOW TO COMPLETE THE USAP-CMA MOU
AND RETURN IT TO ICAO FOR SIGNATURE**

1. Access the ICAO Secure Portal at http://portal.icao.int/.

2. a) If you already have a password, request access to the ATB-USAP-MOU group as follows:

    i)   Access the "Profile" link on the left;
    ii) Under the heading "User", access the "Group Subscribe" link;
    iii) In the group name field, enter "ATB-USAP-MOU";
    iv) In the justification field, enter your name, job title and the name of your State; and
    v)   Click on "submit changes".

    b) If you do not have a password for the ICAO Portal, click on the "Request an account" link and:

    i)   Indicate that you wish to join the "ATB-USAP-MOU" group;
    ii) Fill in the form provided; and
    iii) In the justification field, enter your name, job title and the name of your State.

3. Access the ATB-USAP-MOU group.
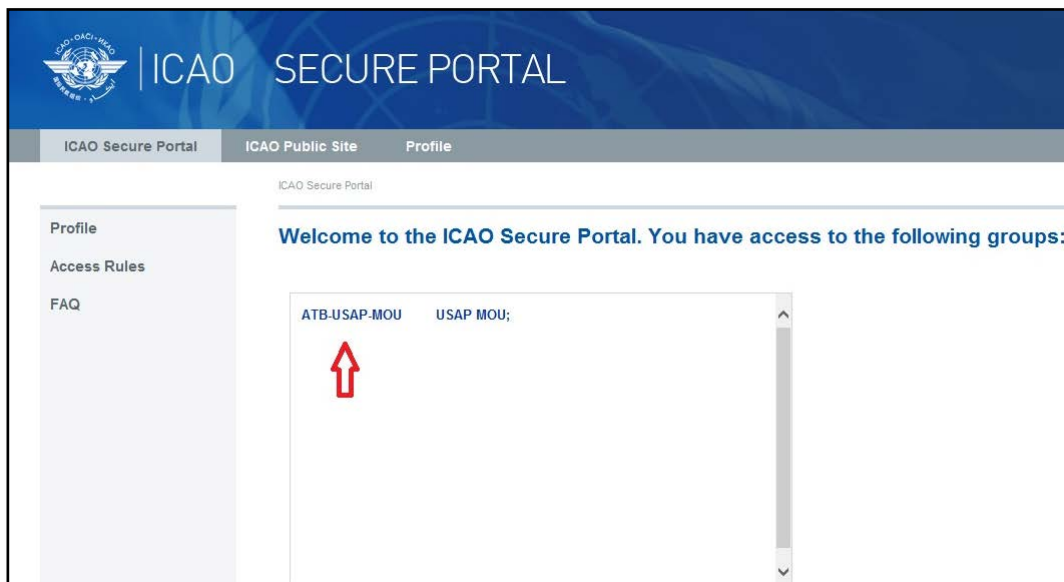
4. Select your State's name from the drop-down menu. Please note that your State's language of correspondence with ICAO will be automatically applied to the text of the MoU, but that the language of the interface will be in English.

5.   Complete the blank fields.

6.   Click the export button.

7.   You will be prompted to download the file to your computer.

8.   Print two copies of the MOU.

9.   Sign and date both copies.

10.   Forward both completed copies to:

      International Civil Aviation Organization
      Aviation Security Audit Section
      999 University Street
      Montréal, Quebec
      H3C 5H7
      Canada

11.   Both copies will then be signed by the Secretary General of ICAO and one copy will be returned to
      your State.

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