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INFORMATION PAPER

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Agenda Item 7: Aviation Security (AVSEC) and Facilitation (FAL)
7.3 Universal Security Audit Programme (USAP) Continuous Monitoring Approach (USAP-CMA)

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

(Presented by the Secretariat)

EXECUTIVE SUMMARY

This information paper provides a general overview of the implementation of the ICAO Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) methodology that began on January 2015. The Eastern 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.

<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Security & Facilitation
<i>References:</i>	<ul style="list-style-type: none">• Electronic Bulletin 2014/45, dated 14 August 2014 – <i>Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA) Memorandum Of Understanding</i>• Electronic Bulletin 2015/27, dated 19 June 2015 – <i>Latest Developments Related to the Universal Security Audit Programme</i>• Electronic Bulletin 2015/31, dated 30 June 2015 – <i>Universal Security Audit Programme Continuous Monitoring Approach Activity Plan for 2016</i>• Report on Item 15 of the Assembly 38th Session• Universal Security Audit Programme – <i>Analysis of audit results – November 2002 to June 2013</i>, Fifth Edition, 2013

1. Introduction

1.1 The ICAO USAP-CMA began its implementation on January 2015. Under the previous second cycle of USAP audits, results were presented in terms of LEI of the Critical Elements (CEs) of a State's aviation security oversight system. It should be noted that under the USAP-CMA, all audit results will henceforth be presented in positive terms, as "effective implementation" (EI) of the CEs and in terms of compliance with Annex 17 – *Security* and Annex 9 – *Facilitation* Standards. This practice is in line with the reporting of audit results under the ICAO Universal Safety Oversight Audit Programme (USOAP).

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 incorporates 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 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.

2.3 The Electronic Bulletin EB 2015/27, dated 19 June 2015 – *Latest Developments Related to the Universal Security Audit Programme (Appendix A)* presented information of the activities conducted in preparation to the USAP-CMA implementation, and a revised list of activities planned for 2015. Trinidad and Tobago was the first State in the Caribbean Region audited at the end of 2014, and Cuba, Haiti, and Jamaica were also audited under the new methodology.

2.4 The Electronic Bulletin EB 2015/31, dated 30 June 2015 – *Universal Security Audit Programme Continuous Monitoring Approach Activity Plan for 2016 (Appendix B)* presented a list of planned USAP-CMA audits to be conducted in 2016. Bahamas will be audited in the Caribbean Region.

2.5 As the USAP-CMA is an important activity to measure the effective implementation of Annex 17 Standards and related security provision of Annex 9 by the States, an EB 2015/27 reminded in paragraph fourth what was previously requested in EB2014/44, dated 14 August 2014 – *Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA) Memorandum of Understanding (MoU) (Appendix C)*, but some Eastern Caribbean States have not submitted to ICAO their new USAP-CMA MoU.

2.6 A 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 and sign the respective MoU timely. That Plenary approved **Conclusion NACC/DCA/5/7**; and reminded States to comply with Annex 17 and Annex 9 security related provisions.

**International Civil Aviation Organization****ELECTRONIC BULLETIN**

For information only

EB 2015/27

19 June 2015

**LATEST DEVELOPMENTS RELATED TO THE
UNIVERSAL SECURITY AUDIT PROGRAMME**

1. Full implementation of the ICAO Universal Security Audit Programme (USAP) continuous monitoring approach (USAP-CMA) began in January 2015. Under the previous second cycle of USAP audits, results were presented in terms of lack of effective implementation (LEI) of the critical elements of a State's aviation security oversight system (CEs). It should be noted that under the USAP-CMA, all audit results will henceforth be presented in positive terms, as "effective implementation" (EI) of the CE's and in terms of compliance with Annex 17 and Annex 9 Standards. This practice is in line with the reporting of audit results under the ICAO Universal Safety Oversight Audit Programme (USOAP).
2. Eight activities have now been conducted under the USAP-CMA, including two on-site audits in 2014 and five on-site audits and an assessment of the European Commission's aviation security inspection system in 2015. An additional 20 on-site and documentation-based audits are planned for the remainder of this year. The initial list of such States was distributed *via* Electronic Bulletin EB 2014/44, but this list has since been slightly revised. An updated list of States (in alphabetical order) is included in the attachment.
3. USAP-CMA Seminar-workshops designed to familiarize Member States with the new methodology and with the various types of audit and monitoring activities under the USAP-CMA have been completed in all ICAO regions. However, at the request of States in the South American Region, an additional Seminar-workshop in Spanish has been scheduled to take place in Lima, Peru, from 13 to 15 July 2015.
4. All States that have not already submitted to ICAO signed copies of the USAP-CMA Memorandum of Understanding (MoU) are encouraged to do so as soon as practicable. Instructions regarding how to access the MoU and submit it to ICAO can be found in Electronic Bulletin EB 2014/45. When submitting the signed MoU, States are also kindly reminded to identify the official who will act as National Coordinator for the purpose of USAP-CMA activities.
5. ICAO would like to take this opportunity to strongly encourage all States selected for USAP-CMA activities to accept the dates proposed by ICAO. When scheduling on-site audits, the Aviation Security Audit Section considers many factors to facilitate the smooth conduct of the audits and to minimize costs, such as ease of transportation between States, the availability of certified auditors, national holidays, field security status reports from the United Nations Department of Safety and Security, and the audit schedule of the USOAP. Consequently, deferral requests can add significantly to the already complex task of scheduling audits and increase the cost of implementing the USAP.

Enclosure:

Revised list of USAP-CMA activities planned for 2015

Issued under the authority of the Secretary General

ATTACHMENT to EB 2015/27

Revised List of USAP-CMA Activities Planned for 2015

USAP-CMA ON-SITE AUDITS AND ASSESSMENT PLANNED FOR 2015		
Bolivia (postponed to 2016)	Ghana (completed)	Maldives
Cameroon	Guyana	Nigeria (completed)
Ecuador (postponed to 2016)	Haiti (completed)	Swaziland (new)
Egypt (new)	Honduras (completed)	Timor-Leste
El Salvador (completed)	Indonesia	United Arab Emirates (postponed to 2016)
European Commission Assessment (completed)	Jamaica	United Republic of Tanzania
Georgia	Kenya	

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

— END —

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EB 2015/31

30 June 2015

**UNIVERSAL SECURITY AUDIT PROGRAMME — CONTINUOUS MONITORING
APPROACH ACTIVITY PLAN FOR 2016**

1. Full implementation of the ICAO Universal Security Audit Programme (USAP) continuous monitoring approach (USAP-CMA) began in January 2015. Under this approach, a number of on-site and documentation-based audits are carried out each year. A list of audits planned for 2016 is presented in the attachment, by region, in alphabetical order. The type of audit activity, the scope of the audit activity, and the audit dates will be identified to each State in its official notification letter.
2. All States that are identified for an audit activity in 2016 are kindly requested to submit to ICAO as soon as possible an updated version of their corrective action plan, which was initially prepared following their latest USAP audit. The information contained in this updated State corrective action plan will play an important role in allowing ICAO to determine the scope of the planned USAP-CMA audit activity. Upon receipt of the official notification letter, States are invited to submit all other pre-audit documentation as early as possible.

Enclosure:

USAP-CMA Audits Planned for 2016 by Region

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USAP-CMA AUDITS PLANNED FOR 2016, BY REGION	
ASIA AND PACIFIC	
Australia	Brunei Darussalam
Cambodia	China
Lao People's Democratic Republic	Nauru
Pakistan	Solomon Islands
EASTERN AND SOUTHERN AFRICA	
Botswana	Burundi
Uganda	
EUROPE AND NORTH ATLANTIC	
Albania	Bosnia and Herzegovina
Croatia	Cyprus
Estonia	Hungary
The former Yugoslav Republic of Macedonia	Tunisia
MIDDLE EAST	
Oman	United Arab Emirates
NORTH AMERICA, CENTRAL AMERICA AND THE CARIBBEAN	
Bahamas	Canada
Mexico	
SOUTH AMERICA	
Bolivia (Plurinational State of)	Colombia
Ecuador	Paraguay
Suriname	Venezuela
WESTERN AND CENTRAL AFRICA	
Burkina Faso	Congo (Republic of)
Equatorial Guinea	Gabon
Niger	Sao Tome and Principe
Senegal	

— END —

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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

— END —