



Agenda Item 3: Review of aviation safety results obtained in the SAM Region

**IMPLEMENTATION OF THE UNIVERSAL SECURITY AUDIT PROGRAMME (USAP-CMA)
 AND PROGRESS MADE AT REGIONAL LEVEL**

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
<p>This working paper presents a summary of the information contained in the USAP safe website, so that it may serve as a tool for States to prepare for the audits of the Universal security audit programme (USAP) applying a continuous monitoring approach (CMA).</p> <p>The paper also presents an overview of the activities carried out during the USAP-CMA transition period in the Region.</p>	
<i>Action:</i>	<p><i>The States of the Region are invited to support the USAP-CMA audit programme and use EI improvements in their States as metrics for the Region.</i></p>
<i>Strategic objectives:</i>	<p><i>C – Security and facilitation</i></p>
<i>References:</i>	<ul style="list-style-type: none"> – <i>Annex 17, Amendment 14;</i> – <i>Annex 9, Amendment 25; security provisions</i> – <i>Universal security audit programme</i> – <i>Doc 8973/9, Security Manual</i>

1. Introduction

1.1 The second audit cycle of the Universal security audit programme (USAP) started in January 2008 and concluded in June 2013. Thirteen audits were conducted in the SAM Region, covering 100% of the States of the Region.

1.2 In 2012, the Secretariat analysed the options for the future of the USAP, including the feasibility of adopting a CMA, and recommended that the Programme evolve towards a security-specific CMA that included risk management elements. The 23th meeting of the Aviation Security Panel (AVSECP/23) endorsed this recommendation, and the 2012 High-Level Conference on Aviation Security decidedly supported the concept and the implementation of a transition period, which has already been completed.

1.3 During the 38th Session of the ICAO Assembly, the Secretariat presented the USAP CMA concept, which was supported, together with its implementation, with a transition period, as reflected in Resolution A38-15.

1.4 During the transition period towards the USAP-CMA in the Region, the following activities were carried out:

- USAP-CMA Seminar (in Spanish), Lima, Peru, 28-30 September 2014:
 - 20 participants
 - 8 SAM States
- USAP-CMA Seminar (in Spanish), Lima, Peru, 13-15 July 2015:
 - 31 participants
 - 13 NACC and SAM States
- USAP-CMA auditor training and certification/re-certification course (in Spanish), Lima, Peru, 18-26 August 2014:
 - All 12 participating auditors were re-certified
 - Of the 10 candidate auditors, 5 were certified

2. Objectives and activities

2.1 The USAP CMA offers States audit **reports** in a new format, which will contain information on **oversight** and **compliance**. Findings and recommendations will be presented in a way that allows States to prioritise short-, medium-, and long-term corrective measures. As subsequent USAP CMA activities take place, the results for each State will be updated on the USAP safe website.

2.2 This information is available to all ICAO member States, and includes, *inter alia*:

- information on “average EI of CEs” following a USAP-CMA audit;
- levels of compliance with Annex 17 standards following a USAP-CMA audit; and
- existence of any SSeC that has been identified or remains unresolved.

2.3 The USAP safe website also contains the documents that States need to complete and that serve as a tool to prepare for a USAP-CMA audit. It also contains the audit protocols to be used in the USAP-CMA, *inter alia*:

2.4

- Questionnaire on security activities conducted by the State
- Summarised form on quality control activities conducted by the State
- Compliance checklist
- Corrective action template
- ICAO Universal Security Audit Programme Continuous Monitoring Approach audit protocols

2.5 Activities started in January 2015, when the Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) started to be fully implemented. Within the framework of this approach, on-site as well as document-based audits will be carried out.

2.6 The USAP safe website contains a list of audits scheduled for 2016, by region, in alphabetical order. The type, scope, and the dates of the audit activity will be specifically informed to each State through the corresponding official notification letters.

2.7 To date, one USAP-CMA audit has been conducted in the SAM Region, the results of which are posted in the USAP safe website.

3. Suggested action

3.1 States are invited to:

- a) Continue supporting the ICAO (USAP-CMA) audit programme, and to:
 - sign the new Memorandum of Understanding on the USAP-CMA when so requested,
 - present updates on the implementation of their corrective action plans,
 - collaborate by seconding security experts to participate in USAP CMA activities;
- b) continue improving their security oversight systems, taking into account, *inter alia*, the findings and recommendations emerging from the second cycle of USAP audits, so as to strengthen compliance with Annex 17 standards and security provisions of Annex 9;
- c) use EI improvement in their States as metrics for the Region.

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