International Civil Aviation Organization

Aviation Security Seminar

Regional Audit Results and the Evolution of the Universal Security Audit Programme (USAP)

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17 - 18 June 2013

Lima, Peru

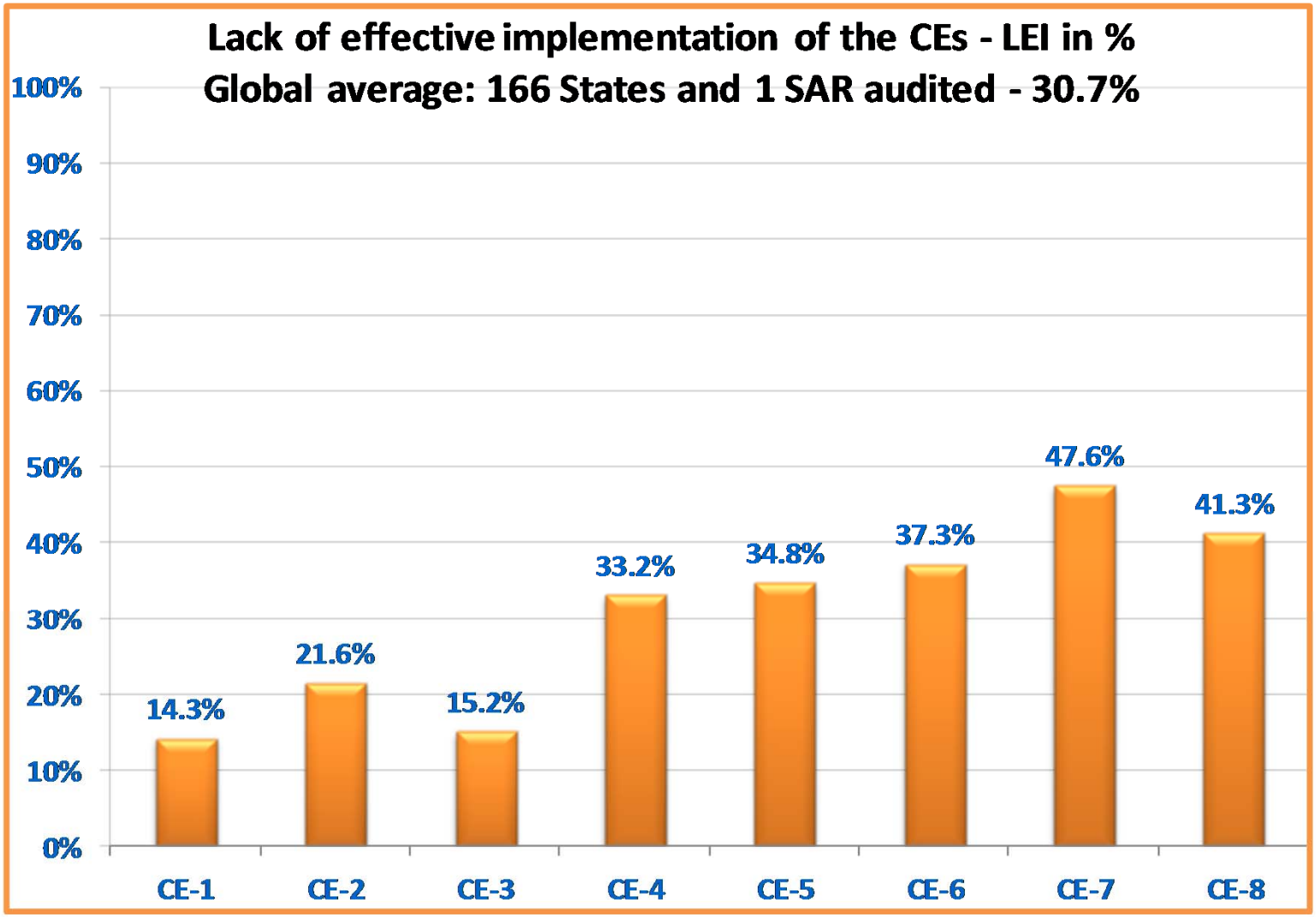
Second cycle of USAP audits

- Launched January 2008
- Will be completed in 2013
- Evaluates level of lack of effective implementation of the critical elements of States' security oversight systems
- As at 31 March 2013, 166 States had received second cycle audits, including:
  - 20 of 21 States in the NACC Region
  - All 13 States in the SAM Region

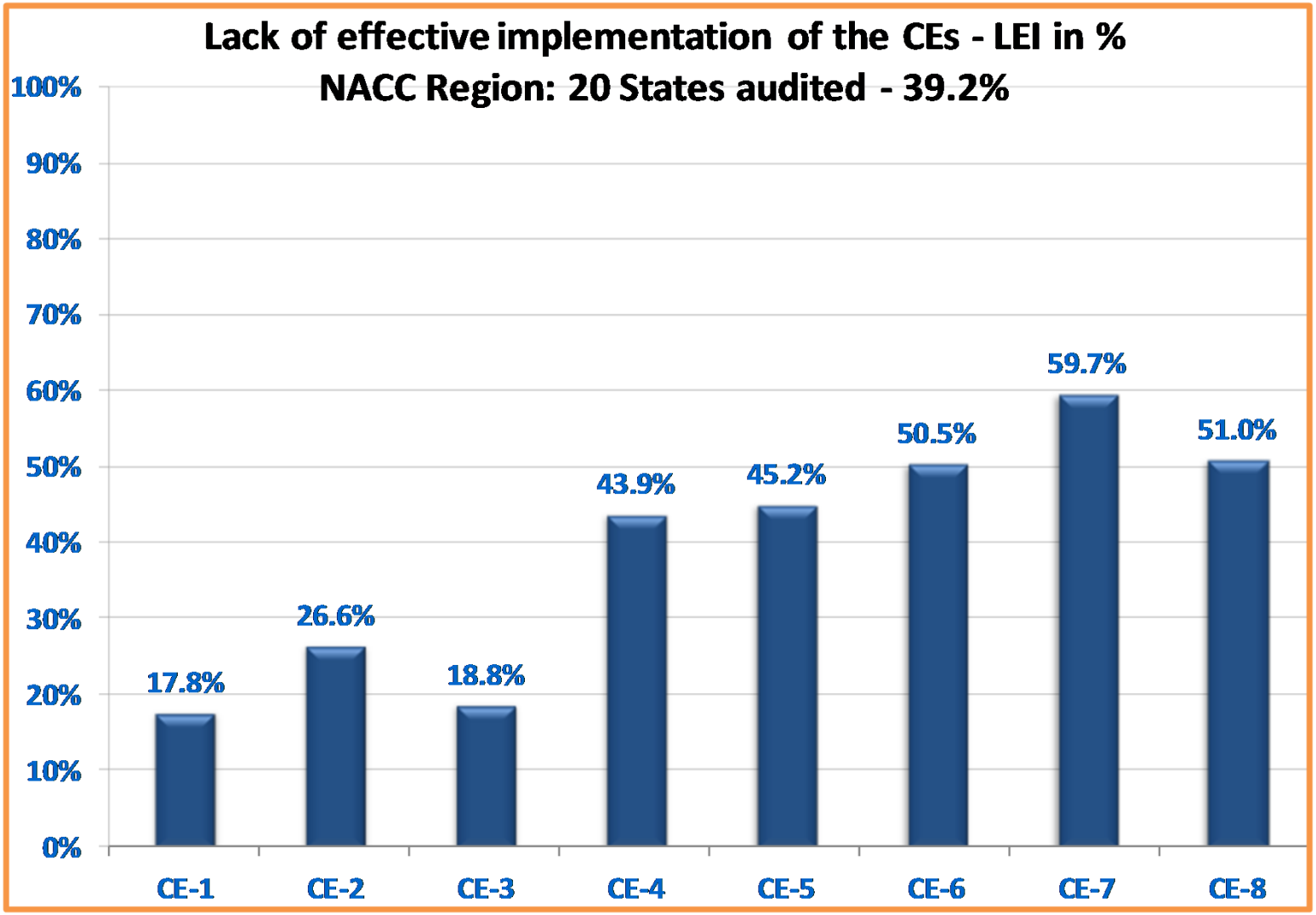
Critical Elements (CEs) evaluated by USAP second cycle audits

- **CE-1** Aviation Security Legislation
- **CE-2** Aviation Security Programmes and Regulations
- **CE-3** State Appropriate Authority for Aviation Security and its Responsibilities
- **CE-4** Personnel Qualifications and Training
- **CE-5** Provision of Technical guidance, Tools and Security-critical Information
- **CE-6** Certification and Approval Obligations
- **CE-7** Quality Control Obligations
- **CE-8** Resolution of Security Concerns

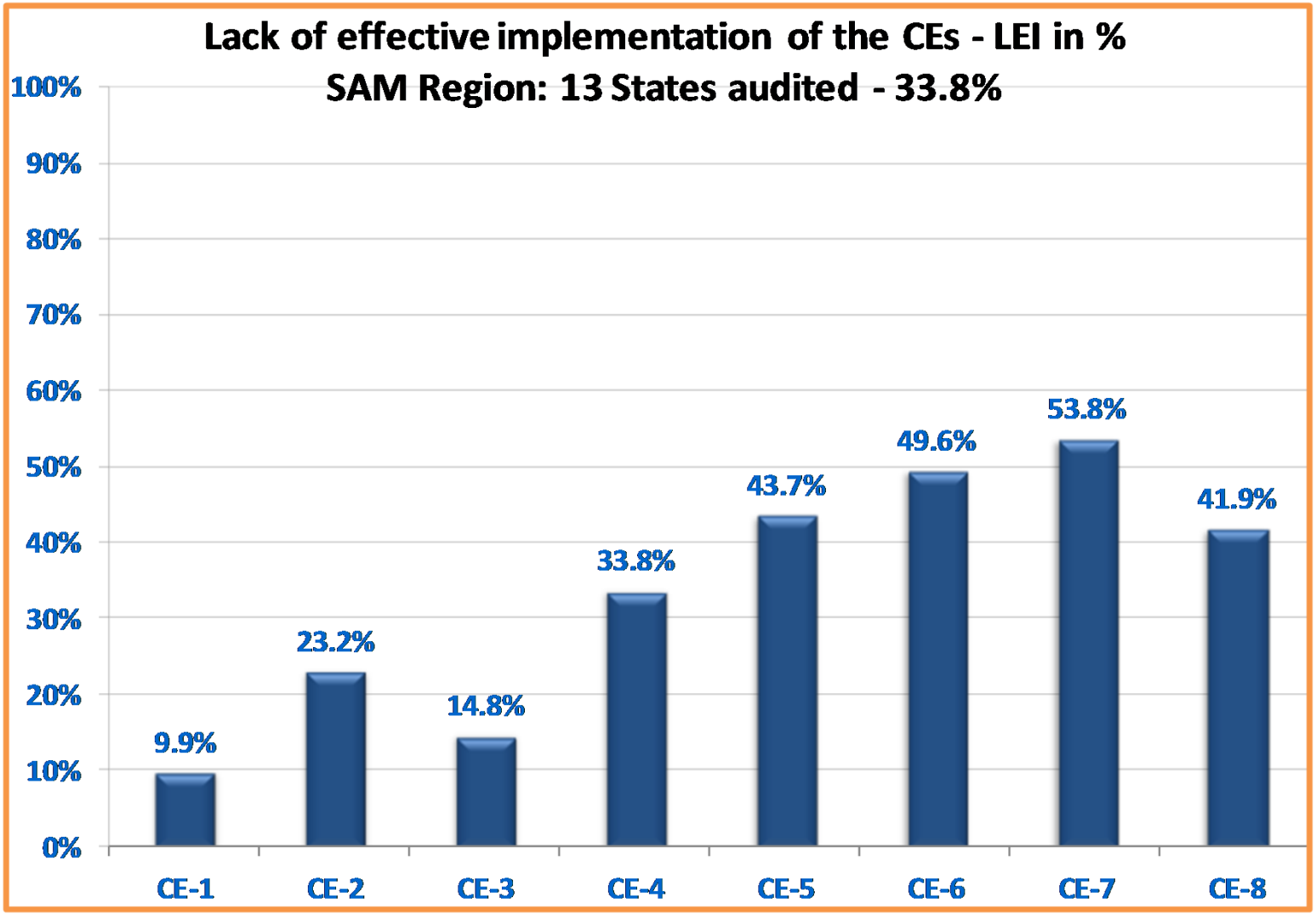
USAP Second-Cycle Audit Results as at 31 March 2013 - Global



USAP Second-Cycle Audit Results as at 31 March 2013 – NACC Region



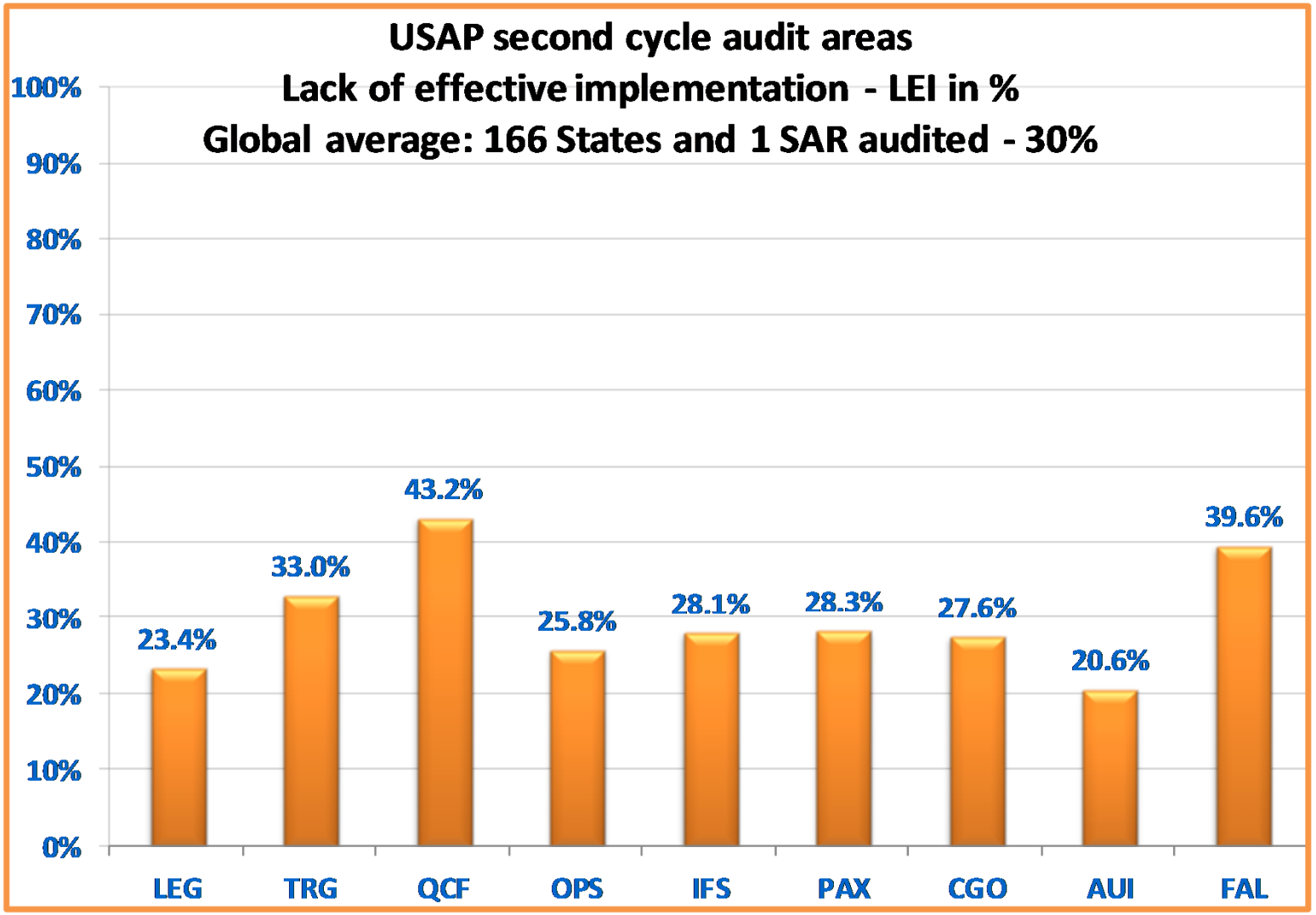
USAP Second-Cycle Audit Results as at 31 March 2013 – SAM Region



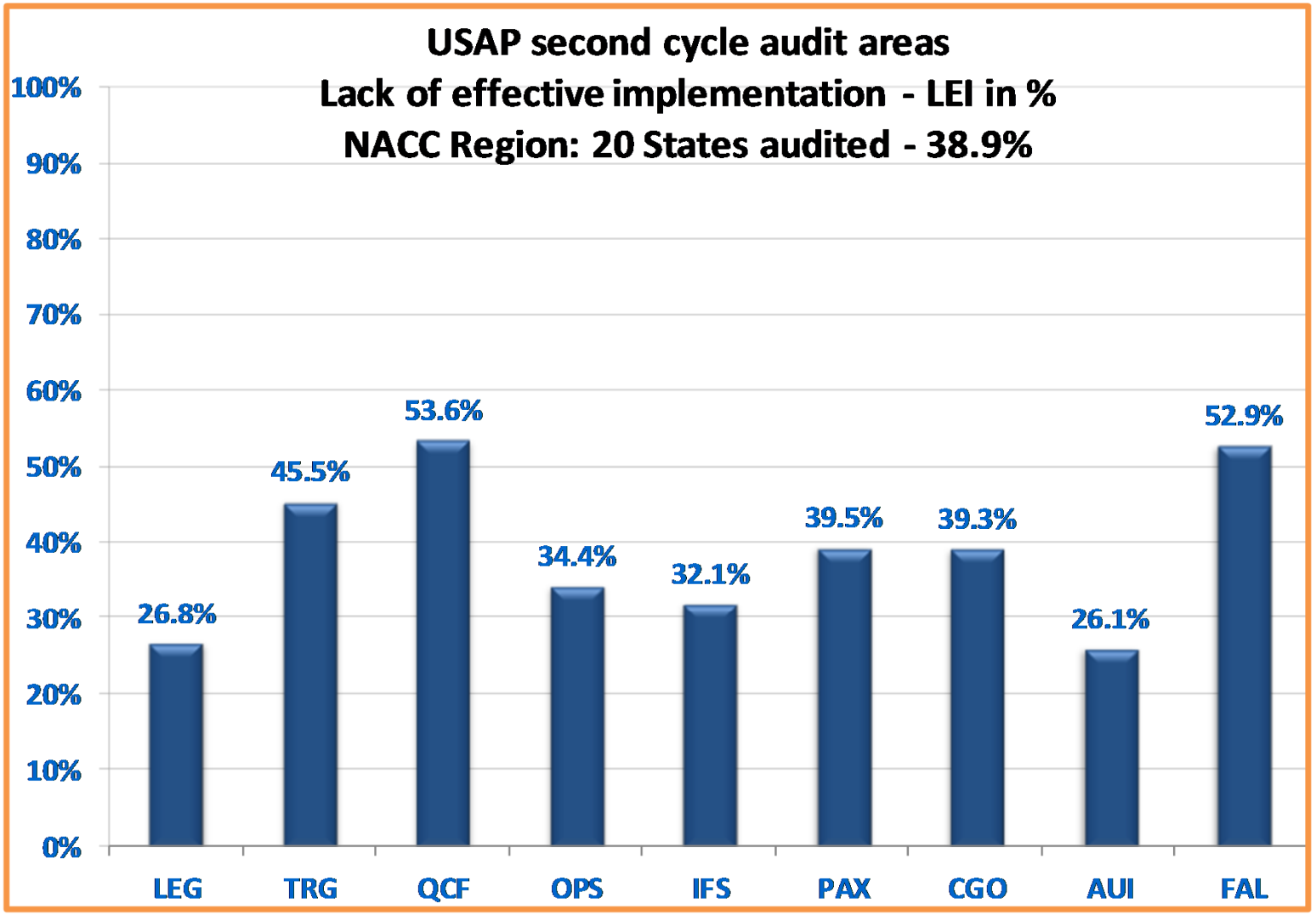
USAP second cycle audit areas

- **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

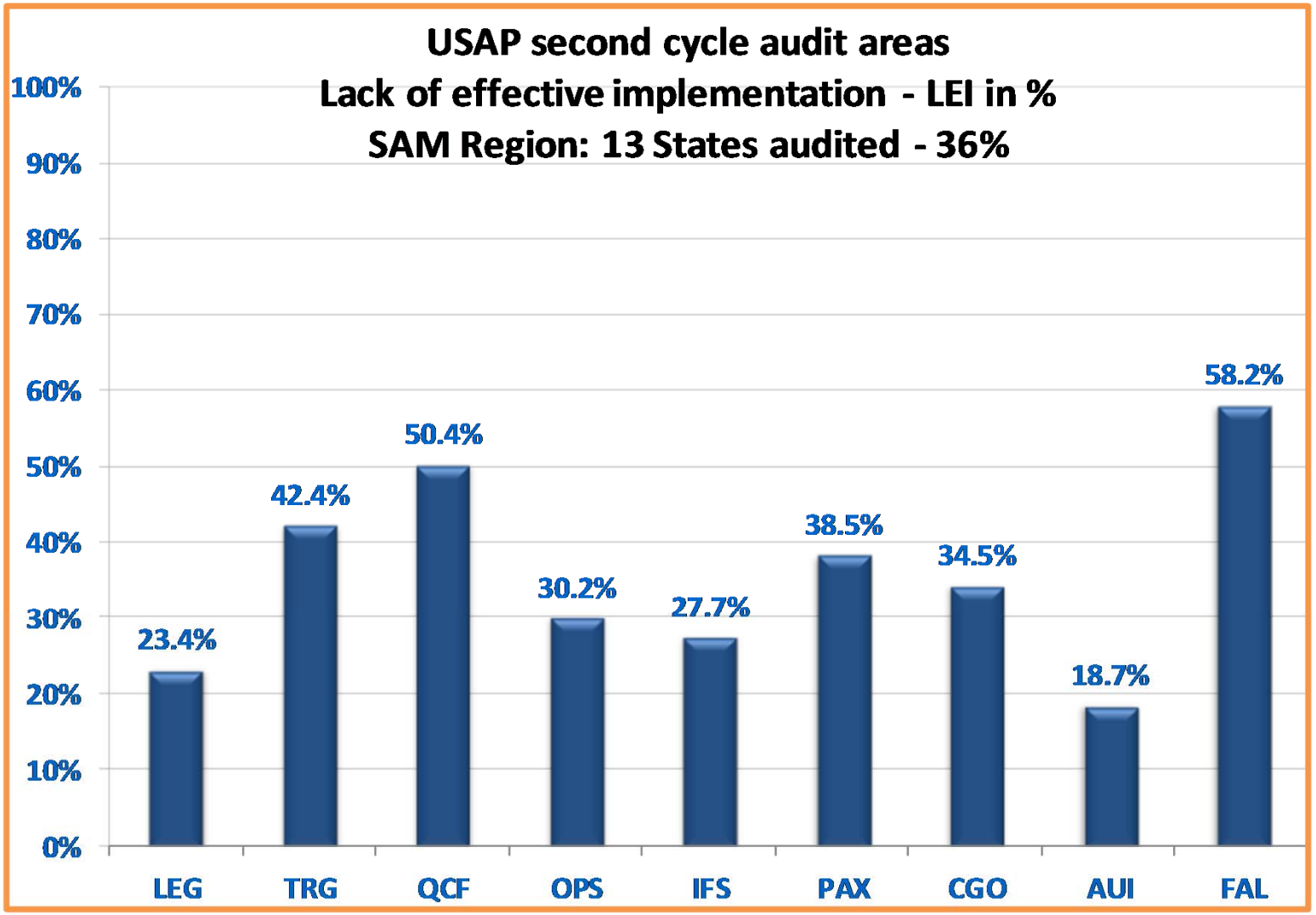
USAP Second-Cycle Audit Results as at 31 March 2013



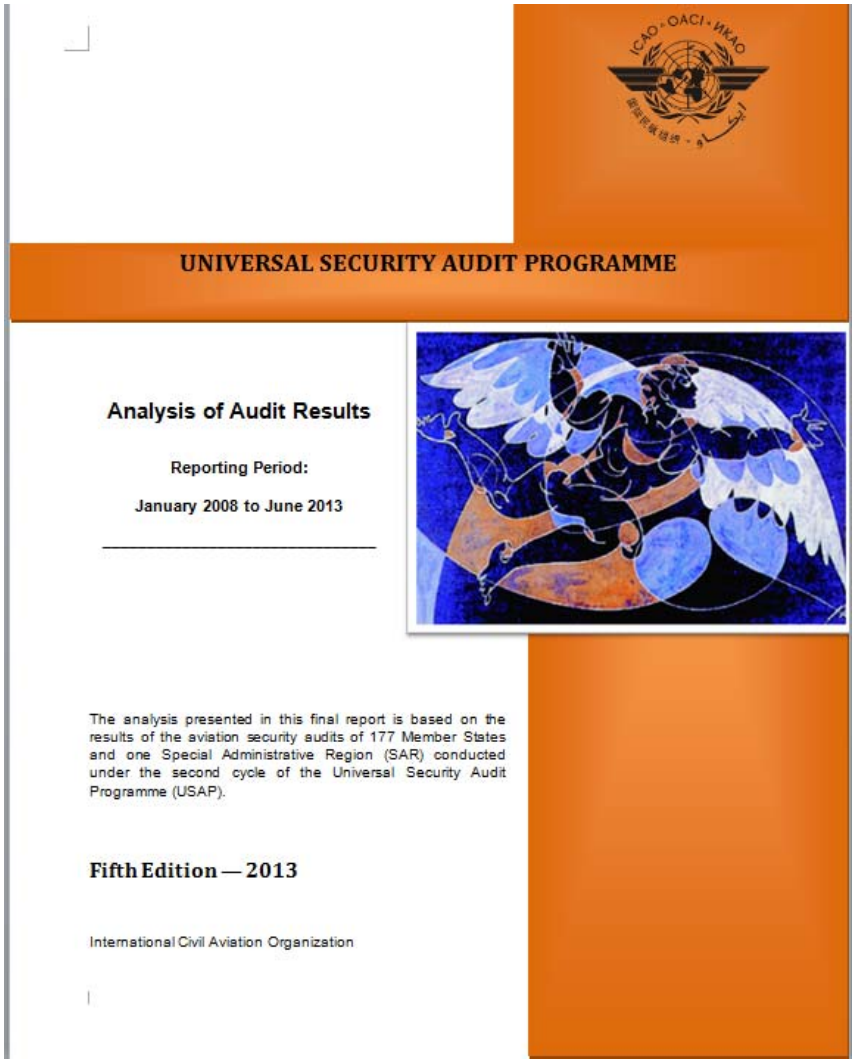
USAP Second-Cycle Audit Results as at 31 March 2013



USAP Second-Cycle Audit Results as at 31 March 2013



USAP Results Analysis Document Fifth Edition - 2013



http://portal.icao.int/

Approval of the USAP-CMA

March 2012

- Unanimous support for the concept of a USAP-CMA by the Aviation Security Panel

June 2012

- Council approval, in principle, of the USAP-CMA concept

Sept 2012

- Endorsement of the USAP-CMA by the High-Level Conference on Aviation Security (HLCAS)

Nov 2012

- Formal Council approval of the USAP-CMA and transition plan

Goals of the USAP-CMA

- Help States help themselves
- Enable the targeting and tailoring of assistance
- Generate relevant information for ICAO's deliberative bodies and related Programmes
- Monitor and assess, for each State:
  - capability for effective and sustainable oversight
  - broad compliance with ICAO security SARPs
  - adherence to best practices and guidance material

USAP-CMA activities

Documentation-based audits

Oversight-focused audits

Compliance-focused audits

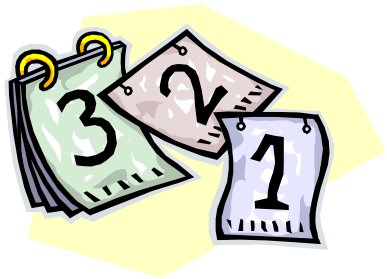
Validation missions and other monitoring activities

Selecting USAP-CMA activities

- Initial type of monitoring activity will be based on ICAO-validated information:
  - Cycle I audit results
  - Improvement at time of follow-up
  - Cycle II audit results
- As activities are conducted, each State's results will be updated

Prioritization and Scheduling of USAP-CMA Activities

- USAP-CMA activities will be scheduled and prioritized on the basis of various factors, including:
  - previous audit results;
  - time since last monitoring activity;
  - Significant Security Concerns (SSeCs);
  - geographical representation;
  - security incidents; and
  - other relevant information



Transition period – Three overlapping phases

Development Phase

Until Q4 2013

- Protocols
- Reports
- Software
- Internal procedures
- Identification of activity for each State

Preparatory Phase

Q4 2012 – Q1 2014

- Manuals
- New MOU
- Completion of Pre-audit questionnaire/ Compliance checklist
- Cooperation agreements

Testing Phase

Q3 2013 – Q1 2015

- Auditor courses and recertification
- Regional
- USAP-CMA information seminars
- Test missions
- Validation of methodology and tools

USAP-CMA Advantages

- ✓ Move from cyclical audits to continuous, risk-based, monitoring
- ✓ Flexible framework and methodology
- ✓ Increased focus on assistance
- ✓ Findings subjected to a risk assessment based on their impact on aviation security, and recommendations prioritized as short-, medium- and long-term
- ✓ Continuous feedback for policy development

Conclusion

- Move to a USAP-CMA has been approved by the Council of ICAO
- Transition to the USAP-CMA has begun and will be complete by the end of 2014
- Auditor certification courses and regional information seminars on the new methodology will be conducted in 2014

International Civil Aviation Organization

Tenth Steering Committee Meeting of the CASP-AP

Evolution of the Universal Security Audit Programme (USAP)

Thank you