



INTERNATIONAL CIVIL AVIATION ORGANIZATION (ICAO)  
ORGANIZACIÓN DE AVIACIÓN CIVIL INTERNACIONAL (OACI)

COMISIÓN LATINOAMERICANA DE AVIACIÓN CIVIL (CLAC)  
LATIN AMERICAN CIVIL AVIATION COMMISSION (LACAC)



AVSEC/FAL/RG/4 — IP/03

15/05/14

**FOURTH MEETING OF THE AVIATION SECURITY AND FACILITATION REGIONAL  
GROUP (AVSEC/FAL/RG/4)**

ICAO NACC Regional Office, Mexico City, Mexico, 3 to 5 June 2014

**Agenda Item 3: Global and Regional Developments**  
**3.1.3 Universal Security Audit Programme and Continuous Monitoring  
Approach (USAP-CMA)**

**PROGRESS REPORT ON THE TRANSITION OF THE UNIVERSAL SECURITY AUDIT  
PROGRAMME TO A CONTINUOUS MONITORING APPROACH (USAP-CMA)**

(Presented by the Secretariat)

<b>EXECUTIVE SUMMARY</b>	
This information paper provides the Meeting with a progress report on the transition of the Universal Security Audit Programme (USAP) to a continuous monitoring approach (USAP-CMA).	
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"><li>• Security and Facilitation</li></ul>
<i>References:</i>	<ul style="list-style-type: none"><li>• Assembly Resolution A38-15</li><li>• A38-WP/15</li><li>• A38-WP/16</li><li>• C-DEC 197/1</li><li>• C-WP/13876</li><li>• C-WP/14093</li><li>• AVSECP/25-WP/15</li></ul>

**1. Background**

1.1 In order to prepare for the future of the Universal Security Audit Programme (USAP) beyond 2013 (C-WP/13876 refers), the 197th Session of the Council was presented with information regarding the proposed methodology for the USAP Continuous Monitoring Approach (USAP-CMA). It was also presented with a suggested transition plan, including timelines, with the objective of full implementation of the USAP-CMA beginning in 2015. The Council formally approved the transition to the USAP-CMA and the associated transition plan (C-DEC 197/1 refers).

1.2 The second cycle of USAP audits was completed in June 2013, and a report on the conclusion of the cycle was made to the 38th Session of the Assembly (A38-WP/16 refers). In a separate paper (A38-WP/15), the Secretariat presented the Assembly with the planned methodology for the USAP-CMA and an overview of the transition plan. The Assembly endorsed the Council's decision to extend the CMA to the USAP and requested the Council to oversee the activities of the USAP-CMA (Resolution A38-15, Appendix E refers). The Assembly also urged all Member States to give full support to ICAO in implementing the USAP-CMA.

1.3 The most recent update on progress made in implementing the USAP-CMA transition plan was presented to the Council during its 201st Session (C-WP 14093). An additional update was made to the 25th Session of the Aviation Security Panel (AVSECP/25-WP/15) in March 2014. This latest update is summarized below.

## **2 UPDATE ON THE TRANSITION TO THE USAP-CMA**

2.1 The transition plan for the move to a USAP-CMA encompasses three overlapping phases: the development phase; the preparatory phase; and the testing phase. To date, significant progress has been achieved in all aspects of the transition. Notable areas in which progress has been made are the following:

- a) the USAP-CMA protocol questions have been rewritten and were sent to a Secretariat Study Group (SSG) for coordination. Input from the SSG members has now been received and the protocol questions are undergoing a final review;
- b) a new audit management software tool for use by USAP-CMA auditors is currently in development and key elements are being tested;
- c) a new format for USAP-CMA audit reports, with prioritized findings and recommendations has been developed and is being refined;
- d) internal procedures related to the planning, scheduling and conduct of USAP-CMA activities are at various stages of development;
- e) the review and updating of relevant USAP manuals is underway;
- f) USAP-CMA seminar, workshop and auditor certification course materials have been prepared; and
- g) a draft generic memorandum of understanding (MOU) to be entered into between ICAO and all Member States regarding the implementation of the USAP-CMA has been prepared and approved by the Council of ICAO.

- 2.2 Furthermore, two sub-regional seminars were delivered in Trinidad and Tobago in November 2013, and in New Zealand in December 2013. Regional seminars were also delivered in the Lima and Mexico City Regional Offices in April 2014. By the end of 2014, similar events will have been conducted in all ICAO regions, with the objective of familiarizing States with the various types of audit and monitoring activities that will be conducted under the USAP-CMA. The feedback from seminars conducted so far has been extremely positive and has confirmed that the development of the USAP-CMA is on the right track to meet the future needs of both ICAO and its Member States.
- 2.3 The first USAP-CMA auditor certification course was conducted at ICAO Headquarters in Montréal in March 2014. Additional auditor certification/re-certification courses will be conducted in all ICAO Regions as part of the transition plan. Most of these will be completed by the end of 2014, though some may need to be held in 2015. In addition, at least two test missions will be conducted by the end of 2014 in order to validate and refine the USAP-CMA methodology and tools.
- 2.4 A final update on the transition to the USAP-CMA will be made to the Council of ICAO during its 203rd Session in the fall of 2014. Full implementation of the new methodology will begin in early 2015.