



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

ICAO Universal Security Audit Programme (USAP)

ICAO Regional Aviation Security Audit Seminar

Overview of the USAP

Cairo, Egypt, 26 to 28 January 2015

Module objective



At the end of this module the participants will be familiar with the background, objectives, principles and implementation status of the first and second cycles of the ICAO Universal Security Audit Programme (USAP).

Outline



- Facts about ICAO
- Evolution of the USAP
- Objective of the USAP
- USAP characteristics and principles
- Significant Security Concern (SSeC)
- Monitoring and Assistance Review Board (MARB)
- USAP implementation status

ICAO



- UN Specialized Agency
- 191 Member States
- ICAO Headquarters
- Host country: Canada
- Conference facilities, delegations, secretariat
- Around 700 Secretariat staff
- 40+ Resident delegations



Vision:

Achieve the sustainable growth of the global civil aviation system.

Mission:

The International Civil Aviation Organization is the global forum of States for international civil aviation. ICAO develops policies, standards, undertakes compliance audits, performs studies and analyses, provides assistance and builds aviation capacity through the cooperation of Member States and stakeholders.



ICAO Regional Offices



Seven Regional Offices reporting directly to the Secretary General

Representative bodies of ICAO



Assembly (191 Member States)

**Council
(36 Member States)**

**Air Transport
Committee**

**Air Navigation
Commission**

Legal Committee

**Human Resources
Committee**

**Committee on
Unlawful Interference**

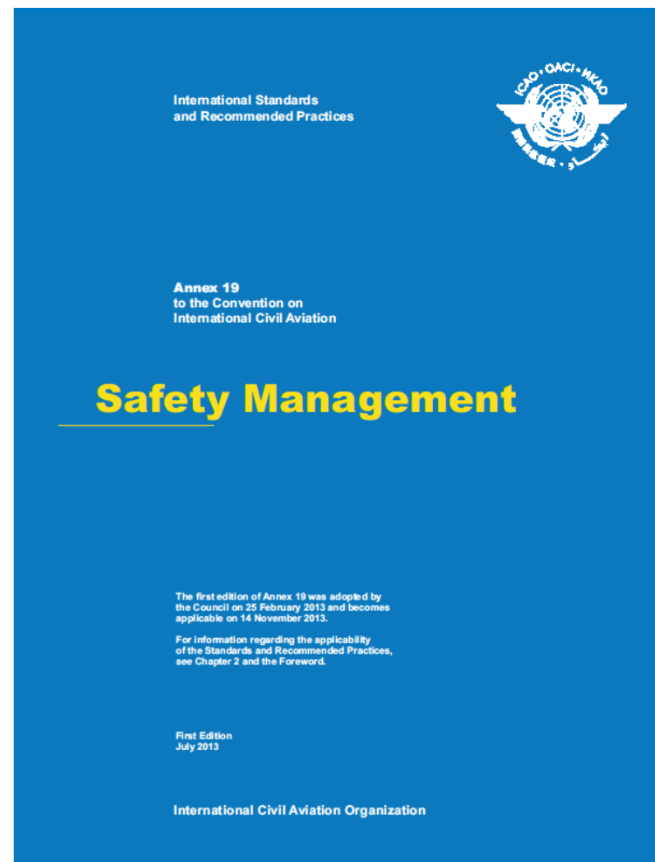
**Committee on
Joint Support of Air
Navigation Services**

Finance Committee

**Committee on Aviation
Environmental
Protection**

**Committee on
Technical Cooperation**

Chicago Convention



Standard

Any specification for physical characteristics, configuration, matériel, performance, personnel or procedure, the uniform application of which is recognized as **necessary** for the safety or regularity of international air navigation and to which Contracting States will conform in accordance with the Convention; in the event of impossibility of compliance, notification to the Council is compulsory under Article 38 of the Convention.

Recommended Practice



Any specification for physical characteristics, configuration, matériel, performance, personnel or procedure, the uniform application of which is recognized as **desirable** in the interests of safety, regularity or efficiency of international air navigation, and to which Contracting States will endeavour to conform in accordance with the Convention.

Chicago Convention



Article 37

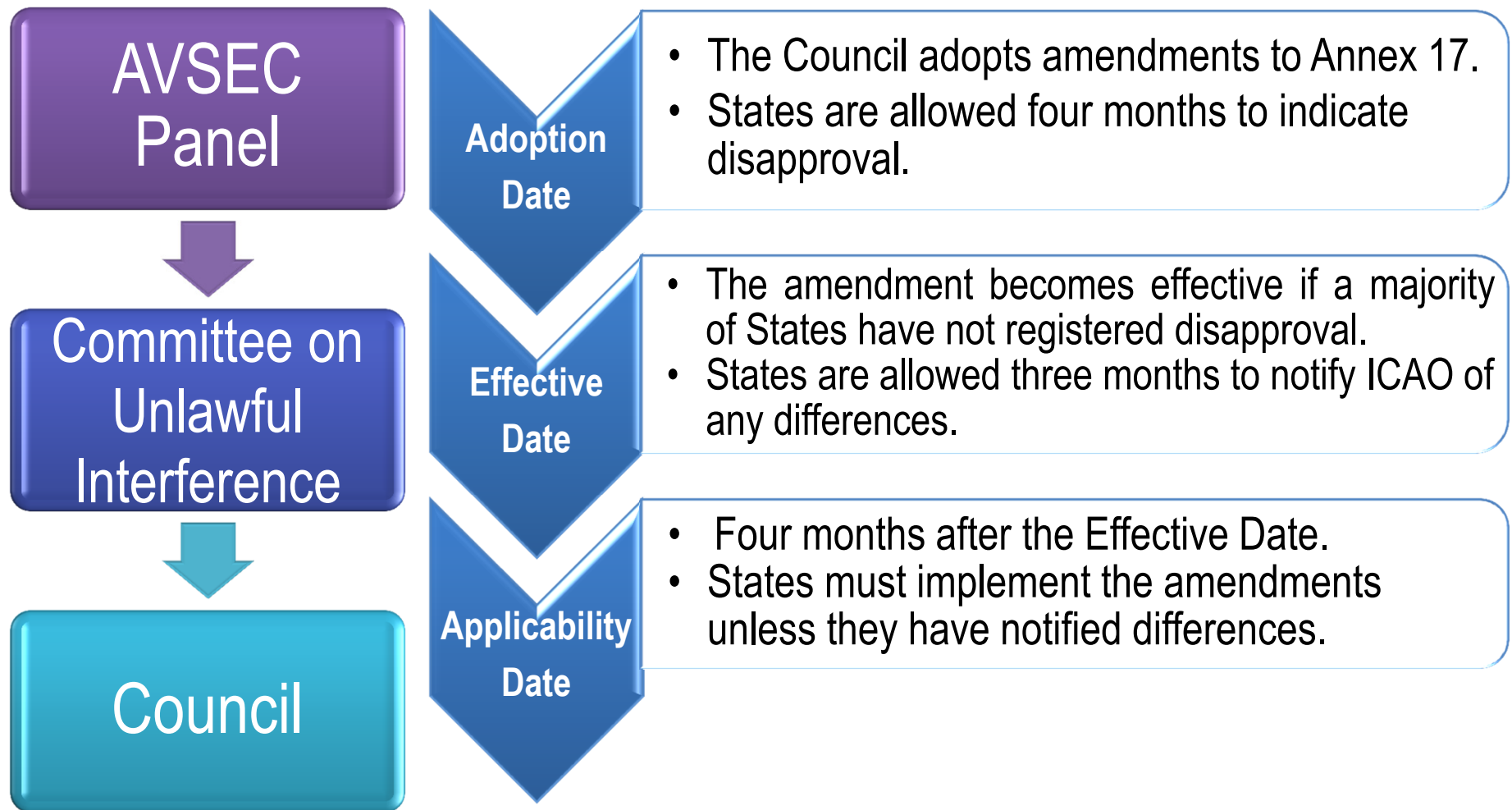
- Each Contracting State undertakes to collaborate in securing the highest practicable degree of uniformity in regulations, standards, procedures, and organization in relation to aircraft, personnel, airways and auxiliary services in all matters in which such uniformity will facilitate and improve air navigation.

Cooperation, Consensus, Compliance, Commitment

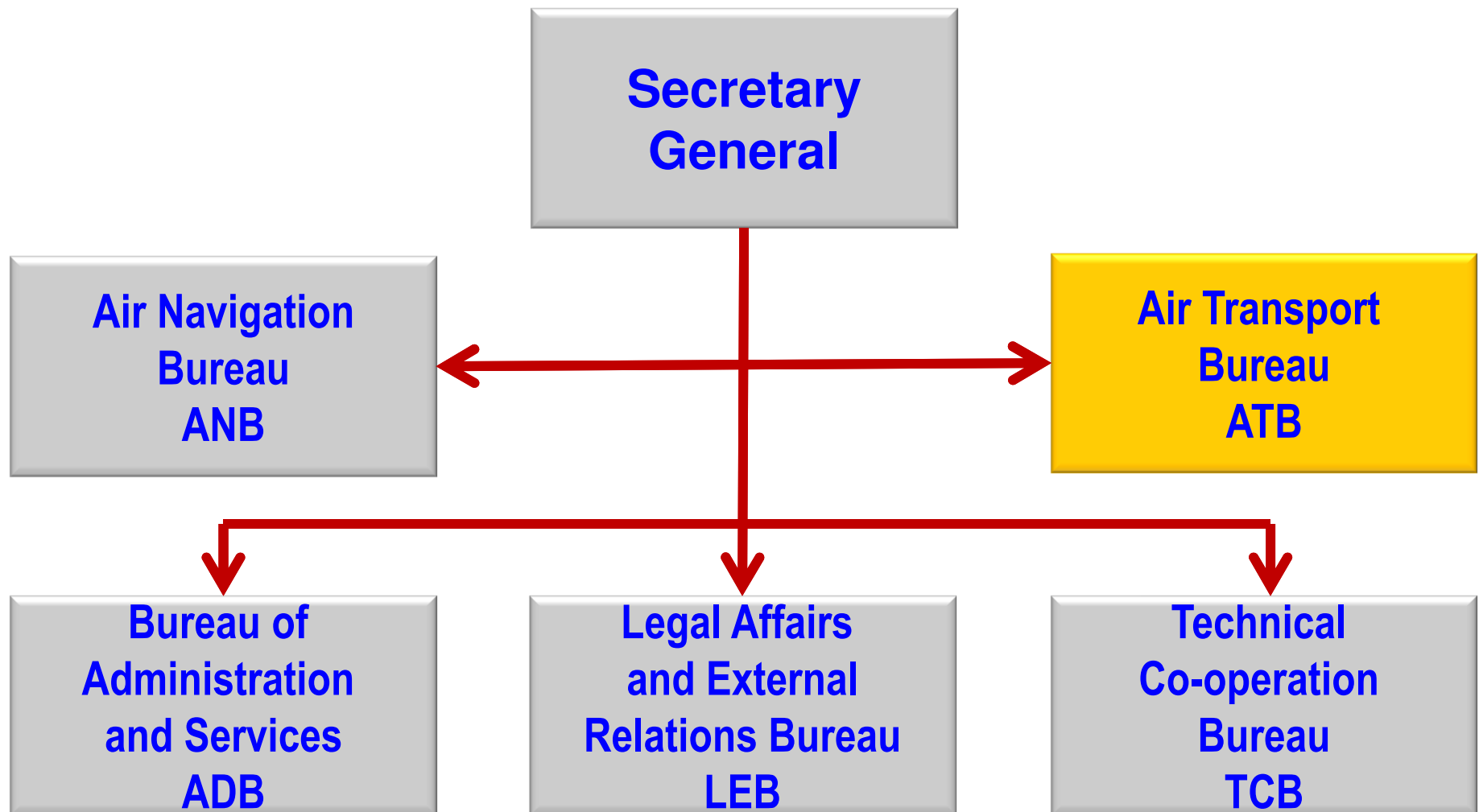
Article 38

- Any State which finds it impracticable to comply in all respects with any such international standard or procedure, or which deems it necessary to adopt regulations or practices differing in any particular respect from those established by an international standard, shall give immediate notification to ICAO of the differences between its own practice and that established by the international standard.

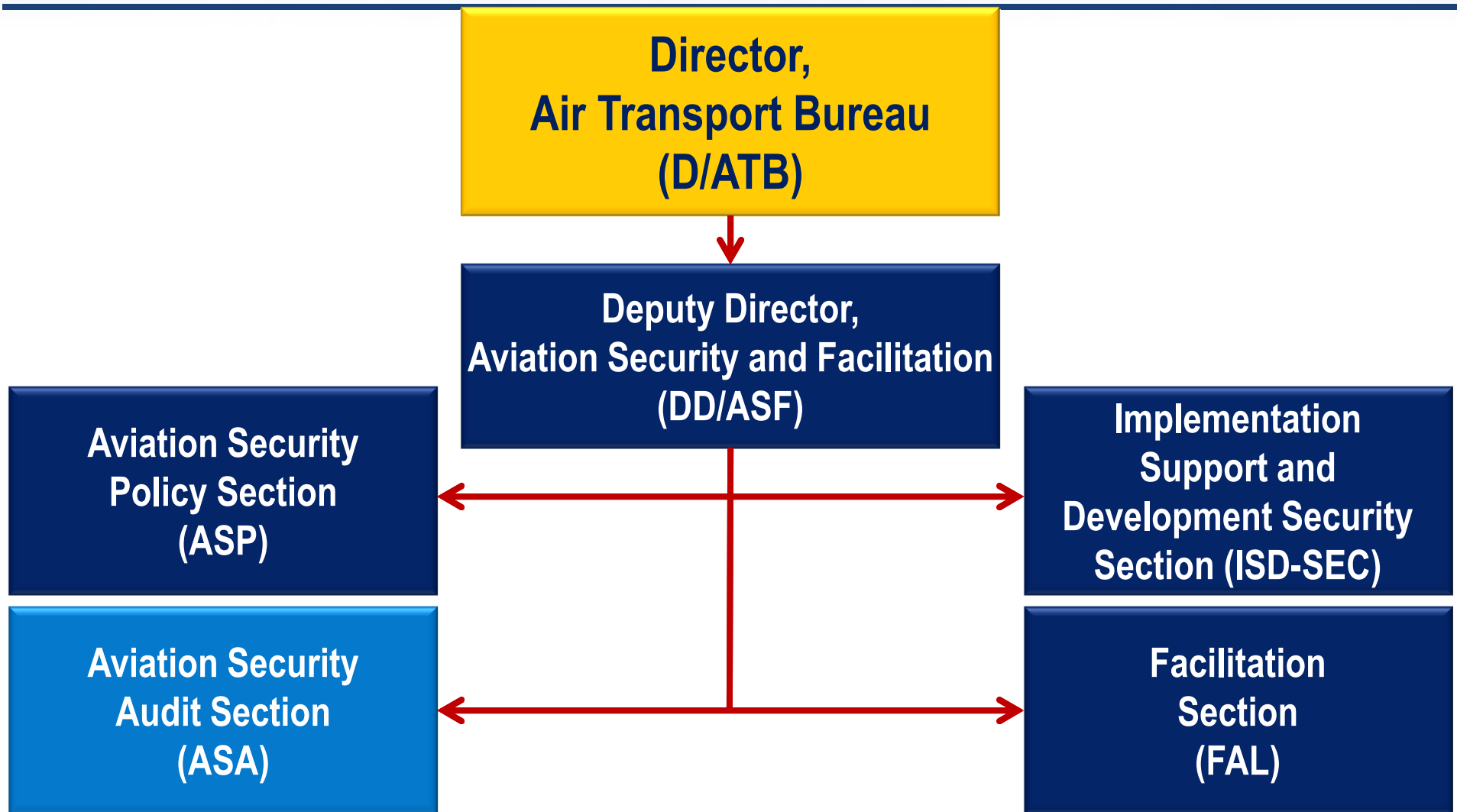
Making an ICAO AVSEC SARP



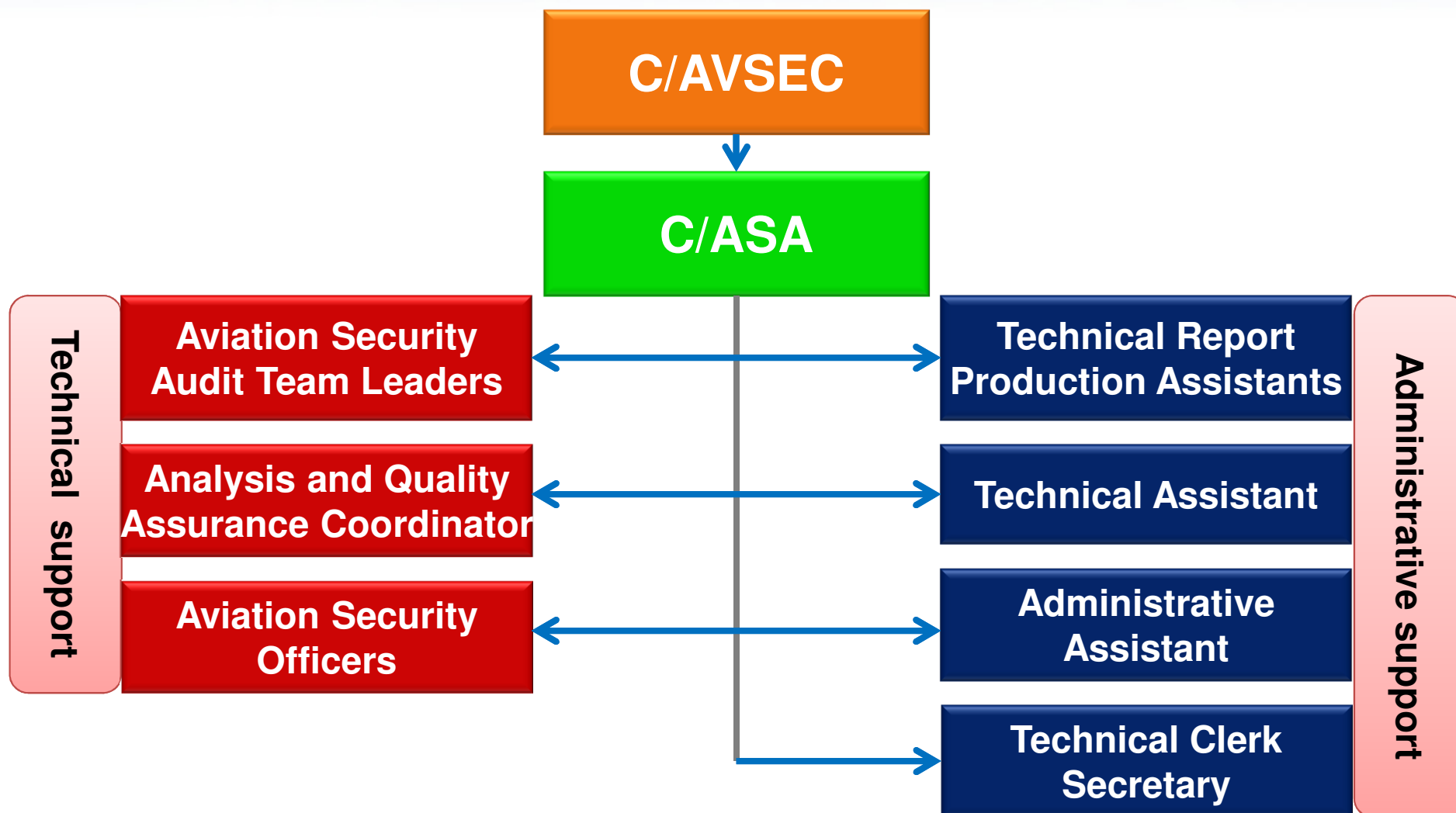
Secretariat



Aviation Security and Facilitation



Aviation Security Audit Section



ICAO's Strategic Objectives for 2014-2015-2016



A – Safety

Enhance global civil aviation safety.

B – Air Navigation Capacity & Efficiency

Increase capacity and improve efficiency of the global civil aviation system.

C – Security & Facilitation

Enhance global civil aviation security and facilitation.

D – Economic Development of Air Transport

Foster the development of a sound and economically-viable civil aviation system.

E – Environmental Protection

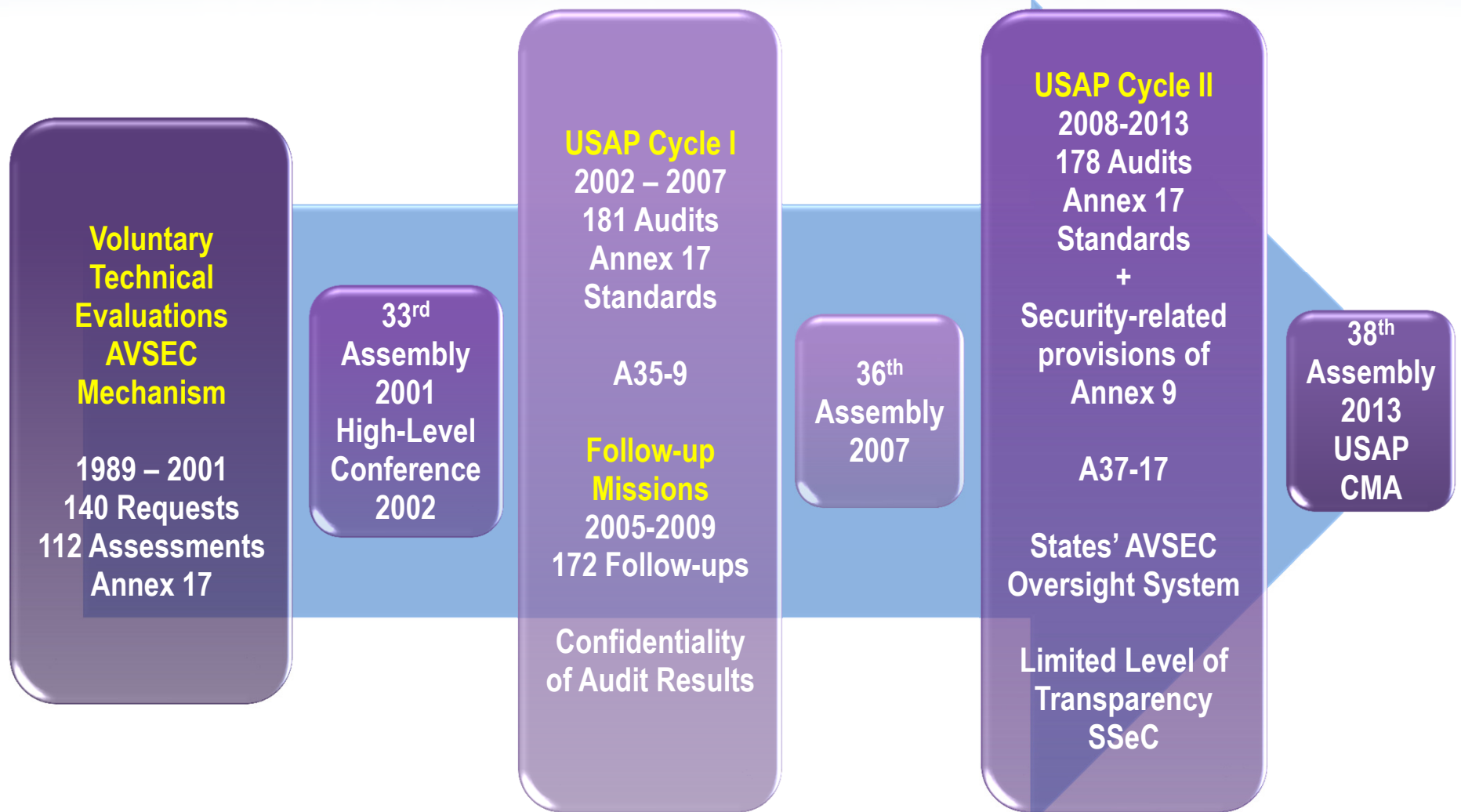
Minimize the adverse environmental effects of civil aviation activities.

ICAO Comprehensive Aviation Security Strategy 2011-2016



- ✓ Addressing new and existing threats;
- ✓ Promoting innovative, effective and efficient security approaches;
- ✓ Promoting the sharing of information amongst member states to raise awareness of threats and security trends relevant to civil aviation operations;
- ✓ Promoting global compliance and establishing sustainable aviation security oversight capability of States;
- ✓ Improving human factors and security culture;
- ✓ Promoting the development of mutual recognition for aviation security processes; and
- ✓ Emphasizing the importance of security amongst States and stakeholders, and within ICAO.

Evolution of the USAP



Objective of the USAP



The objective of the USAP is to promote global aviation security through the auditing of Member States on a regular basis to determine the status of States' implementation of security-related ICAO Standards and Recommended Practices (SARPs), and associated procedures.

Objectives of USAP Cycle II Audit



The primary objectives of an ICAO USAP cycle II audit are to:

- determine the degree of compliance of the State in implementing Annex 17 Standards and security-related provisions of Annex 9;
- observe and assess the State's adherence to associated security procedures, guidance material and security-related practices;

Objectives of USAP Cycle II Audit



- determine the sustainability and effectiveness of the State's implementation of a security system, through the establishment of legislation, programmes, regulations and a security authority with control and enforcement capabilities;
- determine the State's capability for security oversight by assessing the effective implementation of the critical elements of an aviation security oversight system; and
- provide recommendations to States to improve their security systems and oversight capabilities.

USAP Characteristics



- ✓ Regular, mandatory, systematic and harmonized audits
- ✓ Evaluation of aviation security in place in all 191 ICAO Member States
- ✓ Audit security measures at selected airports

USAP Principles



Sovereignty

Universality

Transparency of methodology

Timeliness

All-inclusiveness

Consistency and objectivity

Fairness

Quality

Confidentiality

Confidentiality



- Audit reports are confidential and will only be made available to the audited State and to those with an operational “need-to-know” within ICAO (standard clause in MOU).
- However, States are encouraged to share audit-related information with other States bilaterally (Annex 17 RP 2.4.5).

Confidentiality

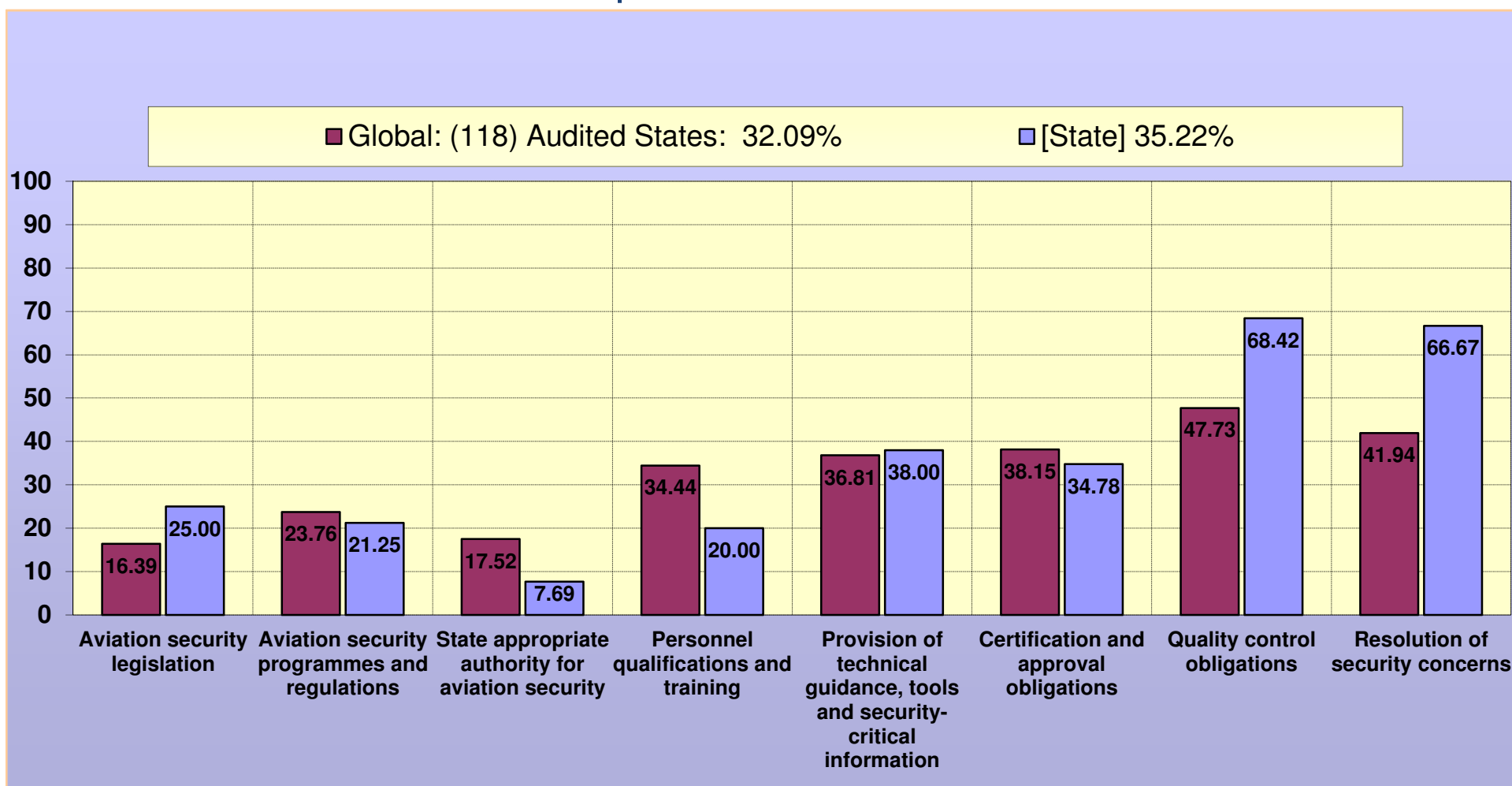


- The 36th Session of the Assembly directed the Council to consider the introduction of a limited level of transparency with respect to ICAO aviation security audit results, balancing the need for States to be aware of unresolved security concerns with the need to keep sensitive security information out of the public realm.
- In June 2008, the Council approved a proposal to introduce such transparency with respect to aviation security audits and amended Article 20 of the bilateral MOU between ICAO and audited States to permit such transparency.

Confidentiality



- A chart for each audited State, depicting the level of implementation of the critical elements, is posted on the ICAO secure website:



Significant Security Concern



- On 17 February 2010, the Council approved the definition of a significant security concern (SSeC) and the related mechanism to address in a timely manner such concerns identified during an USAP audit.
- A consequential amendment to the bilateral MOU between ICAO and audited States that addresses an SSeC and the related mechanism was also approved by the Council.

Significant Security Concern



An SSeC occurs when the appropriate authority responsible for aviation security in the State permits aviation activities to continue, despite lack of effective implementation of the minimum security requirements established by the State and by the provisions set forth in Annex 17 — *Security* related to critical aviation security controls including, but not limited to:

- the screening and the protection from unauthorized interference of passengers, cabin and hold baggage;
- the security of cargo and catering;
- access control to restricted and security-restricted areas of airports; and
- the security of departing aircraft;

resulting in an **immediate security risk** to international civil aviation.

Significant Security Concern



Preliminary SSeC

- The Team Leader describes preliminary SSeC identified during the USAP audit to the audited State at the Post-audit Debriefing and provides all information to C/ASA.

Validation

- C/ASA reviews preliminary SSeC and presents it to the AVSEC Branch SSeC Validation Committee to confirm its validity within 15 days.

Notification

- If valid and confirmed, notification letter is sent to the State to take immediate corrective action within 15 calendar days as of the receipt of notification letter.

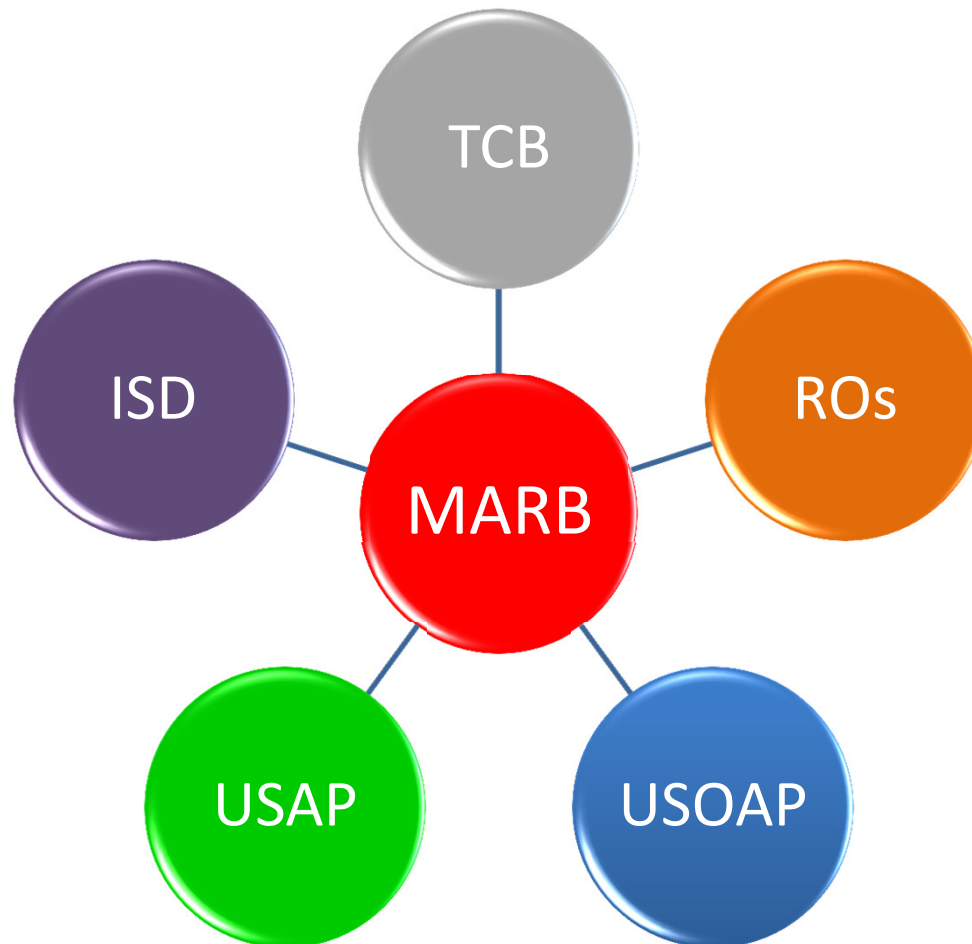
Disclosure

- Failure to implement corrective action and notify ICAO within 15 calendar days results in posting information on the State with an SSeC on the ICAO secure website.

Monitoring and Assistance Review Board

- ✓ High-level Secretariat team chaired by the Secretary General
- ✓ Deals with both safety and security issues
- ✓ Purpose: executive oversight of ICAO's monitoring and assistance programmes
- ✓ Reviews auditing and monitoring activities and assistance plans in referred States
- ✓ Closely follows developments in States with SSeCs
- ✓ Provides timely and effective support for prompt resolution
- ✓ Proposes a specific course of action and strategy for each State referred to it

MARB – from deficiencies to remedies



MARB



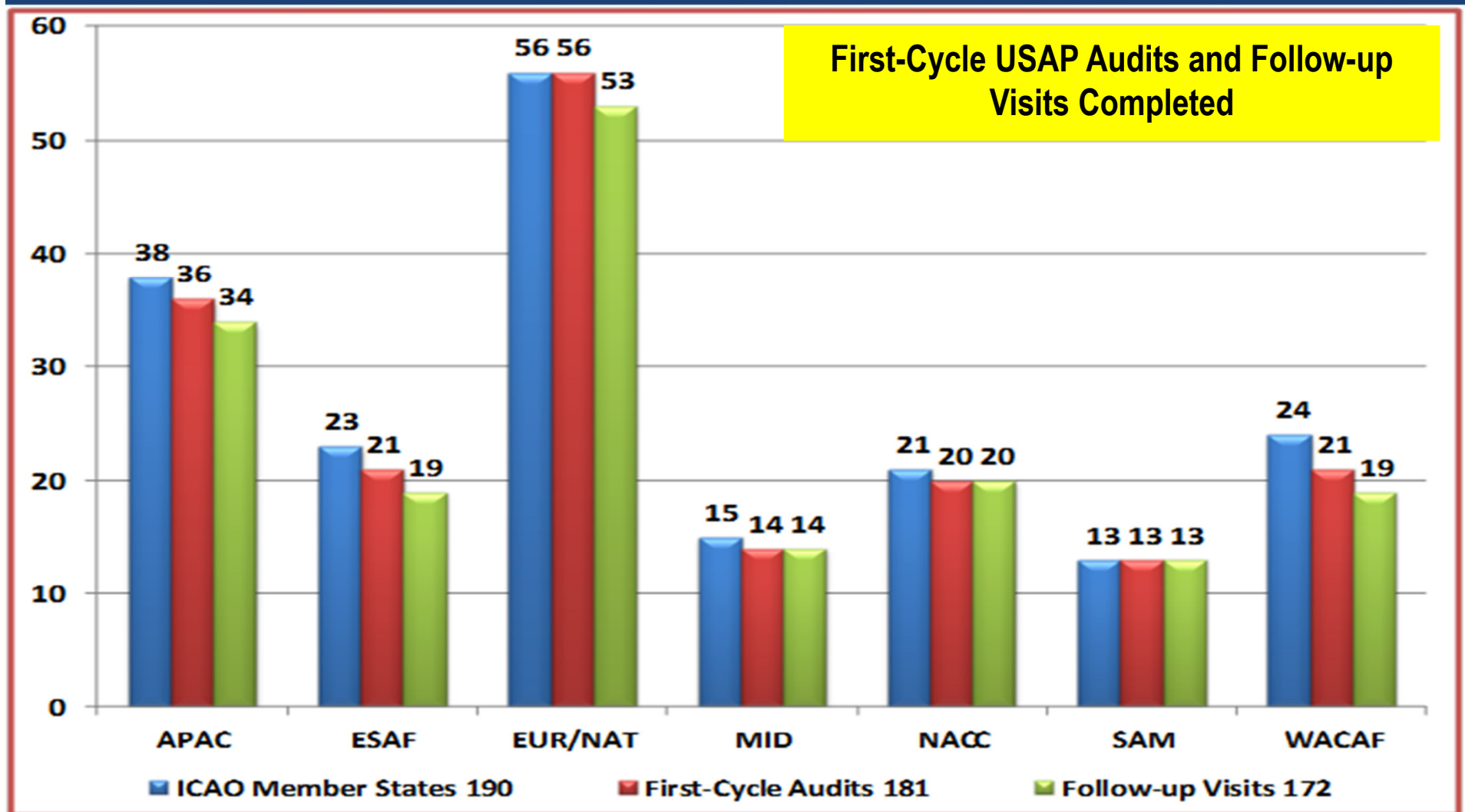
- The primary focus of the MARB is to evaluate the effectiveness and efficiency of monitoring activities and to identify, coordinate and validate assistance strategies.
- States that come before the MARB are reviewed on a case-by-case basis and the Board, in each case, decides on appropriate actions within its capacity.
- If all realistic options for resolving a situation have been exhausted, the MARB may refer a State to the Council of ICAO for special consideration and possible further action, as appropriate.

Types of cases referred to the MARB under the USAP



- ✓ A State with one or more SSeCs identified during an audit;
- ✓ A State that is not responding to monitoring or assistance processes (i.e. rejecting or repeatedly postponing monitoring activities or not providing a Corrective Action Plan (CAP);
- ✓ State not fulfilling its commitments to implement the CAP.

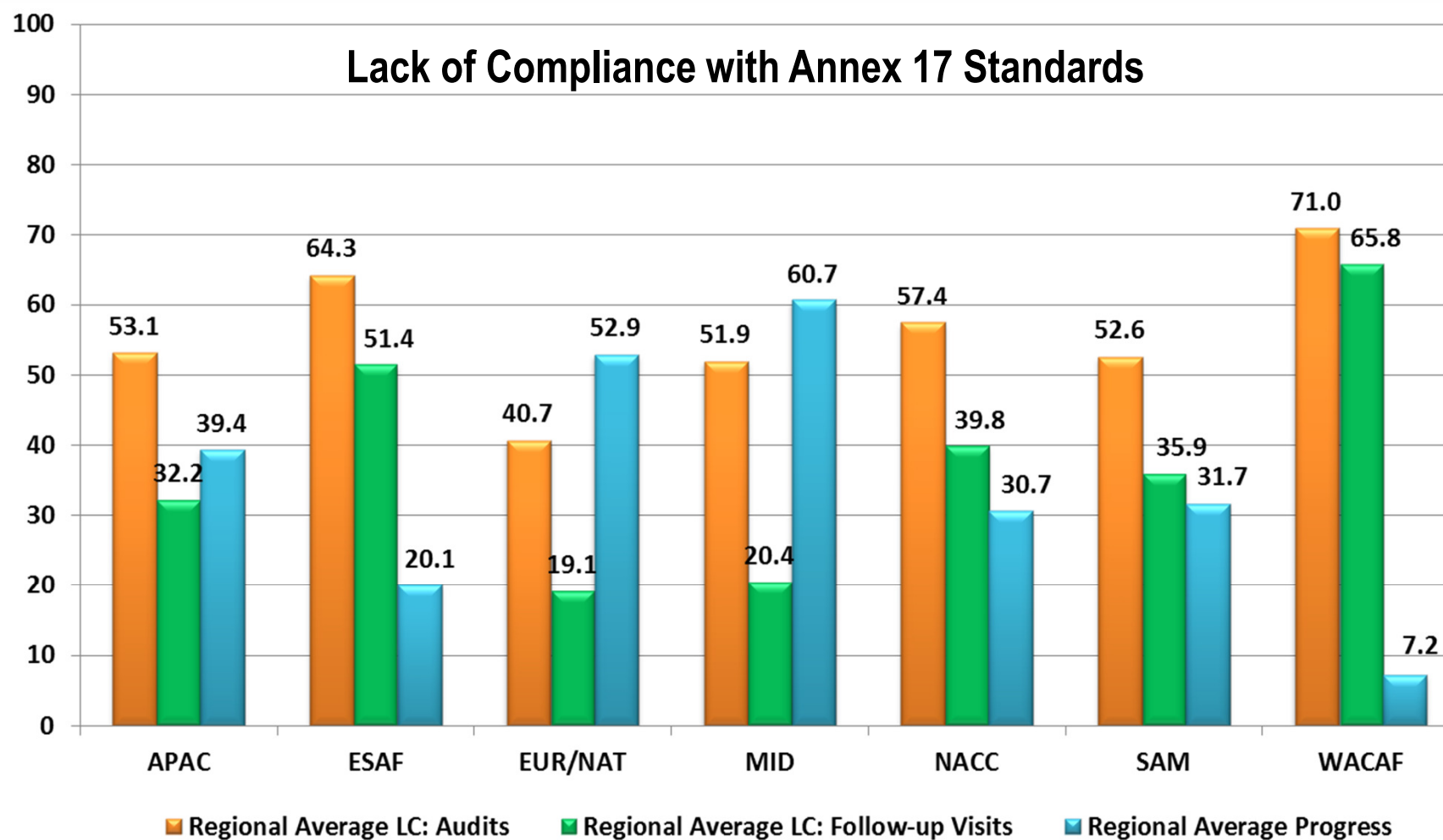
USAP Cycle I



USAP Cycle I



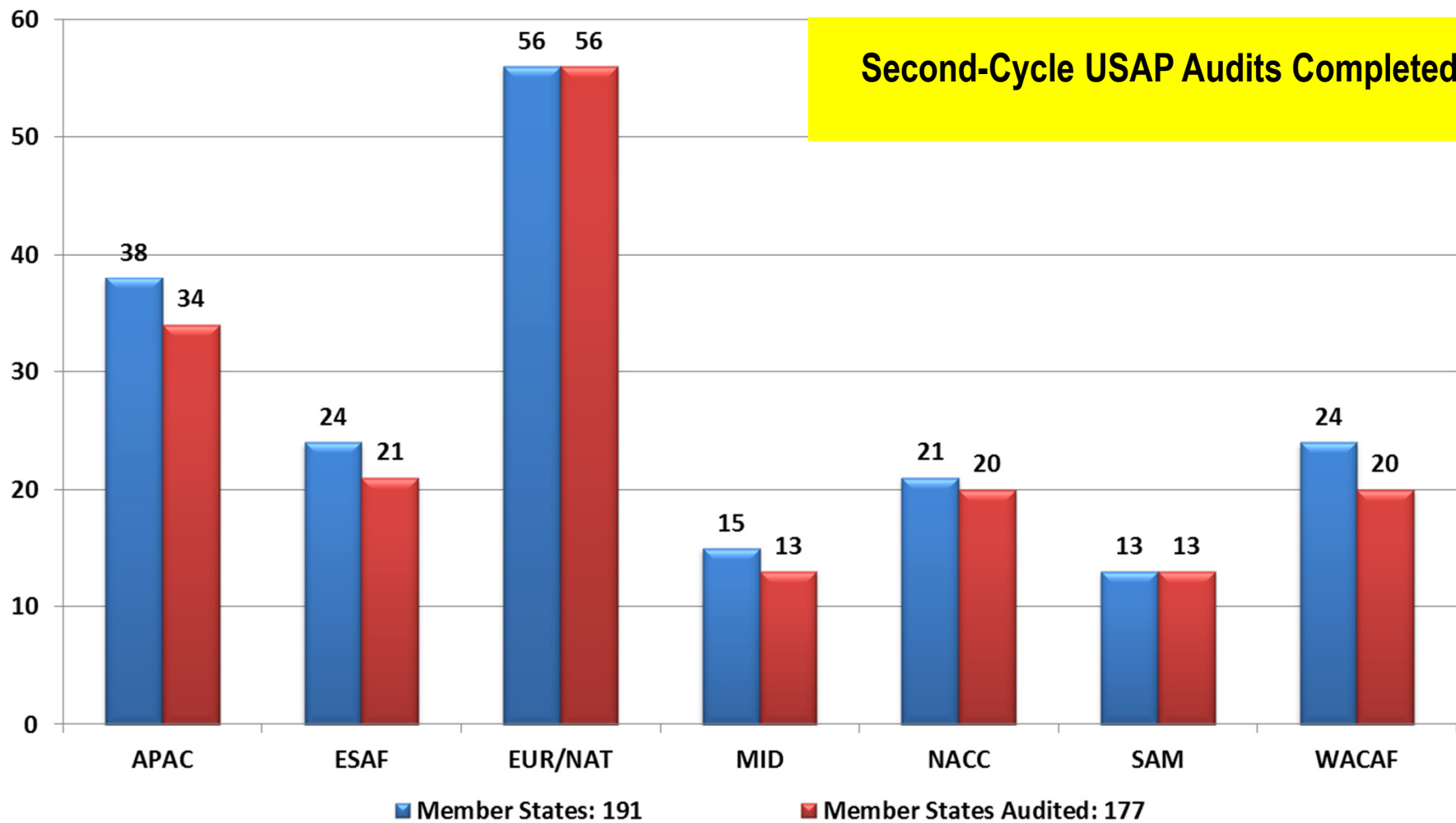
Lack of Compliance with Annex 17 Standards



USAP Cycle II



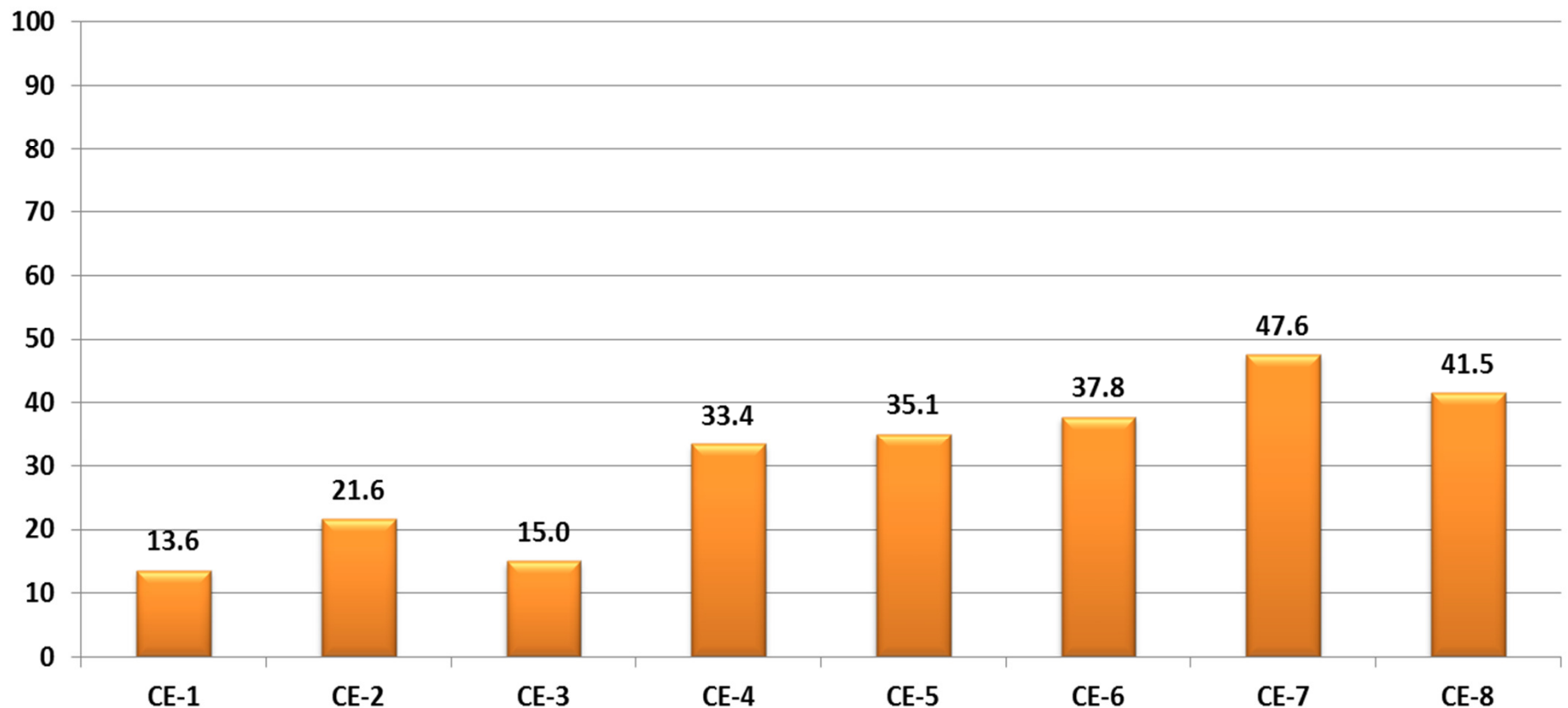
Second-Cycle USAP Audits Completed



USAP Cycle II



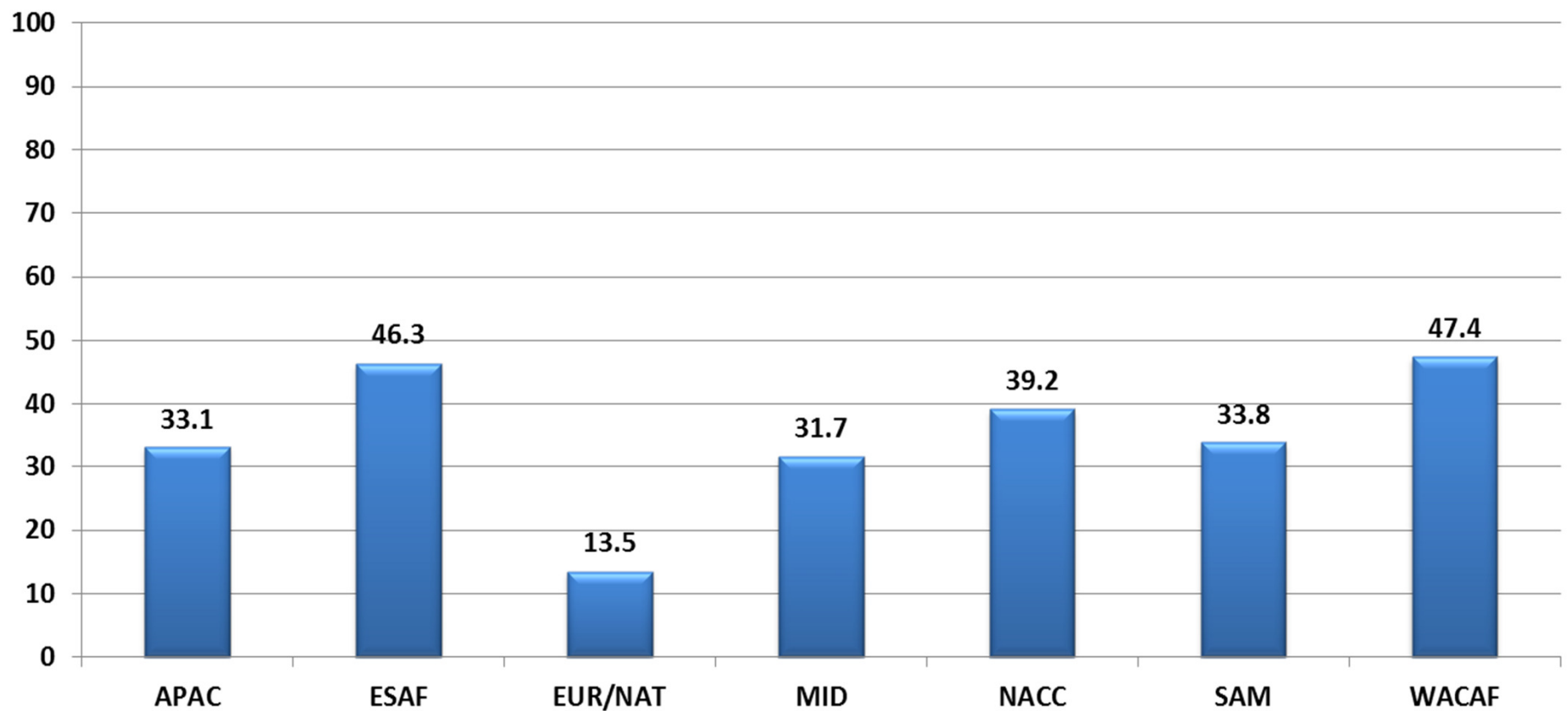
Global Average Lack of Effective Implementation of Critical Elements: 30.7%



USAP Cycle II



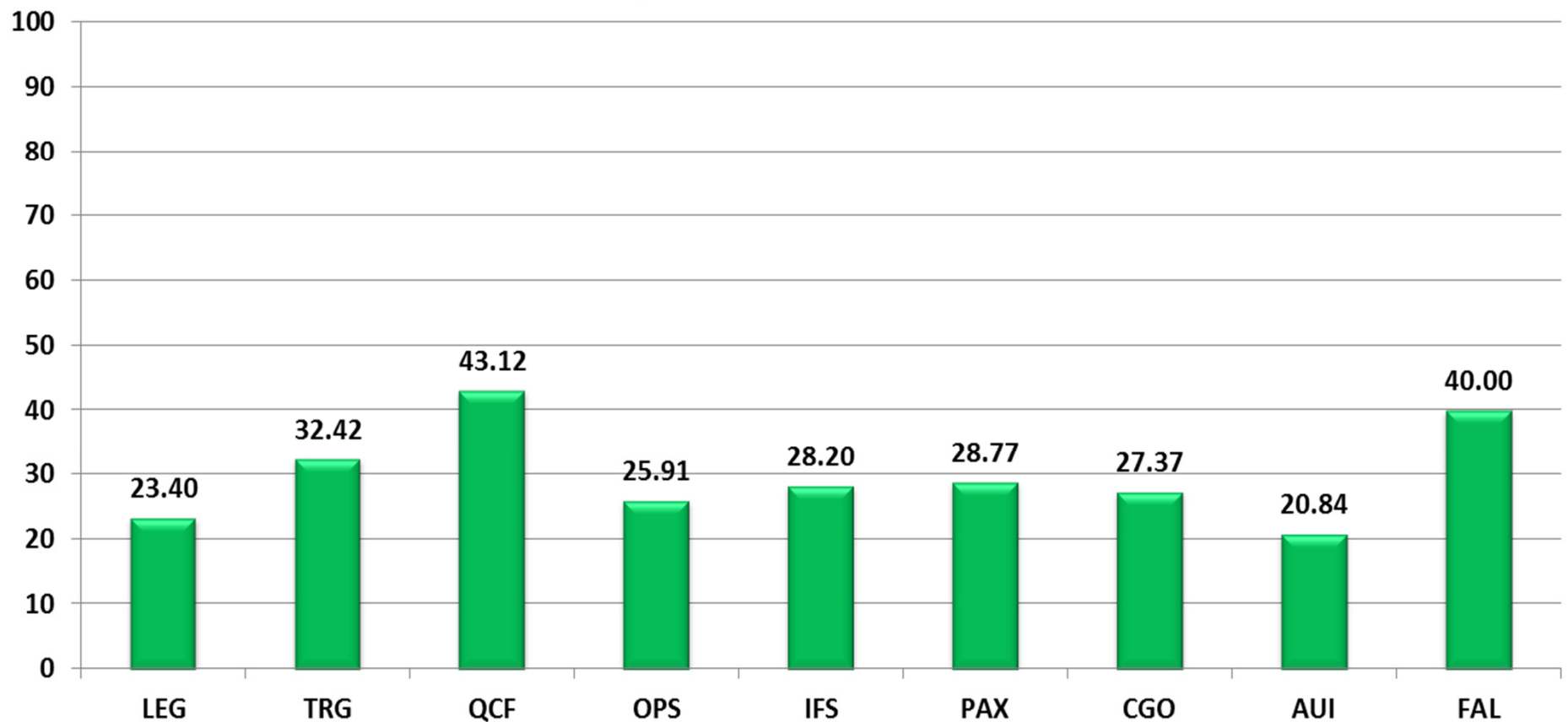
**Regional Average Lack of Effective Implementation
of Critical Elements**



USAP Cycle II



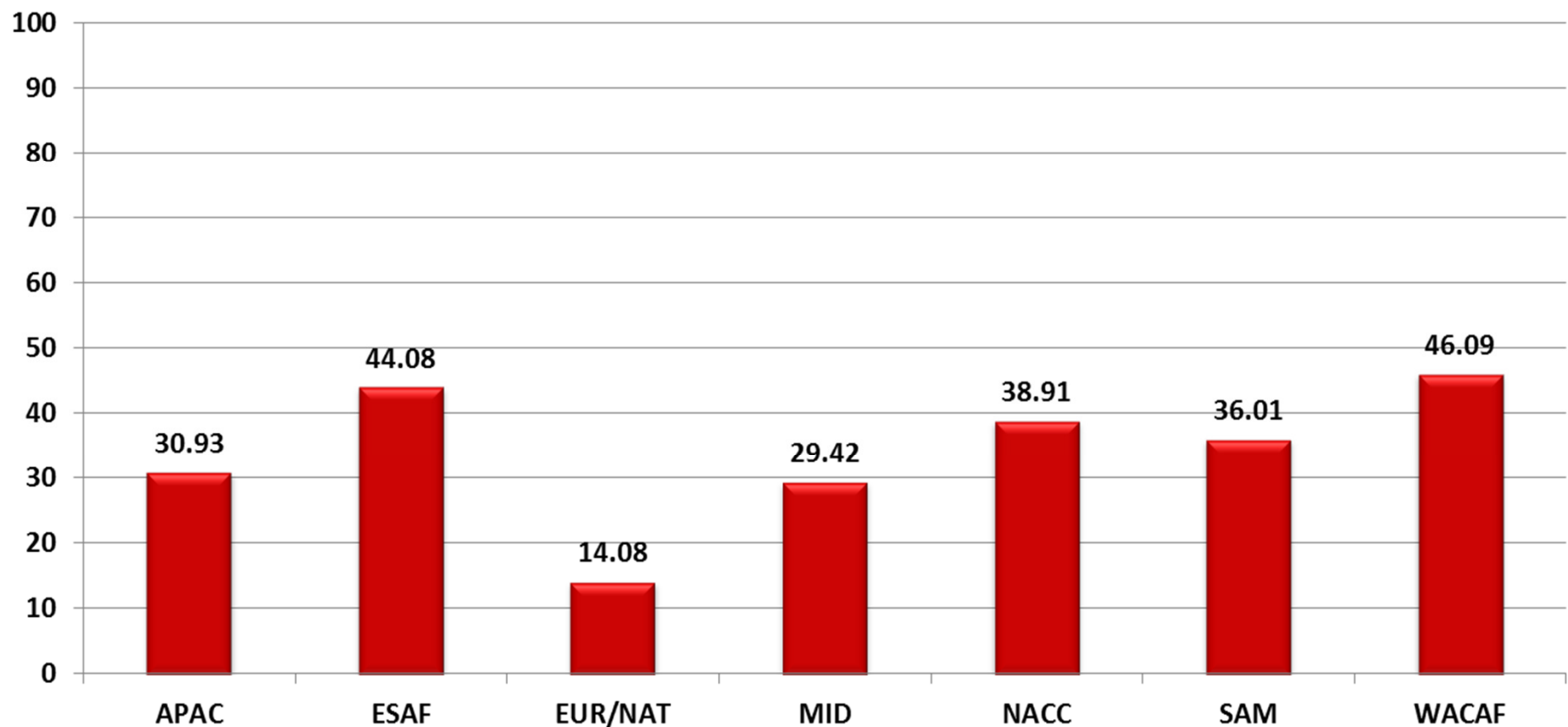
**Global Average Lack of Effective Implementation
by Audit Area: 30.00%**



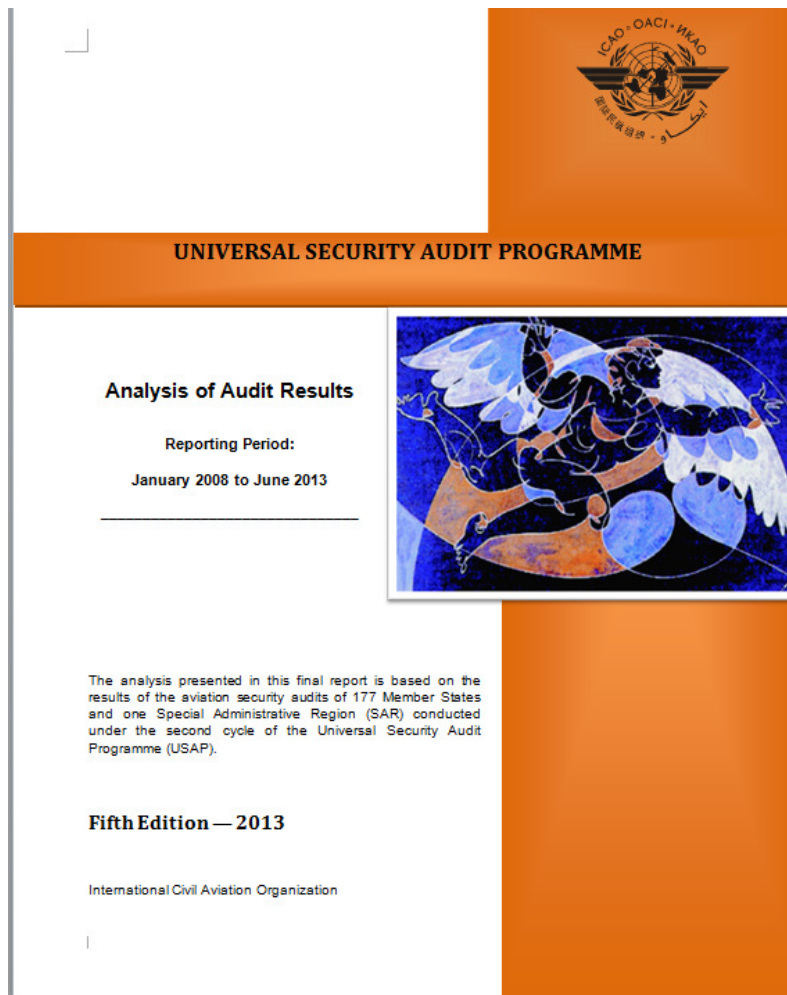
USAP Cycle II



**Regional Average Lack of Effective Implementation
by Audit Area**



Analysis of Audit Results



<http://portal.icao.int/>

Progress made by States



- Both the follow-up missions and the second cycle of USAP audits revealed that most States have made significant progress in addressing findings from the first cycle of audits.
- However, a substantial amount of work remains to be done by some Member States in order to achieve full compliance with all Annex 17 Standards and to establish comprehensive security oversight systems.

Progress made by States



- As indicated, the global average LEI by the eight CEs of an aviation security oversight system is 30.7 per cent. Approximately 49 per cent of all audited States have average LEI rates above the global average.
- Despite overall improvement in the implementation of aviation security measures worldwide, the results of both cycles of USAP audits indicate that a significant number of Member States continue to have difficulty in meeting their international obligations.

Review



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ICAO Universal Security Audit Programme

Questions?

End of Module 2