ICAO Universal Security Audit Programme
Continuous Monitoring Approach
(USAP-CMA)

ICAO Regional USAP-CMA Seminar

International Aviation Security Framework

Bangkok, Thailand, 7 to 9 December 2016
Module Objective

At the end of this module the participants will be familiar with the structure and content of the international framework governing various aspects of aviation security.
Module Outline

- International Civil Aviation Organization - ICAO
- ICAO Secretariat
- ICAO strategic objectives
- Chicago Convention
- International legal instruments
- Making an AVSEC SARP
- Annex 17
- Aviation Security Manual
- 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:**
To serve as the global forum of States for international civil aviation. ICAO develops policies and Standards, undertakes compliance audits, performs studies and analyses, provides assistance and builds aviation capacity through many other activities and the cooperation of its Member States and stakeholders.
Aviation Security Audit Section

- C/ASA
- Technical Report Production Assistants
- Technical Assistant
- Administrative Assistant
- Technical Clerk Secretary
- Aviation Security Officer(s)
- Analysis and Quality Assurance Coordinator
- Aviation Security Audit Team Leaders
- Technical Support
- Administrative Support
ICAO Global Presence

- Montreal (Headquarters)
- Paris (European and North Atlantic)
- Mexico City (North America and Caribbean)
- Lima (South America)
- Dakar (Western Africa)
- Cairo (Middle East)
- Nairobi (Eastern Africa)
- Beijing (Asia-Pacific Sub-Office)
- Bangkok (Asia-Pacific)
ICAO Strategic Objectives

SECURITY AND FACILITATION

ICAO UNITING AVIATION
WHEREAS the future development of international civil aviation can greatly help to create and preserve friendship and understanding among the nations and peoples of the world, yet its abuse can become a threat to the general security;
International Legal Instruments

• Convention on Offences and Certain Other Acts Committed on Board Aircraft (Tokyo, 1963);

• Convention for the Suppression of Unlawful Seizure of Aircraft (The Hague, 1970);

• Convention for the Suppression of Unlawful Acts Against the Safety of Civil Aviation (Montréal, 1971);

• Protocol for the Suppression of Unlawful Acts of Violence at Airports Serving International Civil Aviation, Supplementary to the Convention for the Suppression of Unlawful Acts Against the Safety of Civil Aviation (Montréal, 1988);
International Legal Instruments

- Convention for the Suppression of Unlawful Acts Relating to International Civil Aviation (*Beijing, 2010*);
- Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft (*Beijing, 2010*);
- Protocol to Amend the Convention on Offences and Certain Other Acts Committed on Board Aircraft (*Montréal, 2014*).

[http://www.icao.int/Secretariat/Legal/Pages/TreatyCollection.aspx](http://www.icao.int/Secretariat/Legal/Pages/TreatyCollection.aspx)
Chicago Convention

Article 37

- Adoption of international standards and procedures. 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

- Departures from international standards and procedures. 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.
Adoption and amendment of Annexes. The adoption by the Council of the Annexes shall require the vote of two-thirds of the Council and shall then be submitted by the Council to each Contracting State. Any such Annex or any amendment of an Annex shall become effective within three months after its submission to the Contracting States or at the end of such longer period of time as the Council may prescribe, unless in the meantime a majority of the Contracting States register their disapproval with the Council.
AVSEC Panel

Committee on Unlawful Interference

Council

Adoption Date
• The Council adopts amendments to Annex 17.
• States are allowed at least three months to indicate disapproval.

Effective Date
• The amendment becomes effective if a majority of States have not registered disapproval.
• States are allowed three months to notify ICAO of any differences.

Applicability Date
• Four months after the Effective Date.
• States must implement the amendments unless they have notified differences.
Annex 17

- First edition – March 1974
- Ninth edition – November 2010
- Amendment 14, February 2014
- Standards – 82
- Recommended Practices – 30
- Definitions - 29
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.
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.
Annex Component Parts

Appendices

Appendices comprising material grouped separately for convenience but forming part of the Standards and Recommended Practices adopted by the Council.
Definitions of terms used in the Standards and Recommended Practices which are not self-explanatory in that they do not have accepted dictionary meanings. A definition does not have an independent status but is an essential part of each Standard and Recommended Practice in which the term is used, since a change in the meaning of the term would affect the specification.
Notes

Notes included in the text, where appropriate, to give factual information or references bearing on the Standards or Recommended Practices in question, but not constituting part of the Standards or Recommended Practices.
Attachments comprising material supplementary to the Standards and Recommended Practices, or included as a guide to their application.
Annex 17

- CHAPTER 1. Definitions
- CHAPTER 2. General principles
- CHAPTER 3. Organization
- CHAPTER 4. Preventive security measures
- CHAPTER 5. Management of response to acts of unlawful interference
Annex 17, Definitions

Acts of Unlawful Interference

These are acts or attempted acts such as to jeopardize the safety of civil aviation, including but not limited to:

- unlawful seizure of aircraft,
- destruction of an aircraft in service,
- hostage-taking on board aircraft or on aerodromes,
- forcible intrusion on board an aircraft, at an airport or on the premises of an aeronautical facility,
- introduction on board an aircraft or at an airport of a weapon or hazardous device or material for criminal purposes,
- use of an aircraft in service for causing death, serious bodily injury, or serious damage to property or the environment,
- communication of false information such as to jeopardize the safety of an aircraft in flight or on the ground, of passengers, crew, ground personnel or the general public, at an airport or on the premises of a civil aviation facility.
A formal evaluation and confirmation by or on behalf of the appropriate authority for aviation security that a person possesses the necessary competencies to perform assigned functions to an acceptable level as defined by the appropriate authority.
Cargo or mail presented by an unknown entity or showing signs of tampering shall be considered high risk if, in addition, it meets one of the following criteria:

a) specific intelligence indicates that the cargo or mail poses a threat to civil aviation; or

b) the cargo or mail shows anomalies that give rise to suspicion; or

c) the nature of the cargo or mail is such that baseline security measures alone are unlikely to detect prohibited items that could endanger the aircraft.

Regardless of whether the cargo or mail comes from a known or unknown entity, a State’s specific intelligence about a consignment may render it as high risk.
Annex 17, Definitions

- Landside
- Security risk
- Transfer passenger/hold baggage
- Unauthorized interference
• CHAPTER 2. General principles

2.1 Objectives
2.2 Applicability
2.3 Security and facilitation
2.4 International cooperation
2.5 Equipment, research and development
2.1.2 Each Contracting State shall establish an organization and develop and implement regulations, practices and procedures to safeguard civil aviation against acts of unlawful interference taking into account the safety, regularity and efficiency of flights.

2.1.3 Each Contracting State shall ensure that such an organization and such regulations, practices and procedures:

a) **protect the safety** of passengers, crew, ground personnel and the general public in all matters related to safeguarding against acts of unlawful interference with civil aviation; and

b) are capable of responding **rapidly to meet any increased security threat**.
2.2.1 Each Contracting State shall apply the Standards and shall endeavour to apply the Recommended Practices contained in Annex 17 to international civil aviation operations.

2.2.2 Each Contracting State shall ensure that measures designed to safeguard against acts of unlawful interference are applied to domestic operations to the extent practicable, based upon a security risk assessment carried out by the relevant national authorities.
CHAPTER 3. Organization

3.1 National organization and appropriate authority

3.2 Airport operations

3.3 Aircraft operators

3.4 Quality control

3.5 Air traffic service providers
3.1.1 Each Contracting State shall establish and implement a **written national civil aviation security programme** to safeguard civil aviation operations against acts of unlawful interference, **through regulations, practices and procedures** which take into account the safety, regularity and efficiency of flights.

3.1.9 Each Contracting State shall **make available** to its airport and aircraft operators and air traffic service providers operating in its territory and other entities concerned, a written version of the **appropriate parts of its national civil aviation security programme and/or relevant information or guidelines** enabling them to **meet the requirements** of the national civil aviation security programme.
3.1.3 Each Contracting State shall keep under constant review the level of threat to civil aviation within its territory, and establish and implement policies and procedures to adjust relevant elements of its national civil aviation security programme accordingly, based upon a security risk assessment carried out by the relevant national authorities.
3.1.6 Each Contracting State shall require the appropriate authority to ensure the development and implementation of a national training programme for personnel of all entities involved with or responsible for the implementation of various aspects of the national civil aviation security programme. This training programme shall be designed to ensure the effectiveness of the national civil aviation security programme.

3.1.7 From 1 July 2013, each Contracting State shall ensure the development and implementation of training programmes and an instructor certification system in accordance with the national civil aviation security programme.
3.1.8 Each Contracting State shall ensure that the appropriate authority arranges for the supporting resources and facilities required by the aviation security services to be available at each airport serving civil aviation.

3.2.4 Each Contracting State shall ensure that airport design requirements, including architectural and infrastructure-related requirements necessary for the implementation of the security measures in the national civil aviation security programme, are integrated into the design and construction of new facilities and alterations to existing facilities at airports.
3.2.1 Each Contracting State shall require each airport serving civil aviation to establish, implement and maintain a written airport security programme appropriate to meet the requirements of the national civil aviation security programme.

3.2.2 Each Contracting State shall ensure that an authority at each airport serving civil aviation is responsible for coordinating the implementation of security controls.

3.2.3 Each Contracting State shall ensure that an airport security committee at each airport serving civil aviation is established to assist the authority mentioned under 3.2.2 in its role of coordinating the implementation of security controls and procedures as specified in the airport security programme.
3.3.1 Each Contracting State shall ensure that commercial air transport operators providing service from that State have established, implemented and maintained a written operator security programme that meets the requirements of the national civil aviation security programme of that State.
3.4.2 Each Contracting State shall ensure that the persons implementing security controls possess all competencies required to perform their duties and are appropriately trained according to the requirements of the national civil aviation security programme and that appropriate records are maintained up to date. Relevant standards of performance shall be established and initial and periodic assessments shall be introduced to maintain those standards.

3.4.3 Each Contracting State shall ensure that the persons carrying out screening operations are certified according to the requirements of the national civil aviation security programme to ensure that performance standards are consistently and reliably achieved.
3.4.4 Each Contracting State shall require the appropriate authority to develop, implement and maintain a national civil aviation security quality control programme to determine compliance with and validate the effectiveness of its national civil aviation security programme.

3.4.5 Each Contracting State shall ensure that the implementation of security measures is regularly subjected to verification of compliance with the national civil aviation security programme. The priorities and frequency of monitoring shall be determined on the basis of risk assessment carried out by the relevant authorities.

3.4.6 Each Contracting State shall arrange for security audits, tests, surveys and inspections to be conducted on a regular basis, to verify compliance with the national civil aviation security programme and to provide for the rapid and effective rectification of any deficiencies.
3.4.7 Each Contracting State shall ensure that the management, setting of priorities and organization of the national civil aviation security quality control programme shall be undertaken independently from the entities and persons responsible for the implementation of the measures taken under the national civil aviation security programme. Each Contracting State shall also:

a) ensure that the personnel carrying out security audits, tests, surveys and inspections are trained to appropriate standards for these tasks in accordance with the national civil aviation security programme;

b) ensure that the personnel carrying out security audits, tests, surveys and inspections are afforded the necessary authority to obtain information to carry out these tasks and to enforce corrective actions;

c) supplement the national civil aviation security quality control programme by establishing a confidential reporting system for analysing security information provided by sources such as passengers, crew and ground personnel; and

d) establish a process to record and analyse the results of the national civil aviation security quality control programme, to contribute to the effective development and implementation of the national civil aviation security programme, including identifying the causes and patterns of non-compliance and verifying that corrective actions have been implemented and sustained.
3.5 Each Contracting State shall require **air traffic service providers** operating in that State to establish and implement **appropriate security provisions** to **meet the requirements** of the national civil aviation security programme of that State.
Annex 17

- CHAPTER 4. Preventive security measures

4.1 Objective
4.2 Measures relating to access control
4.3 Measures relating to aircraft
4.4 Measures relating to passengers and their cabin baggage
4.5 Measures relating to hold baggage
4.6 Measures relating to cargo, mail and other goods
4.7 Measures relating to special categories of passengers
4.8 Measures relating to the landside
4.9 Measures relating to cyber threats
4.2.1 Each Contracting State shall ensure that the access to airside areas at airports serving civil aviation is controlled in order to prevent unauthorized entry.

4.2.2 Each Contracting State shall ensure that security restricted areas are established at each airport serving civil aviation designated by the State based upon a security risk assessment carried out by the relevant national authorities.
4.2.6 Each Contracting State shall ensure that persons other than passengers, together with items carried, prior to entry into airport security restricted areas serving international civil aviation operations, are subject to screening and security controls.

4.2.7 Each Contracting State shall ensure that vehicles being granted access to security restricted areas, together with items contained within them, are subject to screening or other appropriate security controls in accordance with a risk assessment carried out by the relevant national authorities.
4.3.1 Each Contracting State shall ensure that aircraft security checks of originating aircraft engaged in commercial air transport movements are performed or an aircraft security search is carried out. The determination of whether it is an aircraft security check or a search that is appropriate shall be based upon a security risk assessment carried out by the relevant national authorities.

4.3.2 Each Contracting State shall ensure that measures are taken to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of an aircraft engaged in commercial flights.
4.4.2 Each Contracting State shall ensure that transfer passengers of commercial air transport operations and their cabin baggage are screened prior to boarding an aircraft, unless it has established a validation process and continuously implements procedures, in collaboration with the other Contracting State where appropriate, to ensure that such passengers and their cabin baggage have been screened to an appropriate level at the point of origin and subsequently protected from unauthorized interference from the point of screening at the originating airport to the departing aircraft at the transfer airport.

4.5.4 Each Contracting State shall ensure that transfer hold baggage is screened prior to being loaded onto an aircraft engaged in commercial air transport operations, unless it has established a validation process and continuously implements procedures, in collaboration with the other Contracting State where appropriate, to ensure that such hold baggage has been screened at the point of origin and subsequently protected from unauthorized interference from the originating airport to the departing aircraft at the transfer airport.
4.4.3 Each Contracting State shall ensure that passengers and their cabin baggage which have been screened are protected from unauthorized interference from the point of screening until they board their aircraft. If mixing or contact does take place, the passengers concerned and their cabin baggage shall be re-screened before boarding an aircraft.

4.4.4 Each Contracting State shall establish at an airport measures for transit operations to protect transit passengers’ cabin baggage from unauthorized interference and protect the integrity of the security of the airport of transit.
4.5.3 Each Contracting State shall ensure that commercial air transport operators do not transport the baggage of persons who are not on board the aircraft unless that baggage is identified as unaccompanied and subjected to appropriate screening.

4.5.5 Each Contracting State shall ensure that commercial air transport operators transport only items of hold baggage which have been individually identified as accompanied or unaccompanied, screened to the appropriate standard and accepted for carriage on that flight by the air carrier. All such baggage should be recorded as meeting these criteria and authorized for carriage on that flight.
4.6.1 Each Contracting State shall ensure that appropriate security controls, including screening where practicable, are applied to cargo and mail, prior to their being loaded onto an aircraft engaged in commercial air transport operations.

4.6.4 Each Contracting State shall ensure that enhanced security measures apply to high-risk cargo and mail to appropriately mitigate the threats associated with it.

4.6.10 Each Contracting State shall ensure that, where screening of cargo and mail is conducted, screening is carried out using an appropriate method or methods, taking into account the nature of the consignment.
4.6.2 Each Contracting State shall establish a supply chain security process, which includes the approval of regulated agents and/or known consignors, if such entities are involved in implementing screening or other security controls of cargo and mail.

4.6.5 Each Contracting State shall ensure that operators do not accept cargo or mail for carriage on an aircraft engaged in commercial air transport operations unless the application of screening or other security controls is confirmed and accounted for by a regulated agent, or an entity that is approved by an appropriate authority. Cargo and mail which cannot be confirmed and accounted for by a regulated agent or an entity that is approved by an appropriate authority shall be subjected to screening.
4.6.3 Each Contracting State shall ensure that cargo and mail to be carried on a commercial aircraft are protected from unauthorized interference from the point screening or other security controls are applied until departure of the aircraft.

4.6.8 Each Contracting State shall ensure that cargo and mail that has been confirmed and accounted for shall then be issued with a security status which shall accompany, either in an electronic format or in writing, the cargo and mail throughout the secure supply chain.
Module 2

Annex 17, Chapter 4

Transfer cargo and mail

4.6.9 Each Contracting State shall ensure that transfer cargo and mail has been subjected to appropriate security controls prior to being loaded on an aircraft engaged in commercial air transport operations departing from its territory.

4.6.11 Recommendation.— Each Contracting State should establish appropriate mechanisms to confirm that transfer cargo and mail entering its territory has been subjected to appropriate security controls.
4.7.4 Each Contracting State shall ensure that the carriage of weapons on board aircraft, by law enforcement officers and other authorized persons, acting in the performance of their duties, requires special authorization in accordance with the laws of the States involved.

4.7.6 Each Contracting State shall ensure that the carriage of weapons in other cases is allowed only when an authorized and duly qualified person has determined that they are not loaded, if applicable, and then only if stowed in a place inaccessible to any person during flight time.
• CHAPTER 5. Management of response to acts of unlawful interference

5.1 Prevention

5.2 Response

5.3 Exchange of information and reporting
5.1.4 Each Contracting State shall ensure that **contingency plans** are developed and **resources made available** to safeguard civil aviation against acts of unlawful interference. The contingency plans shall be **tested on a regular basis**.
5.3.1 Each Contracting State concerned with an act of unlawful interference shall provide ICAO with all pertinent information concerning the security aspects of the act of unlawful interference as soon as practicable after the act is resolved.


An attached fillable PDF version of the form and also on the ICAO-NET (portal.icao.int) under “Publications” and “Others”.
Aviation Security Manual

- Ninth edition – 2014
- Chapters – 18
- Appendices – 43
- Guidance on compliance with Annex 17 SARPs
- Generally recognized best practices and procedures, but not the only means of compliance.
- Other methods of meeting the SARPs may be equally appropriate.
Module Review

- International Civil Aviation Organization - ICAO
- ICAO Secretariat
- ICAO strategic objectives
- Chicago Convention
- International legal instruments
- Making an AVSEC SARP
- Annex 17
- Aviation Security Manual
Questions?
End of Module 2