



DIRECTORS GENERAL OF CIVIL AVIATION-MIDDLE EAST REGION

First Meeting (DGCA-MID/1)
(Abu Dhabi, UAE, 22-24 March 2011)

Agenda Item 6: Aviation Security Issues

PROGRESS REPORT ON THE ICAO UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)

(Presented by the Secretariat)

SUMMARY

This paper reports on developments in the USAP. A first cycle of USAP audits and follow-up visits, focusing on States' compliance with Annex 17 – *Security Standards*, was conducted between November 2002 and December 2009. In all, 181 Member States and one Special Administrative Region were audited under the first cycle and 172 follow-up visits were also conducted. A second cycle of audits was launched in January 2008 focusing, wherever possible, on States' aviation security oversight capabilities and incorporating the security-related provisions of Annex 9 – *Facilitation*. As at 31 December 2010, 94 second-cycle audits had been conducted.

This paper also provides an update on the implementation of the limited level of transparency principle with respect to aviation security audit results, as well as on the procedure approved by Council to address significant security concerns.

Finally, the paper summarizes the results of the 37th Session of the Assembly as they pertain to the USAP.

Action by the meeting is at paragraph 4.

1. INTRODUCTION

1.1 This paper presents a report on progress made in the implementation of the ICAO Universal Security Audit Programme (USAP), with special emphasis on related activities in the Middle East (MID) region. It provides information on the status of implementation of the Programme, including the first cycle of audits and subsequent follow-up visits; the second-cycle audits completed thus far; and training and certification activities.

2. STATUS OF IMPLEMENTATION – AUDIT ACTIVITIES

2.1 First-Cycle Audits and Results

2.1.1 A total of 181 audits of Member States and one Special Administrative Region (SAR) were conducted during the first audit cycle of the USAP, between November 2002 and December 2007, including all the States in the MID region with the exception of Iraq, due to the prevailing United Nations Security Phase.

2.1.2 The corresponding programme of audit follow-up visits to validate the implementation of State corrective action plans was initiated in 2005 and completed in December 2009. In all, 172 follow-up visits were conducted. All fourteen States audited under the first cycle of the 15 States within the MID region received follow-up visits.

2.1.3 The analysis of audit results from the first cycle of audits has identified areas of concern at both the national and airport levels. At the national level, primary areas of concern include oversight and enforcement capabilities; the certification of screening personnel; and the effectiveness of aviation security training programmes. Common shortcomings at the airport level frequently relate to the need to update airport security programmes and, operationally, to control access to security restricted areas of airports; to apply security controls to cargo intended for carriage on passenger flights; and to ensure the quality and consistency of passenger, cabin and hold baggage screening. Comprehensive details on the audit findings and analysis are consolidated in a separate document entitled “*Universal Security Audit Programme – Analysis of Audit Results - Reporting Period: November 2002 to December 2009*”, which is available on the USAP secure website (<http://portal.icao.int/>).

2.1.4 The follow-up visits conducted revealed that, in the majority of States, there has been a significant improvement in the level of aviation security since the time of the first audit cycle. Particularly, within the MID region, the degree of compliance with Annex 17 — *Security Standards* improved from 34 per cent to 73 per cent, as shown in **Appendix A** to this information paper.

2.2 Second-Cycle Audits and Results

2.2.1 Recognizing that the USAP has proven to be instrumental in identifying aviation security concerns and in providing recommendations for their resolution, the 36th Session of the Assembly (18 to 28 September 2007) requested the continuation of the USAP, following completion of the initial cycle of audits at the end of 2007. The Assembly further directed that audits in the second cycle focus, wherever possible, on a State’s capability to provide appropriate national oversight of its aviation security activities, and that the audits be expanded to include relevant security-related provisions of ICAO Annex 9 — *Facilitation*.

2.2.2 As at 31 December 2010, 94 audits (of 93 Member States and one SAR) have been conducted since January 2008 under the second cycle; these include the following six States in the MID region: Egypt, Jordan, Lebanon, Socialist People's Libyan Arab Jamahiriya, Syrian Arab Republic and United Arab Emirates. The States to be audited in 2011 and 2012 were listed in Electronic Bulletin EB 2011/1, dated 21 January 2011, which is available on the ICAO-NET and USAP secure websites (<http://portal.icao.int/>).

2.2.3 **Appendix B** presents a chart depicting the degree of implementation of the critical elements of an aviation security oversight system, based on the results of second-cycle audits conducted in the six States mentioned above in the MID region. These results indicate, overall, a lack of effective implementation of the critical elements of an aviation security oversight system of 35.2 per cent in the MID region, where zero per cent would be the optimum result and 100 per cent the worst. The critical elements of a security oversight system related to the implementation of quality control obligations and the resolution of security concerns have shown the lowest level of implementation. However, this often corresponds to the low level of implementation of the critical elements related to personnel qualifications and training, the provision of technical guidance, tools and security critical information and certification and approval obligations.

3. OTHER ACTIVITIES AND DEVELOPMENTS

3.1 Training Courses and Seminars

3.1.1 In preparation for the start of the second cycle of USAP audits, an auditor recertification process was conducted during 2007 and 2008, in order to provide training to all USAP auditors on the audit methodology for the second cycle. The recertification consisted of live interactive web-based briefings and an e-learning programme; it concluded with over 120 USAP auditors recertified. The continued support received from States, including those in the MID region, through the short- and long-term secondment of experts to the Programme, has been instrumental in the effective implementation of the USAP. Currently, there are seven certified auditors from six States in the MID region to take part in aviation security audits under the USAP, as team members.

3.1.2 In addition to recertification activities since the start of the second audit cycle, four ab initio USAP auditor training and certification courses have been conducted in Casablanca, the Hong Kong Special Administrative Region of China, Lima, Montreal and Nairobi, resulting in the certification of 68 auditors.

3.1.3 Seminars designed to familiarize State officials with the tools and methodology used for the preparation, conduct and reporting of aviation security audits under the second cycle have also been conducted in Casablanca, Moscow, Nairobi, San José (Costa Rica) and Singapore, with the participation of over 180 officials.

3.2 Transparency

3.2.1 As directed by the 36th Session of the Assembly, the Council, during its 184th Session, approved a proposal to introduce a limited level of transparency with respect to aviation security audit results, whereby a graphical representation depicting the lack of implementation of the critical elements of an aviation security oversight system for each audited State is posted on the USAP secure website. A consequential amendment to the model Memorandum of Understanding (MoU) between ICAO and States regarding aviation security audits was subsequently approved by the Council. This limited level of transparency applies to all audits conducted under the second cycle of the USAP. All States which were invited to provide their consent to this amendment to the MoU have done so.

3.3 Significant Security Concerns

3.3.1 Under the current USAP report production process, a final security audit report is forwarded to the audited State within 60 calendar days after the closing meeting of the audit. The State then has 60 calendar days to submit a corrective action plan (CAP). However, USAP auditors sometimes encounter situations that reveal significant security concerns (SSECs) which may pose an immediate security risk to international civil aviation. In the absence of a mechanism to address these SSECs in a timely manner, corrective action might not be taken by the audited State before the CAP is submitted to ICAO approximately four months after the audit.

3.3.2 The Council, during its 189th Session, approved a definition of an SSEC, which 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.*

3.3.3 The Council also approved the associated mechanism to address such concerns outside of the established timeline for the production of aviation security audit reports and corrective action plans. This will allow SSECs to be addressed in a much shorter time frame. In accordance with the mechanism, a preliminary SSEC is to be validated and notified to the State, if the SSEC is confirmed, within 15 calendar days following the conclusion of the audit. The State is then given a period of maximum 15 calendar days to take corrective action. The details of the mechanism dealing with SSECs are described in Electronic Bulletin EB 2010/31 dated 23 August 2010. A consequential amendment to the model MoU between ICAO and audited Member States was subsequently approved by the Council to reflect the new mechanism, which is effective from the fourth quarter of 2010.

3.4 Results of the 37th Session of the Assembly

3.4.1 The 37th Session of the Assembly expressed unanimous support for the continuation of the USAP as an essential part of the newly adopted ICAO Comprehensive Aviation Security Strategy. The Assembly also endorsed the policy of a limited level of transparency of security audit results for the second cycle of the USAP, particularly relating to the prompt notification of the existence of significant security concerns. Moreover, the Assembly unanimously adopted a Declaration on Aviation Security, which reflects the commitment and political will of States to work with all stakeholders in strengthening aviation security worldwide.

4. ACTION BY THE MEETING

4.1 The ICAO USAP has successfully completed a first cycle of aviation security audits and follow-up visits. The positive results of this cycle confirm the commitment of States to implementing ICAO security Standards and to strengthening aviation security worldwide. In addition to identifying deficiencies and providing recommendations, the results also assist in the determination of global, regional and State specific remedial strategies. The second audit cycle, focusing on the capability of States to conduct effective oversight through the implementation of the critical elements of a State's aviation security oversight system, promotes the development in States of sustainable aviation security structures and programmes. Despite the overall progress made by States in addressing deficiencies identified, a number of States continue to experience difficulties in increasing their level of compliance with ICAO provisions and in meeting their security oversight obligations. Assistance to these States is coordinated through the ICAO Implementation Support and Development (ISD) Section and ICAO's Technical Cooperation Programme.

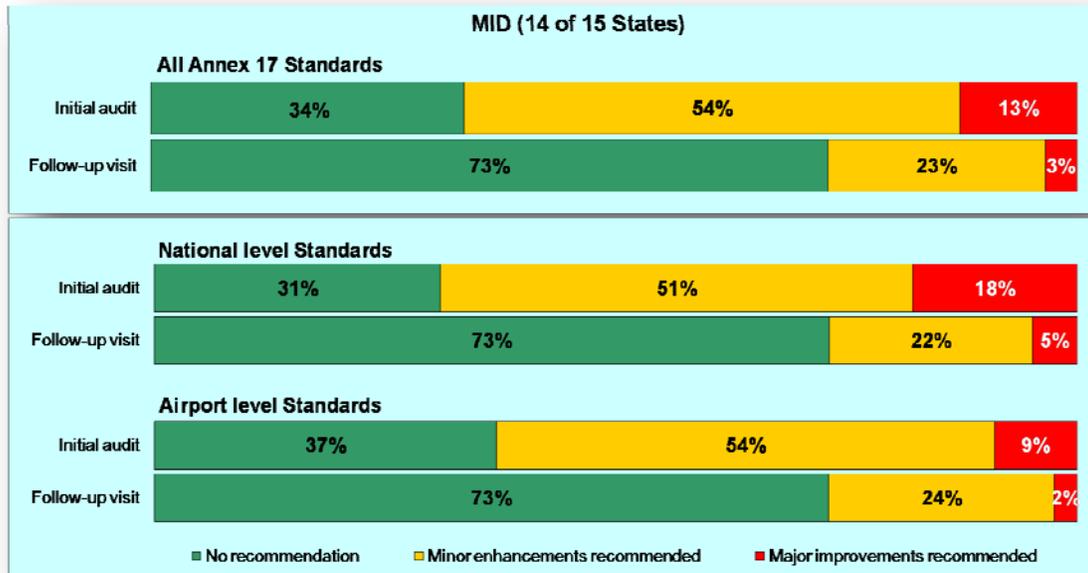
4.2 The introduction of a limited level of transparency of audit results and of a mechanism to address SSeCs that constitute an immediate risk to civil aviation, in a timely manner, balances the need to keep sensitive security information out of the public realm with that of informing States of unresolved deficiencies in the aviation security systems of audited States. The USAP continues to enjoy the support of States, serving as a catalyst for their continued efforts to meet their international obligations in the field of aviation security.

APPENDIX A

ANNEX 17 STANDARDS – PROGRESS MADE

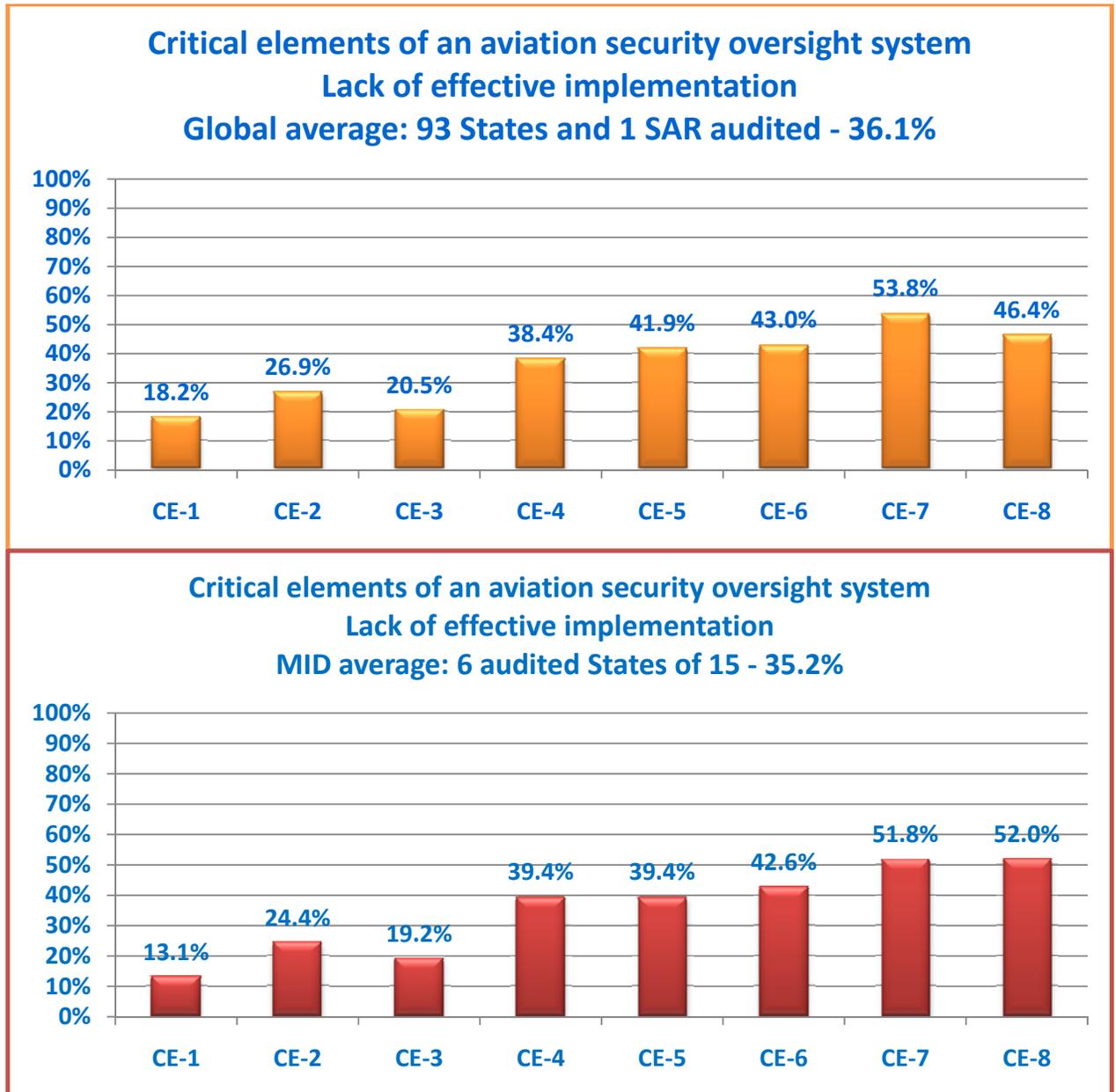
MIDDLE EAST (MID)

The following chart depicts the level of implementation of Annex 17 Standards for 14 States analysed in the Middle East region, for which initial audits and follow-up visits were completed.



Overall, full compliance with Annex 17 Standards averaged 73 per cent in the MID region, after the follow-up visits, above the global average of 59 per cent. The primary areas of concern at the national level are the oversight and enforcement capabilities and the national civil aviation security programmes of the States in the MID region; while, at the airport level, access control is the area with the lowest level of compliance.

APPENDIX B



- CE-1: Aviation security legislation
- CE-2: Aviation security programmes and regulations
- CE-3: State appropriate authority for aviation security
- 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