INTERNATIONAL CIVIL AVIATION ORGANIZATION
A United Nations Specialized Agency

ICAO Universal Security Audit Programme (USAP)

ICAO Regional Aviation Security Audit Seminar

Critical Elements of a
State's Aviation Security Oversight System

Cairo, Egypt, 26 to 28 January 2015

Module 4

Module objective

At the end of this module, the participants should be able to:

- describe the critical elements (CEs);

- identify their respective CE number; and

- fully understand the interrelationships amongst the CEs.

1

Outline

- A national system for aviation security oversight

- The eight critical elements of an effective aviation security oversight system

- Interrelationship of the critical elements

A national system for aviation security oversight

What is aviation security oversight?

Aviation security oversight is defined as a function which enables States to ensure the effective implementation of the security-related SARPs and associated procedures contained in the Annexes to the Chicago Convention (primarily Annex 17, but including the security-related provisions of Annex 9) and related ICAO documents.
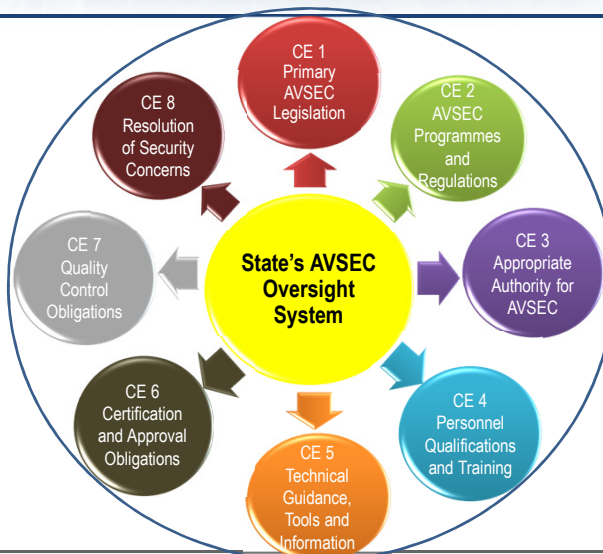
A national system for aviation security oversight

An effective aviation security oversight system?

- What is meant by an effective aviation security oversight system?

- What are the elements that you would consider essential for a State to be able to establish and maintain an effective aviation security oversight system?

State's Aviation Security Oversight System

State's AVSEC Oversight System

- CE 1 Primary AVSEC Legislation
- CE 2 AVSEC Programmes and Regulations
- CE 3 Appropriate Authority for AVSEC
- CE 4 Personnel Qualifications and Training
- CE 5 Technical Guidance, Tools and Information
- CE 6 Certification and Approval Obligations
- CE 7 Quality Control Obligations
- CE 8 Resolution of Security Concerns

## Aviation security oversight and the critical elements

- The critical elements (CEs) are essentially the tools of a State's aviation security oversight system and are required for the effective implementation of security-related policies and associated procedures.

- The CEs of an aviation security oversight system encompass the whole spectrum of civil aviation security activities.

Aviation security oversight and the critical elements

- The CEs are discussed in the ICAO Oversight Manual, Part C – The Establishment and Management of a State's Aviation Security Oversight System (Doc 9734).

4
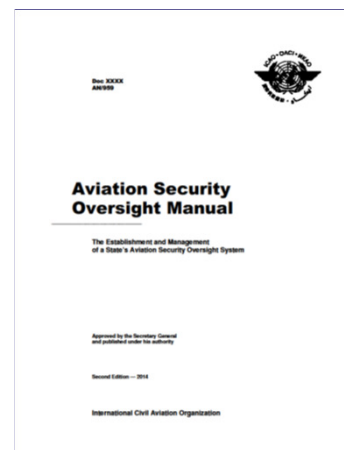
Critical Element 1

Primary Aviation Security Legislation

The provision of a comprehensive and effective legislative framework, consistent with the environment and complexity of the State's civil aviation operations, to effect the establishment and implementation of the State's aviation security policies and requirements in conformance with Annex 17 SARPs and security-related provisions contained in other Annexes to the Chicago Convention.

Critical Element 1

Primary Aviation Security Legislation

- Primary Legislation

- Establishment of an Appropriate Authority

- Empowerment of National Aviation Security Inspectors

5

Critical Element 2

Aviation Security Programmes and Regulations

The provision of necessary national-level programmes and adequate regulations to address, at a minimum, national requirements emanating from the primary aviation security legislation and providing for standardized implementation procedures, equipment and infrastructures (including security management and training systems) in conformance with Annex 17 SARPs and security-related provisions contained in other Annexes to the Chicago Convention.

Critical Element 2

Aviation Security Programmes and Regulations

- Secondary Legislation and Amendment Procedures

- National-level Programmes

- Regulatory Compliance with Annex 17 Standards

- Regulatory Compliance with Annex 9 Security-related Provisions

Critical Element 3

State Appropriate Authority for Aviation Security and its Responsibilities

The designation of an appropriate national authority for aviation security supported by appropriate technical and non-technical staff and provided with adequate financial resources. The State appropriate authority must have aviation security regulatory functions, objectives and policies.

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Critical Element 3

State Appropriate Authority for Aviation Security and its Responsibilities

This element also includes the definition and allocation of tasks and coordination of activities between government agencies and airport-level entities concerned with or responsible for the implementation of various aspects of the NCASP, as well as arranging for the supporting resources and facilities required for aviation security to be available at airports serving civil aviation.

Critical Element 3

State Appropriate Authority for Aviation Security and its Responsibilities

- Organizational Structure

- Resources

- Definition and Designation of Functions and Responsibilities

- Coordination of Activities

Critical Element 4

Personnel Qualifications and Training

The establishment of minimum knowledge and experience requirements for the technical personnel performing aviation security oversight functions and the provision of appropriate training to these personnel to maintain and enhance their competence at the desired level. The training should include initial, on-the-job and recurrent training.

This element also includes the provision of training to entities involved in the implementation of applicable aviation security requirements, measures and procedures.

Critical Element 4

Personnel Qualifications and Training

- National-level Personnel Qualifications and Training

- Airport-level Personnel Selection Criteria and Training

Critical Element 5

Provision of Technical Guidance, Tools and Security-critical Information

The provision of technical guidance (including processes and procedures), tools (including facilities and equipment) and security-critical information, as applicable, to the technical personnel to enable them to perform their aviation security oversight functions in accordance with established requirements and in a standardized manner.

This element also includes the provision of technical guidance by the appropriate authority to entities responsible for the implementation of applicable aviation security requirements, measures and procedures.

Critical Element 5

Provision of Technical Guidance, Tools and Security-critical Information

- Technical Guidance and Tools for National-level Personnel
- Risk Assessment Methodology
- Specifications for Security Equipment
- Guidance for the Implementation of Security Measures
- Guidance for a Regulated Agent and a Known Consignor Regime
- International Cooperation
- Terms and Conditions for the Certification
- Measures for Response to Acts of Unlawful Interference
- Dissemination Process
- Facilitation-related Features and Controls

Critical Element 6

Certification and Approval Obligations

The implementation of processes and procedures to ensure that personnel and entities performing an aviation security activity meet the established requirements (such as certification systems for security screeners and aviation security instructors, and a system to ensure that entities responsible for the implementation of security measures and procedures have established security programmes consistent with all relevant national requirements) before they are allowed to conduct the relevant activity.

Critical Element 6

Certification and Approval Obligations

- Approval of Airport-level Security and Training Programmes

- Airport-level Procedures

- Certification of Security Screeners and Aviation Security Instructors

Critical Element 7

Quality Control Obligations

The implementation of processes, such as audits, inspections, surveys and tests, to proactively ensure that entities authorized and/or approved to perform an aviation security activity continue to meet the established requirements and operate at the level of competency and security required by the State.

This includes the monitoring of designated personnel who perform security oversight functions on behalf of the appropriate authority.

Critical Element 7

Quality Control Obligations

- Quality Control Activity Schedule

- Oversight of Security Measures

- One-stop Security

- Oversight of Training

- Oversight of Delegated Tasks

- Airport-level Internal Quality Control and Coordination

Critical Element 8

Resolution of Security Concerns

The implementation of processes and procedures to resolve identified deficiencies impacting aviation security, which may have been residing in the aviation security system and have been detected by the appropriate authority or other appropriate bodies.

This includes the ability to analyse security deficiencies, provide recommendations, support the resolution of identified deficiencies by implementing follow-up procedures to validate the effective implementation of corrective actions, as well as take enforcement action when appropriate.
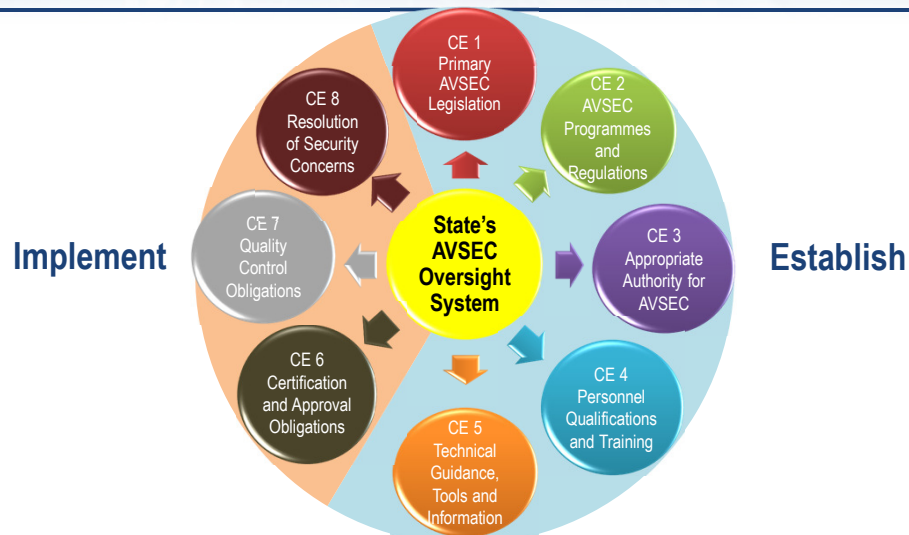
Critical Element 8

Resolution of Security Concerns

- Resolution, Analysis and Reporting of Identified Deficiencies

- Operational Compliance with Annex 17 Standards

- Operational Compliance with Annex 9 Security-related Provisions

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State's Aviation Security Oversight System

Implement   **Establish**

CE 1 Primary AVSEC Legislation

CE 2 AVSEC Programmes and Regulations

CE 8 Resolution of Security Concerns

CE 7 Quality Control Obligations

State's AVSEC Oversight System

CE 3 Appropriate Authority for AVSEC

CE 6 Certification and Approval Obligations

CE 5 Technical Guidance, Tools and Information

CE 4 Personnel Qualifications and Training

Interrelationship of the Critical Elements

- Let us talk about critical element interrelationships!
  - Between CE-1, CE-2 and CE-6
  - CE-2, CE-3 and CE-5
  - CE-7 and CE-8
- Can you think of other interrelationships?

Review

- A national system for aviation security oversight

- The eight critical elements of an effective aviation security oversight system

- Interrelationship of the critical elements

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Questions?

End of Module 4