



WORKING PAPER

ASSEMBLY — 37TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 14: Universal Security Audit Programme (USAP)

**PROVIDING INSTRUCTION TO USAP AUDITORS IN THE
HARMONIZATION OF CRITERIA**

(Presented by Colombia)

EXECUTIVE SUMMARY

The purpose of this working paper is to alert the Assembly to the need for a USAP auditor training course in which the criteria, concepts and methodology for USAP audits are harmonized, without losing sight of the main objective of the audits and accepting the fact that States are autonomous in determining their own laws and procedures so long as they comply with the international Standards, and that if legislation and procedures differ in form from the requirements of the auditors, this does not imply a failure in compliance.

Action: The Assembly is invited to:

- a) take note of the importance of having a regular training course to continually improve the skills of USAP auditors and promote the harmonized application of criteria, concepts and methodology for conducting audits; and
- b) impress upon USAP auditors the importance of using objective criteria standardized by ICAO as a basis for audit findings, of avoiding subjective assessments based on personal experience, and of doing regular training to update their skills and knowledge.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective B (<i>Enhance global aviation security</i>) through the continuation of the USAP.
<i>Financial implications:</i>	Cost of the recurring training activities.
<i>References:</i>	Doc 9902, <i>Assembly Resolutions in Force</i> (as of 28 September 2007) ICAO Regional Seminar on Aviation Security Audits, Costa Rica, May 2009

*The original version of this Working Paper was submitted in Spanish by Colombia.

1. INTRODUCTION

1.1 Technical evaluations conducted from 1989 to 2001 revealed inadequate implementation of ICAO Standards in many States.

1.2 The objective of the USAP is to promote global aviation security by regularly auditing Member States to verify their compliance with the ICAO security-related Standards and Recommended Practices (SARPs) and relevant procedures.

1.3 The main objectives of the USAP audits are:

- a) to assess each State's capability to provide appropriate national oversight of its aviation security activities through the effective implementation of the critical elements of a security oversight system; and
- b) to determine the compliance status of the State in respect of *Annex 17 – Security* Standards and provisions of *Annex 9 – Facilitation* that relate to aviation security.

1.4 Methodology involves the gathering of information by means of:

- a) interviews;
- b) review of documentation; and
- c) observation of operations and security functions.

In general, a lack of supporting documentation will result in an audit finding.

1.5 Future USAP activities include: “USAP auditor training courses, as needed”.

1.6 The USAP *Security Audit Reference Manual* offers guidance on the intent of each Standard and Recommended Practice. It is not intended to limit a State's options when deciding how to implement a Standard. The absence of a measure suggested by this document does not imply a failure in compliance.

1.7 The Assembly of ICAO urges all Member States to give full support to ICAO by accepting the audit missions as scheduled by the Organization in coordination with relevant States, facilitating the work of the audit teams and preparing and submitting to ICAO an appropriate corrective action plan to address deficiencies identified during the audit.

2. ANALYSIS

2.1 The USAP has been successful in meeting the mandate of ICAO and has proven to be instrumental in the identification of aviation security concerns and in providing recommendations for their resolution. As a result, the programme has validated an increased level of implementation of ICAO security Standards.

2.2 The continuation of the USAP is essential to create mutual confidence in the level of aviation security. ICAO and Member States need a coordinated strategy for identifying weaknesses.

2.3 ICAO has clearly defined future USAP activities, including the following:

- a) continue executing the second cycle of audits (2008-2013);
- b) hold seminars on aviation security audits in all regions. Said seminars have been developed for States;
- c) offer training courses for USAP auditors, as needed; and
- d) continue analysis of audit findings.

2.4 Given the importance of USAP audits and the need to harmonize the criteria for carrying them out, it is crucial for the audit criteria, concepts, methodology and implications of the activity to be clear and uniform for all involved (ICAO auditors and Member States).

2.5 The purpose of the *Auditor's Guidance* (Appendix E of the *Security Audit Reference Manual*) is to provide guidance concerning the intent of each Standard. It is not intended to limit a State's options when deciding how to implement a Standard. The absence of a measure suggested by this document does not imply a failure in compliance. At the regional seminar, ICAO emphasized that, in general, a lack of supporting documentation will result in an audit finding.

2.6 ICAO has clearly defined future USAP activities, which will include: "training courses for USAP auditors, as needed". This working paper proposes that a training course for USAP auditors be held in which the criteria, concepts and methodologies be harmonized, so as to ensure that decisions giving rise to findings are taken on the basis of objective criteria that have been standardized by ICAO, and not on a subjective basis which may result from the personal experience of the auditor. The criteria should be universal.

2.7 Commitment, independence, objectivity, professionalism, responsibility, integrity, transparency and knowledge are some of the many requisites for the auditors. The training modules for USAP auditors are part of the Audit Programme, and impart information, regulatory requirements, technical data and policies for learning and skills development. The training programme seeks to maintain auditors' skills and continually improve the USAP Audit Programme and process.