



International Civil Aviation Organization

ALLPIRG/5-WP/9  
09/03/06

## WORKING PAPER

### FIFTH MEETING OF THE ALLPIRG/ADVISORY GROUP

(Montreal, 23 – 24 March 2006)

- Agenda Item 4.1: Summary of aviation security activities**  
**4.2: Overview of Universal Security Audit Programme (USAP) activities**  
**4.3: Assistance to States in aviation security**

### REPORT ON ICAO AVIATION SECURITY ACTIVITIES

(Presented by the Secretariat)

#### SUMMARY

This paper presents a report on the progress made of the Universal Aviation Security Programme (USAP) and its overall impact in assisting States to identify their aviation security deficiencies throughout the audit and audit follow-up processes. Furthermore, the paper, under the Aviation Security Coordinated Assistance Program, provides information to further enhance assistance and support States to effectively develop their aviation security infrastructure and to correct aviation security deficiencies revealed under the USAP.

Action by ALLPIRG/5 is in paragraph 6.

#### 1. UNIVERSAL SECURITY AUDIT PROGRAMME

1.1 The Universal Security Audit Programme (USAP), which is a part of the Aviation Security Plan of Action, provides for the conduct of universal, mandatory and regular audits of the aviation security systems in all ICAO Contracting States. The objective of the USAP is to promote global aviation security through the auditing of States on a regular basis to assist States in their efforts to fulfill their aviation security responsibilities. The audits identify deficiencies in each State's aviation security system, and provide recommendations for their mitigation or resolution.

1.2 As of 28 February 2006, a total of 113 security audits have been conducted under the ICAO USAP. Approximately 40 audits are conducted each year and the programme is on schedule for all 189 Contracting States to have benefited from an initial audit by the end of 2007.

1.3 Sixteen auditor training courses have thus far been conducted under the USAP, and there are now a total of 156 aviation security experts, representing 69 States from all of the ICAO regions, on the ICAO roster of USAP certified auditors. The use of multi-national audit teams under the guidance of an ICAO team leader allows for a valuable interchange of expertise promotes a shared understanding of the Annex Standards among the international aviation security community.

1.4 Audit follow-up visits were initiated in 2005 with the objective of verifying the implementation of corrective action plans submitted by States. Audit follow-up visits are normally conducted by the Aviation Security Regional Officer (ASRO) stationed in the Regional Office accredited to the State and are scheduled in the second year following the initial audit of the State. Assistance to States to remedy deficiencies identified through audits and follow-up visits is provided under the ambit of ICAO's aviation security coordinated assistance and development programme.

## **2. AVIATION SECURITY COORDINATED ASSISTANCE AND DEVELOPMENT PROGRAMME**

2.1 The Assembly, at its 35th Session (Montreal, 28 September to 8 October 2004) updated and adopted Resolution A35-9: Consolidated statement of continuing ICAO policies related to the safeguarding of international civil aviation against acts of unlawful interference. The Resolution, which serves as the basis for the Organization's work in aviation security, recognizes the challenges faced by States in the implementation of their aviation security infrastructure. In particular, the Resolution acknowledges, at Appendix F, that implementation of technical measures for the prevention of acts of unlawful interference with international civil aviation requires financial investment and training of personnel. Notwithstanding assistance given, some States, developing States in particular, still face difficulties in fully implementing preventive measures due to insufficient financial, technical and material resources.

2.2 The Universal Security Audit Programme (USAP) has revealed that many States have shown alarming shortcomings with respect to, inter alia, effective oversight of aviation security activities, national quality control programmes and implementation of airport security programmes. As a result, the Aviation Security (AVSEC) Section and the Technical Cooperation Bureau (TCB) have increasingly tailored their aviation security programmes to accommodate regional needs, either by adapting traditional training/workshop initiatives to better reflect regional realities, or by promoting project partnerships between States in order to increase the long-term sustainability of their aviation security capabilities. Current AVSEC and TCB initiatives are listed in the Appendix to this paper.

2.3 This paper provides information on the Secretariat's activities to date, and a proposal to further enhance the assistance and support given to States to strengthen their aviation security capabilities.

## **3. STRATEGY TO ENHANCE AVIATION SECURITY CAPABILITY OF STATES**

3.1 An increasing number of States are specifically requesting ICAO assistance both independent of, and as a follow-up to their USAP audit to implement solid and sustainable aviation

security infrastructure and services. In order to meet the growing demands of States and to ensure that such requests for assistance continue to be properly managed, a strategy comprising two objectives is proposed:

- a) to promote closer cooperation and coordination with international and regional organizations engaged in aviation security-related activities with States contributing technical, financial, regulatory and legislative resources and programmes in the aviation security field to facilitate implementation of Annex 17 SARPs; and
- b) to assist States with the establishment of revenue-generating mechanisms enabling them to become self-sufficient in the development and implementation of viable and sustainable aviation security infrastructure, through coordinating and encouraging bilateral or multilateral relationships among interested parties.

3.2 The above strategy would provide special attention to States requiring support in emerging situations and towards alleviating outstanding security-related deficiencies identified through the audit programme as addressed in State corrective action plans. In this respect, the strategy would be implemented in a two-stage process to put into place systems for ensuring that States, unable to meet their security oversight obligations, would receive the precise support that is required.

3.3 In stage one, ICAO would assess the complexity of States' requirements vis-à-vis the type of aviation security assistance needed. This will be done in response to State/regional requests for assistance or through follow-up activities to monitor the progress made by States in implementing their corrective action plans and to identify areas where deficiencies continue to be encountered, i.e. at the national and/or airport levels. ICAO will evaluate whether these activities can be sufficiently addressed by its remedial assistance programmes available through the short-term AVSEC Mechanism or the longer-term TCB programmes to resolve identified security concerns. ICAO will continue to tailor its traditional aviation security assistance programmes to State or regional specifications.

3.4 In stage two, ICAO would tap into a broad set of technical and funding resources and tools that can be adapted to the needs of States requiring assistance. ICAO will expand affiliations with donor States, international, regional and sub-regional organizations, development banks, etc. through, for example, the G-8, the 2006 Japanese Ministerial Conference, and other international forums, to garner support for the concept of a collective response to the identified aviation security needs of, for example, developing States. By drawing on the aviation security knowledge and lessons learned from developed States and coordinating relationships between such States with States in need, the latter will be better equipped to fulfil their Annex 17 obligations.

3.5 Both stages will, where appropriate, involve coordinated assistance to groups of States based upon the determination of geographical areas (sub-regions) where projects can be most effectively developed (based upon an evaluation of common needs and available State resources). The process will also include data gathering, data analysis and tailoring of appropriate solutions.

#### **4. COOPERATION WITH OTHER INTERNATIONAL ORGANIZATIONS**

4.1 ICAO has already made considerable progress towards maximizing impact and avoiding duplication of efforts by establishing operational partnerships with, for example, the Organization for Cooperation and Security in Europe (OSCE) and the United Nations Office on Drugs and Crime

(UNODC). This has been achieved by, inter alia, coordinating workshops aimed at delivering technical assistance on travel document security (OSCE) and anti-terrorism legislation relating to civil aviation security (UNODC). Such consolidation of resources to avoid redundancy of efforts underscores ICAO's strategic commitment to expand global coordination of activities and cooperation in aviation security.

4.2 The Organization's mandate to broaden global coordination of aviation security initiatives is comparable to other United Nations (UN) system objectives, such as those of the UN Counter-Terrorism Committee (CTC). As with the CTC's worldwide efforts to combat terrorism, ICAO's goals in aviation security include strengthening the facilitation of technical assistance to States, strengthening of contacts and coordination with other specialized UN agencies and programmes, enhancement of synergies among international, regional, and sub-regional organizations for the implementation of Annex 17 SARPs, improvement of its ability to collect information for monitoring the efforts of Member States to rectify aviation security deficiencies, and the development and maintenance of a high degree of expertise in aviation security matters.

## 5. CONCLUSION

5.1 ICAO will launch an awareness campaign to the international aviation community on the implementation of its aviation security enhancement strategy including the design and implementation of a proactive communication policy. Having so informed States and stakeholders, it is anticipated that most, if not all, Member States in need of aviation security assistance will either approach ICAO with their assistance requests, or inform ICAO of any assistance programmes being delivered, thus enabling ICAO to maintain a global overview of aviation security measures and assist States in their effort to establish and maintain a viable and sustainable aviation security system.

## 6. ACTION BY ALLPIRG

6.1 The ALLPIRG Meeting is invited to note the information provided in this working paper.

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