



International Civil Aviation Organization

North American, Central American and Caribbean Office

**Third Meeting of North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/3)**

Punta Cana, Dominican Republic, 8-12 September 2008

NACC/DCA/3 – WP/17

25/08/08

**Agenda Item 4:**

**AVSEC**

**4.1 ICAO Universal Security Audit Programme**

**ICAO UNIVERSAL SECURITY AUDIT PROGRAMME**

(Presented by the Secretariat)

<b>SUMMARY</b>	
This working paper provides information on the status of the Universal Security Audit Programme (USAP) and State progress with implementation of <b>CORRECTIVE ACTION PLANS</b> in compliance with the Standards and Recommended Practices of Annex 17 to strengthen their aviation security systems within their States and, therefore, international civil aviation.	
<b>References:</b>	
<ul style="list-style-type: none"><li>• Annex 17</li><li>• Annex 9, Machine Readable Travel Documents</li><li>• Security Manual for Safeguarding Civil Aviation against Acts of Unlawful Interference (Doc. 8973)</li><li>• Universal Security Audit Programme (USAP)</li><li>• The Establishment and Management of a State's Aviation Security Oversight System, Part C of Safety Oversight Manual (Doc. 9734)</li></ul>	
<b>Strategic Objective B</b>	<i>Enhance Global Aviation Security</i>

**1. Introduction**

1.1 This working paper presents State actions needed to support and comply with ICAO Strategic Objective B. - Security – *Enhance global civil aviation security*, and related actions to be adopted by States in order to comply with Annex 17.

**2. Discussion**

2.1 Cycle I of the USAP was completed at the end of 2007; globally, 181 out of 190 States were audited during this cycle. The CAR/SAM Regions initiated Cycle II of the USAP with the audit of Jamaica in January 2008, and will continue with the audits of Bolivia and Paraguay in September. Additionally, follow-up audit visits of Cycle I are currently in process.

2.2 Regarding this issue, it is important to call the attention of civil aviation authorities to the progress with implementation and compliance of corrective action plans with respect to the recommendations from the first audit reports. Based on the results of the first audit and after the verification of the follow-up visit, States should provide particular attention to:

2.3 **National Civil Aviation Security Programme (NCASP)**  
**(Standard 3.1.1, Annex 17)**

2.3.1 The NCASP has been established in all States of the Region; however, in many cases this program is still in draft form or in the process of approval by the government's executive branch or the appropriate authority, indicating shortcomings in their legal framework. In situations where the NCASP was approved, it has not been disseminated and implemented, in most cases.

2.4 **National Civil Aviation Security Training Programme (NCASTP)**  
**(Standard 3.1.6, Annex 17)**

2.4.1 For the most part, this program is still in the development phase or draft form and in the process of approval by the appropriate authority; therefore, shortcomings are indicated with the legal framework with respect to AVSEC training of stakeholders and personnel involved in security inspections. In cases where the NCASTP has been approved, it has not been disseminated or implemented. Likewise, it does not contain clear and specific objectives for AVSEC personnel training, on-the-job training (OJT) or the criteria for certifying AVSEC personnel and instructors.

2.5 **National Civil Aviation Security Quality Control Programme (NQCP)**  
**(Standard 3.4.4, Annex 17)**

2.5.1 Like the other national programs, the NQCP is also, for the most part, in the development or approval phase. Generally, this document does not include procedures on how the civil aviation authority will perform effective surveillance through effective application of security measures and inspection procedures applied by airport administrators, private companies hired by the State, or State entities assigned to these tasks. In most cases, the entities in charge of conducting security oversight tasks have insufficient materials or qualified personnel to conduct surveillance on behalf of the State. In many cases personnel do not have the legal empowerment to conduct surveillance or, in some cases, the legal authority to impose sanctions on those entities that do not comply with national AVSEC laws and regulations.

2.6 **Contingency Plan (Standard 5.1.4, Annex 17)**

2.6.1 Even though many States developed contingency plans, these plans were not coordinated with the entities involved, mainly State entities that respond to acts of unlawful interference. This reflects lack of knowledge of the procedures that each involved entity must implement in such cases. Additionally, even though there is no requirement to establish a national contingency plan, it is important to ensure that involved entities are familiar with State criteria regarding the management and procedures to be implemented in case of an act of unlawful interference.

## 2.7 **National Civil Aviation Security Committee (NCASC) (Standard 3.1.5, Annex 17)**

2.7.1 Even though States have established laws for the creation of a National Civil Aviation Security Committee or similar arrangement, in many States such committee has not convened since its creation. In general, these laws require an update in regard to committee member composition.

## 2.8 **Airport Security Program (ASP) (Standard 3.2.1, Annex 17)**

2.8.1 All airports have established an Airport Security Program, generally approved; however, the ASP must still be adjusted to the local needs and resources of each airport. The great majority require additional procedures to ensure that national regulations will be applied for the effective application of security measures.

## 2.9 **Aircraft Operator Security Programme (AOSP) (Standard 3.3.1, Annex 17)**

2.9.1 Not all States receive AOSPs for review and approval by the civil aviation authority. In some cases, even though criteria has been incorporated to present the AOSP at the same time the aircraft operation certificate is requested, there is no coordination within the civil aviation authority to make sure the AOSP is reviewed by the appropriate AVSEC authority. Additionally, the AOSP of foreign aircraft operators reflect general information from their company headquarters and have not been adapted to the conditions, means and resources of the airports of States where they operate.

2.10 In order to assist States with respect to their AVSEC deficiencies, ICAO has developed training programs grouping neighbour States together in order to benefit from this training and, therefore, to progress with their corrective action plans. However, not all States take advantage of this training and some activities must be cancelled due to lack of participants, as was the case with the USAP Second Cycle Audit Seminars.

2.11 Furthermore, in order to assist States with preparation for the USAP Second Cycle Audit that includes security related aspects of Annex 9 – *Facilitation* and a new comprehensive system approach that verifies the eight critical elements within State AVSEC systems, ICAO developed Part C of Doc 9734 - *Safety Oversight Manual* called *The Establishment and Management of a State's Aviation Security Oversight System*, which is already published. This document will also assist appropriate State authorities to conduct oversight for the effective implementation of AVSEC regulations and procedures within their States.

2.12 Finally, it is important to remember that according to the dispositions of the ICAO Council, the Audit Report Review Board (ARRB) reviews the progress of corrective action plan implementation and, when appropriate, takes measures with States that do not show any improvement in their aviation security systems with respect to the recommendations of the first audit report and follow-up visits.

**3. Required Action for the Meeting**

3.1 The Meeting is invited to take note of the content of this working paper, and that:

- a) States support the AVSEC entities within their administration to establish, approve and effectively implement their AVSEC National Civil Aviation Security Program (NCASP) and related programmes, and activate their National Civil Aviation Security Committees or similar arrangements;
- b) States ensure the effective implementation of their corrective action plans in response to the recommendations of the USAP audit report before the follow-up visit of the First Cycle Audit, and in extreme cases before the USAP Second Cycle Audit, notifying ICAO of the progress of their action plans; and
- c) should any differences identified during the audit remain unaddressed, States are reminded of their obligation under Article 38 of the Chicago Convention on International Civil Aviation to officially notify ICAO of any such differences.

- END -