



WORKING PAPER

ASSEMBLY — 38TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 14: Universal Security Audit Programme (USAP)

UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

The 37th Session of the Assembly (Resolution A37-17, Appendix E refers) requested the Council to report to the next ordinary session of the Assembly on the overall implementation of the ICAO Universal Security Audit Programme (USAP), including its decision with regard to the feasibility of extending the Continuous Monitoring Approach (CMA) to the USAP after the conclusion of the current audit cycle in 2013.

The second cycle of USAP audits focused, wherever possible, on States' aviation security oversight capabilities and incorporated the security-related provisions of Annex 9 — *Facilitation*. This cycle was launched in January 2008 and has now been completed. A total of 177 Member States and one Special Administrative Region received second-cycle audits.

The 197th Session of the Council approved the transition to a USAP-CMA following completion of the second cycle of USAP audits. Details of the preparatory work for the USAP-CMA and its transition plan can be found in A38-WP/15.

Action: The Assembly is invited to note the final report on the implementation of the second cycle of USAP audits.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective B — Security.
<i>Financial implications:</i>	No additional resources required.
<i>References:</i>	A38-WP/15 – Universal Security Audit Programme (USAP): Transition to a continuous monitoring approach EB 2010/31 Annex 9 — <i>Facilitation</i> Annex 17 — <i>Security</i> Doc 9734, <i>Oversight Manual, Part C — The Establishment and Management of a State's Aviation Security Oversight System</i> Doc 9958, <i>Assembly Resolutions in Force</i> (as of 8 October 2010)

1. INTRODUCTION

1.1 The ICAO Universal Security Audit Programme (USAP) was established in 2002, pursuant to the recommendations of the High-level Ministerial Conference on Aviation Security (Montréal, February 2002). The second cycle of USAP audits was launched in January 2008 and focused, wherever possible, on States' aviation security oversight systems. The scope of these audits included both Annex 17 — *Security Standards* and relevant security-related provisions of Annex 9 — *Facilitation*.

1.2 In the ICAO Secretariat, the Aviation Security Audit Section of the Aviation Security Branch in the Air Transport Bureau is responsible for the management and administration of the USAP. The Secretariat has completed the second cycle of USAP audits, as mandated by the ICAO Assembly. In accordance with Assembly Resolution A37-17, Appendix E (2010), this working paper provides a final report on the overall implementation of the USAP and other related developments since the last session of the Assembly.

2. AUDIT ACTIVITIES – FINAL REPORT

2.1 A total of 177 audits of ICAO Member States were conducted under the second cycle of USAP audits, as well as an audit of the Macao Special Administrative Region of China and an assessment of the European Commission aviation security inspection system. It should be noted that, as was the case in the first cycle of USAP audits, it was not possible to conduct a second-cycle audit of all ICAO Member States. Some States were not audited due to their security level, as assigned by the United Nations Department of Safety and Security (UNDSS). In other cases, an analysis of first-cycle audit and follow-up mission results, and/or a review of corrective action plans (CAPs) and information supplied in Pre-Audit Questionnaires (PAQs), identified certain States that would benefit from referral to the Implementation Support and Development – Security (ISD-SEC) Programme for the provision of appropriate assistance prior to the conduct of a USAP audit.

2.2 USAP second-cycle audits measured the level of lack of effective implementation (LEI) by States of the eight critical elements of an aviation security oversight system (CEs), as identified in Doc 9734 — *Oversight Manual, Part C — The Establishment and Management of a State's Aviation Security Oversight System*. The graph depicted in the Appendix shows the global results for each of the eight CEs based on all audits conducted as well as a global average LEI of 30.7 per cent over all of the CEs for those 178 audits. Given these results, and considering the security challenges and priorities in the foreseeable future, as documented in the Report of the High-level Conference on Aviation Security held from 12 to 14 September 2012, and as reflected in the ICAO Global Risk Context Statement, there is significant room for improvement. The global audit results further display that States' quality control obligations are the least effectively implemented of the critical elements, while the resolution of security concerns, certification and approval obligations, and the provision of technical guidance, tools and security-critical information are also areas of concern.

2.3 Detailed information on the results of the second audit cycle is contained in the supplementary document *Universal Security Audit Programme – Analysis of Audit Results, Fifth Edition – 2013*. This document is available through the USAP secure website: <https://portal.icao.int>. A paper version of the document is also available upon request.

3. OTHER ACTIVITIES AND DEVELOPMENTS

3.1 Training Courses and Seminars

3.1.1 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 were carried out at the beginning of the cycle in Singapore, Nairobi, Casablanca, Moscow and San José (Costa Rica), with the participation of over 180 officials.

3.1.2 A programme of auditor recertification was initiated in December 2007 in order to provide training to all USAP auditors on the audit methodology for the second cycle. The training programme, which consisted of live interactive web-based briefings and an e-learning programme, concluded in 2008, with over 120 USAP auditors recertified. In addition to recertification activities, six initial USAP auditor training and certification courses were conducted during the second cycle of audits, resulting in the certification of over 70 new USAP auditors.

3.1.3 The participation of both short-term and long-term seconded experts in the USAP has been invaluable in assisting the Organization in the efficient and effective implementation of the Programme. Under the second cycle of audits, significant contributions were made by seven team leaders seconded to the Programme on a long-term basis from Canada (1), France (2), Switzerland (1) and the United States (3). Short-term experts have repeatedly been seconded to participate in individual or multiple USAP second-cycle audits. States and organizations that have seconded short-term experts to the USAP during the second cycle of USAP audits are: Argentina, Australia, Benin, Brazil, Cameroon, Canada, Chile, China, Costa Rica, Croatia, Cuba, Denmark, Dominican Republic, Ecuador, Egypt, El Salvador, Ethiopia, European Commission, Finland, France, Germany, Iceland, India, Japan, Jordan, Kenya, Lebanon, Lesotho, Malaysia, Mali, Morocco, Nepal, Netherlands (including Netherlands Antilles), New Zealand, Niger, Nigeria, Oman, Panama, Peru, Portugal, Republic of Korea, Romania, Russian Federation, Saudi Arabia, Senegal, Singapore, South Africa, Spain, Sri Lanka, Switzerland, Tunisia, Uganda, Ukraine, United Arab Emirates, United Republic of Tanzania, United States, Uruguay, Zambia and Zimbabwe. The continued availability of seconded personnel to support the USAP will be essential for the conduct of audit and related activities intended to assist States.

3.2 Significant Security Concerns

3.2.1 The 189th Session of the Council approved a mechanism, applicable to audits conducted under the second cycle, to address Significant Security Concerns (SSECs) identified during USAP audits in a timely manner. Details of the SSEC mechanism are described in Electronic Bulletin EB 2010/31, dated 23 August 2010. The mechanism has been implemented since October 2010. Since then, a total of sixteen SSECs involving nine States were identified through the mechanism and posted on the USAP secure website. As at 15 July 2013, five States have been successful in resolving nine SSECs, while seven SSECs involving four States remained unresolved. The Secretariat is working closely with these States to monitor progress toward the resolution of all outstanding SSECs and to provide assistance in this regard.

3.3 Transparency

3.3.1 In accordance with the decision of the Council regarding the introduction of a limited level of transparency with respect to aviation security audit results, graphical representations of the LEI for States audited under the second cycle of the USAP are available on the USAP secure website. In addition, the Council decided to make information pertaining to the existence of SSECs available to all Member States through the USAP secure website.

3.4 **Monitoring and Assistance Review Board (MARB)**

3.4.1 The Monitoring and Assistance Review Board (MARB) is a high-level Secretariat group chaired by the Secretary General responsible for executive oversight of ICAO's monitoring and assistance programmes, including the USAP. The MARB reviews auditing and monitoring activities in referred States, as well as assistance plans. Also, the MARB closely follows developments in States with SSeCs with a view to providing timely and effective support for prompt resolution. The Secretariat reports to the Council every Session on the activities of the MARB.

3.5 **Evolution of the USAP after 2013**

3.5.1 The 197th Session of the Council formally approved the concept of the USAP Continuous Monitoring Approach (USAP-CMA) and the associated transition plan presented by the Secretariat. Details of this approach and of the transition plan are presented in Assembly working paper A38-WP/15.

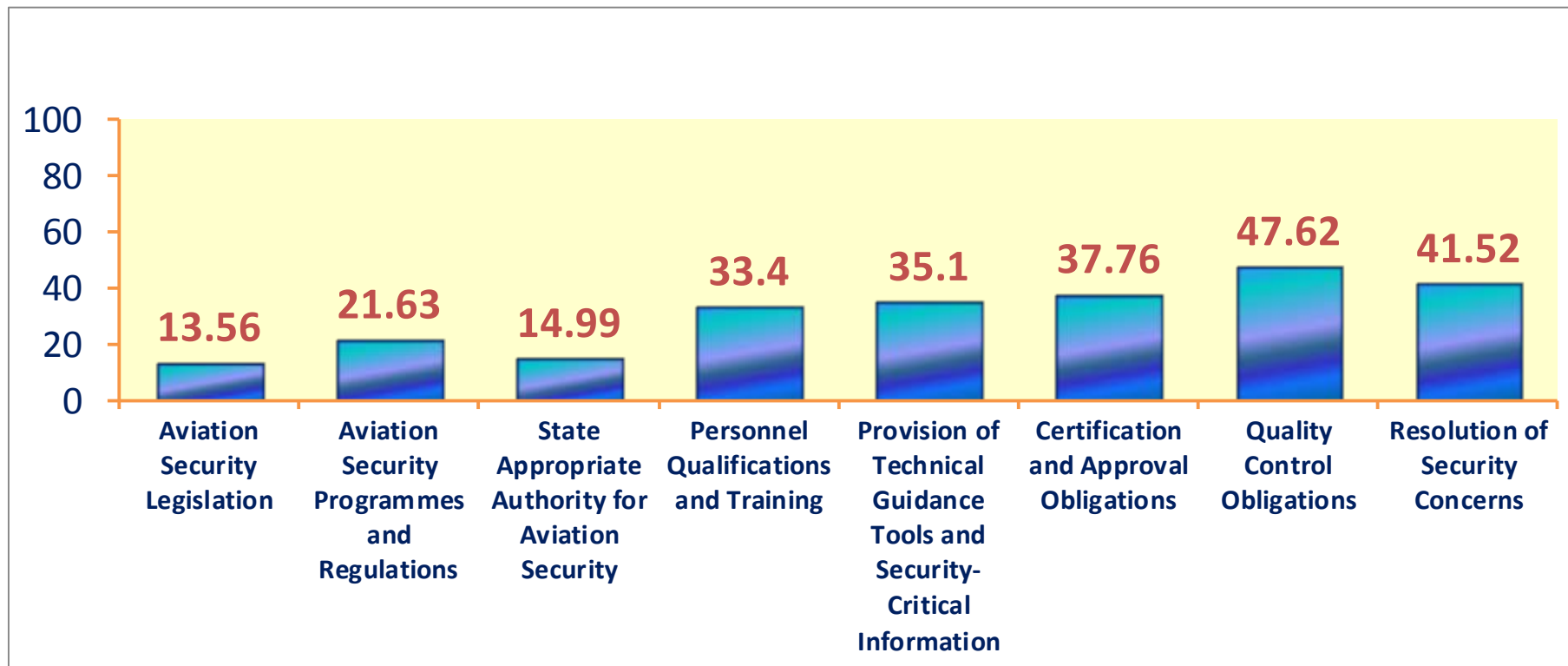
4. **CONCLUSION**

4.1 The ICAO USAP has successfully completed the second cycle of aviation security audits. The results of this cycle and the engagement of Member States confirm States' commitment to implement ICAO security-related Standards and strengthen aviation security. These audits have also helped to identify deficiencies, target assistance activities and develop new auditing strategies to be used under the USAP-CMA. 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.

4.2 Nevertheless, the results of both cycles of USAP audits indicate that a number of States continue to experience difficulties in meeting aviation security obligations. Ongoing monitoring of progress made by States in this regard will be provided under the USAP-CMA.

APPENDIX

At the conclusion of the second cycle of USAP audits, the global average level of lack of effective implementation of the critical elements of States' aviation security oversight systems (LEI) for the 177 States and one Special Administrative Region of China audited under the USAP stood at 30.7 per cent. The following graph displays the average global LEI for each of the eight critical elements:



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