

THE UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)

Objectives

USAP objective



The objective of the USAP is to promote global aviation security through auditing Contracting States, on a regular basis, to determine the status of implementation of ICAO security Standards.

Objectives

The primary objectives of an ICAO security audit are to:

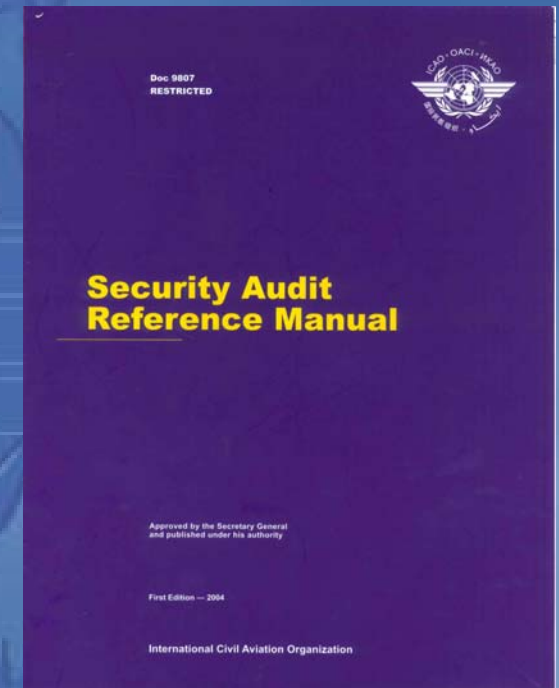
- a) determine the degree of compliance of the State in implementing Annex 17 Standards and security-related provisions of Annex 9;**
- b) observe and assess the State's adherence to associated security procedures, guidance material and security-related practices;**
- c) determine the sustainability and effectiveness of the State's implementation of a security system, through the establishment of legislation, programmes, regulations and a security authority with control and enforcement capabilities;**
- d) determine the State's capability for security oversight by assessing the effective implementation of the critical elements of a security oversight system; and**
- e) provide recommendations to Contracting States to improve their security systems and oversight capabilities.**

USAP Methodology

Security Audit Reference Manual: Doc 9807

To provide standard auditing procedures for the conduct of audits of Contracting States' aviation security systems.

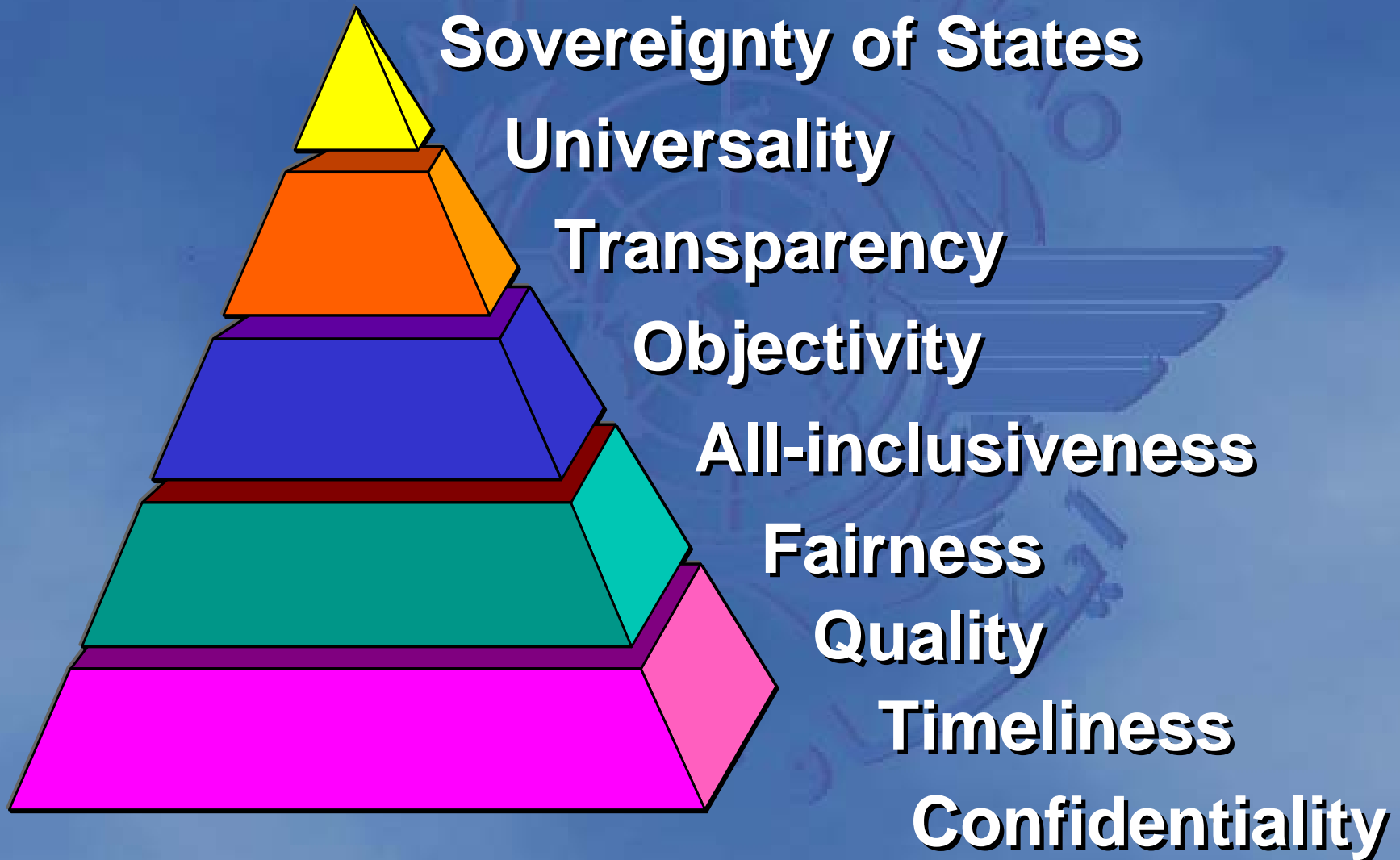
To assist both ICAO Contracting States and audit team members by explaining the standard auditing procedures and pre- and post-audit activities.



USAP Characteristics

- ✓ **Regular, mandatory, systematic and harmonized audits**
- ✓ **Evaluation of aviation security in place in all 190 ICAO Contracting States**
- ✓ **Audit State's aviation security oversight capability**
- ✓ **Audit security measures at selected airports**
- ✓ **Funded by voluntary contributions**

USAP Principles



Programme activities

1992						
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

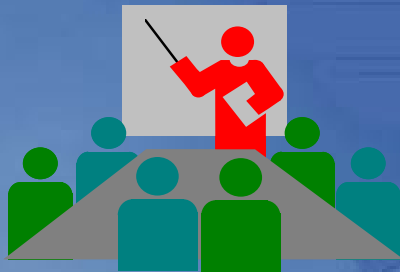
Planning



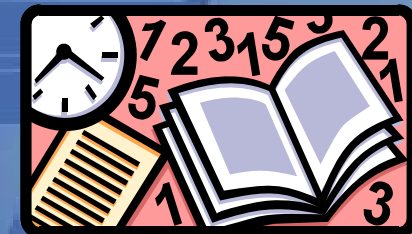
Audits



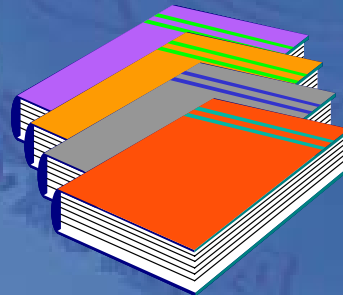
Audit Tools



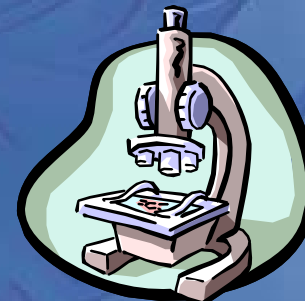
Training & Certification



Working Papers



Audit Reports



Analysis

Programme Management and Administration



**ASA
SECTION**

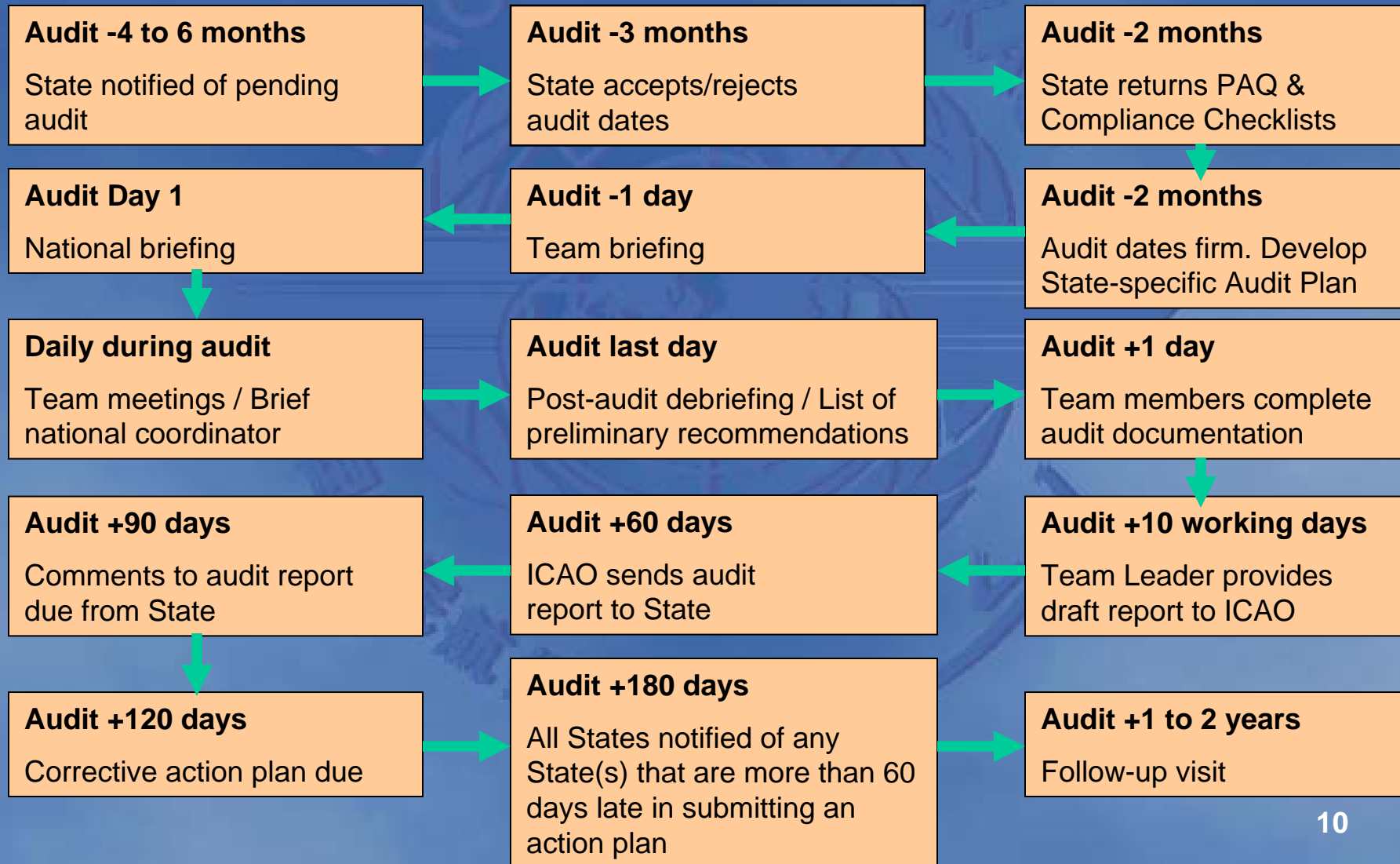
ASA's "Customers"

INTERNAL



EXTERNAL
9

Audit Cycle

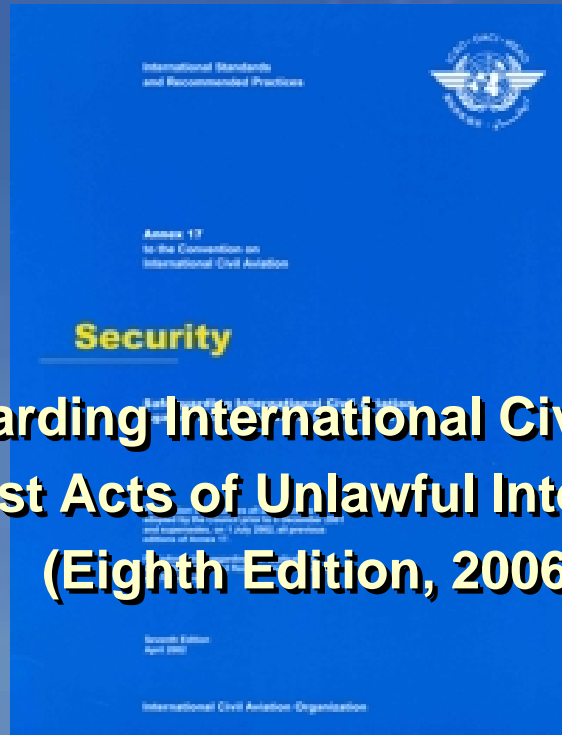


Audit Related Documents

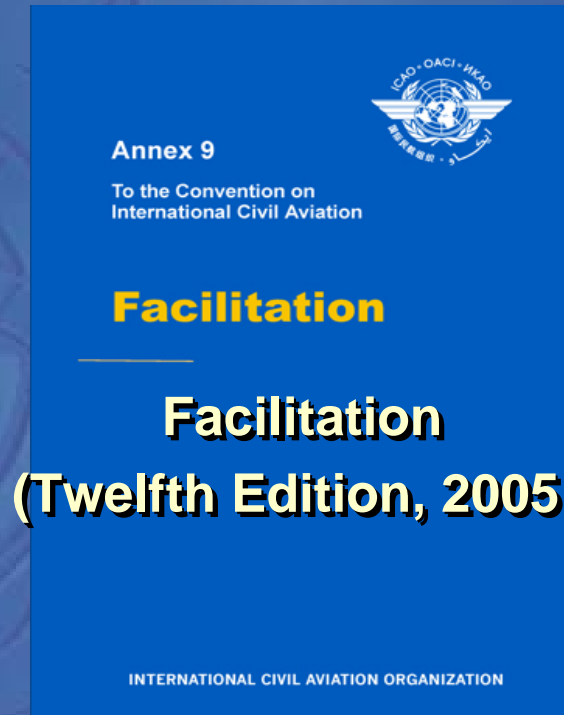
- Chicago Convention
- Annex 17: Standards
- Annex 9: Security – related Provisions
- Security Manual – Doc 8973
- Security Audit Reference Manual – Doc 9807
- Oversight Manual – Doc 9734 Part C



Security-related Provisions



**Safeguarding International Civil Aviation
Against Acts of Unlawful Interference
(Eighth Edition, 2006)**



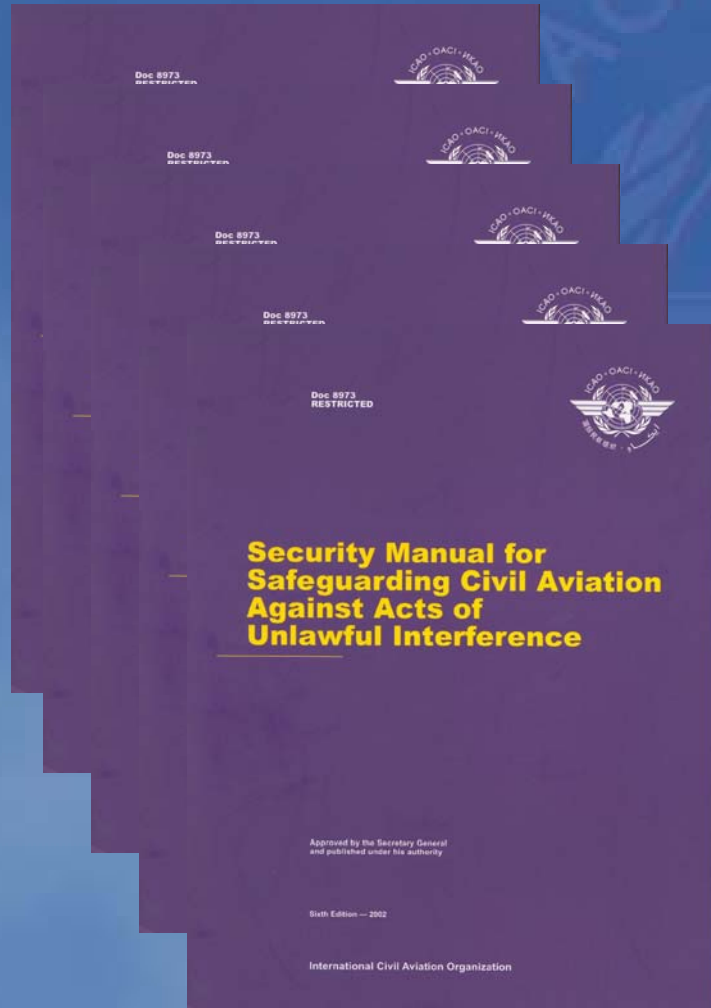
**Facilitation
(Twelfth Edition, 2005)**

Latest amendments

Amendment 11: 1 July 2006

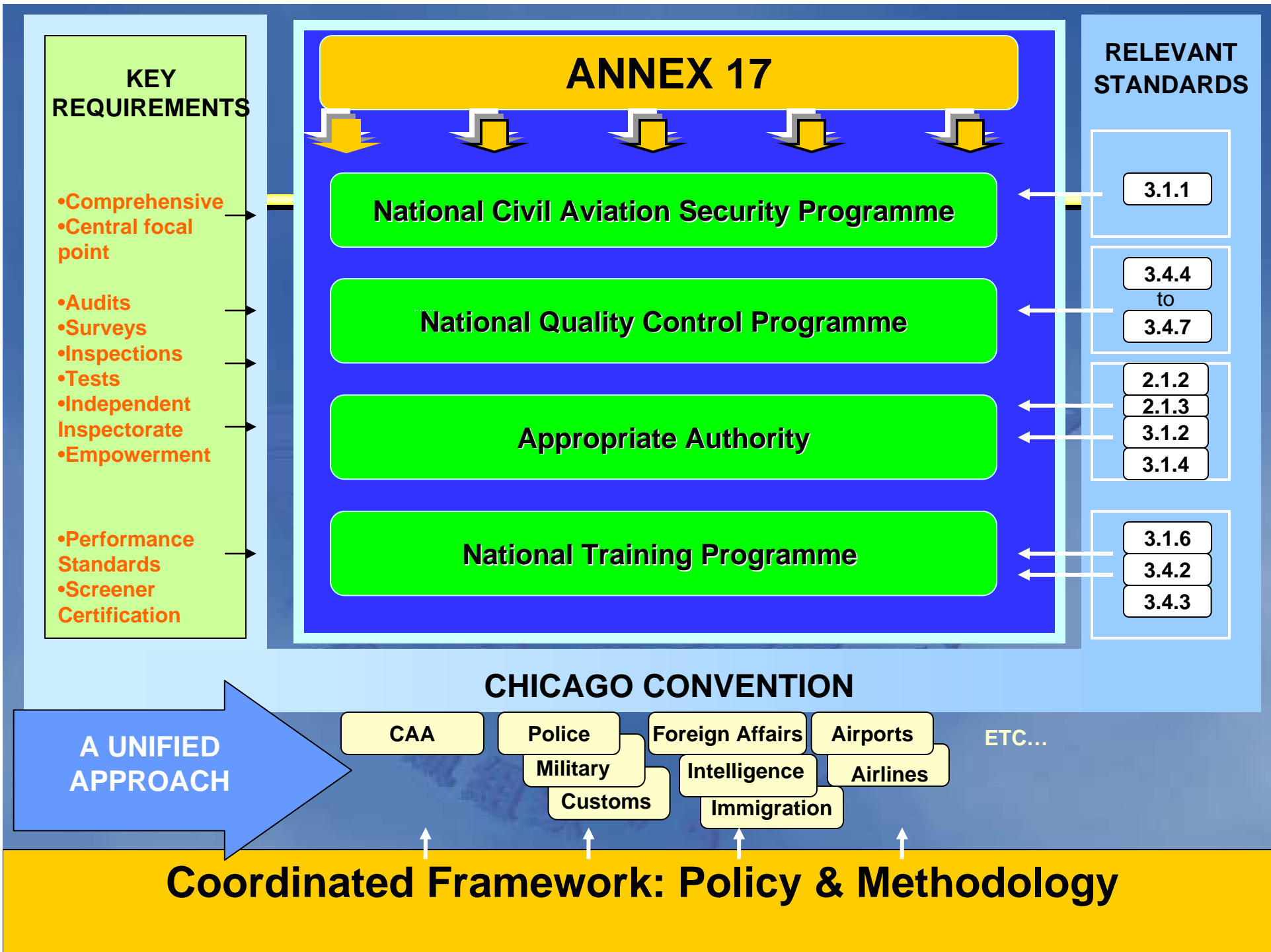
Amendment 20: 15 July 2007

Security Manual for Safeguarding Civil Aviation Against Acts of Unlawful Interference Doc 8973

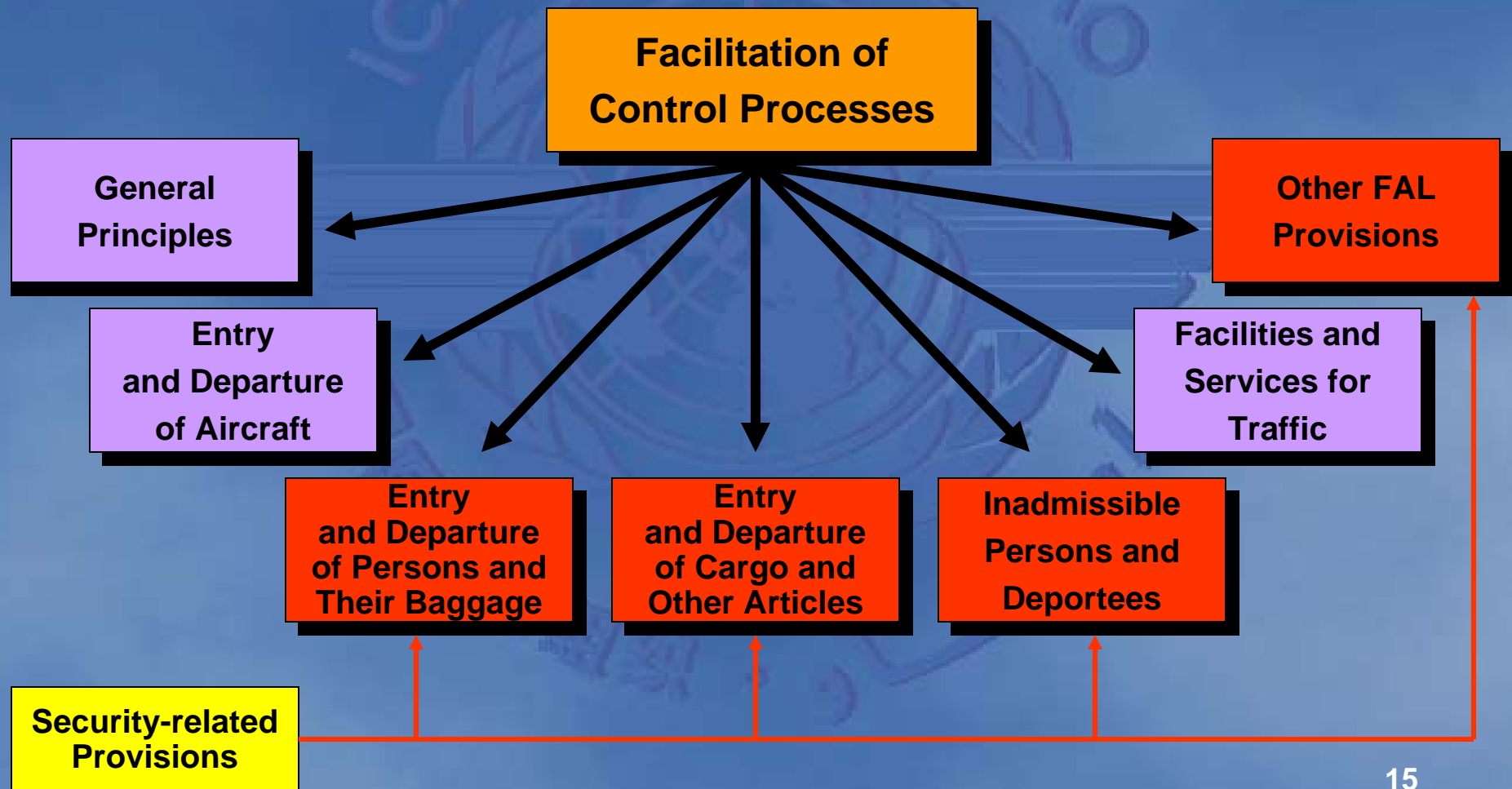


To assure the protection of passengers, crew, ground personnel, the general public and facilities of an airport serving international civil aviation against acts of unlawful interference.

To provide guidance on the implementation of Annex 17 Standards and Recommended Practices.



Key Elements of Annex 9



Convention on International Civil Aviation (Chicago Convention)

In brief, requires Contracting States to exercise positive control and supervision over all civil aviation activities conducted in the State through the establishment of an effective **oversight** system.

What is Aviation Security Oversight?

Aviation Security oversight is the means by which States ensure effective implementation of their national security requirements in compliance with the security-related Standards and Recommended Practices (SARPs).

Aviation Security oversight is a State's responsibility

Critical Elements of a State's Security Oversight System

CE 1: Aviation Security Legislation

CE 2: Aviation Security Programmes and Regulations

CE 3: State Appropriate Authority for Aviation Security and its Responsibilities

CE 4: Personnel Qualifications and Training

CE 5: Provision of Technical Guidance, Tools and Security Critical Information

CE 6: Certification and Approval Obligations

CE 7: Quality Control Obligations

CE 8: Resolution of Security Concerns

Critical Elements of a State's Security Oversight System



Audit Tools

Memorandum of Understanding

Audit Protocol

Auditor's Guidance

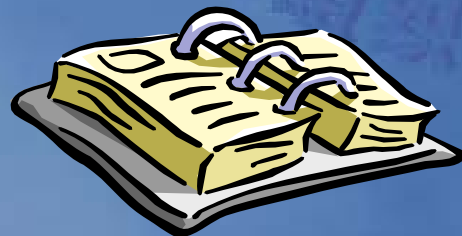
Pre-audit Questionnaire (PAQ)

Compliance Checklist

State Corrective Action Plan

Audit Mission Report

State Audit Feedback Form



Audit Protocol: Audit Areas

- 1. Regulatory Framework and the National Civil Aviation Security System**
- 2. Training of Aviation Security Personnel**
- 3. Quality Control Functions**
- 4. Airport Operations**
- 5. Aircraft and In-flight Security**
- 6. Passenger and Baggage Security**
- 7. Cargo, Catering and Mail Security**
- 8. Response to Acts of Unlawful Interference**
- 9. Security Aspects of Facilitation**

AA-1

The availability of an organization for aviation security. The availability and implementation of comprehensive, flexible and effective national AVSEC legislation, regulations, programmes, preventive measures and procedures.

**Regulatory Framework
and
the National Civil Aviation Security
System**

AA-2

The availability of a comprehensive aviation security training programme for the effective implementation of preventive measures identified in the national civil aviation security programme. A system for training and testing of security personnel, in order to achieve and maintain an acceptable level of efficiency.

Training of Aviation
Security Personnel

AA-3

The establishment and implementation of a written national quality control programme to assess the effectiveness of the national civil aviation security programme, to identify deficiencies within it, and to ensure that sustainable and appropriate corrective actions are implemented. Authority, responsibility and a mechanism for the conduct of audits, tests, surveys and inspections of all aviation security measures implemented in the aviation security system by all agencies, authorities, aircraft operators and others concerned.

Quality Control

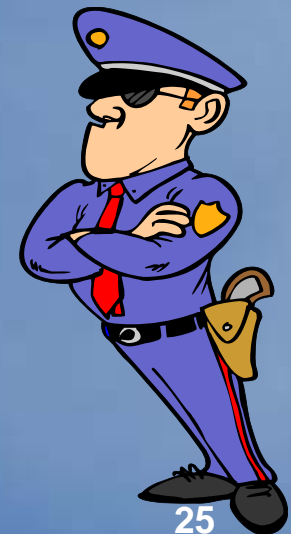
Functions

AA-4

The availability of an authority to coordinate and implement security at the airport. The availability of an airport security programme and associated standard operating procedures. The availability of aviation facilities and supporting resources. The availability and implementation of systems and procedures to prevent unauthorized access to the airside and the security restricted areas of the airport.

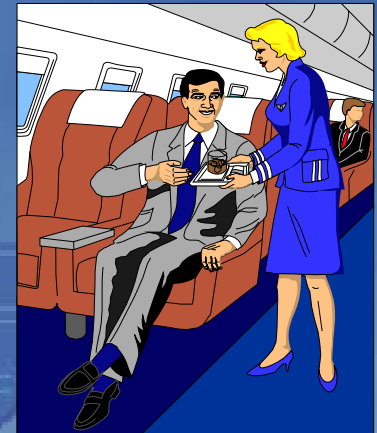


Airport
Operations



AA-5

The availability and implementation of written procedures to ensure security of aircraft prior to and during flight.

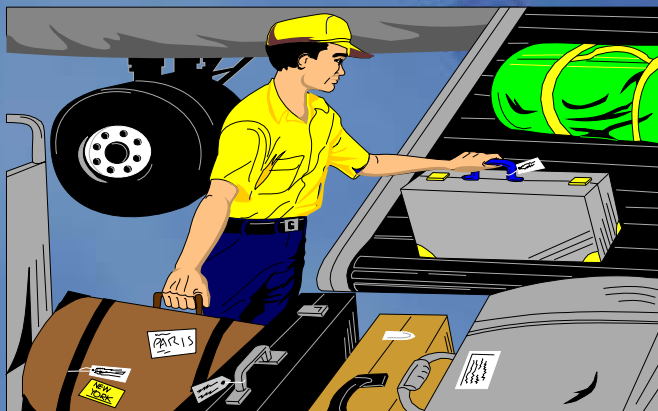


Aircraft
and
In-flight Security

AA-6

Passenger and Baggage Security

The availability and implementation of written procedures to prevent and/or detect prohibited items and other dangerous devices from being introduced on board aircraft by passengers, in cabin and hold baggage.



AA-7

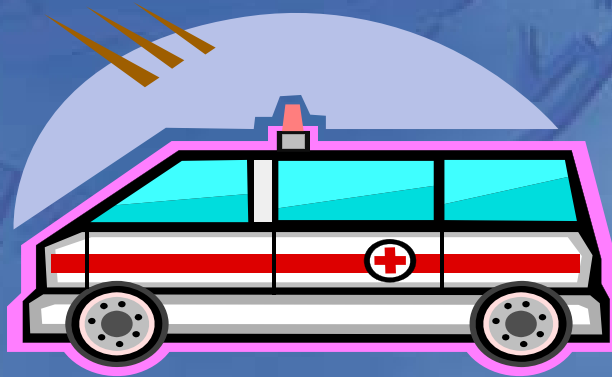
The availability and implementation of written procedures to ensure that cargo, mail and other goods, including catering supplies for carriage on an aircraft are subjected to appropriate security controls.



Cargo, Catering
and
Mail Security

AA-8

The availability and implementation of policies at the national level, as well as procedures at the airport level for the management of acts of unlawful interference.



Response to
Acts of Unlawful
Interference

AA-9

The availability of policies and programmes for the efficient execution of control procedures, to expedite clearance and prevent unnecessary delays, including the coordination of security and facilitation issues. The establishment and implementation of a system and procedures for the security of travel documents.



Security
Aspects of
Facilitation

Format of the Audit Protocol

ICAO reference	Aspects to be audited or questions to be answered	Status	Example of evidence to be reviewed	Status of Implementation	Response/Comments	CE
1. Regulatory Framework and the National Civil Aviation Security System						
1.1 Primary aviation security legislation and regulations – Promulgation and Amendment Procedures						
2.1.1 1	Has the State established in relevant national documentation the primary objective as it relates to aviation security?	<input type="radio"/> Yes <input type="radio"/> No	Review the aviation legislative Civil Aviation Program an appropriate objective	Satisfactory Not satisfactory Not applicable	Auditor Notes	
2	State dissemination all within the industry?		Firm dissemination occurred. Describe means of availability (web access, library, etc)	<input type="radio"/> Satisfactory <input type="radio"/> Not satisfactory <input type="radio"/> Not applicable	Auditor Assessment	1
1.2 Primary Aviation Security Legislation and Regulation						
2.1.2 8	Does the primary aviation legislation and/or regulations provide for the enforcement of the applicable rules?	<input type="radio"/> Yes <input type="radio"/> No	Relevant law or regulations. Ensure that regulations specify penalty, when applicable	<input type="radio"/> Satisfactory <input type="radio"/> Not satisfactory <input type="radio"/> Not applicable	Review Evidence	1
					Applicable Critical Element	

Audit Protocol Question

State Response

Source Reference

Auditor Assessment

Auditor Notes

Review Evidence

Applicable Critical Element

Audit Results

USAP Audit Reports

Strictly confidential on the part of ICAO

States are encouraged to share audit results and information on a bilateral or multilateral basis (Annex 17 RP 2.4.5)

Audit activity report



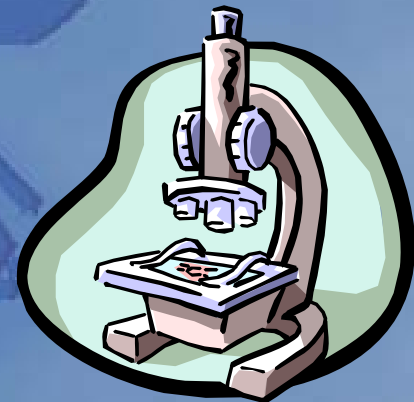
Audit Results

→ Analysis of audit findings

Audit data, to be entered in the
ASA audit database

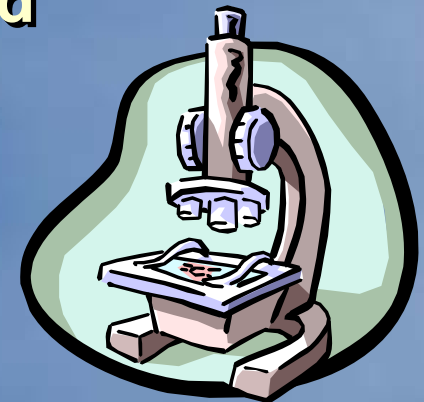
Enables an accurate
identification of deficiencies
impacting security

Keeps track of the status of
implementation of State
corrective action plans



Analysis of Audit Results

- ➔ Enables an accurate identification of deficiencies impacting security
- ➔ Enables customization of remedial action at a State or group of States level at a regional or sub-regional level can be targeted to resolve specific problems on the basis of established priorities
- ➔ Allows for a review of ICAO SARPs



Remedial Assistance

- State corrective action plan
- AVSEC Mechanism:
immediate/urgent assistance
- TCB: project documents



Follow-up Visits



- Bridge to remedial assistance

- Ongoing dialogue with States

