THE UNIVERSAL SECURITY
AUDIT PROGRAMME
(USAP)
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.
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

Sovereignty of States
Universality
Transparency
Objectivity
All-inclusiveness
Fairness
Quality
Timeliness
Confidentiality
Programme activities

- Audits
- Audit Tools
- Planning
- Audit Reports
- Working Papers
- Analysis
- Training & Certification
- Working Papers
- Audit Reports
Programme Management and Administration

ASA
SECTION
ASA’s “Customers”

INTERNAL

ICAO Assembly
Aviation Security Panel

ASA

ICAO Secretariat

EXTERNAL

Committee on Unlawful Interference
Regional Organizations

International Organizations
Contracting States
Audit Cycle

Audit -4 to 6 months
State notified of pending audit

Audit Day 1
National briefing

Daily during audit
Team meetings / Brief national coordinator

Audit +90 days
Comments to audit report due from State

Audit +120 days
Corrective action plan due

Audit -3 months
State accepts/rejects audit dates

Audit -1 day
Team briefing

Audit last day
Post-audit debriefing / List of preliminary recommendations

Audit +60 days
ICAO sends audit report to State

Audit +180 days
All States notified of any State(s) that are more than 60 days late in submitting an action plan

Audit -2 months
State returns PAQ & Compliance Checklists

Audit -2 months
Audit dates firm. Develop State-specific Audit Plan

Audit +1 day
Team members complete audit documentation

Audit +10 working days
Team Leader provides draft report to ICAO

Audit +1 to 2 years
Follow-up visit
Audit Related Documents

- Chicago Convention
- Annex 17: Standards
- Oversight Manual – Doc 9734 Part C
Security-related Provisions


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.
ANNEX 17

National Civil Aviation Security Programme

National Quality Control Programme

Appropriate Authority

National Training Programme

KEY REQUIREMENTS
- Comprehensive
- Central focal point
- Audits
- Surveys
- Inspections
- Tests
- Independent Inspectorate
- Empowerment
- Performance Standards
- Screener Certification

RELEVANT STANDARDS
- 3.1.1
- 3.4.4
- 3.4.7
- 2.1.2
- 2.1.3
- 3.1.2
- 3.1.4
- 3.1.6
- 3.4.2
- 3.4.3

CHICAGO CONVENTION

A UNIFIED APPROACH

Coordinated Framework: Policy & Methodology

CTA

Police

Military

Customs

Foreign Affairs

Intelligence

Airlines

Immigration

Airports

ETC...
Key Elements of Annex 9

- Facilitation of Control Processes
  - General Principles
  - Entry and Departure of Aircraft
  - Entry and Departure of Persons and Their Baggage
  - Entry and Departure of Cargo and Other Articles
  - Inadmissible Persons and Deportees
- Other FAL Provisions
- Facilities and Services for Traffic

Security-related Provisions
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

1. Aviation Security Legislation
2. Programmes & Regulations
3. Appropriate Authority
4. Personnel Qualifications & Training
5. Guidance, Tools & Information
6. Certification & Approval Obligations
7. Quality Control Obligations
8. Resolution of Security Concerns

ESTABLISH

IMPLEMENT
<table>
<thead>
<tr>
<th>Audit Tools</th>
<th>Compliance Checklist</th>
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<tbody>
<tr>
<td>Memorandum of Understanding</td>
<td>State Corrective Action Plan</td>
</tr>
<tr>
<td>Audit Protocol</td>
<td>Audit Mission Report</td>
</tr>
<tr>
<td>Auditor’s Guidance</td>
<td>State Audit Feedback Form</td>
</tr>
<tr>
<td>Pre-audit Questionnaire (PAQ)</td>
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</tbody>
</table>
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
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
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
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.
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.
The availability and implementation of written procedures to ensure security of aircraft prior to and during flight.
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.
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.
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.
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.
## Format of the Audit Protocol

### 1. Regulatory Framework and the National Civil Aviation Security System

#### 1.1 Primary aviation security legislation and regulations – Promulgation and Amendment Procedures

<table>
<thead>
<tr>
<th>ICAO reference</th>
<th>Aspects to be audited or questions to be answered</th>
<th>Status</th>
<th>Example of evidence to be reviewed</th>
<th>Status of Implementation</th>
<th>Response/Comments</th>
<th>CE</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1.1 1</td>
<td>Has the State established in relevant national documentation the primary objective as it relates to aviation security?</td>
<td>Yes/No</td>
<td>Review aviation legislation relevant to aviation security</td>
<td>Satisfactory/Not satisfactory/Not applicable</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1.1 2</td>
<td>Does the State ensure this policy is made available to all within the aviation industry?</td>
<td>Yes/No</td>
<td>Confirm dissemination of policy</td>
<td>Satisfactory/Not satisfactory/Not applicable</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### 1.2 Primary Aviation Security Legislation and Regulations – Enforceability

| 2.1.2 8        | Does the primary aviation legislation and/or regulations provide for the enforcement of the applicable rules? | Yes/No  | Relevant law or regulations specifying enforcement and applicable penalties | Satisfactory/Not satisfactory/Not applicable |                  |    |

### Auditor Notes

- **Auditor Assessment**
- **State Response**
- **Review Evidence**
- **Applicable Critical Element**
- **Source Reference**

**ICAO reference**

**Aspects to be audited or questions to be answered**

**Status**

**Example of evidence to be reviewed**

**Status of Implementation**

**Response/Comments**

**CE**
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