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North American, Central American and Caribbean Office

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Agenda Item 5: Aviation Security (AVSEC) matters

ICAO AVIATION SECURITY (AVSEC) PROGRAMME AND UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)

(Presented by the Secretariat)

SUMMARY

This paper presents a progress report on the execution of the Regular AVSEC Programme and the AVSEC Mechanism activities, as well as additional aviation security activities which are part of the ICAO *Aviation Security Plan of Action*, including the Universal Security Audit Programme (USAP). The paper also presents regional AVSEC activities.

References:

- C-WP/11936 – 18/02/03
- C-WP/11941 – 18/02/03 (Restricted)
- Report of the First North American, Central American and Caribbean Directors of Civil Aviation Meeting (Cayman Islands, October 2002)
- Report of the Eleventh Meeting of GREPECAS (Brazil, December 2002)
- Report of the 2nd Meeting of the GREPECAS Aviation Security Committee (Mexico, April 2003)

1. Introduction

1.1 This paper provides information relating to the execution of the Regular Programme, the AVSEC Mechanism activities, as well as other aviation security activities which are part of the Plan of Action. The paper differentiates between long-term activities, which are generally covered by the Regular Programme and are designed to produce long-term results, and activities directly influenced by the execution of the ICAO Aviation Security Plan of Action and its assistance tools available under the AVSEC Mechanism. The Paper presents a complete progress report of the tasks related to the Universal Security Audit Programme as well as the regional AVSEC activities.

2. Implementation of the AVSEC Programme

2.1 Long-term activities

2.1.1 It will be recalled that the tasks under the AVSEC Programme are presently being executed by the Aviation Security Section, namely the Support Unit (SUP), the Development Unit (DEV) and the Assistance and Oversight Unit (AO). Pursuant to *Resolution A33-1, Declaration on misuse of civil aircraft as weapons of destruction and other terrorist acts involving civil aviation* and the decision of the 33rd Session of the Assembly in the light of the acts committed in the United States on 11 September 2001, the AVSEC Panel working groups on Threats, Audits and Amendment 11 continue their work towards development of proposals for amendment to Annex 17 in order to assist the Secretariat in finalizing Amendment 11. This work will be ongoing as Standards and Recommended Practices (SARPs) contained in Annex 17 need to be further revised to address new and emerging threats and to adapt this document to the Universal Security Audit Programme (USAP) based on experience gained during the conduct of audits.

2.1.2 A major revision of the ICAO Security Manual (Doc. 8973) has been completed and the document is available for distribution in the English language. Translation into other ICAO languages is targeted for the first quarter of 2003. The sixth edition of this document includes new and updated guidance material pertaining to SARPs introduced or amended in Amendments 9 and 10 to Annex 17, and reflects the advances in security practices and technology that have occurred in the interim.

2.1.3 Aviation security training to assist States in remedying Annex 17 implementation deficiencies has continued to be given a high priority. The Aviation Security Training Packages, namely ASTPs 123/SUPERVISORS, 123/MANAGEMENT, 123/CRISIS MANAGEMENT, 123/CARGO, and 123/INSTRUCTORS, have been updated. Close cooperation between ICAO and the International Air Transport Association (IATA) was established, particularly in the marketing and distribution of all ICAO ASTPs. ASTP 123/AIRLINE will also be revised jointly by ICAO and IATA. ASTP 123/SYSTEMS TESTING has already been completed and will be available for distribution. In addition, the development of a basic auditors course and an auditors conversion course for the Universal Security Audit Programme (USAP) have been completed. The Secretariat is cooperating with the ICAO Aviation Security Training Centres (ASTCs) to ensure that the translation work is completed as effectively as possible.

2.1.4 In order to assist in coordination of the AVSEC programmes on the regional basis, ICAO is recruiting Aviation Security Regional Officers (ASROs) for service in the Regional Offices. Those additional resources dedicated to AVSEC will ensure better coordination and efficiency of the ICAO AVSEC programmes and will improve implementation of the AVSEC system in States.

2.1.5 The above long-term activities are primarily performed by the Regular Programme and are enhanced by the work programme proposed under the Aviation Security Plan of Action. Their specific tasks are identified under Project 1: Development of aviation security material, Project 2: Training, including certification of AVSEC auditors, Project 5: AVSEC seminars and exercises, Project 6: AVSEC training centres (ASTCs), Project 7: AVSEC regional units and Project 8: Other AVSEC programme needs as described in the Aviation Security Work Programme of the Organization.

2.2 *Reinforced Aviation Security Mechanism*

2.2.1 All AVSEC Mechanism activities are coordinated by the Assistance and Oversight Unit, AVSEC Section, together with Professional and General Service staff funded by voluntary contributions by States. The level of additional resources is adjusted to the volume of activities and challenges.

2.2.2 Training courses for auditors who will conduct security audits on behalf of ICAO have been conducted in the English and French languages in the following locations: Johannesburg, Dakar, Montreal, Casablanca and Hong Kong. Audit courses in other ICAO languages are scheduled to be held this year. The AVSEC Section will continue to promote and conduct a programme of over fifty ASTP-based training courses per annum in the ICAO Aviation Security Training Centres (ASTCs).

2.2.3 The network of ICAO ASTCs plays a pivotal role in the delivery of AVSEC training worldwide. The instructional staff of the ASTCs, often supported by short-term experts from the region, deliver a range of ASTP-based courses to selected personnel. Instructors will conduct courses in their own States using ICAO-developed training material and to enhance international cooperation on a regional basis. The ASTCs' training programme is coordinated by the AVSEC Section; however, the individual centres are becoming more and more financially and administratively self-sufficient, through the charging of course fees to recover course staging costs, development of rosters of trained instructors and through a greater involvement in attracting and selecting participants for courses.

2.2.4 Security concerns identified during ICAO AVSEC audits will be addressed in the form of a direct and immediate assistance under the AVSEC Mechanism, where appropriate. Support will also be provided for the development of longer-term projects under the auspices of the Technical Co-operation Bureau (TCB) to rectify deficiencies identified in the audit. Furthermore, follow-up missions will be undertaken in order to assess the implementation of the national AVSEC Plan of Action and to verify the level of improvement of the aviation security situation in States.

2.2.5 The assistance to States as indicated above is enhanced by the activities included under Project 2: Training, including certification of AVSEC auditors and Project 4: Project documents, assistance and follow-up under the Aviation Security Plan of Action.

2.3 *Aviation Security Audit Unit (ASA)*

2.3.1 On 20 November 2002, the Council considered a report on the implementation of the ICAO Universal Security Audit Programme (USAP). The Council noted the progress made in the implementation of the programme and endorsed the general certification process for auditors, the selection criteria for airports, and the Model Memorandum of Understanding (MoU) between ICAO and the State to be audited, as amended during the Council's discussions. On the basis of the Council's deliberations, the President of the Council issued a memorandum on 13 December 2002 (PRES AK/855) containing a summary with regard to the implementation of the USAP as well as the text of the amended Model MoU. This section of the paper reports on the overall progress made in the implementation of the programme since its inception and, in particular, since the 167th Session of the Council during the period from October to December 2002. It also includes an outline of the USAP plan of action for 2003.

2.3.2 *Outline of Progress Made*

2.3.2.1 A significant amount of preparatory work required for the establishment and implementation of the ICAO USAP has been completed by the Secretariat with the advice and assistance of the Council, the UIC and the AVSEC Panel. Although still in its establishment phase, the programme has been successfully launched with the first ICAO aviation security audit taking place in Uganda in November/December 2002. A summary of the progress made and the current status of the implementation of the programme is as follows:

- a) an Aviation Security Audit (ASA) Unit was established within the Air Transport Bureau (ATB) in July 2002 to be responsible for the development and implementation of the USAP. There are currently three Professionals on staff. Vacancy notices have now been issued for an additional four Audit Team Leaders and steps are being taken to accelerate the recruitment process so that the new staff are in place by September 2003. In the interim, and in the interest of moving ahead with the USAP plan of action for 2003, the Secretariat is pursuing as an immediate measure the recruitment of Audit Team Leaders on special service agreements and/or long-term (i.e. six month) secondments from States. Steps are also being taken to ensure the provision of suitable office space required for the ASA Unit;
- b) auditing materials and documentation required for the conduct of audits and the administration of the programme have been developed including:
 - 1) the Security Audit Reference Manual (SARM) (Doc 9807), designed to assist both Contracting States and ICAO audit team members by providing standard auditing procedures and audit follow-up actions, with a view to ensuring that audits are conducted in a consistent, standardized and objective manner;
 - 2) the pre-audit questionnaire, designed to solicit relevant information required for audit scheduling and planning purposes from each Contracting State;
 - 3) course materials for two auditor training programmes (a two-week full course and a one-week conversion course) and related auditor certification documentation; and
 - 4) internal forms, instructions and guidelines required for the administration and management of the programme.

This documentation will continue to be reviewed and updated as the USAP evolves. The technical elements of the SARM will be reviewed again at the 15th meeting of the AVSEC Panel scheduled for the week of 17 March 2003, by which time it is expected to be translated into all ICAO languages. In addition, the detailed criteria for auditor certification will be presented to the AVSEC Panel for review and comments;

- c) as of 31 December 2002, four AVSEC auditor training and certification courses had been conducted, as detailed in paragraph 1 of **Appendix A**, which resulted in a total of 45 candidates, representing 31 States, being certified as ICAO aviation security auditors. Auditor training and certification will continue in 2003 with courses scheduled in the remaining major geographic regions;
- d) the first aviation security audit, of Uganda, took place from 26 November to 3 December 2002. The confidential audit report is in the process of being prepared and, in accordance with the procedures set forth in the SARM and the MoU signed between ICAO and Uganda, will be sent to the State for comments and for the preparation, if required, of a corrective action plan to address any findings and recommendations made by the ICAO audit team. In addition, a standardized State feedback form will be sent to the national authority, to be returned under separate cover to ICAO. Such feedback will be solicited from all audited States

and will be used to improve the planning and conduct of audits in order to allow for the continuous improvement of the USAP; and

- e) a USAP plan of action for 2003 has been prepared and will be dispatched to all Contracting States (State letter AS 8/16-03/05 Confidential, dated 31 January 2003). The State letter includes the Model MoU approved by the Council and a tentative audit schedule for the period January to December 2003.

2.3.3 *Plan of Action for 2003*

2.3.3.1 The USAP plan of action for the year 2003 includes a tentative schedule for the conduct of aviation security audits and auditor training and certification courses, as well as the continuing development and publication of auditing materials and documentation.

2.3.3.2 Aviation security audits

2.3.3.2.1 A total of 25 States have been tentatively scheduled for AVSEC audits in 2003, as indicated in **Appendix B**. The expectation is that approximately 20 of these audits will in fact be conducted, using a margin of some 20 per cent in the event of deferrals due to specific State requests, failure to return the MoU or pre-audit documentation in a timely fashion, or last minute operational/technical constraints. In this regard, State letter AS 8/16-03/05 Confidential, dated 31 January 2003, urges all Contracting States to accept the conduct of aviation security audits according to the schedules which are established and to return the signed MoU and pre-audit questionnaire within the prescribed periods.

2.3.3.2.2 In accordance with the procedures set forth in the SARM, all audit missions will be team-led by an ICAO staff member, whether on short or long-term contract, and team members will generally be seconded on a short-term basis from Contracting States. It is to be noted in this regard that the 2003 audit schedule has been drafted on the basis of the assumed availability of an additional four ICAO Audit Team Leaders, none of whom have yet been recruited, although as an immediate measure attempts are being made to recruit ICAO Audit Team Leaders on a short-term basis, until the new staff are in place. Delays in recruiting either the short or long-term Audit Team Leaders may affect the implementation of the tentative schedule as drafted.

2.3.3.2.3 The selection of States to be audited in 2003 has been based upon the criteria noted by the Council. In addition, consideration has been given to the Universal Safety Oversight Audit Programme (USOAP) tentative audit and audit follow-up mission plan for 2003 and to the ECAC provisional audit schedule for 2003. Auditing activities will continue to be closely coordinated with both ECAC and USOAP throughout the year.

2.3.3.3 Auditor training and certification

2.3.3.3.1 Eight AVSEC auditor training and certification courses have been planned for 2003, as detailed in paragraph 2 of **Appendix A**. The auditor training and certification will continue to take place in each major geographic region with the assistance, where applicable, of the regional AVSEC training centres (ASTCs), and with States invited to nominate suitable candidates for training, certification and short-term secondments to conduct audits. This allows for the programme to be conducted in a cost-effective manner and has the added benefit of allowing Contracting States to participate in the implementation of the USAP while contributing to the further development of national expertise in Contracting States in the AVSEC field.

3 Regional AVSEC Activities

3.1 The 1st North American, Central American and Caribbean Directors of Civil Aviation Meeting, held in Cayman Islands in October 2002, adopted the following conclusion:

CONCLUSION 1/28 AVIATION SECURITY

That States and Territories:

- a) *commit towards full implementation of the multilateral conventions on aviation security and the ICAO Standards and Recommended Practices (SARPs) and Procedures for Air Navigation Services (PANS) as well as ICAO Assembly Resolutions and Council Decisions relating to aviation security and safety;*
- b) *participate actively in implementation of the ICAO Aviation Security Plan of Action, including the training and audit processes and necessary follow-up;*
- c) *endorse the GREPECAS Aviation Security Committee establishment, draft Terms of Reference and draft conclusions and decisions of its first meeting; and*
- d) *commit to active support and cooperation in regional aviation security activities.*

3.2 The 11th Meeting of GREPECAS, held in Brazil in December 2002, adopted the AVSEC Conclusions and Decisions presented in **Appendix C** to this paper.

3.3 The 2nd Meeting of the GREPECAS AVSEC Committee, held in Mexico in April 2003, developed a draft work programme. The AVSEC Committee terms of reference, work programme and composition are presented in **Appendix D** to this paper.

4 Action Required by the Meeting

4.1 The Meeting is invited to note the content of this paper, consider approval of the following draft conclusion and take any other action which is considered appropriate to encourage regional cooperation and timely implementation by States of the new AVSEC requirements:

DRAFT CONCLUSION 6/XX AVIATION SECURITY

That the States and Territories of the Central Caribbean Region commit to:

- a) Take advantage of ICAO AVSEC courses with the participation of its corresponding personnel;
- b) Prepare adequately to receive the ICAO USAP AVSEC Audits; and
- c) Support the GREPECAS AVSEC Committee activities and results.

APPENDIX A

ICAO AVIATION SECURITY AUDITOR TRAINING AND CERTIFICATION COURSES

1. As of 31 March 2003, the following AVSEC training and certification courses had been conducted:
 - a) Johannesburg, South Africa, from 23 September 2002 to 4 October 2002 (full course), conducted in English, attended by fourteen experts from eight States, as follows: Gambia, Kenya, Mauritius, South Africa, United Republic of Tanzania, Uganda, Zambia and Zimbabwe;
 - b) Dakar, Senegal, from 23 September 2002 to 4 October 2002 (full course), conducted in French, attended by sixteen experts from seven States, as follows: Benin, Comoros, Mali, Morocco, Niger, Senegal and Togo;
 - c) Montreal, Headquarters, from 18 to 23 November 2002 (conversion course), conducted in English, attended by fourteen experts from eight States, as follows: Brazil, Canada, Jamaica, Jordan, Lebanon, Pakistan, Russian Federation and the United States; and
 - d) Brussels, Belgium, from 16 to 21 December 2002 (conversion course), conducted in English, attended by twelve experts from eleven States, as follows: Croatia, Ethiopia, Finland, Germany, Iceland, Malta, Norway, Poland, Portugal, Switzerland and Sweden;
 - e) Casablanca, Morocco, from 6 to 11 January 2003 (conversion course), conducted in French; and
 - f) Hong Kong, China, from 13 to 24 January 2003 (full course), conducted in English.
2. AVSEC training and certification courses which are planned to be conducted in 2003 are as follows:
 - a) Moscow, Russian Federation, from 2 to 13 June 2003 (full course), to be conducted in Russian and English;
 - b) Oklahoma City, United States, from 4 to 15 August 2003 (full course), to be conducted in English; and
 - c) Quito, Ecuador, from 22 September to 3 October 2003 (full course), to be conducted in Spanish and English.

APPENDIX B

**ICAO UNIVERSAL SECURITY AUDIT PROGRAMME
TENTATIVE AUDIT SCHEDULE MARCH – DECEMBER 2003**

March 2003

Bolivia

Second Quarter 2003 (April to June)

Cambodia
Estonia
Greece
Guinea
Lao People's Democratic Republic
Lebanon
Lithuania
Mexico
Senegal

Third Quarter 2003 (July to September)

China
Croatia
Cyprus
Jamaica
Suriname
Trinidad and Tobago

Fourth Quarter 2003 (October to December)

Austria
Bangladesh
Bhutan
Botswana
Cape Verde
Gambia
Paraguay
Swaziland

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REVIEW OF AVSEC CONCLUSIONS AND DECISIONS FROM THE GREPECAS/11 MEETING

CONCLUSION/DECISION	ACTION BY	COMMENTS AND FOLLOW-UP	STATUS	REQUIRED ACTION
CONCLUSION 11/13 AVIATION SECURITY That States and Territories: a) commit towards full implementation of the multilateral conventions on aviation security and the ICAO Standards and Recommended Practices (SARPs) and Procedures for Air Navigation Services (PANS) as well as ICAO Assembly Resolutions and Council Decisions relating to aviation security; b) participate actively in implementation of the ICAO Aviation Security Plan of Action, including the training and audit processes and necessary follow-up; and c) commit to active support and cooperation in the GREPECAS Aviation Security Committee and other regional aviation security activities.	States		Valid	Take action
CONCLUSION 11/14 AVSEC/COMM COORDINATION WITH LACAC That LACAC be invited to designate an officer to attend all AVSEC Committee meetings; that LACAC be requested to share pertinent reports and documents from the LACAC AVSEC Group of Experts with GREPECAS; and that the AVSEC Committee share pertinent reports and documents on its work programme with LACAC.	ICAO	LACAC participated in the AVSEC/COMM/2 Meeting	Completed	Note

CONCLUSION/DECISION	ACTION BY	COMMENTS AND FOLLOW-UP	STATUS	REQUIRED ACTION
DECISION 11/15 TRANSLATION OF AVSEC/COMM/1 DOCUMENTATION That ICAO prepare the AVSEC/COMM/1 documentation in Spanish and make it available to States on the GREPECAS web page by the end of 2002.	ICAO	Completed	Completed	Note
DECISION 11/16 AVSEC SURVEY QUESTIONNAIRE That the AVSEC Committee proceed as soon as possible with the development and distribution of an AVSEC Survey Questionnaire in order to assess the needs and interests of States with expectations of a preliminary report to GREPECAS on the survey responses after the second meeting of the AVSEC Committee.	AVSEC/COMM	Survey Questionnaire sent to States on 7 January 2003 and the responses were reviewed at the AVSEC/COMM/2 Meeting	Completed	Note
CONCLUSION 11/17 ICAO REGIONAL AVSEC OFFICERS That ICAO consider the need for an ICAO AVSEC specialist to be located in each of the ICAO NACC and SAM Regional Offices at the earliest opportunity and to encourage States to support this ICAO initiative through contributions in kind or with monetary funding.	ICAO	AVSEC Regional Officer positions established and vacancies posted.	Completed	Note
DECISION 11/18 AVSEC/COMM LANGUAGE SERVICES That concurrent interpretation services and documentation in both English and Spanish be provided for future AVSEC Committee meetings.	ICAO	The AVSEC/COMM/2 Meeting was bilingual	Completed	Note

CONCLUSION/DECISION	ACTION BY	COMMENTS AND FOLLOW-UP	STATUS	REQUIRED ACTION
CONCLUSION 11/19 AVSEC/COMM CONTRIBUTORY BODY That the AVSEC Committee be elevated, as appropriate, within the GREPECAS structure and report the results of its work directly to GREPECAS.	GREPECAS	Implemented	Completed	Note
CONCLUSION 11/64 AVIATION SECURITY COMMITTEE (AVSEC/COMM) That, a) GREPECAS establish an AVSEC Committee with the strong commitment from the CAR/SAM States and international organizations for its composition and activities; b) the AVSEC Committee determine its work programme at its 2nd Meeting, to be submitted to GREPECAS for approval; c) ICAO Headquarters provide the necessary support and assistance to the AVSEC Committee, particularly while the ICAO Regional Offices do not have AVSEC officers; and d) GREPECAS modify its Terms of Reference to reflect the inclusion of AVSEC matters in its work programmes.	GREPECAS AVSEC/COMM ICAO GREPECAS	The AVSEC/COMM/2 Meeting was held in April 2003 in Mexico	Completed Valid Valid Completed	Note Take action Note Note

APPENDIX D**DRAFT TERMS OF REFERENCE AND WORK PROGRAMME****GREPECAS AVIATION SECURITY COMMITTEE (AVSEC/COMM)****1. Terms of Reference**

- a) To foster regional cooperation among States, international organizations and industry in order to facilitate the successful implementation of ICAO Standards and Recommended Practices (SARPs) related to aviation security (AVSEC);
- b) to encourage the participation of States in the ICAO AVSEC Mechanism and Implementation Programmes to include their provision of voluntary funding and personnel when requested by ICAO;
- c) to actively support the approved ICAO AVSEC Plan of Action and other regional AVSEC initiatives; and
- d) to promulgate AVSEC awareness within the region through sponsorship of and participation in related training activities and seminars.

2. Work Programme

TASK NUMBER	TASK DESCRIPTION	Priority	Date	
			Start	End
AVSEC/1	Define procedures for coordination between AVSEC/COMM, LACAC AVSEC Group of Experts and GEASA Group	A	AVSEC/COMM/2	Completed
AVSEC/2	Identify and analyse shortcomings and deficiencies in the implementation of ICAO AVSEC provisions which are common in many States/Territories of the CAR/SAM Regions and develop regional initiatives and measures which will encourage and facilitate their resolution.	A	AVSEC/COMM/2	Continuous
AVSEC/3	Develop a programme of national and sub-regional AVSEC education and awareness workshops including the definition of topics, programme content, duration, venue locations, instructors, participation, schedule, etc.	A	AVSEC/COMM/2	AVSEC/COMM/3 Meeting
AVSEC/4	Identify potential financial sources to fund regional AVSEC training programmes	B	AVSEC/COMM/2	AVSEC/COMM/3 Meeting
AVSEC/5	Compile a directory of qualified AVSEC instructors available in States/Territories in the CAR/SAM Regions for use in regional training events	A	AVSEC/COMM/2	31/07/03
AVSEC/6	Prepare the AVSEC/COMM work programme using MS Project software adopting the ACG model format	B	AVSEC/COMM/2	ACG/4 Meeting
AVSEC/7	Develop methods of investigating prices/fees and availability of security equipment and advanced technology for regional application	C	AVSEC/COMM/2	AVSEC/COMM/4 Meeting

TASK NUMBER	TASK DESCRIPTION	Priority	Date	
			Start	End
AVSEC/8	Develop a regional mechanism (written guidelines) for sharing sensitive information on threats to civil aviation	C	AVSEC/COMM/3	AVSEC/COMM/4 Meeting

3. **Priority**

- A** High priority tasks, on which work should be speeded up.
- B** Medium priority tasks, on which work should commence as soon as possible, but without detriment to priority **A** tasks.
- C** Tasks of lesser priority, on which work should commence as time and resources allow, but without detriment to Priority **A** and **B** tasks.

4. **Composition**

Argentina, Chile, Cuba, Jamaica, Mexico, Paraguay, Peru, Spain, United States, ACI, IATA, IFALPA, LACAC

5. **Chairpersons**

Chairman – Oscar Derby (Jamaica)
Vice-Chairman – Eduardo Cerda Gómez (Chile)