



International Civil Aviation Organization
 ICAO South American Regional Office
**Eleventh Meeting of the Civil Aviation Authorities of the SAM Region
 (RAAC/11)**
 (Santiago, Chile, 6 – 8 May 2009)

Agenda Item 5: Review of aviation security attained in the SAM Region

- a) **Review of the application of the Universal Security Audit programme (USAP)**

**REVIEW OF THE APPLICATION OF THE UNIVERSAL SECURITY
 AUDIT PROGRAMME (USAP)**

(Presented by the Secretariat)

SUMMARY

This working paper informs about the activities and results of the Universal Security Audit Programme (USAP) and the status of implementation of Corrective Action Plans by States in order to comply with the Standards and Recommended Practices of Annex 17, and to strengthen security systems in their States and thus international civil aviation.

References:

- Annex 17
- Annex 9
- Machine Readable Travel Documents (Doc. 9303, Part I)
- Security Manual for Safeguarding Civil Aviation against Acts of Unlawful Interference (Doc. 8973)
- Universal Security Audit Programme (USAP)
- The Establishment and Management of a State's Aviation Security Oversight System, Part C of Safety Oversight Manual (Doc. 9734)

1. Introduction

1.1 This working paper presents information for the consideration and proper action by the Meeting in support of the implementation of ICAO Strategic Objective B. - Security – *Enhance global civil aviation security*, and for the adoption by States of the corresponding actions in order to comply with Annex 17 of the Convention on the International Civil Aviation.

2. Discussion

2.1 The first cycle of the Universal Security Audit Programme (USAP) ended in late 2007 and 181 Contracting States were audited globally. With the follow-up visits to Panama, Belize and Bahamas in February and March 2009, respectively, the first cycle of audits and follow-up visits in the CAR/SAM Regions was completed. The second cycle of the USAP started in January 2008, and Jamaica was the first State audited in the CAR/SAM Regions, followed by audits in Trinidad and Tobago in February, and Bolivia, Paraguay and Mexico in September of that year.

2.2 There are 30 audits scheduled for 2009 around the world. Audits in the CAR/SAM Regions started in March with Honduras. Antigua and Barbuda, Colombia, El Salvador, Nicaragua, Suriname, St. Kitts and Nevis, and Venezuela are scheduled to be audited during the second semester of 2009.

2.3 Regarding this issue, it is important to inform the civil aviation authorities that, based on the first audit results and subsequent follow up visit, problems were detected on the progress of implementation and compliance with the dates defined in the corrective action plans based on the recommendations of the first AVSEC audit report. On this regard, the following should be noted:

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

2.4 The NCASP has been established in all the States of the Region; however, in many cases this program is still in draft stage or in the process of being approved by States, which have shortcomings in their legal frameworks. In most of the cases where the NCASP has been approved, it has not been disseminated and not even implemented.

National Civil Aviation Security Training Programme (NCSTP)
(Standard 3.1.6, Annex 17)

2.5 In many cases this programme is still in the development or project phase, or in the process of approval by the appropriate authority, presenting shortcomings in the legal frameworks with respect AVSEC training of the stakeholders and personnel involved in the security inspections. In cases where the NCASTP was approved, it has not been disseminated or implemented. Otherwise, it does not contain clear and specific objectives for on-the-job training of AVSEC personnel (OJT) or criteria and procedures for certifying AVSEC personnel and instructors (Standard 3, 4, 3).

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

2.6 Like the other national programs, the NQCP is still in the development or approval phase. In general, this document does not contain procedures on how the civil aviation authority will perform an effective oversight of the efficient application of security measures and inspection procedures applied by airport administrators, private companies hired by the State, or State entities assigned to these tasks.

2.7 In most cases, the entities in charge of conducting this oversight lack the material resources or qualified personnel to conduct the oversight on behalf of the State. This in many cases does not have the legal authority to implement the oversight or, in some cases, they lack legal framework to enforce (impose sanctions) their national AVSEC laws and regulations.

Contingency Plan (Standard 5.1.4, Annex 17)

2.8 Even though many States have developed Contingency Plans, these plans were not coordinated with the entities involved, mainly the State entities that respond during an act of unlawful interference, resulting in a lack of knowledge of the procedures to be applied by each entity in such cases. Additionally, even though there is no requirement for establishing a National Contingency Plan, it would be important to consider that entities involved should be aware of State criteria and policies regarding the management and the procedures to be applied in cases of unlawful interference. Therefore it becomes imperative to develop a National Contingency Plan that must be coordinated with all government entities involved in the response of an act of unlawful interference.

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

2.9 Even though States have passed laws for creation of a National Civil Aviation Security Committee or similar arrangement, in many States the NCASC has not convened since its creation and, in general, their composition has not been legally updated. The activation of such Committee will facilitate the interaction and coordination between government entities to provide full support to the appropriate authority on civil aviation security issues.

Airport Security Program (ASP) (Standard 3.2.1, Annex 17)

2.10 All the airports have established an Airport Security Program, but it needs to be adjusted to the local needs and resources of each airport, and the great majority requires the incorporation of more procedures to ensure how the national regulations will be applied for the efficient and standard application of the security measurements related with passenger, baggage, and cargo and mail screening.

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

2.11 Not all the States receive the AOSP for their review and approval by the civil aviation authority. In some cases, although there are criteria for presenting the AOSP at the time aircraft operator applies for the operation certificate, there is no coordination within the civil aviation authority to make sure those AOSPs are reviewed by the appropriate AVSEC authority. Additionally, most AOSPs contain general information, as in the case of foreign aircraft operators; they contain information from headquarters and have not been adapted to the conditions, means and resources of the airports where they operate, and do not contain the procedures to ensure compliance with the regulations established for proper screening of passengers, baggage, cargo, mail, catering and supplies.

2.12 It is important to mention that USAP second cycle audits focus, wherever possible, on the capacity of the States to provide appropriate national oversight of its aviation security activities. Therefore, in order to assist States in being better prepared for the USAP second cycle audits that include security-related aspects of Annex 9 – Facilitation, and a new comprehensive system approach that verifies eight critical elements within the State AVSEC system; ICAO had developed and already published Part C of Document 9734 - *Safety Oversight Manual*, entitled *The Establishment and Management of a State's Aviation Security Oversight System*. This document will also help the respective State authorities to conduct an effective oversight of the efficient implementation of AVSEC regulations and procedures within their State.

2.13 Furthermore, in order to assist States with their AVSEC deficiencies, ICAO has developed training programmes for zoning regions and grouping neighbouring States together so they can benefit from this training and thus move ahead with their corrective action plans. However, not all the States take advantage of this training and some activities have to be cancelled due to lack of participants, as it happened in the USAP Second Cycle Audit Seminars scheduled for June 2008. With regards to this issue and considering the importance of the content of the new cycle of audits, and the need to maintain States informed and prepared; a new Seminar of the Cycle II of the USAP will be conducted from 21 to 22 May 2009 in San Jose, Costa Rica, with the co-hosting of COCESNA. Invitations to this event were timely circulated to all involved States of the Region under State Letter LS 8/14A SA157 dated 17 March 2009 (**Appendix A**).

2.14 It is also important to mention that, in line with the request of the 36th Session of the ICAO Assembly that the Council consider the introduction of a limited level of transparency with respect to aviation security audit results, the Council approved a proposal to introduce such transparency. Under the proposal, which balances the need for States to be aware of unresolved security concerns with the need to keep sensitive security information out of the public realm, a graphical representation, similar to the one used for the dissemination of safety oversight audit results, will be made available to all Contracting States on the USAP secure website. An example of such a chart is presented in **Appendix B**.

2.15 Finally, it is also important to recall that according with the provisions of the ICAO Council, the Audit Report Review Board (ARRB) reviews the progress in the implementation of State corrective action plans and, when appropriate, adopts measures for the States that do not show an improvement in their aviation security systems with respect to the recommendations of the first audit report and the follow-up visits.

3. Conclusions

3.1 Since its inception, the USAP has enjoyed the support of Contracting States and is promoting positive change as States become increasingly sensitized to the international requirements. The audits are proving to be instrumental in the identification of aviation security concerns and in providing recommendations for their resolution. Although the USAP follow-up missions have validated a markedly increased level of implementation of ICAO security Standards, thereby attesting commitment of States, it is important that this commitment be effectively and permanently implemented for achieving the objective of the USAP to strengthen aviation security within their State and hence worldwide security.

4. Suggested Action

4.1 The Meeting is invited to take note of the content of this working paper, and approve the following Draft Conclusion:

**DRAFT
CONCLUSION 11/XX PARTICIPATION OF SAM STATES IN THE USAP**

That States, in correspondence with Standard 2.1.1 of Annex 17 to the Convention on International Civil Aviation:

- a) ensure the backup and support for the AVSEC organization within their administration for the establishment, approval and effective implementation of their AVSEC National Civil Aviation Security Program (NCASP), and related programmes and documents, and the activation of their National Civil Aviation Security Committees or similar arrangements;
- b) ensure complete and effective implementation of their corrective action plans regarding the recommendations of the USAP first audit report before receiving the USAP second cycle audit, notifying the progress on their action plans to ICAO; and
- c) should any differences identified during the audit remain unaddressed, States are reminded of their obligation under Article 38 of the Convention on International Civil Aviation to officially notify ICAO of any such differences.

- END -

APPENDIX A



International
Civil Aviation
Organization

Organisation
de l'aviation civile
internationale

Organización
de Aviación Civil
Internacional

Международная
организация
гражданской
авиации

منظمة الطيران
المدني الدولي

国际民用
航空组织

LS 8/14.A – SA157

17 de marzo de 2009

Para: Brig. D. Marcelo Adolfo Ayerdi, CRA, Argentina
 Gral. Luis Trigo Antelo, DGAC a.i., Bolivia
 Sr. Franklin Nogueira Hoyer, Superintendente de Relaciones Internacionales, ANAC, Brasil
 Cel. Av. José Pompeu dos Santos Magalhães Brasil, Presidente de CERNAI, Brasil
 Gral. de Brigada (A) José Huepe Pérez, DGAC, Chile
 Dr. Fernando Augusto Sanclemente Alzate, Director General, UAEAC, Colombia
 Ing. Fernando Guerrero López, Director, DGAC, Ecuador
 Sr. Eustacio Fábrega López, AAC Panamá
 Sr. Roberto Hugo Valenzuela Rios, DINAC, Paraguay
 Sr. Ernesto López Mareovich, DGAC, Perú
 Brig. General Daniel Olmedo, DINACIA, Uruguay
 Lic. José Luis Martínez Bravo, INAC, Venezuela

cc.: Cnel. Raúl Velasco, AASANA, Bolivia
 Ten. Brig. do Ar Ramon Borges Cardoso, DECEA, Brasil
 Sr. Felipe Vallejo Leigh, Gerente General a.i. CORPAC, Perú
 Vice Comodoro Javier López González, Jefe Dpto. OACI, Argentina
 Sr. Luis Rossi, Jefe Departamento RAI, Chile
 Sr. Javier Flores, Coordinador Proyectos OACI en CORPAC
 C/SSA

ICAO RD, México

Puntos Nacionales de Contacto AVSEC

Luis Fabián Moreira, Argentina

fmoreira@psa.gov.ar;

Milenka Vega, Bolivia

mvega@dgac.gov.bo;

Rogério Benavides Carvalho, Brasil

rogerio.benevides@anac.gov.br;

Eduardo Cerda, Chile

avsec_dasa@dgac.cl; ecerda@dgac.cl;

Donall Tascón Cárdenas, Colombia

Donall.tascon@aerocivil.gov.co;

Gerardo Mayorga, Ecuador

Gema1160@hotmail.com;

Arístides Aldeano, Panamá

aaldeano@aeronautica.gob.pa;

Julio César Cuenca Rotela, Paraguay

seguridad@dinac.gob.py;

César Augusto Matos Díaz, Perú

cmatos@mtc.gob.pe;

Gonzalo Silva, Uruguay

avsec@adinet.com.uy; gsilva14@hotmail.com;

Domingo del Rosario Zambrano, Venezuela

d.delrosario@inac.gov.ve;

Asunto: **Seminario Regional de la OACI de Auditoría de Seguridad de la Aviación**
 (San José, Costa Rica, del 21 al 22 de mayo de 2009)

Acción

Requerida: Su respuesta a más tardar el día martes 21 de abril de 2009

Señor/Señora:

Tengo el honor de invitar a su Administración para participar en el Seminario Regional de la OACI sobre el Segundo Ciclo de Auditorías de Seguridad de la Aviación, que se llevará a cabo en San José, Costa Rica, del 21 al 22 de mayo de 2009.

El objetivo del Seminario es el de familiarizar a los participantes con el Programa Universal de la OACI de Auditoría de la Seguridad de la Aviación (USAP) y con las herramientas y metodología utilizadas para su preparación, dirección y reporte de auditorías de seguridad bajo el segundo ciclo de USAP, el cual se inició desde el año de 2008, de manera que éstos puedan apoyar a sus Estados a través de las varias fases del proceso de auditoría. El Seminario también proveerá a los participantes con una oportunidad de intercambiar experiencias con colegas de otros Estados. Por lo tanto, la audiencia a la cual el Seminario está dirigido incluye personas nominadas, o posiblemente a ser nominadas, como Coordinadores Nacionales de sus Estados, y aquellos que estarán involucrados en la preparación y dirección de la auditoría.

El Seminario se impartirá en español. Adjunto sírvase encontrar, para su referencia, el Temario Provisional para el evento así como el formulario de nominación. El lugar exacto de la reunión, así como el programa detallado y la información general, le será enviado a los participantes aceptados.

Los formularios de nominación deben ser enviados a esta Oficina Regional de la OACI a más tardar el ***martes 21 de abril de 2009*** a la siguiente dirección electrónica: mail@lima.icao.int; con copia a la Oficina Regional de la OACI en Mexico: rdelgado@mexico.icao.int e icao_nacc@mexico.icao.int, y a la Sección de Coordinación y Presentación de Informes de Auditoría (ACR) de la Sede de OACI en Montreal, Canadá: acr@icao.int, de manera que los arreglos se puedan finalizar a su debido tiempo. Favor tomar en cuenta que el viaje, el hospedaje y los viáticos deberán de ser cubiertos por su Estado u Organización

Acepte, distinguido señor, los sentimientos de mi mayor consideración.



Jose Miguel Ceppi
Director Regional
Oficina Sudamericana
Lima

Adj.

- A3 -

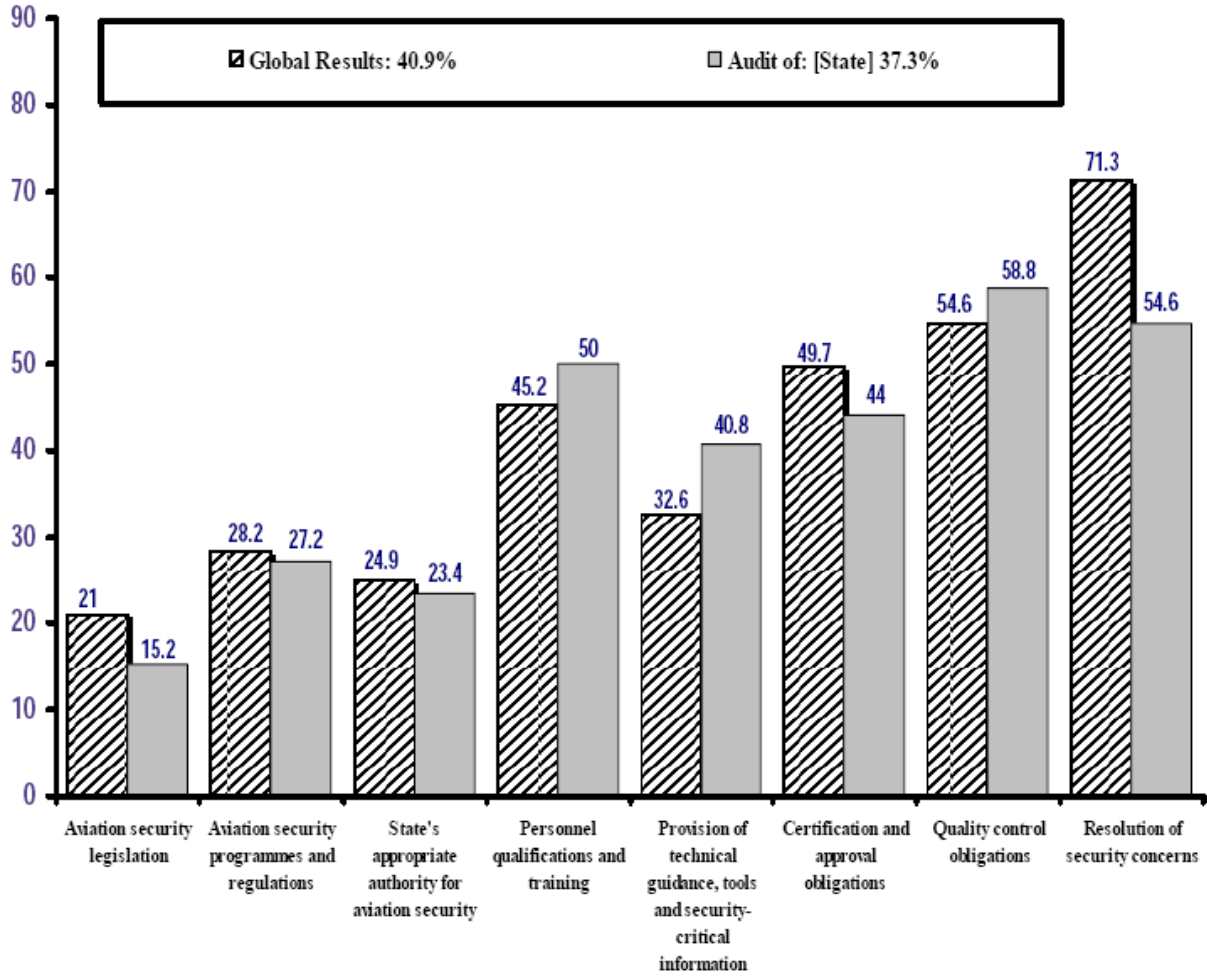
Seminario Regional sobre la Auditoría de Seguridad de la Aviación de la OACI
San José, Costa Rica, 21 y 22 de mayo de 2009

Temario

- Módulo 1. Introducción y perspectiva del Seminario
- Módulo 2. Perspectiva del Programa Universal de Auditorías de la Seguridad de la Aviación (USAP)
- Módulo 3. Revisión de los Resultados de Auditoría (2002-2007) e Intercambio de experiencias adquiridas durante una Auditoría.
- Módulo 4. Introducción al 2º. Ciclo del Programa Universal de Auditorías de la Seguridad de la Aviación (USAP)
- Módulo 5. Elementos críticos del Sistema de Vigilancia de la Seguridad de la Aviación de un Estado.
- Módulo 6. Introducción a los Protocolos de las Auditorías.
- Módulo 7. Proceso de Auditoría USAP – Fase de preparación antes de la auditoría
- Módulo 8. Proceso de Auditoría USAP – Fase de realización de la auditoría en el lugar.
- Módulo 9. Proceso de Auditoría USAP – Fase Post-Auditoría
- Módulo 10. Revisión Final

APPENDIX B

**SAMPLE CHART OF
CRITICAL ELEMENTS OF A SECURITY OVERSIGHT SYSTEM*
Lack of Effective Implementation (%)**



*The critical elements of a State's civil aviation security oversight system are defined in ICAO Doc 9734 — *Oversight Manual, Part C – The Establishment and Management of a State's Aviation Security Oversight System*.

- END -