



## ASSEMBLY — 35TH SESSION

### EXECUTIVE COMMITTEE

- Agenda Item 14: Aviation security**  
**14.2: Universal Security Audit Programme (USAP)**

### REPORT ON THE ICAO UNIVERSAL SECURITY AUDIT PROGRAMME

#### SUMMARY

This paper presents a general report on the progress made in the establishment and execution of the ICAO Universal Security Audit Programme (USAP) concerning Annex 17 – *Security* to the *Convention on International Civil Aviation*. It provides information on the establishment and management of the USAP, including the Programme objectives and principles, the audit materials and documentation, and the audit process. The paper discusses the status of implementation of the USAP, including audits, training and certification activities, and the financial status of the Programme. It also presents a preliminary analysis of audit results from the audits conducted to date.

Action by the Assembly is in paragraph 7.

#### REFERENCES

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| Annex 17 – <i>Security</i><br><i>Security Audit Reference Manual</i><br>(Doc 9807)<br><i>Assembly Resolutions in Force</i> (Doc 9730)<br>(A33-1) | Doc 9800, <i>Report of the High-Level, Ministerial Conference on Aviation Security</i> |
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## 1. INTRODUCTION

1.1 Assembly Resolution A33-1, *Declaration on misuse of civil aircraft as weapons of destruction and other terrorist acts involving civil aviation*, directed the Council and Secretary General to consider the establishment of an ICAO Universal Security Oversight Audit Programme relating to, *inter alia*, airport security arrangements and civil aviation security programmes. This Assembly Resolution also directed the Council to convene, at the earliest possible date, an international High-level, Ministerial Conference on Aviation Security with the objective, *inter alia*, of strengthening ICAO's role in the adoption of Standards and Recommended Practices (SARPs) in the field of security and the audit of their implementation.

1.2 The High-level, Ministerial Conference on Aviation Security called for by the 33rd Session of the Assembly convened in Montreal in February 2002. The recommendations of the Conference advocated the adoption of an ICAO Aviation Security Plan of Action that included, *inter alia*, the establishment of a

comprehensive programme of regular, mandatory, systematic and harmonized audits to be carried out by ICAO in all Contracting States.

1.3 Consistent with the outcomes of the 33rd Assembly and the High-level, Ministerial Conference on Aviation Security, the 166th Session of the Council adopted the Aviation Security Plan of Action in June 2002. Project 3 of the Plan of Action provides for the promotion of global aviation security through auditing of Contracting States.

1.4 In July 2002, an Aviation Security Audit Unit was established as an independent unit reporting directly to the Director of the Air Transport Bureau (ATB), with a dedicated organizational and management structure responsible for the development and implementation of the new ICAO Universal Security Audit Programme (USAP). The Programme was successfully launched, with the first ICAO aviation security audit taking place in November 2002.

1.5 This paper presents, for the consideration of the Assembly, a comprehensive report on the development and execution of the ICAO USAP. It provides information on the establishment and management of the USAP, the status of implementation of the Programme, including audits, training and certification activities, and the financial status of the Programme. It also presents a preliminary analysis of audit results from the audits conducted to date.

## **2. ESTABLISHMENT AND MANAGEMENT OF THE USAP**

### **2.1 Programme objectives and principles**

2.1.1 The objective of the USAP is to promote global aviation security through the auditing of Contracting States on a regular basis to determine the status of implementation of Annex 17 Standards. As recommended by the High-level, Ministerial Conference and approved by the Council, audits are conducted at both the national and airport levels, in order to evaluate both a State's aviation security oversight capabilities as well as the actual security measures in place at selected key airports.

2.1.2 To ensure effective implementation of the Programme, certain fundamental auditing principles were adopted based upon those successfully used in the ICAO Universal Safety Oversight Audit Programme (USOAP). These principles include: sovereignty, universality, transparency of methodology, timeliness, inclusiveness, consistency, objectivity, fairness and quality. In recognition of the special sensitivity of information related to aviation security, the USAP has also adopted the principle of confidentiality. In practice this means that the audit report and all audit-related documentation are subject to rigorous physical controls by ICAO and are strictly protected from release to any entity other than the audited State. However, ICAO does periodically issue an audit activity report to Contracting States disclosing the identity of States and specific airports that have undergone audits, thereby providing an opportunity for States to share their audit results on a bilateral or multilateral basis.

### **2.2 Audit documentation**

2.2.1 A significant amount of work required for the establishment and implementation of the USAP has been completed by the Secretariat with the advice and assistance of the Council, the Committee on Unlawful Interference (UIC) and the Aviation Security Panel. Having considered the experiences of other audit programmes, both within and outside ICAO, the following auditing tools, guidance material and training courses have been developed for the use of Contracting States and ICAO auditors:

- a) **Security Audit Reference Manual, First Edition (Doc 9807 – Restricted):** assists both Contracting States and ICAO audit team members by providing standard auditing procedures and audit follow-up action, with a view to ensuring that audits are conducted in a consistent, standardized and objective manner;
- b) **Aviation security pre-audit questionnaire:** solicits relevant security-related information on State legislation, policies and procedures required for the development of a State-specific audit plan, while serving as a tool for the review of the level of implementation of SARPs and the identification of differences;
- c) **USAP auditor training course:** provides structured, high-quality, standardized training to all ICAO aviation security auditors, including long and short-term seconded staff;
- d) **Criteria for certification as an ICAO aviation security auditor:** ensure that audits are conducted by appropriately qualified and experienced aviation security experts who have a thorough knowledge of the ICAO USAP methodology and possess the key competencies required for USAP auditors;
- e) **Written and oral certification examinations:** test the skills and knowledge of potential auditors, prior to being placed on the ICAO roster of certified auditors and being allowed to participate in a USAP audit; and
- f) **Information Security Instructions:** ensure the protection of audit-related sensitive security information on the part of ICAO, by setting forth guidelines and instructions for preventing a disclosure of audit-related information that could compromise the national security of a State and/or potentially harm the travelling public.

## 2.3 The audit process

2.3.1 Audit missions are conducted on the basis of a USAP Plan of Action established on an annual basis and distributed to all Contracting States by State letter. Updates to the audit schedule are distributed semi-annually or as required, along with an audit activity report identifying the States and airports audited to date under the Programme. Four such State letters have been prepared and distributed since the commencement of the Programme: AS 8/16-03/05 Confidential, dated 31 January 2003; AS 8/16.24-03/73 Confidential, dated 25 July 2003; AS 8/16.24-04/17 Confidential, dated 27 February 2004; and AS 8/16.24-04/79 Confidential, dated 30 July 2004.

2.3.2 Four to six months prior to the date of the audit, Contracting States scheduled for an audit are sent a customized Memorandum of Understanding (MoU) for confirmation of agreement on its terms, based upon the model bilateral MoU endorsed by the Council during its 167th Session. At the same time, States are requested to complete and submit a pre-audit questionnaire to assist in the planning of the audit. Audit-related documents and other essential information are forwarded to the State to be audited at the earliest opportunity to enable it to appropriately prepare for the forthcoming audit. All activities relating to a specific audit are conducted in a transparent manner involving the full participation of the State throughout the audit process.

2.3.3 An ICAO aviation security audit is typically conducted over a period of eight days by a team of four auditors following the standard auditing procedures and protocols. However, the duration of the audit and the composition of the audit team are adjusted depending upon the size and complexity of operations and

the number of airports involved. Over 90 per cent of States will have one primary international airport audited in the initial cycle of audits, although provision has been made to audit up to three airports in those States representing the world's largest number of scheduled departures.

2.3.4 Post-audit action starts with a detailed on-site briefing provided to the State at the conclusion of the audit. A confidential audit report is forwarded to the audited State within 60 calendar days of the completion of the audit and, under the terms of the MoU signed with ICAO, the State is expected to submit a corrective action plan within 60 calendar days after receiving the report. At the same time, States are asked to complete and submit a State Audit Feedback Form commenting on all aspects of the audit process. This feedback is used, as appropriate, to improve the audit process.

2.3.5 The ICAO audit report, coupled with the State corrective action plan, provide the starting point for initiating corrective actions taken by States. Depending upon the nature of the deficiencies identified in an audited State, immediate and direct assistance may be available through the ICAO Aviation Security Mechanism, and longer-term assistance projects may be coordinated through the Technical Co-operation Programme.

### **3. STATUS OF IMPLEMENTATION**

#### **3.1 Audit activities**

3.1.1 As of 31 July 2004, a total of 45 audits have been conducted since November 2002 under the ICAO USAP, 32 confidential audit reports have been prepared, and 16 corrective action plans have been received from States, as set forth in Appendix A. The audits conducted to date have included States from all of the ICAO regions and include a cross-section of States in terms of size and complexity of airport operations, including varying passenger throughput and numbers of flights.

3.1.2 It is expected that a total of 60 audits will be conducted by the end of 2004, with an additional 40 audits to be conducted in each of the following years. At this pace, all 188 Contracting States will have undergone an initial audit by the end of 2007. The audit schedule for the remainder of 2004 and for 2005, was distributed to Contracting States in State letter AS 8/16.24-04/79 Confidential, dated 30 July 2004.

3.1.3 The audits conducted to date have revealed a high level of State cooperation in facilitating the audit process by making available appropriate staff and requested documentation, and arranging for access to records, relevant persons, and appropriate areas of the airport as necessary. The acceptance of proposed audit dates, preparations being made by States for the audits, and the timely submission of corrective action plans indicate that States support the Programme and are committed to achieving its objectives.

#### **3.2 Training and certification activities**

3.2.1 The USAP emphasizes the importance of consistent and rigorous auditor selection, training and certification procedures in order to ensure and maintain the highest standards of competency in the conduct of the audits.

3.2.2 As of 31 July 2004, 13 auditor training courses have been conducted, and there are now a total of 128 aviation security experts, representing 63 States from all of the ICAO regions, on the ICAO roster of USAP certified auditors. It is expected that auditor training and certification activities will continue to be conducted, with the objective of establishing a roster of auditors representing as wide a geographical base as

possible, and in sufficient numbers to carry out the established schedule of 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.

3.2.3 ICAO has also worked with the Asia Pacific Economic Cooperation (APEC) forum to support a seminar for States to increase the knowledge and awareness of States on their national aviation security obligations and on the ICAO USAP. This seminar took place in Singapore from 31 March to 2 April 2004. The materials from the seminar were made available to ICAO for future use and a second seminar is scheduled to take place in Jamaica from 24 to 26 August 2004. It is envisaged that ICAO will hold similar aviation security audit seminars in the other ICAO regions.

#### **4. FINANCIAL STATUS OF THE PROGRAMME**

4.1 As part of the ICAO Aviation Security Plan of Action, the activities of the USAP are funded through the voluntary contributions of States. Funding for the entire audit cycle has not yet been achieved. Due to the difficult financial situation that the Organization is facing, proposals to incorporate certain resource requirements into the Regular Programme budget for the upcoming triennium were not incorporated in the programme budget for 2005, 2006 and 2007. However, in order to ensure the long-term sustainability and financial stability of the Programme, the activities of the USAP will progressively be integrated into the Regular Programme budget.

4.2 The extra-budgetary resources required to fund the activities of the USAP for the upcoming triennium are detailed in A35-WP/49 – Developments since the 33rd Session of the Assembly.

#### **5. ANALYSIS OF AUDIT FINDINGS**

5.1 In order to achieve the overall objective of the USAP to promote global aviation security, the identification and quantification of security concerns for individual States, groups of States, and at regional and global levels, is essential in order to identify actions required to resolve security concerns. To this end, the USAP is developing a database that will contain the audit findings and differences with the Standards of Annex 17 that were identified during the audit, and will incorporate corrective actions proposed or taken by States in implementing ICAO recommendations. The data collected will, while maintaining State-specific confidentiality, enable ICAO and relevant regional and State entities to prioritise their activities in offering assistance to remedy identified deficiencies.

5.2 The audit reports have been analysed to identify aviation security deficiencies, and to determine any actions required to resolve the concerns. This analysis quantifies major aviation security concerns at the State, regional and global levels.

5.3 In analysing the audit findings, a number of trends have begun to emerge. Overall, States are demonstrating a very high level of interest in maintaining effective levels of aviation security. However, some general concerns have been noted. Preliminary information indicates that several of the areas where States are experiencing difficulties are related to changes stemming from Amendment 10 to Annex 17, which was adopted on 7 December 2001 and became applicable on 1 July 2002.

5.4 Organization and administration of aviation security at the national level is the foundation upon which effective and sustainable civil aviation security can be achieved. Some audited States do not have the national programmes, policies, procedures or organizational processes necessary to provide effective oversight of aviation security. States are also having difficulty developing, maintaining and implementing effective aviation security training programmes. These concerns at the national level tend to lead to related problems at the operational level. The results of the audits conducted to date support this premise.

5.5 Concerns at the airport level include a failure to implement a current, comprehensive, approved airport security programme. In some audited States, the airport security programme is outdated, lacks detailed procedures for security measures applied at the airport level, or exists only in draft form. This problem further contributes to the manifestation of operational concerns, such as screening and access control, that have a direct impact upon the civil aviation security system.

5.6 The results of the preliminary analysis outlined above and the specific findings identified in each audit are being further evaluated by the Secretariat in the context of providing guidance material and technical assistance, where required, to remedy identified deficiencies. As discussed in paragraph 2.3.5, short-term remedial assistance may be available to States through the ICAO Aviation Security Mechanism, and the Technical Co-operation Programme is available for the coordination of longer-term State assistance projects.

5.7 Additional information concerning the analysis of audit results can be found in the restricted information paper on the ICAO-NET ([www.icao.int/icaonet](http://www.icao.int/icaonet)) which is accessible by authorized users designated by the Appropriate Authority in each Contracting State.

## 6. CONCLUSION

6.1 In accordance with the mandate given by Assembly Resolution A33-1 and the High-level, Ministerial Conference on Aviation Security (February 2002), ICAO has established a comprehensive programme of regular, mandatory, systematic and harmonized aviation security audits. From its inception, the USAP has enjoyed the support of Contracting States, and is proving to be instrumental in the identification of aviation security concerns and in providing recommendations for their resolution.

6.2 A fundamental principle of internationally accepted audit systems is continual monitoring to ensure that a secure environment is maintained through the conduct of regular and systematic audits. The ICAO USAP has already become an essential tool and a major activity of the Organization. With a mandate for regular audits, it is anticipated that ICAO will continually monitor the level of aviation security in States in order to ensure that ICAO Standards are maintained at the desired level throughout the global aviation system.

## 7. ACTION BY THE ASSEMBLY

7.1 The Assembly is invited to:

- a) note the information contained in paragraph 2, relating to the establishment and management of the Universal Security Audit Programme;

- b) note the information contained in paragraph 3 and Appendix A related to the status of implementation of the Programme including audit, training and certification activities;
- c) note the information contained in paragraph 4 on the financial status of the Programme and request the Secretary General and the Council to reflect this priority in the next Regular Programme budget of the Organization for 2008, 2009 and 2010; and
- d) adopt the Resolution contained in Appendix B to this working paper relating to the continuation of the USAP.

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ICAO UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)  
PROGRAMME IMPLEMENTATION AS OF 31 JULY 2004

APPENDIX A

|     | STATE      | AIRPORTS AUDITED  | DATE OF AUDIT         | CORRECTIVE ACTION PLAN RECEIVED* |
|-----|------------|---|-----------------------|----------------------------------|
| 1.  | Austria    | Vienna International Airport (VIE)  | October 2003          | Yes                              |
| 2.  | Bangladesh | Dhaka Zia International Airport (DAC)   | October/November 2003 | Yes                              |
| 3.  | Bhutan     | Paro International Airport (PBH)  | October/November 2003 | Yes                              |
| 4.  | Bolivia    | La Paz El Alto International Airport (LPB)  | March/April 2003      | Yes                              |
| 5.  | Botswana   | Gaborone Sir Seretse Khama International Airport (GBE)                            | November 2003         | Pending                          |
| 6.  | Bulgaria   | Sofia International Airport (SOF)   | February 2003         | Yes                              |
| 7.  | Cambodia   | Phnom Penh Pochentong International Airport (PNH)                                 | May 2003              | Yes                              |
| 8.  | Cameroon   | Douala International Airport (DLA)  | February 2004         | Pending                          |
| 9.  | Cape Verde | Sal Amilcar Cabral International Airport (SID)                                    | July 2004             | Pending                          |
| 10. | China      | Beijing International Airport (BJS), Xian Airport (SIA) and Kunming Airport (KMG) | May 2004              | Pending                          |
| 11. | Cuba       | Havana Jose Marti International Airport (HAV)                                     | March 2004            | Pending                          |
| 12. | Cyprus     | Larnaca International Airport (LCA)   | September 2003        | Pending                          |
| 13. | Egypt      | Cairo International Airport (CAI)   | July 2004             | Pending                          |
| 14. | Gabon      | Libreville Leon M'Ba International Airport (LBV)                                  | January 2004          | Pending                          |
| 15. | Gambia     | Banjul International Airport (BJL)  | November 2003         | Yes                              |
| 16. | Georgia    | Tbilisi International Airport (TBS)   | June 2004             | Pending                          |
| 17. | Greece     | Athens Eleftherios Venizelos International Airport (ATH)                          | June/July 2003        | Yes                              |
| 18. | Guinea     | Conakry International Airport (CKY)   | June 2003             | Yes                              |

*\* Note regarding corrective action plans that are “pending”:* Under the terms of the Memorandum of Understanding (MoU) signed between ICAO and an audited State, ICAO undertakes to provide a confidential audit report within 60 calendar days of the audit, if no translation of the report into another ICAO language is required. The audited State is then required to submit a corrective action plan within 60 calendar days of receiving the ICAO report. Where translation of the ICAO report is required, the time line for the submission of the corrective action plan is sequenced accordingly. An action plan that is “pending” does not, therefore, imply that a State has failed to submit its action plan in a timely fashion as required under the MoU.



|     | STATE                            | AIRPORTS AUDITED  | DATE OF AUDIT         | CORRECTIVE ACTION PLAN RECEIVED* |
|-----|----------------------------------|---|-----------------------|----------------------------------|
| 19. | Honduras                         | Tegucigalpa Toncontin International Airport (TGU)                             | March 2004            | Pending                          |
| 20. | Indonesia                        | Soekarno-Hatta International Airport (CGK)                                    | July 2004             | Pending                          |
| 21. | Israel                           | Tel Aviv Ben-Gurion International Airport (TLV)                               | March 2004            | Pending                          |
| 22. | Jamaica                          | Kingston Norman Manley International Airport (KIN)                            | September 2003        | Yes                              |
| 23. | Kenya                            | Jomo Kenyatta International Airport (NBO)                                     | June 2004             | Pending                          |
| 24. | Lao People's Democratic Republic | Vientiane Wattay International Airport (VTE)                                  | January 2004          | Pending                          |
| 25. | Lebanon                          | Beirut International Airport (BEY)  | May 2003              | Yes                              |
| 26. | Libyan Arab Jamahiriya           | Tripoli International Airport (TIP)   | March 2004            | Pending                          |
| 27. | Lithuania                        | Vilnius International Airport (VNO)   | May 2003              | Yes                              |
| 28. | Mexico                           | Mexico City International (MEX) and Guadalajara Miguel Hidalgo (GDL) Airports | January 2004          | Pending                          |
| 29. | Micronesia, Federated States of  | Pohnpei International Airport (PNI)   | June 2004             | Pending                          |
| 30. | Morocco                          | Mohammed V International Airport (CMN)  | March 2004            | Pending                          |
| 31. | Myanmar                          | Yangon International Airport (RGN)  | January/February 2004 | Pending                          |
| 32. | Paraguay                         | Asuncion Silvio Pettirossi International Airport (ASU)                        | December 2003         | Pending                          |
| 33. | Peru                             | Lima Jorge Chavez International Airport (LIM)                                 | May 2004              | Pending                          |
| 34. | Philippines                      | Manila Ninoy Aquino International Airport (MNL)                               | June 2004             | Pending                          |
| 35. | Poland                           | Warsaw International Airport (WAW)  | January 2004          | Pending                          |
| 36. | Senegal                          | Dakar Leopold Sedar Senghor International Airport (DKR)                       | June 2003             | Yes                              |
| 37. | Suriname                         | Paramaribo John A. Pengel International Airport (PBM)                         | July 2003             | Yes                              |
| 38. | Swaziland                        | Manzini/Matsapha International Airport (MTS)                                  | November 2003         | Pending                          |

|     | <b>STATE</b>                | <b>AIRPORTS AUDITED</b>                          | <b>DATE OF AUDIT</b>   | <b>CORRECTIVE ACTION PLAN RECEIVED*</b> |
|-----|-----------------------------|--|------------------------|---|
| 39. | Syrian Arab Republic        | Damascus International Airport (DAM)             | March 2004             | Pending                                 |
| 40. | Trinidad and Tobago         | Port of Spain Piarco International Airport (POS) | June/July 2003         | Yes                                     |
| 41. | Tunisia                     | Tunis-Carthage International Airport (TUN)       | April 2004             | Pending                                 |
| 42. | Turkey                      | Istanbul Ataturk International Airport (IST)     | May/June 2004          | Pending                                 |
| 43. | Uganda                      | Entebbe International Airport (EBB)              | November/December 2002 | Yes                                     |
| 44. | United Republic of Tanzania | Dar-es-Salaam International Airport (DAR)        | June/July 2004         | Pending                                 |
| 45. | Uzbekistan                  | Tashkent International Airport (TAS)             | May 2004               | Pending                                 |

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## **APPENDIX B**

### **DRAFT RESOLUTION**

*(to be incorporated as Appendix E of A35-WP/48: Consolidated statement of continuing ICAO policies related to the safeguarding of international civil aviation against acts of unlawful interference)*

#### **The ICAO Universal Security Audit Programme**

*Whereas* the primary objective of the Organization continues to be that of ensuring the safety and security of international civil aviation worldwide;

*Whereas* promoting the implementation of international aviation security Standards contributes to this objective;

*Whereas* Article 37 of the Convention requires each Contracting State to collaborate in securing the highest practicable degree of uniformity in regulations and practices in all matters in which such uniformity will facilitate and improve air navigation;

*Recalling* that the 33rd Session of the Assembly directed the Council and the Secretary General to consider the establishment of an ICAO universal security oversight audit programme relating to, *inter alia*, airport security arrangements and civil aviation security programmes;

*Recalling* that the 33rd Session of the Assembly directed the Council to convene, at the earliest possible date, an international High-level, Ministerial Conference on Aviation Security with the objective, *inter alia*, of strengthening ICAO's role in the adoption of SARPs in the field of security and the audit of their implementation;

*Considering* the recommendations of the High-level Ministerial Conference on Aviation Security convened in Montreal in February 2002, which called for the adoption of an ICAO Aviation Security Plan of Action which provides, *inter alia*, for the establishment of a comprehensive programme of regular, mandatory, systematic and harmonized aviation security audits to be carried out by ICAO in all Contracting States;

*Considering* the adoption of the ICAO Aviation Security Plan of Action by the Council of ICAO during its 166th Session;

*Considering* that the ICAO Universal Security Audit Programme (USAP) has been launched, with the first ICAO aviation security audit taking place in November 2002;

*Recognizing* that the implementation of the USAP is proving to be instrumental in the identification of aviation security concerns and in providing recommendations for their resolution;

*Recognizing* that the continuation of the USAP is essential to ensure the adequate implementation of security-related Standards;

*Recognizing* that all of the activities of the USAP are currently funded through the voluntary contributions of States;

*The Assembly:*

1. *Requests* the Secretary General to continue the ICAO Universal Security Audit Programme (USAP), comprising regular, mandatory, systematic and harmonized aviation security audits of all Contracting States, with such audits conducted at both national and airport levels in order to evaluate States' aviation security oversight capabilities as well as the actual security measures in place at selected key airports;
2. *Urges* all Contracting States to agree to audits to be carried out upon ICAO's initiative by signing a bilateral Memorandum of Understanding with the Organization, as approved by the Council during its 167th Session;
3. *Urges* all Contracting States to give full support to ICAO by accepting the audit missions as scheduled by the Organization, facilitating the work of the audit teams, and preparing and submitting to ICAO an appropriate corrective action plan to address deficiencies identified during the audit;
4. *Requests* the Council to ensure the long-term financial sustainability of the USAP by progressively integrating its activities into the Regular Programme budget; and
5. *Requests* the Council to report to the next ordinary session of the Assembly on the overall implementation of the USAP.

— END —