International Civil Aviation Organization
North American, Central American and Caribbean Office (NACC)
Thirteenth Meeting of Directors of Civil Aviation of the Central Caribbean (C/CAR/DCA/13)
Havana, Cuba, 28 - 31 May 2013

Agenda Item 7: **Aviation Security (AVSEC) Matters**
 7.2 **Universal Security Audit Programme (USAP)**

UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)

(Presented by the Secretariat)

SUMMARY
This Paper presents to the Meeting the progress achieved in the Second Cycle of the ICAO Universal Security Audit Programme (USAP), information on the future USAP Continuous Monitoring Approach (USAP-CMA), as well as the assistance mechanisms from which States can benefit to improve their aviation security systems. An update on the implementation of the limited level of transparency regarding the results of aviation security audits and the procedure approved by the ICAO Council to address the significant aviation security concerns, and finally, information on the ICAO Monitoring and Assistance Review Board (MARB) are also provided.

References:

- Universal Security Audit Programme on Aviation Security - Analysis of audit results - Period: November 2002 - December 2009, Second Edition 2010. Available on the Secure USAP website (http://portal.icao.int/).
- Universal Security Audit Programme on Aviation Security - Analysis of Audit Results - period: January 2008 - December 2011, Fourth Edition 2012. Available on the Secure USAP website (http://portal.icao.int/).
- Electronic Bulletin 2011/13 - *Posting of Significant Security Concerns (SSeC)*, dated 2 March 2011.
- Electronic Bulletin 2013/1 – *Latest Developments Related to the Universal Security Audit Programme*, dated 14 January 2013.

Strategic Objective	*This information paper is related to Strategic Objective: B. Security – Enhance global civil aviation security*

1. Introduction

1.1 This paper presents relevant information on the progress to date in the implementation of the ICAO Universal Security Audit Programme (USAP) second cycle audits for the Central Caribbean States.

2.   Background

2.1   The first cycle of the USAP audits was conducted between November 2002 and December 2009. The details of the findings and audit analysis of the first cycle of audits were reported in the document entitled *Universal Security Audit Program - Analysis of audit results - Period: November 2002 - December 2009* Second Edition 2010, and the progress of the second cycle of audits in the document entitled *Universal Security Audit Program - Analysis of audit results - period: January 2008 - December 2011,* Fourth Edition 2012, available at the secure website of the USAP (http://portal.icao.int/).

3.   Second Cycle of Audits and Results

3.1   The 36th Session of the ICAO Assembly recognized the crucial role played by the USAP in the detection of problems in aviation security and in formulating recommendations for their resolution, and requested the continuation of the USAP after completion of the first cycle of audits in late 2007. The Assembly also requested that second cycle audits focus, wherever possible, on the capability of States to conduct appropriate oversight on aviation security activities at the national level, and that audits be extended to include the relevant provisions related with aviation security established in Annex 9 - *Facilitation.* The second cycle of USAP audits started in the Caribbean with Jamaica in January 2008.

3.2   By 31 March 2013, 169 audits of the second cycle had been conducted (168 Member States and a Special Administrative Region), including Jamaica and México audited in January and November 2008, respectively; Cuba in January/February 2010, Dominican Republic and United States audited in February and September 2011, respectively; and Bahamas audited in April/May 2012. Haiti was not audited for previous security reasons established by United Nations.

3.3   The **Appendix** contains a chart that shows the level of implementation of the eight critical elements of an aviation security oversight system based on the results of the second cycle of audits conducted in the Central Caribbean (C/CAR). These results indicate a lack of effective implementation of the critical elements of an aviation security oversight system of 32.13% (0% as best result and 100% as worst).

3.4   The Critical Element (CE) of an aviation security oversight system related to the compliance with quality control obligations (CE-7) had the lowest level of implementation; this coincides with the low level of implementation of the critical elements related with resolution of security concerns (CE-8), the provision of technical guidance, tools and security-critical information (CE-5), and the personnel qualifications and training (CE-4).

3.5   With regard to the continuation of the USAP, on 29 October 2012, the ICAO Council approved the USAP transition towards a Continuous Monitoring Approach (USAP-CMA), which incorporates elements of continuous oversight and a risk-based approach. This transition to the USAP-CMA will be carried out in 2014, with to the full implementation on 1 January 2015. ICAO has the intention to hold familiarization seminars in all the Regions in 2014, in order to provide the member States with detailed information on the new approach. Further developments on this issue will be duly informed to the States.

4.   **Assistance and Cooperation in Aviation Security**

4.1   ICAO continues assisting the States with the greatest need to improve their aviation security system to appropriately address their corrective action plans through assistance, training projects and improvements plans through direct assistance at no cost to the States, An example of this assistance is the AVSEC Improvement Plan (SIP) agreed with the Civil Aviation Authorities of Haiti and Honduras, and the DGAG of Mexico, as part of the *ICAO/Canada Security Awareness Training Programme - Phase III* component of the ICAO/Transport Canada aviation security project.

4.2   It is important to remember that other forms of assistance and cooperation are also available such as:

- •   Direct bilateral and multilateral agreements between States
- •   the ICAO Regional Office with the support of and in coordination with ICAO HQs Implementation, Support and Development Section - Aviation Security (ISD-SEC) and the Technical Cooperation Bureau (TCB)
- •   Other international organizations and development agencies.

4.3   Furthermore, considering that the new USAP-CMA incorporates a risk-based approach, the ICAO has developed the training material for a new Aviation Security (AVSEC) Risk Management Overview Workshop that is being provided to the CAR Region free of charge through the *ICAO/Canada Security Awareness Training Programme, Phase III* component of the ICAO/Canada AVSEC Project. This mechanism also allows the granting of two scholarships to the States per workshop. The first workshop for El Salvador, Guatemala and Honduras was held in Tegucigalpa, Honduras, from 11 to 15 March 2013; and the second workshop for Costa Rica, Nicaragua and Panama, was held in Panama City, Panama, from 13 to 17 May 2013. A similar workshop is planned for Antigua and Barbuda, Barbados, Grenada, Saint Kitts and Nevis, Saint Lucia and Saint Vincent and the Grenadines, to be held in Antigua and Barbuda, from 27 to 31 May 2013. Another workshop is also planned for Cuba and Dominican Republic, to be held in Santo Domingo, Dominican Republic from 1 to 5 July 2013; and the Workshop for Bahamas, Belize, Bermuda, Cayman Islands, Jamaica and Turks and Caicos Islands to be held in Jamaica from 15 to 19 July 2013. Therefore, States are urged to send their specialists to this important Risk Management Workshop.

5.   **ICAO Monitoring and Assistance Review Board**

5.1   The Monitoring and Assistance Review Board (MARB), is chaired by the Secretary General and includes the Directors of Air Navigation, Air Transport, and Technical Co-operation, the Deputy Director of the Safety Management and Monitoring Office, and the Chief of the Aviation Security Branch. The Board continues with the task of assessing the effectiveness and efficiency of oversight activities and to identify, coordinate and validate assistance strategies for States with difficulties to resolve deficiencies through their existing mechanisms.

6. **Transparency**

6.1 The 36th session of the Assembly, and the Council at its 184th session approved a level of transparency on the results of the aviation security audits, and approved that a graphical representation of the Lack of Effective Implementation (LEI) of the critical elements of an aviation security oversight system in each audited State be available on the secure website of the ICAO USAP section for which access may be requested by States visiting the following site: http://portal.icao.int/. This limited level of transparency applies to all audits conducted during the second cycle of USAP since October 2010. Additionally, this site publishes those States with pending SSeCs.
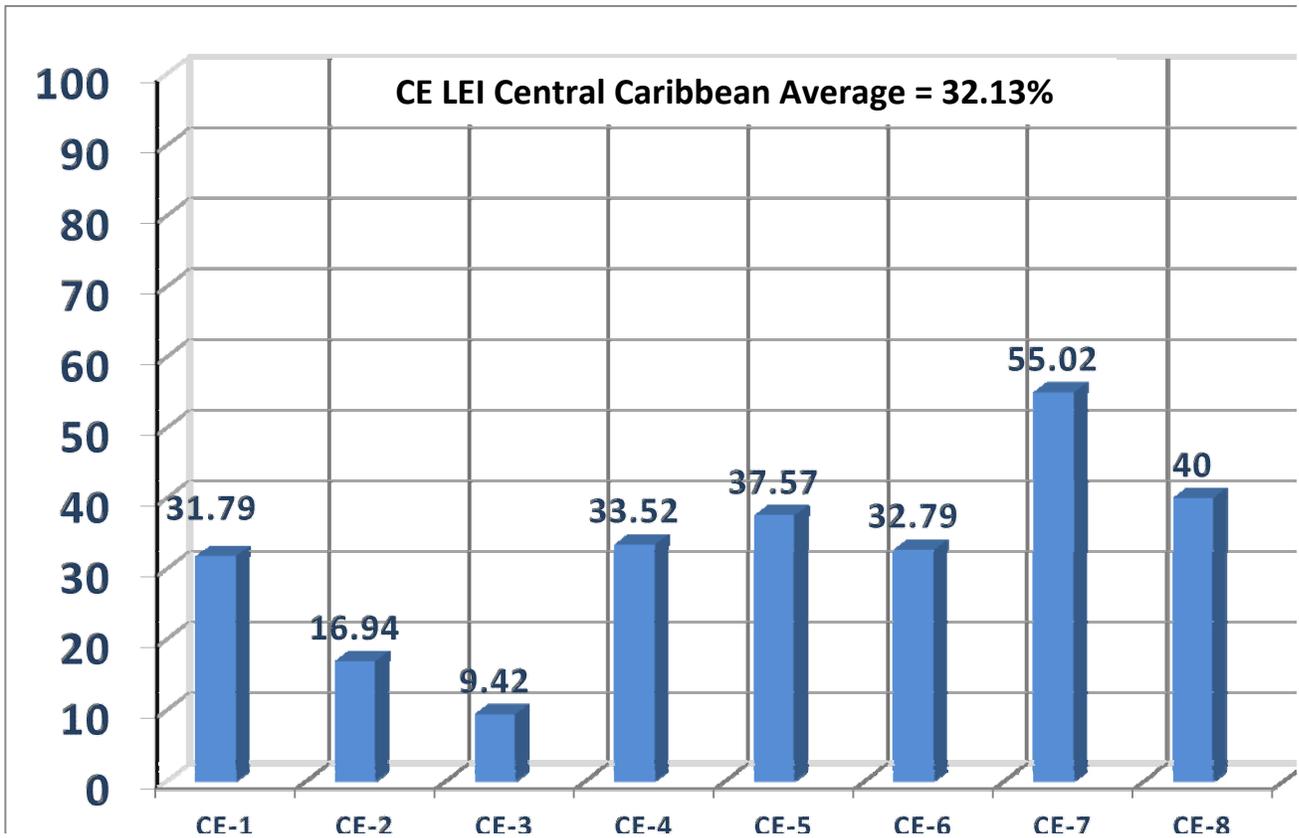
7. **Conclusion**

7.1 The Meeting is invited to:

a) take note of the information provided in this paper;

b) urge States to benefit of the ICAO, other States and International Organizations cooperation and assistance mechanisms for the resolution of deficiencies observed during the USAP second cycle audits, and to improve and implement their corrective action plans, thus reinforcing their own security systems in accordance with Annex 17 and Annex 9 standards related to security; and

c) urge States from benefit from the fellowships offered for the workshops on Aviation Security Risk Management, in preparation for the future USAP-CMA.
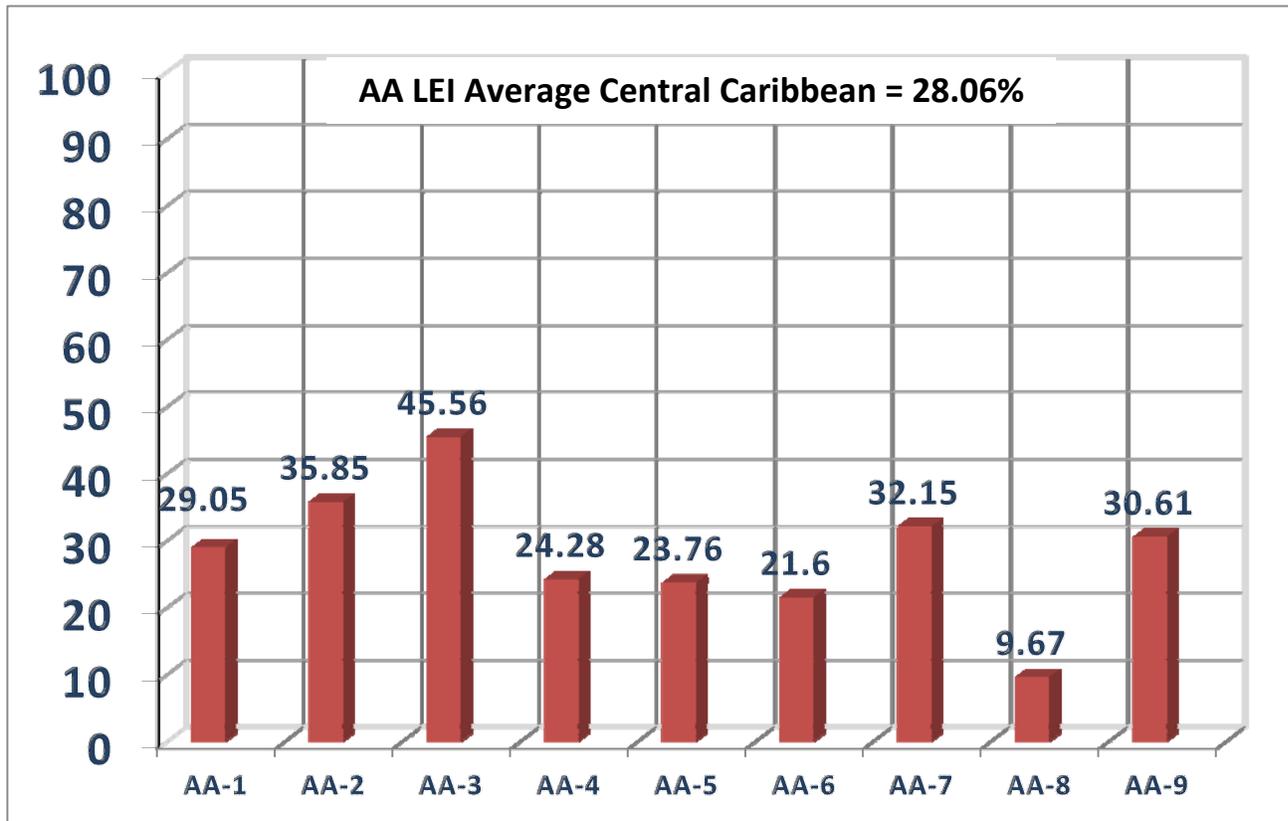
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APPENDIX
CENTRAL CARIBBEAN SECOND CYCLE USAP AUDITS RESULTS

Critical Elements (CE) of a security oversight system
Lack of Effective Implementation (LEI)
Global Average 169 Audited States 30.57%
NAM and CAR Regions average 20 audited States 39.2%
Average of the 6 Central Caribbean audited States 32.13%

CE LEI Central Caribbean Average = 32.13%

CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
31.79	16.94	9.42	33.52	37.57	32.79	55.02	40

CE-1: Aviation Security
CE-2: Aviation Security Programmes and Standards
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

Audit Areas (AA) of a security oversight system
Lack of Effective Implementation (LEI)
Global average 169 audited States – 29.90%
NAM and CAR Regions average 20 audited States – 38.9%
Average 6 Central Caribbean audited States 28.06%

AA LEI Average Central Caribbean = 28.06%

LEG = Regulatory Framework and the National Civil Aviation Security System
TRG = Training of Aviation Security Personnel
QCF = Quality Control Functions
OPS = Airport Operations
IFS = Aircraft and In-flight Security
PAX = Passengers and Baggage Security
CGO = Cargo, Catering and Mail Security
AUI = Response to Acts of Unlawful Interference
FAL = Security Aspects of Facilitation

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