



OVERVIEW OF THE ICAO UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)

ICAO Aviation Security Audit Section

1

Action by the 33rd Session of the Assembly



In September 2001 the ICAO Assembly
unanimously adopted:

Resolution A33-1 *Declaration on misuse of
civil aircraft as weapons of destruction and
other terrorist acts involving civil aviation*

- A33-1 directed the Council of ICAO and the Secretary General to consider the establishment of an ICAO security audit programme to verify whether States in fact are implementing the Standards.

2

2

High-level, Ministerial Conference on Aviation Security (February 2002)



- Endorsed a global strategy for strengthening aviation security worldwide with the aim of:
 - protecting lives
 - restoring public confidence in air travel
 - promoting the financial health of air transport

- AVSEC Plan of Action



3

3

Aviation Security Plan of Action



- Key component: the promotion of global aviation security through the conduct of **regular, mandatory, systematic and harmonized audits** of Contracting States.

4

4

The Making of the USAP



Assembly Resolution A33-1 (Sep 2001)

High-level, Ministerial Conference (Feb 2002)

Approval of ICAO USAP by Council
as part of AVSEC Plan of Action (June 2002)

Launching of mandatory security audits:
November 2002

5

5

Why an ICAO USAP?





- Technical evaluations conducted under the AVSEC Mechanism have shown a lack of implementation of ICAO Security SARPs in many Contracting States
- Increased concern over the level of aviation security worldwide, especially after the events of September 11, 2001
- Need to reduce all acts of unlawful interference
- Restoration of public confidence in civil air transport

6

6

Objectives


Programme Objective: promote global aviation security through the auditing of Contracting States on a regular basis to determine the status of implementation of ICAO Annex 17 security Standards

7

Annex 17 – 7th edition

- ICAO has issued 18 Annexes.
- The primary Annex for security-related Standards and Recommended Practices is Annex 17
- First issued: 1974
- Amendment 10
 - Adoption: 7 December 2001
 - Applicability: 1 July 2002




66 Standards
SECURITY
19 Recommended Practices

8

Audit Objectives


- Determine the **degree of compliance** of an audited State in implementing Annex 17 Standards
- Determine the **sustainability** of a State's implementation of a security system through the establishment of legislation, national policies and a security authority with inspection and enforcement capabilities.



9

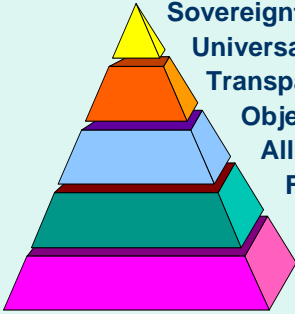
USAP Characteristics

- Regular, mandatory, systematic and harmonized audits
- Evaluation of aviation security in place in all 188 ICAO Contracting States
- Audit State's aviation security oversight capability
- Audit security measures at selected airports
- Funded at present by voluntary contributions




10

Programme Principles




- Sovereignty of States
- Universality
- Transparency
- Objectivity
- All Inclusiveness
- Fairness
- Quality
- Timeliness
- Confidentiality




11


Programme Activities




Scheduling audits



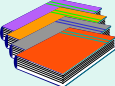
Audits




Audit Tools




Auditor Training & Certification




Audit Reports



Analysis




Working Papers



12


Conducting an Audit

- Audits are conducted at ICAO's initiative, but ONLY with the consent of States (Resolution + MoUs)
- Official audit notification and process starts 4 to 6 months prior to the audit
- 1 to 2 States per mission
- 6 to 8 working days per audit
- 3 to 4 team members

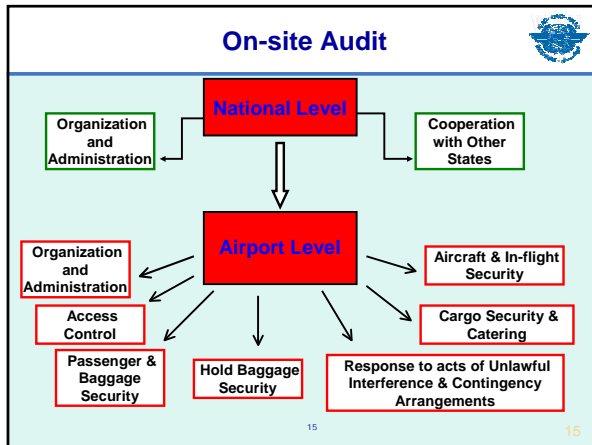


13

What is Audited?




14



Audit Tools

- Memorandum of Understanding
- Annex 17
- ICAO Security Manual (Doc 8973 Restricted)

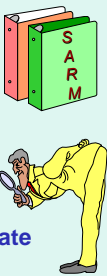


16

Audit Tools

Security Audit Reference Manual

- Auditor's Aid
- Auditor's Guidance
- Pre-audit Questionnaire
- Interim Findings Worksheet
- State Corrective Action Plan Template



17

Audit Tools

- Training documentation
 - USAP Auditor Training Programme
 - Auditor Certification Documentation
- Feedback/Improvement
 - Audit Mission Reports
 - State Feedback Forms



18

Timeline

In cases where translation not necessary

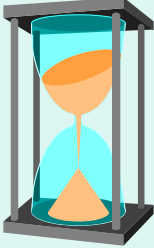
AUDIT
60 DAYS

AUDIT REPORT
30 DAYS

STATE PROVIDES COMMENTS
30 DAYS

**STATE PROVIDES
CORRECTIVE ACTION PLAN**
30 DAYS

PRELIMINARY REVIEW




19

Audit Results

USAP Audit Reports

- Strictly confidential on the part of ICAO
- States are encouraged to share audit reports and information on a bilateral or multilateral basis





20

Audit Results

Analysis of audit findings



- Audit data, results, and differences to Annex 17 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

21

Analysis of Audit Results


- **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**

22

Remedial Assistance

- **State Corrective Action Plans**
- **AVSEC Mechanism:** immediate/urgent assistance
- **Technical Co-operation Bureau :** project documents



23

Audit Cycle

Audit -6 months
State notified of Audit

⇒

Audit -4 months
State accepts audit dates

⇒

Audit -3 months
State returns PAQ

↓

Audit Day 1
National and airport briefings; orientation tour

⇐

Audit -1 day
Team briefing

⇐

Audit -2 months
Develop State-specific Audit Plan

↓

Daily during audit
Team meetings/ National Coordinator

⇒

Audit last day
Post-audit debriefing

⇒

Audit +1 or 2 days
Team members complete audit docs

↓

Report writing/QA

↓

Audit +60 days
ICAO sends audit report to State

⇐

Audit +120 days
State submits corrective action plan

⇐


Audit activity report released


↓

Audit + 1-2 years Follow-up visit

24

The ICAO Team

- Team Leader: ICAO employee/HQ 



- Team Members: Short-term secondments from States

25 25

Team Leader

- Assumes overall responsibility for the audit under the direction of the ASA Unit
- Provides leadership and guidance to team members
- Responsible for ensuring audit procedures and methodology are followed
- Conducts the national briefing, airport briefing and post-audit debriefing
- Coordinates the development of the audit report

26 26

Team Leader and Members


- Current certification as an ICAO AVSEC Auditor
 - State nominated
 - Extensive knowledge of aviation security, using Annex 17 as a reference
 - At least 3 years operational experience in civil aviation security



27 27


The ICAO Code of Conduct

- The four ground commitments to:
 - The ICAO audit mission
 - Integrity and Impartiality
 - Tact and respect
 - Confidentiality



28 28

Contracting State

- National Coordinator
 - State's focal point for the audit
 - Knowledge of the airport and security operations
 - Receives daily debriefs on the audit results
- Technical Liaison Officer 

29 29

National Coordinator

During **audit preparation** phase:

- Serve as contact
- Provide documentation & information
- Organization (briefings, interviews, escort & interpreters)
- Logistics (transport, access permits and office support)

30 30

National Coordinator

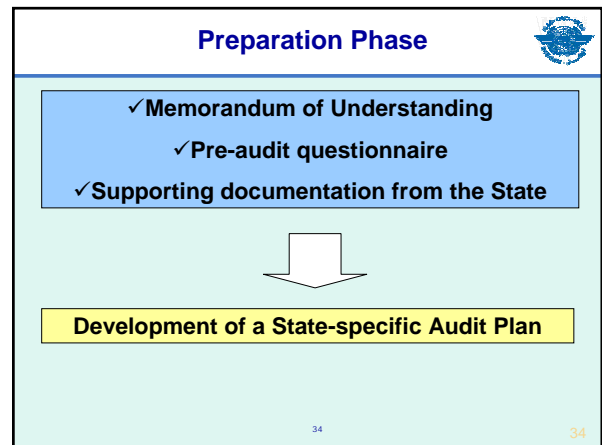
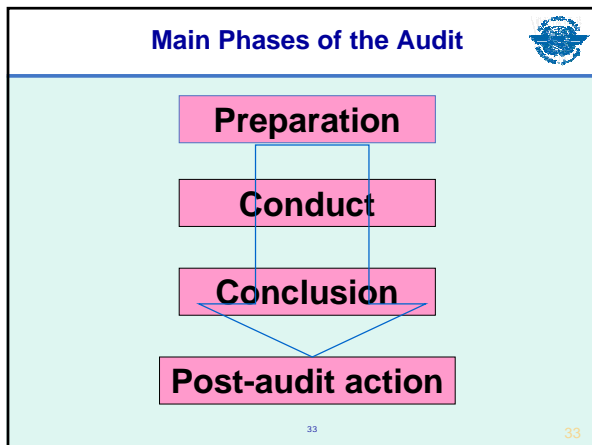
- During **audit conduct** phase:
 - Facilitation ➤ Cooperation
 - Escort ➤ Availability
 - Information
- After the audit:
 - Clarification
 - Confirmation

31 31

Technical Liaison Officer

- Technical contact for the State:
 - Verification of the implementation of standards, procedures and level of performance
 - Verification of the routine use of equipment
 - Compliance of equipment implementation
 - Performance assessment

32 32



Audit Conduct Phase

- National briefing
- Airport briefing
- Airport orientation tour

35 35

Audit Conduct Phase

- Document reviews

➤ Interviews

➤ Observations **AND**

...daily meetings with the national coordinator

36 36

Conclusion Phase



- Interim Findings Worksheet
- Post-Audit Debriefing
- Audit Report

- Audit Mission Report
- State feedback form



37

37

Post-Audit Action



State *Corrective Action Plan*

- defines the action planned to be taken to implement the ICAO recommendations
 - Detailed and specific
 - Start and finish dates
 - Office responsible
 - Short, medium and long-term actions

38

38

Summary



- ICAO Responsibilities in implementing the USAP
 - Coordination
 - Management
 - Control of audit activities
 - Audit quality control
 - Provide audit team leaders
 - Analysis of findings
 - Assistance in rectifying shortcomings and deficiencies

39

39

Summary



- The Universal Security Audit Programme is an ICAO initiative designed to ascertain the level of implementation of Annex 17 Standards in Contracting States at both the national and airport levels
- By identifying security concerns and providing recommendations for their resolution, the Programme assists States in their efforts to fulfil their aviation security responsibilities

40

40