



INTERNATIONAL CIVIL AVIATION ORGANIZATION

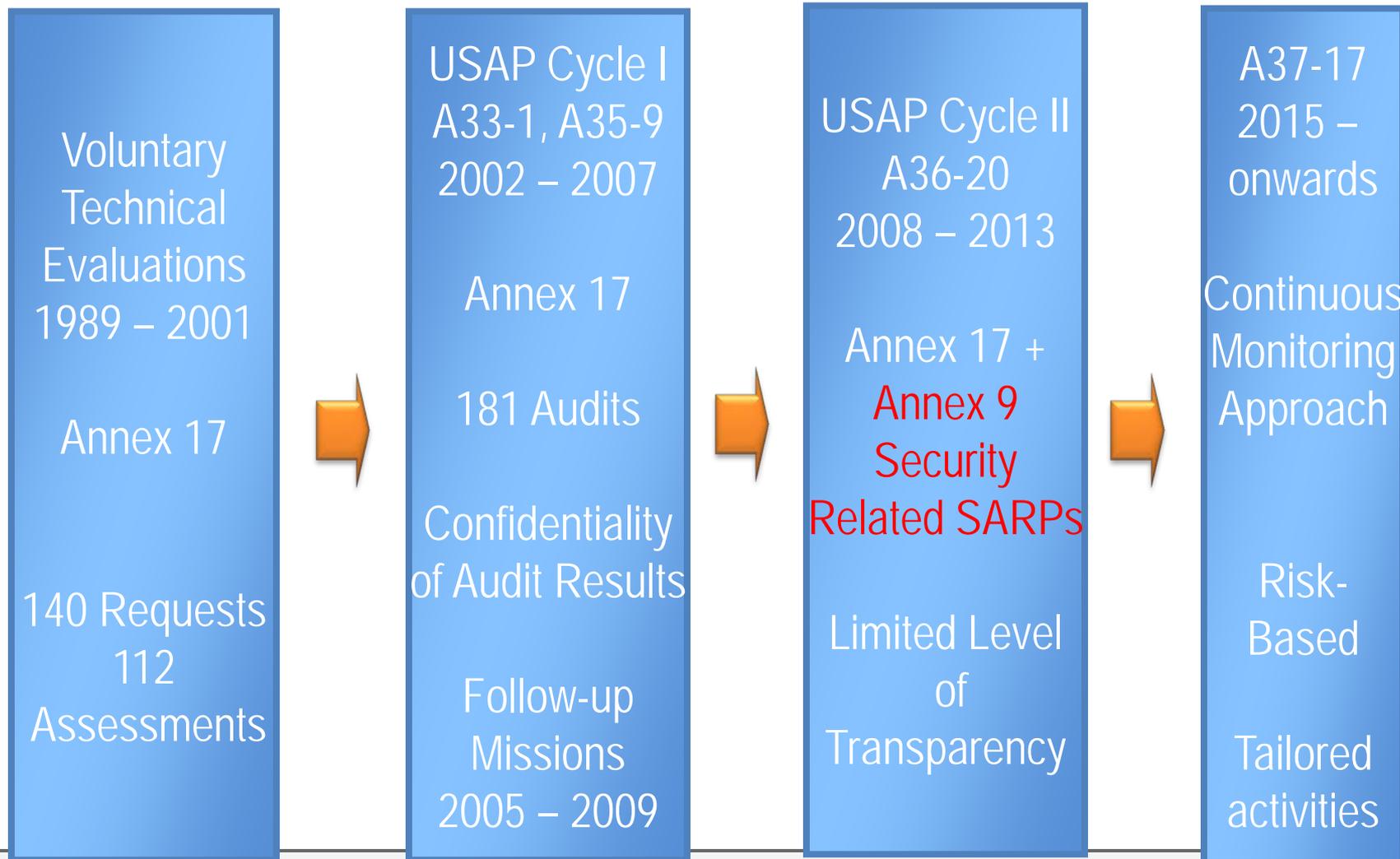
A United Nations Specialized Agency

ICAO Regional FAL Seminar Nairobi, Kenya 18-21 February 2014

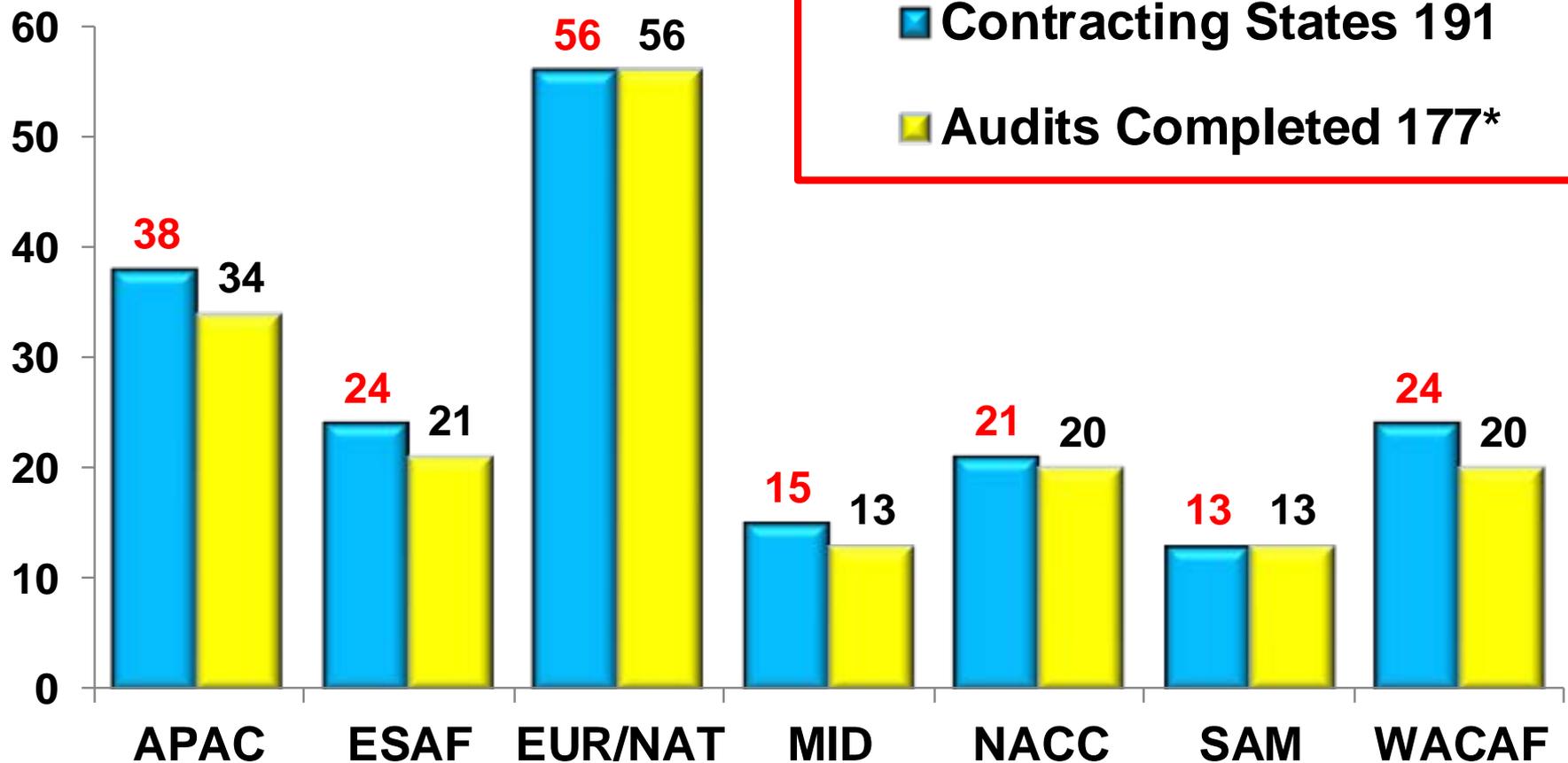
**Universal Security Audit Programme:
Annex 9 & Aviation Security Audits**

21 February 2014

Background: The USAP

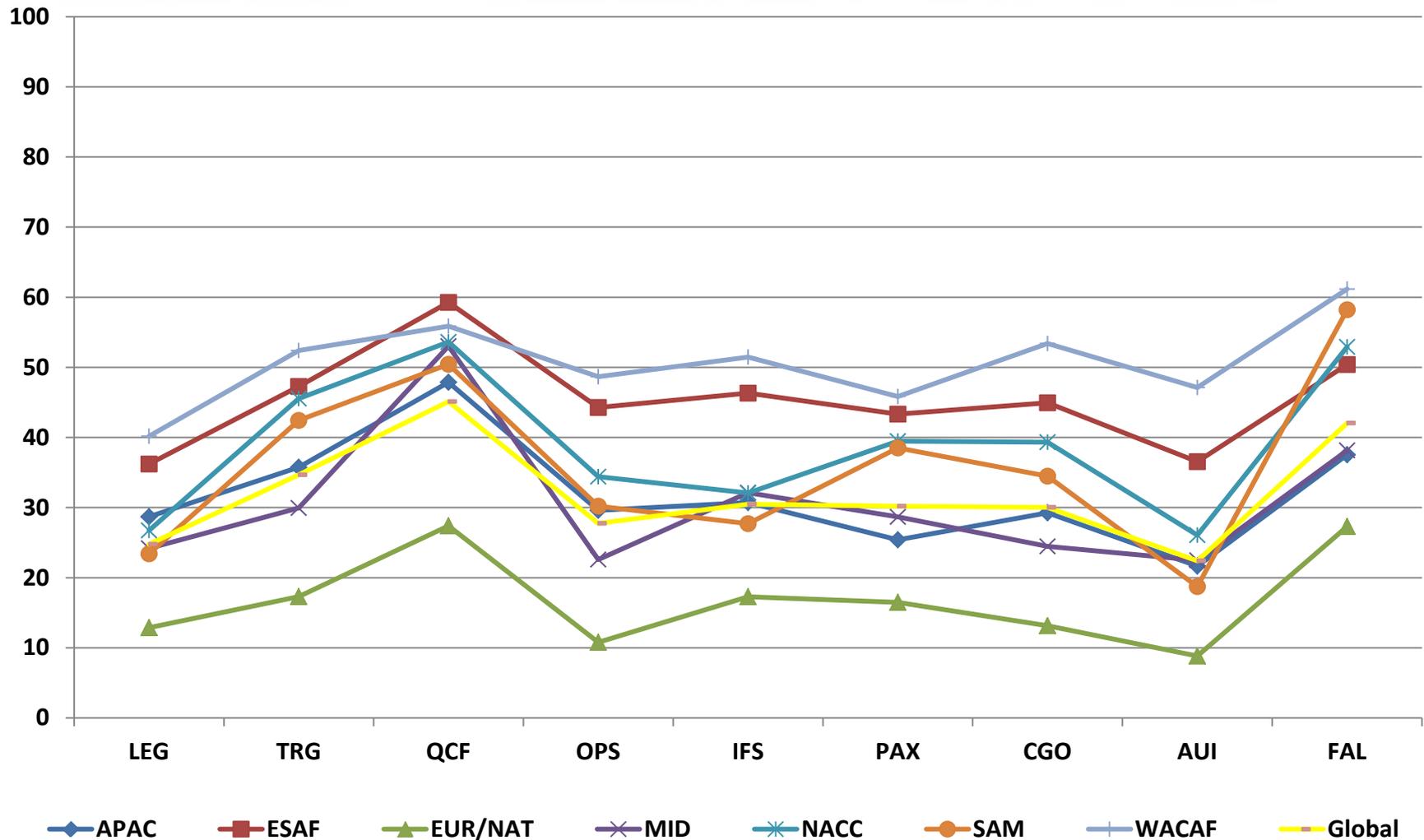


USAP Second-cycle Audits



* In addition, a Special Administrative Region and the European Commission's Aviation Security Inspection System have were assessed by ICAO under the USAP

USAP Second-Cycle Audit Results by Audit Area: Regional Comparison





USAP Audit Protocols (PQs)

- Developed by the Aviation Security Section as a tool for the conduct of USAP audits
- Provide a step-by-step guide to verify the implementation of Annex 17 Standards and Annex 9 security-related provisions
- Of approx. 300 PQs used under the second cycle of audits, 21 associated to Annex 9.
- Relate to 12 Standards and 3 Recommended Practices

Facilitation Protocol Review



- **PQ 876:** Establishment of a national air transport facilitation programme
- **Associated SARP:** 8.17
- **Per cent of States not satisfactory:** 74.72%

Facilitation Protocol Review



- **PQ 879:** Policy for close coordination between civil aviation security and FAL programmes
- **Associated SARP:** RP 8.20
- **Per cent of States not satisfactory:** 52.25%

Facilitation Protocol Review



- **PQ 889:** Incorporation of biometric data in its machine-readable passports using data storage technologies
- **Associated SARP:** RP 3.9
- **Per cent of States not satisfactory:** 47.75%

Facilitation Protocol Review



- **PQ 906:** Establishment of guidance or procedures for the seizure of fraudulent, falsified or counterfeit travel documents
- **Associated SARP:** 3.46
- **Per cent of States not satisfactory:** 42.70%

Facilitation Protocol Review



- **PQ 903:** Requirement to ensure seized fraudulent, falsified or counterfeit travel documents are removed from circulation and returned to the State of issuance
- **Associated SARP:** 3.46
- **Per cent of States not satisfactory:** 42.70%

Facilitation Protocol Review



- **PQ 894:** Issuance of identity documents or visas accepted for travel purposes in machine-readable form
- **Associated SARP:** RP 3.11
- **Per cent of States not satisfactory:** 42.13%

Facilitation Protocol Review



- **PQ 555:** Policy requiring a minimum 24-hour notice to aircraft operators regarding the removal of a deportee
- **Associated SARP:** 5.19
- **Per cent of States not satisfactory:** 42.13%

Facilitation Protocol Review



- **PQ 558:** Policy to assist aircraft operators in the evaluation of travel documents presented by passengers
- **Associated SARP:** 3.31
- **Per cent of States not satisfactory:** 41.01%

Facilitation Protocol Review



- **PQ 885:** Policy to regularly update security features in new versions of travel documents
- **Associated SARP:** 3.7
- **Per cent of States not satisfactory:** 40.45%

Facilitation Protocol Review



- **PQ 882:** Policy for granting prompt release or clearance of security equipment imported or exported by an aircraft operator of another State
- **Associated SARP:** 4.43
- **Per cent of States not satisfactory:** 34.27%

Facilitation Protocol Review



- **PQ 561:** Ensure aircraft operators to take necessary precautions at the point of embarkation to ensure passengers are in possession of documents prescribed by States of transit and destination
- **Associated SARP:** 3.33
- **Per cent of States not satisfactory:** 29.78%

Facilitation Protocol Review



- **PQ 556:** Ensure that procedures for the transport of potentially disruptive passengers are adequately implemented, including notification of the aircraft operator and Pilot-in-Command (PIC)
- **Associated SARP:** 5.19
- **Per cent of States not satisfactory:** 28.65%

Facilitation Protocol Review



- **PQ 559:** Requirement for aircraft operators to take necessary precautions at the point of embarkation to ensure passengers are in possession of documents prescribed by States of transit and destination
- **Associated SARP:** 3.33
- **Per cent of States not satisfactory:** 28.09%

Facilitation Protocol Review



- **PQ 707:** Policy for the role of modern screening or examination techniques for the physical examination of goods to be exported
- **Associated SARP:** 4.7
- **Per cent of States not satisfactory:** 24.72%

Facilitation Protocol Review



- **PQ 900:** Requirement for the seizure of fraudulent, falsified or counterfeit travel documents
- **Associated SARP:** 3.46
- **Per cent of States not satisfactory:** 23.03%

Facilitation Protocol Review



- **PQ 888:** Controls on the creation and issuance of travel documents to safeguard against theft of stocks and misappropriation of newly issued documents
- **Associated SARP: 3.8**
- **Per cent of States not satisfactory: 21.91%**

Facilitation Protocol Review



- **PQ 708:** Ensure the use of modern screening equipment or examination techniques for the physical examination of goods to be exported
- **Associated SARP:** 4.7
- **Per cent of States not satisfactory:** 21.35%

Facilitation Protocol Review



- **PQ 891:** Issuance of machine-readable passports only
- **Associated SARP:** 3.10
- **Per cent of States not satisfactory:** 17.42%

Facilitation Protocol Review



- **PQ 564:** Adherence to internationally recognized standards for the transmission of Advance Passenger Information (API), when an API system has been introduced
- **Associated SARP:** 3.47
- **Per cent of States not satisfactory:** 14.04%

Facilitation Protocol Review



- **PQ 897:** Adequate controls placed on the issuance of Crew Member Certificates (CMCs)
- **Associated SARP:** 3.67
- **Per cent of States not satisfactory:** 11.24%

Facilitation Protocol Review



- **PQ 565:** Ensure that an API system is adequately implemented, when an API system has been introduced
- **Associated SARP:** 3.47
- **Per cent of States not satisfactory:** 7.87%

Under the USAP Continuous Monitoring Approach (USAP-CMA)



- USAP – CMA will move away from a cyclical approach to auditing to a continuous approach
- Currently in transition, with full implementation beginning in 2015
- PQs are being revised. There will be 16 PQs relating to Facilitation matters

Universal Security Audit Programme



Thank you!