



International Civil Aviation Organization

WORKING PAPER

A36-WP/38

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Addendum No. 1

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ASSEMBLY — 36TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 16: Universal Security Audit Programme (USAP)

REPORT ON THE ICAO UNIVERSAL SECURITY AUDIT PROGRAMME — ANALYSIS OF AUDIT FINDINGS

(Presented by the Council of ICAO)

ADDENDUM NO. 1

1. INTRODUCTION

1.1 This Addendum has been prepared to supplement A36-WP/38. It contains a more detailed analysis of audit results at the national and airport levels.

2. KEY AUDIT FINDINGS

2.1 National Level

2.1.1 Overall, States have placed high priority on security in the post-September 11th aviation environment, and there is an ongoing worldwide effort by States to align their aviation security frameworks with new and continuing threats to civil aviation. Many States have committed increasing resources to aviation security measures, particularly in the acquisition of new security equipment and technology in support of enhanced aviation security controls.

2.1.2 Nevertheless, sustainable aviation security systems are dependent on effective legislation, policy and programmes, reinforced through inspection and enforcement capabilities. In this context, the ICAO security audits have identified the following four primary areas of concern at the national level, as presented in Appendix A:

- a) ***Oversight and enforcement capabilities.*** Audit recommendations are frequently made with respect to national quality control programmes and on the need for comprehensive procedures and criteria for the conduct of audits, surveys, inspections and tests (Standards 3.4.4 to 3.4.7). Often, the appropriate authority is understaffed and is not sufficiently empowered to ensure compliance with national requirements and require corrective action, as appropriate.

- b) ***Certification of screening personnel.*** Many States have not established a fully adequate screener certification programme to ensure that performance standards in the screening of passengers and baggage are consistently and reliably achieved (Standard 3.4.3).
- c) ***Aviation security training.*** Many States do not have a comprehensive national civil aviation security training programme to ensure that security awareness and function-specific training is provided to all persons involved in the implementation of civil aviation security (Standards 3.1.6 and 3.4.2).
- d) ***National Civil Aviation Security Programme (NCASP).*** Although almost all States have an NCASP as required by Standard 3.1.1, in many States the programme is only in draft form or has not been kept up to date with the latest requirements.

2.2 **Airport Level**

2.2.1 Common shortcomings in relation to the implementation of operational security measures at the airport level are presented in Appendix B and include the following:

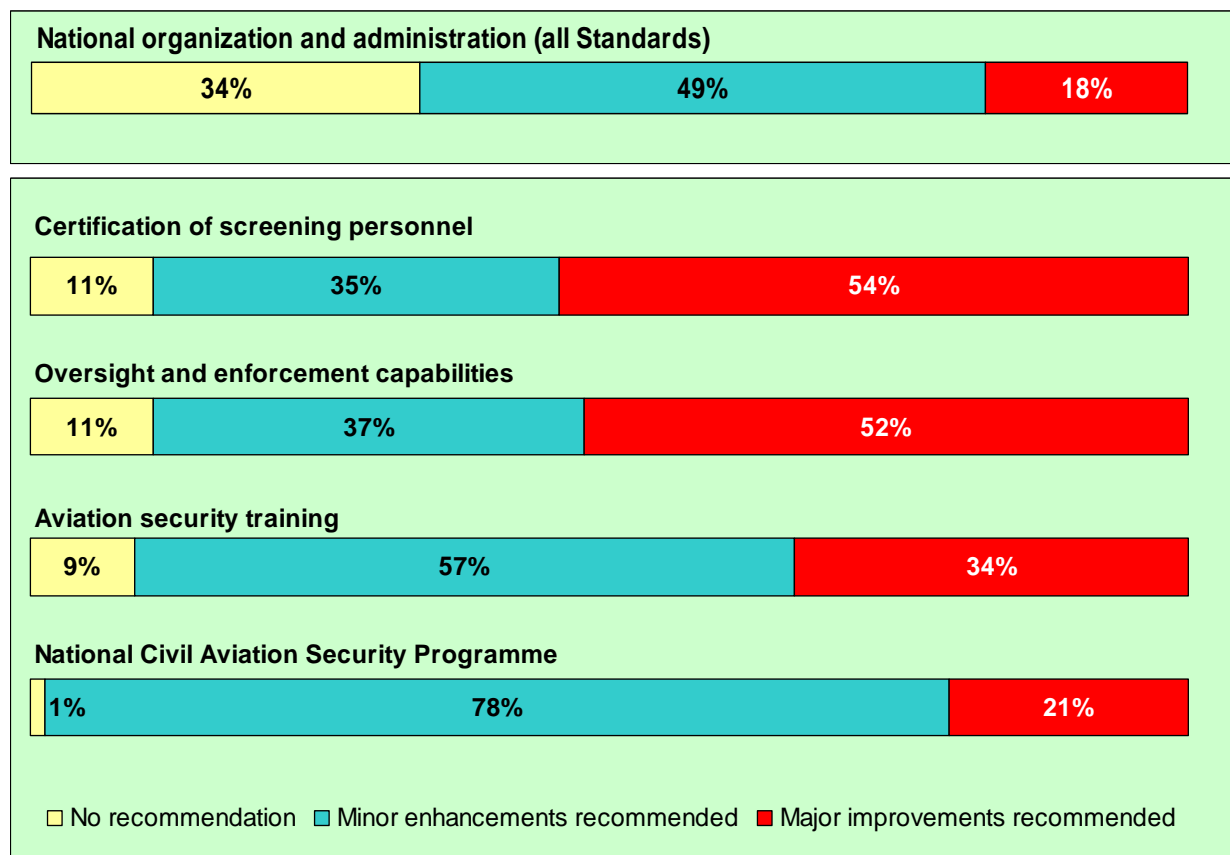
- a) ***Access control.*** The implementation of measures to prevent unauthorized access to security restricted areas of airports, including the display of security identification cards, is often not effectively enforced (Standards 4.2.1 to 4.2.6).
- b) ***Cargo and catering security.*** Shortcomings are commonly identified in relation to ensuring that cargo intended for carriage on passenger flights is subjected to appropriate security controls (Standards 4.6.1 to 4.6.5).
- c) ***Airport organization and administration.*** Recommendations are often made in relation to the development and implementation of airport security programmes. In particular, many programmes are found to be outdated, inconsistent with national requirements, and/or lacking in detail in terms of the security measures and procedures to be applied (Standards 3.1.8, 3.2.1 to 3.2.4, 3.4.1 to 3.4.3, 4.1 and 4.7.1 to 4.7.3).
- d) ***Passenger and cabin baggage security.*** The quality and consistency of screening operations vary significantly among States, and inconsistencies are frequently found in the training and competence of persons carrying out screening functions (Standards 4.4.1 to 4.4.4).
- e) ***Response to acts of unlawful interference.*** Contingency arrangements and procedures for the management of acts of unlawful interference are often not fully developed (Standards 5.1.1 to 5.1.5).
- f) ***Hold baggage security.*** As with passenger and cabin baggage security, the quality and consistency of screening operations and training of staff are often in need of improvement (Standards 4.5.1 to 4.5.5).
- g) ***Aircraft and in-flight security.*** The implementation of written procedures is often in need of enhancement to ensure security of aircraft prior to and during flight, e.g. pre-flight security checks, access to the flight crew compartment and armed personnel procedures (Standards 4.3.1 to 4.3.4 and 4.7.8).

2.3 **Progress achieved by States between the initial audit and follow-up mission**

2.3.1 Audit follow-up missions were initiated in mid-2005 in order to validate the implementation of State corrective action plans and to provide support to States in remedying identified deficiencies. These missions are normally conducted in the second year following the date of a State's audit. As of 31 July 2007, 77 follow-up missions have been conducted, and it is encouraging to report that the majority of these States have made significant progress in the implementation of their corrective action plans. As illustrated in Appendix C, the average implementation rate of Annex 17 Standards in visited States has increased substantially when compared to the initial audit results.

APPENDIX A

STATUS OF IMPLEMENTATION — NATIONAL LEVEL (162 OF 190 STATES)



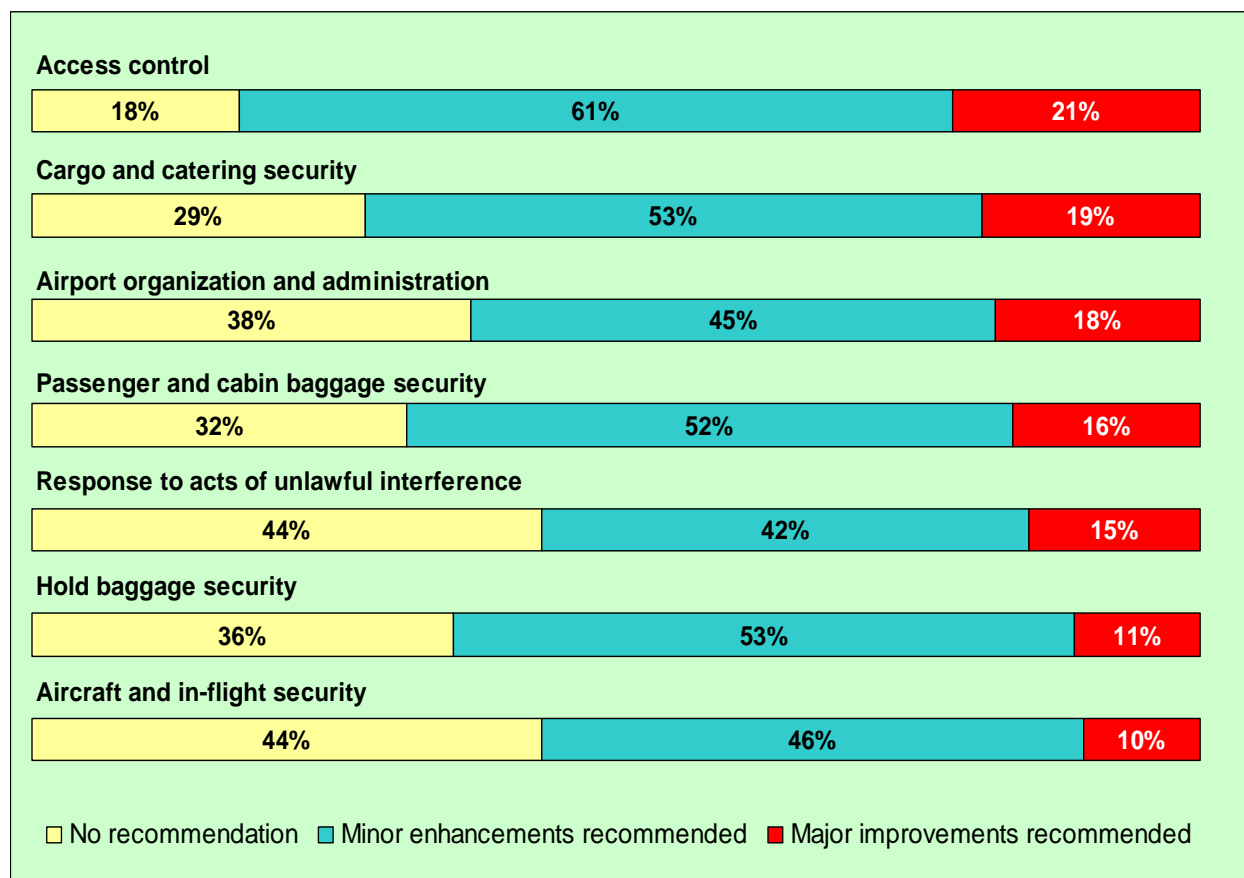
MINOR ENHANCEMENTS RECOMMENDED: Some improvements needed to correct the deficiencies identified, but generally a question of minor adjustments and fine tuning. *Example.*— *The State has a National Civil Aviation Security Programme, but it has not been revised to reflect newer national requirements.*

MAJOR IMPROVEMENTS RECOMMENDED: Significant improvement is necessary to correct the deficiencies identified; generally requires a considerable effort to ensure compliance. *Example.*— *The State does not have a National Civil Aviation Security Programme or a National Civil Aviation Security Quality Control Programme.*

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APPENDIX B

STATUS OF IMPLEMENTATION — AIRPORT LEVEL (162 OF 190 STATES)

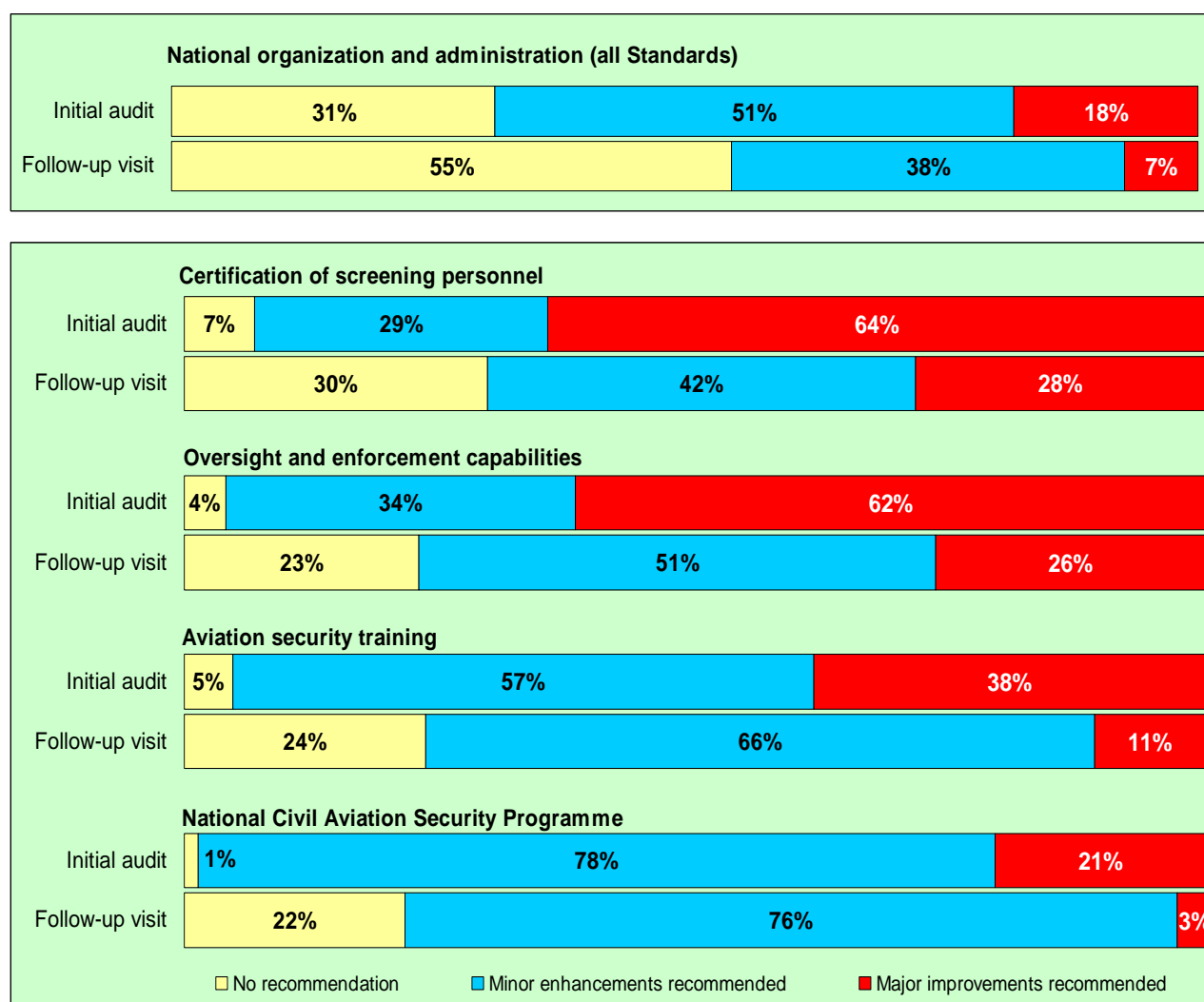


For explanation of legend, please refer to the footnote presented in Appendix A.

APPENDIX C

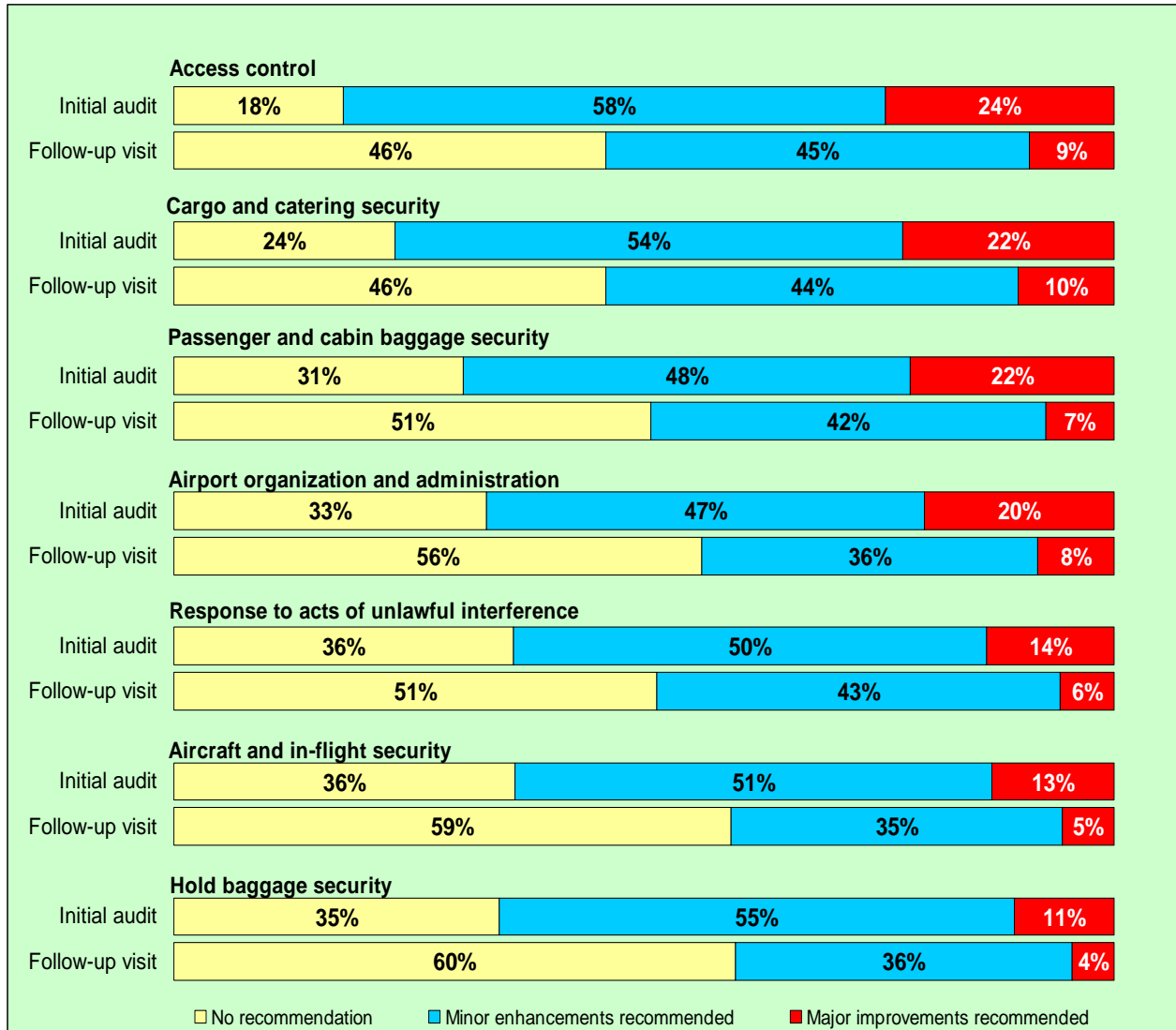
PROGRESS ACHIEVED BY STATES (74 OF 190 STATES)

Figure 1. – National Level



For explanation of legend, please refer to the footnote presented in Appendix A.

Figure 2. – Airport Level



For explanation of legend, please refer to the footnote presented in Appendix A.