



WORKING PAPER

ASSEMBLY — 37TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Security policy

**ICAO COMPREHENSIVE AVIATION SECURITY STRATEGY (ICASS) –
STRATEGIC PLAN OF ACTION 2011-2016**

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

This paper introduces seven strategic focus areas under a new aviation security strategy, known as the ICAO Comprehensive Aviation Security Strategy (ICASS) – Strategic Plan of Action 2011-2016. The ICASS builds upon the current Aviation Security Plan of Action and presents a number of important shifts in emphasis with respect to current activities within this Plan. The new strategy will, inter alia, focus more on addressing security shortcomings through assistance to States.

Action: The Assembly is invited to:

- a) endorse the ICASS as the strategic guidance and framework document for the next two triennia, to succeed the current Aviation Security Plan of Action; and
- b) request States and interested organizations to continue to support, if in a position to do so, both financially and through contributions in kind, the work programme of ICAO in the field of aviation security.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective B, Security, by enhancing global aviation security.
<i>Financial implications:</i>	Additional resources required as detailed in the Appendices to this paper.
<i>References:</i>	A37-WP/19 — Consolidated Statement of Continuing ICAO Policies related to the Safeguarding of International Civil Aviation Against Acts of Unlawful Interference A37-WP/17 — Implementation Support and Development Programme Doc 9902, <i>Assembly Resolutions in Force (as of 28 September 2007)</i>

1. BACKGROUND – CURRENT AVIATION SECURITY PLAN OF ACTION

1.1 The 36th Session of the Assembly considered the activities and developments of the aviation security programme since the previous Session and underscored the continued high level of threat to civil aviation. It was underlined that ICAO, being a leader in aviation security, should address the threat environment with a holistic approach, addressing issues within its jurisdiction and competency.

1.2 The current Aviation Security Plan of Action was approved in 2002 as a central element of the Organization's strategy to strengthen aviation security worldwide.

1.3 The key elements of the Aviation Security Plan of Action may now be regarded as having been implemented. Annex 17 — *Security* provisions, for example, have been substantively strengthened and remain under review in light of evolving threats; currently, risks posed by new and existing threats are examined by the Aviation Security (AVSEC) Panel Working Group on Threat and Risk, and a programme of regular and mandatory security audits of member States has been fully implemented. The Universal Security Audit Programme (USAP) has contributed to an improvement in the level of security worldwide. Moreover, ICAO continues to provide assistance to States that have difficulties with correcting security deficiencies identified by the security audits.

2. NEW COMPREHENSIVE AVIATION SECURITY STRATEGY

2.1 ICAO's experience and key lessons learned in implementing the Aviation Security Plan of Action have underscored the need for a shift in emphasis within the current activities of the Organization in the field of aviation security. This has been taken into account in developing the ICAO Comprehensive Aviation Security Strategy (ICASS), to enable the Organization to respond more effectively to the changing threat environment. In light of the results of the completed first cycle and ongoing second cycle of security audits under the USAP, ICAO's future aviation security activities will focus more on capacity building efforts in States that involve sustainable solutions for the rectification of critical security deficiencies, including unresolved Significant Security Concerns identified during the course of a USAP audit. The ICASS, which is hereby proposed as the Organization's aviation security strategic plan of action for 2011-2016, comprises seven strategic focus areas, as presented hereunder.

2.2 Strategic focus area 1: Addressing new and existing threats

2.2.1 Global civil aviation operations are facing new and evolving threats, such as those posed by improvised explosive devices, unconventional terrorist attacks on airports and aircraft facilities, cyber attacks on aviation systems, including Air Traffic Management systems, and threats to general aviation. ICAO will employ a more proactive strategy to address such threats, working through the AVSEC Panel Working Group on Threat and Risk, which monitors and evaluates new and existing threats on a regular basis, and identifies gaps in Annex 17, for subsequent amendments.

2.3 Strategic focus area 2: Promoting innovative, effective and efficient security approaches

2.3.1 An integral part of a proactive method of promoting innovative, effective and efficient security approaches entails a regular review and amendment of existing guidance material. ICAO, using the expertise of the AVSEC Panel Working Group on Technology, will assist member States and industry towards employing new and innovative security measures, including but not limited to, the use of advanced technology. In this context, ICAO is continuing the development of a web-based platform, named "AVSECPaedia", to encourage the exchange of information of a sensitive nature between States including, but not limited to, screening techniques and emerging security technologies. ICAO will also ensure the timely development of guidance material to reflect the most recent developments in aviation security and technology.

2.4 Strategic focus area 3: Promoting the sharing of information amongst and within member States to raise awareness of threats and aviation security trends

2.4.1 The collection, management and sharing of threat information are essential components of the fight against terrorism and there exists a need to strengthen information sharing mechanisms. Most importantly, the sharing of sensitive threat information between States must be through secure means.

2.4.2 There are many ways in which information sharing mechanisms may be improved. Firstly, ICAO will assume a coordination role for the collection and dissemination of aviation security incidents, threat concerns and trends. Secondly, ICAO will foster threat information sharing among States and the aviation industry by encouraging the use of the PoC Network. Thirdly, as many States experiencing acts of unlawful interference often do not provide ICAO with official reports on such acts, ICAO will continue to examine other methods to encourage timely reporting of acts of unlawful interference by States.

2.5 Strategic focus area 4: Promoting global compliance and establishing sustainable aviation security oversight capability of States

2.5.1 ICAO's immediate assistance efforts will be centred on addressing critical and sustained aviation security deficiencies in States in accordance with a prioritized list, primarily consisting of States with 'significant security concerns' and others that have been referred to the Audit Results Review Board. In these situations, focused, structured and customized assistance missions using a needs analysis approach will be conducted. ICAO will also pursue partnerships with donor States and international organizations, and promote regional initiatives such as Cooperative Aviation Security Programmes and Regional Aviation Security Teams, and existing regional mechanisms among States, to carry out long-term capacity building projects. Finally, ICAO will expand affiliations with donor States through regular meetings, and will facilitate coordination and cooperation, where possible matching partners and allocating resources where the need is greatest.

2.6 Strategic focus area 5: Improving human factors and security culture

2.6.1 Human factors remain a critical aspect in ensuring that security measures are effectively implemented. While acts of unlawful interference are rarely attributed to human factor failures, as is often the case with safety incidents, the methods used by terrorists are increasingly sophisticated. They only have to succeed once in a while to succeed at all, whereas security measures cannot afford to fail a single time. In order to improve the human factors aspect of aviation security, the strategy should include the promotion of a security-conscious culture amongst all stakeholders, across all cadres of civil aviation personnel, including personnel not directly related to or responsible for aviation security.

2.6.2 Given the vast developments in aviation security technology and research since the issuance in 2002 of Doc 9808, *Human Factors in Civil Aviation Security Operations*, ICAO will use the AVSEC Panel Working Group on Training and the International Transport Security Human Factors Technical Advisory Group to update the guidance material on human factors, and develop guidance material on Security Management Systems. ICAO will also promote the adoption of effective security processes and concepts through high-level awareness-raising conferences, seminars and workshops.

2.7 Strategic focus area 6: Promoting the development of mutual recognition for aviation security processes

2.7.1 Aviation security threats transcend national borders and affect regulators and industry globally. The objective of this strategy is to enable stakeholders to collaborate more effectively and deal with aviation security issues in a comprehensive manner, such as through the promotion of one-stop security. In this time of severe financial pressure on the aviation industry, it is essential that limited resources be applied in the most cost-effective way, for example, by reducing the duplication in screening currently being conducted on passengers with onward connections following an international flight. It is

noteworthy that although listed as one of the strategic objectives of the AVSEC Panel, this concept has not progressed significantly outside the European region.

2.7.2 ICAO will lead the development of mutual recognition processes with the goal of assisting States in achieving mutually beneficial arrangements, including one-stop security. In this regard, ICAO will develop technical guidance on mutual recognition arrangements, including one-stop security in collaboration with the AVSEC Panel Working Group on Guidance Material. Where required, ICAO will also provide technical advice to States as needed and will, upon request, assume a facilitation and oversight role in such arrangements.

2.8 **Strategic focus area 7: Emphasizing the importance of security amongst States and stakeholders**

2.8.1 A critical dimension of ICAO's work is to raise awareness of aviation security amongst high-level officials within governments and industry. The intent is to shape mindsets amongst senior decision makers responsible for civil aviation to ensure that aviation security remains the highest of priorities when related decisions are made. Furthermore, in order to harmonize the global response to the changing threat environment, ICAO has initiated and participated in a series of regional aviation security conferences since early 2010 (held in Japan, Mexico, Nigeria and the United Arab Emirates). At each of these regional conferences, Ministers and other high-level officials from the participating States adopted Declarations on Aviation Security calling for the strengthening of the international framework on aviation security and closer international cooperation in aviation security. These regional conferences are expected to pave the way for a High-level Conference on Aviation Security at ICAO Headquarters during the coming triennium.

3. **CONTRIBUTIONS AND EXPENDITURES**

3.1 **Aviation Security Plan of Action funds**

3.1.1 Financial information relating to the Aviation Security Plan of Action is presented in Appendix A. ICAO has benefitted from substantial voluntary contributions in the form of human and financial resources for the implementation of the Aviation Security Plan of Action since its inception in 2002. In particular, ICAO's aviation security programme has received valuable assistance from the following major contributors: Belgium, Canada, France, Germany, Italy, Japan, Republic of Korea, Spain, Switzerland, United Kingdom and United States. The balance of funds available at the end of fiscal year 2009 was CAD 3.77 million, and as of 15 June 2010, ICAO has received CAD 0.59 million in voluntary contributions for 2010. Expenditures funded by the Aviation Security Plan of Action for 2010 are forecast to be approximately CAD 1.76 million, as reflected in Appendix B. As a result, the balance of contributions remaining unspent as of 31 December 2010 is projected to be approximately CAD 2.56 million.

3.2 **ICASS funding requirements for 2011-2013**

3.2.1 Pursuant to Assembly Resolutions A36-18 and A36-20, the Aviation Security Plan of Action budget will be integrated into the Regular Budget for 2011-2013, subject to the necessary approvals. In this regard, the core activities of the ICASS can be accommodated within the 2011-2013 triennium budget, while some of the new initiatives being proposed under ICASS Strategic Focus Areas 2 and 4, as detailed in Appendix C, would benefit from additional funding through voluntary contributions, such as those provided by Canada in the amount of CAD 1.5 million. It is recommended that the surplus of Aviation Security Plan of Action funds remaining at the end of 2010 also be allocated to fund these activities. States wishing to provide extra-budgetary funding for additional projects under the Aviation Security Programme may do so pursuant to a Memorandum of Understanding or other appropriate document.

APPENDIX A
OTHER ICAO PROPRIETARY FUNDS
SCHEDULE OF INCOME, EXPENDITURE, ASSETS, LIABILITIES AND FUND BALANCES
FOR THE PERIOD ENDING 31 DECEMBER 2009
(in thousands of Canadian dollars)

	AVIATION SECURITY PLAN OF ACTION					OTHER EARMARKED AYSEC FUNDS					TOTAL	
	Earmarked Training Programme	Enhanced Mechanism	Korea Expert	United Kingdom	United States	SUB-TOTAL	Awareness Training Programme	National Projects	Standardized Training Programme	2009		2008
INCOME AND EXPENDITURE												
INCOME												
Voluntary Contributions		2 978	45		528	3 551	62			3 613	1 863	
Other Revenue Producing Activities		1				1				1		
Interest Income	3	15	1			19		1		21	166	
Other/Miscellaneous Income		128				128				138	170	
TOTAL INCOME	3	3 121	46		528	3 699	62	1		3 773	2 199	
EXPENDITURE												
Staff/Expert Salaries and Costs		1 915	142		396	2 453			31	2 484	2 947	
General Operating Expenses		80				80				80	91	
Travel		699				699	61		38	798	1 203	
Meetings		34				34				34		
Equipment											6	
Other expenses		1		8		9				9	1	
TOTAL EXPENDITURE		2 730	142		404	3 276	61		69	3 407	4 247	
NET EXCESS (SHORTFALL) OF												
INCOME OVER EXPENDITURE	3	392	(96)		124	423	1	1	(58)	367	(2 048)	
Foreign currency revaluation gain / (loss)	(169)	(756)	(31)	2	(15)	(969)	(19)	(41)	(65)	(1 093)	1 240	
SURPLUS/(DEFICIT) FOR THE PERIOD	(165)	(364)	(127)	2	109	(545)	(18)	(40)	(123)	(726)	(808)	
ASSETS, LIABILITIES, AND NET ASSETS/EQUITY												
ASSETS												
CURRENT ASSETS												
Cash and Cash Equivalents	827	3 817	55	15	55	4 770	78	240	281	5 368	6 920	
Inter-fund Balances											20	
Receivables and Advances		7	45	4	97	153				153	64	
Other Current Assets		9				9				9	20	
TOTAL CURRENT ASSETS	827	3 832	100	19	153	4 931	78	240	281	5 530	7 025	
TOTAL ASSETS	827	3 832	100	19	153	4 931	78	240	281	5 530	7 025	
LIABILITIES												
CURRENT LIABILITIES												
Accounts Payable		57			9	65				65	72	
Inter-fund Balances											656	
Other Current and Financial Liabilities		5				5	1			6	65	
TOTAL CURRENT LIABILITIES	(169)	62			9	70	1			71	793	
TOTAL LIABILITIES		62			9	70	1			71	793	
NET ASSETS/EQUITY												
Accumulated Surplus/(Deficit)	827	3 771	100	19	144	4 861	77	240	281	5 459	6 232	
TOTAL NET ASSETS/EQUITY	827	3 771	100	19	144	4 861	77	240	281	5 459	6 232	
TOTAL LIABILITIES AND NET ASSETS/EQUITY	827	3 833	100	19	153	4 931	78	240	281	5 530	7 025	

APPENDIX B

**FORECAST OF 2010 EXPENDITURES FUNDED BY THE
AVIATION SECURITY ENHANCED MECHANISM FUND 1302**

		Expensed (A)	Pending commitment (B)	Expensed and Committed Total (A)+(B)	With inflation 2.50%
Aviation Security and Facilitation Policy Section					
	Staff	75,098	454,268	529,366	
	Travel	16,353	25,000	41,353	
	Other	-	-	-	
4056	TOTAL	91,451	479,268	570,719	584,988
Implementation Support and Development - Security					
	Staff	79,059	408,872	487,931	
	Travel	111,029	250,000	361,029	
	Other	5,627	-	5,627	
4055	TOTAL	195,715	658,872	854,587	875,952
Aviation Security Audit Section					
	Staff	29,407	22,454	51,861	
	Travel	6,791	-	6,791	
	Other	835	-	835	
4008	TOTAL	37,033	22,454	59,487	60,973
Audit Coordination and Reporting Section					
	Staff	31,077	108,923	140,000	
	Other	-	-	-	
4009	TOTAL	31,077	108,923	140,000	143,500
Legal affairs and External Relations Bureau					
	Other	-	52,500	52,500	
4150	TOTAL	-	52,500	52,500	53,813
Dakar					
	Staff	5,089	-	5,089	
	Other	-	-	-	
4027	TOTAL	5,089	-	5,089	5,216
Mexico					
	Staff	2,394	32,606	35,000	
	Other	-	-	-	
4025	TOTAL	2,394	32,606	35,000	35,875
Exchange Gain and Loss					
	Exchange Total	(135)	-	(135)	(135)
	Total, fund 1302:	362,624	1,354,623	1,717,247	1,760,182

APPENDIX C

**VOLUNTARY CONTRIBUTIONS REQUESTED FOR THE
ICAO COMPREHENSIVE AVIATION SECURITY STRATEGY (ICASS)
STRATEGIC PLAN OF ACTION 2011-2013
(in thousands of Canadian dollars)**

ICAO Comprehensive Aviation Security Strategy (ICASS)	Extra budgetary funding required*
B	
Aviation Security and Facilitation Policy	
<i>ICASS Strategic Focus Area No. 2: Promoting innovative effective and efficient security approaches**</i>	
Staff (one P-4)	603
Non-Staff	0
Regional and Other Programmes	
Staff	0
Non-Staff	0
Aviation Security Audits	
Staff	0
Non-Staff	0
Implementation Support and Development (ISD)-Security	
<i>ICASS Strategic Focus Area No. 4: Promoting global compliance and establishing sustainable aviation security oversight capability of States ***</i>	
Staff (one P-4, one P-2, one G-7)	1260
Non-Staff	2910
TOTAL	4773

* From carryover surplus of 2010 and additional voluntary contributions.

** Additional staff is required to monitor the research and development efforts conducted around the world with regard to aviation security technology, and to coordinate these initiatives in order to promote the development of common equipment standards and issuance of guidance material.

*** The ISD-Security Programme's new assistance strategy focuses on providing immediate assistance to approximately 30 to 40 States that have been referred to the Audit Results Review Board and/or States with unresolved Significant Security Concerns. Funding requirements are based on estimated activities which will include:

- a) senior-level visits from Headquarters or Regional Office;
- b) focused and structured assistance projects by Regional Aviation Security Teams (RASTs);
- c) follow-up visits by officers from Headquarters or Regional Office; and
- d) training courses for members of RASTs.

— END —