International Civil Aviation Organization

WORKING PAPER

ASSEMBLY — 38TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Aviation Security — Policy

DECLARATION ON AVIATION SECURITY AND
THE ICAO COMPREHENSIVE AVIATION SECURITY STRATEGY (ICASS)

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

The 37th Session of the Assembly, in Resolution A37-17, adopted the Declaration on Aviation Security, which reaffirmed Member States' commitment to strengthen global aviation security. The Declaration called upon ICAO Member States to, inter alia, improve and strengthen information collection and sharing, technological cooperation, international standards, and efforts to assist States in resolving security deficiencies. In order to strengthen ICAO's capacity to effectively carry out its aviation security (AVSEC) mandate, the Assembly endorsed the ICAO Comprehensive Aviation Security Strategy (ICASS), which emphasizes seven strategic focus areas over two triennia (2011-2016), with emphasis on addressing security shortcomings through assistance to States. The 37th Session of the Assembly agreed that, while funding of its core activities will be accommodated within the Organization's proposed regular programme budget, activities under the ICASS require additional funding through voluntary contributions.

This paper describes the achievements and challenges faced in the current 2011-2013 triennium in implementing the aviation security mandate provided by the 37th Session of the Assembly, and proposes the level of funding required for the continuation of key activities of ICASS in the 2014-2016 triennium.

Action: The Assembly is invited to:
a) reaffirm ICASS as the primary strategy for enhancing aviation security, and thus the basis for AVSEC Programme planning for the 2014-2016 triennium and beyond; and
b) urge States to continue voluntary contributions to support, both financially and in-kind, the work programme of ICAO in aviation security and facilitation.

Strategic Objectives:	This working paper relates to Strategic Objective B — *Security*
Financial implications:	Implementation of the ICASS in 2014-2016 is to be funded by the regular programme budget, and through voluntary contributions.
References:	A37-WP/18 and A37-WP/359 *ICAO Risk Context Statement* *Assembly Resolutions in Force* (as of 8 October 2010) (Doc 9958) *Report of the High-level Conference on Aviation Security* 2012 (Doc 9990)

1.   **KEY ACCOMPLISHMENTS AND CHALLENGES**

1.1   Since its adoption by the 37th Session of the Assembly in 2010, the Declaration on Aviation Security has been a solid and relevant catalyst for international cooperation. As such, it complements the international framework of security-related ICAO Standards and Recommended Practices (SARPs), policies, guidance material, and programmes.

1.2   In order to promote effective implementation of the Declaration, conferences on aviation security were convened for all seven ICAO regions in 2011 and 2012. To address unique circumstances in each region, ICAO collaborated with host governments to facilitate strategic discussions and forge deeper partnerships amongst States and other stakeholders. The high degree of cooperation achieved through these regional events was reflected in their Joint Statements and, subsequently, in the outcome of the High-level Conference on Aviation Security (HLCAS), held from 12 to 14 September 2012. The latter was a global event, where 132 ICAO Member States, international organizations, industry, and other stakeholders participated in producing conclusions and recommendations to shape ICAO's future aviation security policy and programme direction.

1.3   It is evident from the outcome of the HLCAS, the fast-tracked adoption of Amendment 13 to Annex 17 on 13 November 2012, deemed necessary to address vulnerabilities in air cargo and mail security and the threat posed by insiders, as well as support for the Universal Security Audit Programme (USAP) and increased partnership with ICAO in delivering assistance to States in need, that the Declaration on Aviation Security has served to enhance international cooperation as a foundation for enhancing the effectiveness and efficiency of aviation security.

1.4   Promoting effective and sustainable security measures worldwide, in accordance with the Declaration's principles, remains a priority. Continuing to address this priority effectively will depend on many factors, among them: further progress in strengthening the Organization's delivery and coordination of assistance; capacity-building; and partnership initiatives. It is also vital to assure ICAO's operational effectiveness in auditing and follow-up activities, and to enhance policy development.

2.   **STRATEGIC PRIORITIES FOR THE 2014-2016 TRIENNIUM**

2.1   ICAO's activities during the 2011-2013 triennium have addressed the provision of assistance to States in implementing corrective actions with regard to USAP findings, including the resolution of Significant Security Concerns, and the need to urgently close vulnerabilities in the global aviation security framework, such as in the area of air cargo security.

2.2   ICAO, in the next triennium, will place even greater emphasis on capacity-building activities and efforts to assist States in managing risks to the security of civil aviation. Regular programme budget resources will not be sufficient to meet the full demands associated with such endeavours, considering the measure of deficiencies vis-à-vis Annex 17 SARPs, the constantly evolving security situation, the need to reform international civil aviation security so as to be sufficiently effective yet more efficient, and the forecasted growth in air transport.

2.3   Voluntary contributions, as in past years, will be essential if ICAO is to fulfill its mandate to safeguard international civil aviation against acts of unlawful interference. While gratefully acknowledging the contributions that made it possible to carry out ICAO Comprehensive Aviation Security Strategy (ICASS) activities in 2011-2013, ICAO must continue to rely on extra-budgetary financial and in-kind resources to deliver concrete results under all seven strategic focus areas of the ICASS in the future. An overview of ICASS implementation during the 2011-2013 triennium, and results expected from ICASS implementation in the 2014-2016 triennium, is presented in Appendix A.

2.4   The three strategic priorities for which ICAO seeks maximum extra-budgetary support in the coming triennium are derived from the overall mandate represented by Assembly Resolution A37-17, the conclusions and recommendations of the HLCAS, and the joint statements adopted by the regional aviation security conferences of 2011 and 2012. They are:

   a) enhancing implementation assistance and capacity-building;

   b) implementation of the USAP Continuous Monitoring Approach (CMA); and

   c) continuing to strengthen the policy and guidance framework, taking into account, inter alia, changes in the threat and risk context.

3.   RESOURCES

3.1   **Status of contributions as at 31 March 2013**

3.1.1   In carrying out ICAO's security functions, certain ICASS Strategic Focus Areas are funded by regular programme budget resources, while others are funded through voluntary contributions. Activities under Strategic Focus Areas 2, 3, 5, and 6 have been and will continue to be covered by the regular programme budget, while voluntary contributions complement the funding required to address threats, deliver effective assistance, and promote security awareness worldwide, under Strategic Focus Areas 1, 4, and 7.

3.1.2   In addition to $4.05 million of rollover funds from the previous triennium, as at 1 January 2011, $2.73 million had been voluntarily contributed by Chile, Japan, Saudi Arabia, the United Kingdom, and the United States. Supplemented by $390,000 of other income, the extra-budgetary resources for the 2011-2013 triennium up to 31 March 2013 totalled $7.17 million. Total programme expenses for the period up to 31 March 2013 amounted to $2.86 million.

3.1.3   The breakdown of expenses is summarized in the following paragraphs, with further details outlined in Appendix B:

   a) **addressing new and existing threats – Strategic Focus Area 1**. Early and effective response to new threats depends critically on ICAO's ability to act in a timely manner. Following the 2010 incident in which explosives were discovered concealed in printer cartridges in air cargo shipments, ICAO promptly facilitated and supported an international dialogue aimed at strengthening the policy framework for air cargo and mail security and leading to the expedited adoption of strengthened cargo measures (Amendment 13 to Annex 17). To further strengthen cargo and mail security, ICAO continues to develop and update policy guidance material and best practices documentation. Also of significance in the current triennium is the completion of the first ICAO global *Risk Context Statement*, which is designed to help States assess risk and adopt strategies and/or security measures with minimum adverse consequences for the industry and travelling public. Extra-budgetary funding for activities under Strategic Focus Area 1 during the current triennium is approximately $290,000;

   b) **promoting global compliance – Strategic Focus Area 4**. During the 2011-2013 triennium, ICAO steadily pursued a comprehensive strategic approach centred on addressing critical and long-term aviation security deficiencies in States, according to a priority list based primarily on the results of USAP audits. During the

2011-2013 triennium, focused, structured and targeted assistance missions were conducted in over 55 States. Voluntary contributions have enabled ICAO to improve support to Member States and contribute more to capacity-building activities in all regions by, for example, increasing the number of Regional Officer (Aviation Security) posts to seven from four. The extra-budgetary resources have also helped ICAO strengthen its strategic partnerships with regional organizations, facilitate coordination and dialogue amongst States in different regions, and continue to assist States to address an array of challenges. Activities linked to capacity-building efforts have largely been funded through extra-budgetary resources. As at 31 March 2013, $1.92 million in assistance activities has been funded through voluntary contributions; and

c) **raising aviation security awareness globally – Strategic Focus Area 7**. A critical dimension of ICAO's work is to raise awareness of aviation security within governments and industry. The intent is to develop a security culture at the level of decision makers, technical experts, and operational personnel, to ensure that security defences remain at all times appropriate and proportionate to the risk. Consequently, ICAO is mindful of the importance of focusing not only on implementation but also on effective outreach, globally and in the regions. The capacity to achieve all of this is not possible based solely on regular programme budget resources, and thus the total voluntary funding applied to these efforts so far is approximately $648,000.

3.1.4   In addition to the financial contributions cited above, the Organization has received valuable in-kind contributions, including the long-term secondment of experts, as presented in Appendix C, during the current triennium. ICAO expresses its appreciation for this vital support and welcomes further in-kind contributions for the 2014-2016 period, notably for assistance and capacity-building activities, and for the implementation of the USAP-CMA.

3.2   **Projected requirements for the 2014-2016 triennium**

3.2.1   It is envisaged that assistance needs, such as for the development of corrective action plans and national civil aviation security programmes, the provision of training and coordination of assistance partners' efforts, and implementation of the Traveller Identification Programme (ICAO TRIP) Strategy, will remain high on the list of priorities. ICAO has consequently taken steps to enhance its capacity and methods to better respond to this demand.

3.2.2   First, based on ICAO's Assistance and Capacity Building Strategy, the Secretariat will strengthen coordination and delivery of assistance to States that lack the technical means to rectify aviation security shortcomings. Second, ICAO will make additional investments in staff, capacity and subject-matter experts to improve the quality, scope, scale, and coherence of ICAO assistance efforts. Thus, the existing extra-budgetary posts at Headquarters and Regional Offices will continue to ensure that the Secretariat has the strengthened capacity to provide timely support and response to requests for assistance in accordance with the Assistance and Capacity Building Strategy.

3.2.3   All of these activities will rely on the continued availability of extra-budgetary resources to cover the projected requirements for the 2014-2016 triennium, as detailed in Appendix B.

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APPENDIX A
ICAO COMPREHENSIVE AVIATION SECURITY STRATEGY IMPLEMENTATION

Accomplishments during 2011-2013	Key activities for 2014-2016	Expected results
Strategic focus area 1: Addressing new and existing threats		
1. ICAO published its first edition of the ICAO global Risk Context Statement in 2012, which includes a thorough analysis of the threats to civil aviation, and provides Member States with a robust methodology for further developing their national risk assessments.	a. Increased ability of ICAO to promptly adopt/recommend measures based on threat information.	i. A coherent, effective and timely response to all security-related threats and other security emergencies.
2. Expedited the adoption of new security Standards and Recommended Practices (SARPs) in order to mitigate the risk to air cargo and mail and to address the threat posed by insiders.	b. Promotion of a risk-driven culture through a more informed risk-based Standard-setting and rule-making capability.	ii. Increased number of States adopting and implementing risk-based measures.
	c. Assessment of new threats such as those posed by chemical, biological, and radiological weapons, as well as cyber threats.	iii. Enhanced capacity of States to prioritize aviation security resources based on risk.
	d. Aviation security risks to be clearly communicated through guidance by ICAO to all States and stakeholders.	
Strategic focus area 2: Promoting innovative, effective and efficient security approaches		
1. The ICAO AVSECPædia has been established as a web-based platform available to all Member States to encourage the exchange of information on a broad range of matters, including, but not limited to, screening techniques and security technologies.	a. Strengthening collaboration between regulators and industry in promoting technological advancements and innovative security	i. Improved levels of efficiency and effectiveness in the implementation of measures.

Accomplishments during 2011-2013	Key activities for 2014-2016	Expected results
	techniques, and in defining future passenger screening regimes.	
2. Since the 37th Session of the Assembly, risk-based security has been the basis for the development of new SARPs, to ensure there is sufficient and valid justification for new security measures, while providing flexibility to allow for alternative means to achieve security objectives.	b. Increased sharing among policy-makers of best practices and emerging trends in aviation security systems and technologies.	ii. Increased number of users and contributors to the ICAO AVSECPaedia website.
3. A Technical Advisory Group on Next Generation Screening (TAGNGen) was established to advise ICAO on innovative approaches or concepts that Member States could consider incorporating into existing and future passenger screening checkpoints.	c. Organization of an aviation security technology innovation symposium to encourage forward-looking action, and stimulate creative approaches using technology-based and/or human-based systems and processes.	iii. Enhanced understanding of ways to convert research into innovative ways to strengthen the effectiveness of detection equipment.
Strategic focus area 3: Promoting the sharing of aviation security information amongst Member States		
1. ICAO continues to encourage Member States to utilize the various web-based portals maintained by the Organization, such as the Acts of Unlawful Interference Database (AUID) and the Point of Contact Network (PoC) accessible through the ICAO Secure Portal.	a. Enhanced capacity of the Organization to securely gather, collate and disseminate information on security incidents, threat concerns, and trends.	i. Improved accessibility of information by States and increased number of users of the AUID and PoC Network.
2. As of 1 March 2013, there are 148 users accessing the AUID and 163 contact points registered on the PoC Network.	b. Improved mechanism for the reporting by States of acts of unlawful interference in accordance with Annex 17 and the dissemination of relevant information.	ii. Increased reporting by States of acts of unlawful interference.

Accomplishments during 2011-2013	Key activities for 2014-2016	Expected results
Strategic focus area 4: Promoting global compliance and establishing sustainable aviation security oversight capability of States		
1. During the 2011-2013 triennium, ICAO steadily pursued a comprehensive strategic approach centred on addressing critical and sustained aviation security deficiencies in States in accordance with a prioritized list, primarily consisting of States with a high lack of effective implementation of Annex 17 Standards, and with Significant Security Concerns. 2. Focused, structured, and targeted assistance missions were conducted. The scope of technical assistance provided, such as through the development of corrective action plans and national civil aviation security programmes, and the provision of training, seminars and workshops, has consistently expanded since the 37th Session of the Assembly. 3. Increased the number of Aviation Security Regional Officer posts from four to seven, now supporting all ICAO Regions, to further contribute to capacity-building activities, and strengthening of aviation security.	a. The promotion of capacity-building initiatives will remain at the core of the work of ICAO during the 2014-2016 triennium. b. Increased outreach in the provision of mutually agreed assistance to remedy deficiencies. c. Enhanced capacity of ICAO to assist States in their effort to effectively comply with Annex 17 regulations.	i. Enhanced capacity of States to rectify deficiencies. ii. Increased number of assistance activities such as consultations, workshops and/or training at the national, sub-regional and regional levels.
Strategic focus area 5: Improving human factors and security culture		
1. Between 2011 and 2013, the Organization continues to deliver ICAO-sponsored training courses and workshops within the ICAO Aviation Security Training Centre (ASTC) network.	a. ICAO to continue to strengthen and enhance its aviation security training efforts by collaborating with all 23 endorsed ASTCs as an integral and long-standing component in the provision of assistance to States.	i. Increased number of aviation security specialists trained. ii. Strengthened expertise of national aviation security inspectors and instructors. iii. Enhanced knowledge and awareness of national officials, professionals and experts in aviation security.

Accomplishments during 2011-2013	Key activities for 2014-2016	Expected results
Strategic focus area 6: Promoting the development of mutual recognition for aviation security processes		
1. ICAO aims to strengthen international and regional cooperation in aviation security in a practical and sustainable manner by enabling Member States and stakeholders to collaborate more effectively, leading to mutual recognition of equivalence of security measures. Accordingly, three key principles were endorsed by the High-level Conference on Aviation Security (2012) as the basis for international cooperation: respect for the spirit of cooperation defined in bilateral and/or multilateral air services agreements; recognition of equivalent security measures; and focus on security outcomes.	a. Renewed emphasis on achieving an appropriate balance between the effectiveness of security measures and facilitation. b. Promotion of risk-based and outcomes-focused security measures as the basis for policy-development.	i. Reduction in unnecessary duplication of measures, leading to the optimal use of aviation security resources. ii. Strengthened regional and sub-regional cooperation.
Strategic focus area 7: Emphasizing the importance of security amongst States, stakeholders and within ICAO		
1. In 2011 and 2012, ICAO convened Regional Conferences on Aviation Security in Bahrain, Caracas, Dakar, Kuala Lumpur, Moscow, and New Delhi to raise security awareness at the national and regional levels. All the conferences underscored the critical importance of cooperation in achieving enhanced security, as well as the need to proactively detect threats. The regional conferences culminated in the convening of a High-level Conference on Aviation Security in 2012 to further strengthen the global aviation security framework in light of the real and evolving threat.	a. Increasing opportunities for regional cooperation, coordination and collaboration among States and regional organizations in matters related to aviation security. b. Improving of awareness of the global aviation security threat environment, and promotion of dialogue on new and emerging aviation security challenges.	i. Activities such as regional conferences and symposiums, capacity-building workshops, and outreach activities undertaken at the national and regional levels. ii. High number of senior-level regulatory authorities and industry members participating in events organized by ICAO.

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APPENDIX B
UNAUDITED INCOME AND EXPENSE STATEMENT OF
ICASS FUNDS FOR 1 JANUARY 2011 TO 31 MARCH 2013

(includes projected expenses to end of 2016)
(in thousands)

Table A

	Amount
A. **Opening balance as at 1 January 2011**	**4 050**
B. Donor contributions	2 730
C. Other income	390
D. Total funds before expenses[1]	7 170
E. Actual expenses[2]	2 858
F. Balance as at 31 March 2013[3]	4 312
G. Projected expenses until 31 December 2016[4]	6 305
H. Projected deficit as at 31 December 2016[5]	(1 993)

Table B

		Current (1 January 2011 to 31 March 2013)	Projected (to end of 2016)
Breakdown of Expenses by ICASS Strategic Focus Areas	**1** - Addressing new and existing threats	290	225
	2 - Promoting innovation	-	-
	3 - Sharing threat information	-	-
	4 - Promoting global compliance	1 920	5 290
	5 - Improving human factors	-	-
	6 - Promoting equivalent measures	-	-
	7 - Raising aviation security awareness	648	790
TOTAL	**Actual expenses**	**2 858**	-
	Projected expenses	-	**6 305**

Notes:

[1] = A + B + C
[2] Actual expenses under ICASS Strategic Focus Areas 1, 4 and 7 (see Table B)
[3] = D – E. Balance includes funds to be applied to projected expenses shown in Table B
[4] Projected expenses, which include non-Regular Programme Budget posts at Headquarters and in the Regional Offices under ICASS Strategic Focus Areas 1, 4 and 7, and assistance missions to support State Improvement Plans
[5] Projected deficit at the end of 2016, if no further contributions are to be received

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**APPENDIX C
AVIATION SECURITY PROGRAMME
SHORT- AND LONG-TERM SECONDED PERSONNEL
2011-2013**

SHORT-TERM SECONDED EXPERTS

Provided by:

Argentina, Australia, Benin, Brazil, Cameroon, Canada, Chile, China, Colombia, Cook Islands, Costa Rica, Cote d'Ivoire, Croatia, Cuba, Ecuador, Egypt, Ethiopia, Finland, France, Germany, Ghana, Guatemala, Iceland, Ireland, Jamaica, Japan, Jordan, Kenya, Latvia, Lebanon, Madagascar, Malaysia, Mali, Malta, Mexico, Mongolia, Morocco, Mozambique, Nepal, Netherlands, New Zealand, Nigeria, Oman, Panama, Peru, Poland, Republic of Korea, Russian Federation, Saudi Arabia, Senegal, Singapore, South Africa, Spain, Switzerland, Thailand, Trinidad and Tobago, Uganda, Ukraine, United Arab Emirates, United Republic of Tanzania, United Kingdom, United States, Uruguay, Venezuela (Bolivarian Republic of), Viet Nam, Yemen, Zambia, Zimbabwe and the European Union.

LONG-TERM SECONDED EXPERTS		
Provided by	**Grade**	**Assignment**
Canada	P4 P2	AVSEC Branch (ASA Section) AVSEC Branch (ISD – Security Section)
China	P2	AVSEC Branch (SFP Section)
France	P4	AVSEC Branch (ASA Section)
Switzerland	P4	AVSEC Branch (ASA Section)
United States	P4 P4	AVSEC Branch (ASA Section) AVSEC Branch (ISD – Security Section)
European Union	P4	AVSEC Branch (SFP Section)

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