INTERNATIONAL CIVIL AVIATION ORGANIZATION

AFI PLANNING AND IMPLEMENTATION REGIONAL GROUP
FOURTEENTH MEETING (APIRG/14)
(Yaounde, Cameroon, 23-27 June 2003)

Agenda Item 4.8:   Air Navigation issues and other related matters

EXECUTION OF THE ICAO AVIATION SECURITY PROGRAMME

SUMMARY

This paper presents to the Meeting a report on the execution of the ICAO Aviation Security Programme

Action by the Meeting is proposed in paragraph 3.

1.   **INTRODUCTION**

1.1   The Council, during the second meeting of its 167th Session, considered proposals for the implementation of the Aviation Security (AVSEC) Programme to be executed in 2002, 2003 and 2004 as part of the ICAO Aviation Security Plan of Action. Pursuant to the Council's decision, the Secretary General has issued a Memorandum to the Representatives on the Council which provides an overview of each of the projects in the Aviation Security Plan of Action for the years 2003 and 2004 with a particular focus on those projects directly related to the Aviation Security Programme.

1.2   This paper provides information relating to the execution of the Regular Programme and the AVSEC Mechanism activities under Programme 3.9: Aviation Security of Major Programme III, as well as other aviation security activities which are part of the Plan of Action. The paper differentiates between long-term activities, which are generally covered by the Regular Programme and are designed to produce long-term results, and activities directly influenced by the execution of the ICAO Aviation Security Plan of Action and its assistance tools available under the AVSEC Mechanism.

2.   **IMPLEMENTATION OF THE PROGRAMME**

2.1   **Development of aviation security (AVSEC) material**

2.1.1   Aviation security training to assist States in remedying Annex 17 implementation deficiencies has continued to be given a high priority. The Aviation Security Training Packages, namely ASTPs 123/SUPERVISORS, 123/MANAGEMENT, 123/CRISIS MANAGEMENT, 123/CARGO, and 123/INSTRUCTORS, have been updated. Close cooperation between ICAO and the International Air

Transport Association (IATA) was established, particularly in the marketing and distribution of all ICAO ASTPs. ASTP 123/AIRLINE will also be revised jointly by ICAO and IATA. ASTP 123/SYSTEMS TESTING has already been completed and will be available for distribution. The Secretariat is cooperating with the ICAO Aviation Security Training Centres (ASTCs) to ensure that the translation work is completed as effectively as possible.

2.1.2   ICAO will continue to develop new training and guidance material and to update and enhance existing material. A new Aviation Security Training Package (ASTP) for National Security Auditors will be produced based upon the ICAO AVSEC Auditors Course recently developed, and will be intended for use by States to better implement security oversight programmes. This ASTP will complement one or more new ASTPs on Surveys, Inspections, Systems Testing and Quality Control which are currently being developed with the assistance of the ICAO Aviation Security Training Centre (ASTC) network. Other new workshops and guidance material being developed include the sixth edition of the ICAO Security Manual, a workshop on hostage negotiation, training videos and DVD and multimedia CD-ROM self-study packages to complement higher-level courses.

2.1.3   A major revision of the ICAO Security Manual has been completed and the document is available for distribution in the English language. Translation into other ICAO languages is targeted for the second quarter of 2003. The sixth edition of this document includes new and updated guidance material pertaining to SARPs introduced or amended in Amendments 9 and 10 to Annex 17, and reflects the advances in security practices and technology that have occurred in the interim

2.2   **Training**

2.2.1   ICAO is continuing to promote and conduct a programme of over 50 ASTP-based training courses per year in the ICAO ASTCs. Current courses taught at the ASTCs include training AVSEC instructors to conduct training courses in their own States using ICAO ASTPs on the following subjects: Instructors; Management; Crisis Management; Cargo; and Supervisors, as well as courses under development that will become new ASTPs.

2.2.2   The network of ICAO ASTCs plays a pivotal role in the delivery of AVSEC training worldwide. The instructional staff of the ASTCs, often supported by short-term experts from the region, deliver a range of ASTP-based courses to selected personnel. Instructors will conduct courses in their own States using ICAO-developed training material and to enhance international cooperation on a regional basis. The ASTCs' training programme is coordinated by the AVSEC Section; however, the individual centres are becoming more and more financially and administratively self-sufficient, through the charging of course fees to recover course staging costs, development of rosters of trained instructors and through a greater involvement in attracting and selecting participants for courses.

2.2.3   It is intended to strengthen the ASTC network and to enhance its ability to conduct training and to develop or upgrade training and guidance material through the provision of special service agreements (SSAs) to selected ASTC staff, and to develop a secure intranet application for ease of cooperation and communication between ASTCs and AVSEC Section, including e-learning and "online" applications.

2.3   **AVSEC Audit Programme**

2.3.1   A significant amount of preparatory work required for the establishment and implementation of the ICAO Universal Security Audit Programme (USAP) has been completed by the Secretariat with the advice and assistance of the Council, the Committee on Unlawful Interference and the AVSEC Panel. The

programme has been successfully launched with audits that took place in Uganda in November 2002 and Bulgaria in February 2003. A summary of the progress made and the current status of the implementation of the programme is as follows:

a) an Aviation Security Audit (ASA) Unit was established within the Air Transport Bureau (ATB) in July 2002 to be responsible for the development and implementation of the Universal Security Audit Programme (USAP). There are currently three Professionals on staff. Vacancy notices have now been issued for an additional four Audit Team Leaders and steps are being taken to accelerate the recruitment process so that the new staff are in place by September 2003. In the interim, and in the interest of moving ahead with the USAP plan of action for 2003, the Secretariat has recruited four Audit Team Leaders on special service agreements.

b) auditing materials and documentation required for the conduct of audits and the administration of the programme have been developed including:

1) the *Security Audit Reference Manual* (SARM) (Doc 9807), designed to assist both Contracting States and ICAO audit team members by providing standard auditing procedures and audit follow-up actions, with a view to ensuring that audits are conducted in a consistent, standardized and objective manner;

2) the pre-audit questionnaire, designed to solicit relevant information required for audit scheduling and planning purposes from each Contracting State;

3) course materials for two auditor training programmes (a two-week full course and a one-week conversion course) and related auditor certification documentation; and

4) internal forms, instructions and guidelines required for the administration and management of the programme.

The technical elements of the SARM were reviewed and endorsed at the 15th meeting of the AVSEC Panel and this documentation will continue to be reviewed and updated as the USAP evolves.

c) as of 31 December 2002, six AVSEC auditor training and certification courses had been conducted which resulted in a total of 60 candidates, representing 34 States, being certified as ICAO aviation security auditors. Auditor training and certification will continue in 2003;

d) a standardized State feedback form was developed to solicit feedback from all audited States and will be used to improve the planning and conduct of audits in order to allow for the continuous improvement of the USAP; and

e) a USAP plan of action for 2003 has been dispatched to all Contracting States. The State letter includes the Model Memorandum of Understanding (MoU) approved by the Council and a tentative audit schedule for the period January to December 2003.

2.3.2   A total of 25 States have been tentatively scheduled for AVSEC audits in 2003. The expectation is that approximately 20 of these audits will in fact be conducted, using a margin of some 20 per cent in the event of deferrals due to specific State requests, failure to return the MoU or pre-audit documentation in a timely fashion, or last minute operational/technical constraints. In this regard, the above referred State letter, urges all Contracting States to accept the conduct of aviation security audits according to the schedules which are established and to return the signed MoU and pre-audit questionnaire within the prescribed periods.

2.3.3   In accordance with the procedures set forth in the SARM, all audit missions will be team-led by an ICAO staff member, whether on short or long-term contract, and team members will generally be seconded on a short-term basis from Contracting States. It is to be noted in this regard that the 2003 audit schedule has been drafted on the basis of the assumed availability of four ICAO Audit Team Leaders, none of whom have yet been recruited. Delays in recruiting either the Audit Team Leaders may affect the implementation of the tentative schedule as drafted.

2.3.4   Several AVSEC auditor training courses have been planned for 2003. Auditor training and certification will continue to take place with the assistance, where applicable, of the regional AVSEC training centres (ASTCs), and with States invited to nominate suitable candidates for training, certification and short-term secondments to conduct audits. This allows for the programme to be conducted in a cost-effective manner and has the added benefit of allowing Contracting States to participate in the implementation of the USAP while contributing to the further development of national expertise in Contracting States in the AVSEC field.

2.3.5   As part of the ICAO Aviation Security Plan of Action, the activities of the USAP continue to be funded from voluntary contributions made by States and it is to be noted that funding for the entire audit cycle has not yet been achieved. In this regard, States are invited to make voluntary contributions to fund the implementation of the AVSEC Plan of Action as soon as possible. Traditional donor States of the AVSEC Mechanism are invited to consider maintaining or increasing their level of contribution to the ICAO AVSEC programmes.

2.4   **Project documents, assistance and follow-up**

2.4.1   Activities conducted under this project will include a continuation of the programme of technical assistance to States through direct assistance provided under the AVSEC Mechanism. It is estimated that 15 to 20 such missions will be undertaken in 2003 and 30 to 50 missions in 2004, conducted by ICAO and STEs. This project will also include AVSEC Section support for longer-term projects conducted under the auspices of the Technical Co-operation Bureau. Many of these projects are expected to arise from the findings of the Universal Security Audit Programme.

2.4.2   Security concerns identified during ICAO AVSEC audits may be addressed through direct and immediate assistance by the AVSEC Mechanism, where appropriate. Support may also be provided for the development of longer-term projects under the auspices of the Technical Co-operation Bureau (TCB).

2.5   **AVSEC regional officers**

2.5.1   The Council, in October 2002, discussed the proposal for the establishment and recruitment of Regional Aviation Security Experts which was originally described in the AVSEC Plan of Action and decided that these Regional AVSEC Experts would be based in ICAO Regional Offices still to be

determined, but within five of the geographical regions to include Africa, the Americas, Europe, the Middle East and Asia/Pacific.

2.5.2   The Secretary General would be given the flexibility to gradually start the recruitment process for these Regional Aviation Security Experts, taking into account the needs and requirements of the Region and at the same time to establish a partnership with regional civil aviation bodies, such as LACAC, which were involved in aviation security in order to avoid duplication of work. The cost of establishing posts for these Experts would be based on voluntary contributions, however, the recruitment process for these Experts should not be delayed pending receipt of these contributions. As soon as the Organization received the necessary funds, the Secretary General could then proceed to appoint the experts without delay in order to assist in coordination of the AVSEC programmes on the regional basis. Those additional resources dedicated to AVSEC will ensure better coordination and efficiency of the ICAO AVSEC programmes and will improve implementation of the AVSEC system in States.

2.6   **Other activities**

2.6.1   Pursuant to Resolution A33-1, Declaration on misuse of civil aircraft as weapons of destruction and other terrorist acts involving civil aviation and the decision of the 33rd Session of the Assembly in the light of the acts committed in the United States on 11 September 2001, the AVSEC Panel working groups on Threats, Audits and Amendment 11 continue their work towards development of proposals for amendments to Annex 17 in order to assist the Secretariat in finalizing Amendment 11. This work will be ongoing as Standards and Recommended Practices (SARPs) contained in Annex 17 need to be further revised to address new and emerging threats and to adapt this document to the Universal Security Audit Programme (USAP) based upon experience gained while conducting audits.

2.7   **Funding**

2.7.1   It should be highlighted that the current AVSEC work programme is funded through the Regular Programme Budget 2002-2004 and the voluntary contributions by States. The level of success in the execution of the AVSEC programme is totally dependent on the level of contributions as well as the adequacy of the Regular Programme resources and the long-term activities.

3.   **SUGGESTED ACTION**

3.1   The APIRG is invited to review and note the information provided in this working paper.

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