



## ASSEMBLY — 35TH SESSION

### EXECUTIVE COMMITTEE

- Agenda Item 14: Aviation security**  
**14.1: Developments since the 33rd Session of the Assembly**

#### DEVELOPMENTS SINCE THE 33RD SESSION OF THE ASSEMBLY

##### SUMMARY

In this paper the Council presents a progress report on action taken in response to Assembly Resolution A33-1, including the outcome of the High-level, Ministerial Conference on Aviation Security and the adoption of the Aviation Security Plan of Action in June 2002 and its subsequent implementation.

Action by the Assembly is in paragraph 6. The Assembly is invited to request the Council and the Secretary General to continue to give high priority to implementing the Aviation Security Plan of Action and to adopt the Resolution presented in Appendix C.

##### REFERENCES

A35-WP/20  
A35-WP/43  
A35-WP/50  
A35-WP/55  
A35-WP/88  
Doc 9790, *Assembly Resolutions in Force* (as of 5 October 2001)

#### 1. INTRODUCTION

1.1 This paper provides an overview of developments in the aviation security (AVSEC) field since the 33rd Session of the Assembly, in particular the adoption of an ICAO Aviation Security Plan of Action. It reports on the progress achieved to date in the implementation of individual projects of the Plan of Action and outlines planned future activities, together with the forecast expenditures for the years 2005, 2006 and 2007 for Projects 1 to 13 of the Plan of Action.

*Note.* — Information contained in [ ] will be updated for the Assembly.

## **2. OVERVIEW OF DEVELOPMENTS SINCE THE 33RD SESSION OF THE ASSEMBLY**

2.1 Following the tragic events of 11 September 2001, the 33rd Session of the Assembly adopted Resolution A33-1, *Declaration on misuse of civil aircraft as weapons of destruction and other terrorist acts involving civil aviation*. Resolving Clause 8 of the Resolution directed the Council to convene a high-level, ministerial conference on aviation security with the objectives of preventing, combatting and eradicating acts of terrorism involving civil aviation; of strengthening ICAO's role in the adoption of Standards and Recommended Practices (SARPs) in the field of security and the audit of their implementation; and of ensuring the necessary financial means for ICAO activities in this field.

2.2 The High-level, Ministerial Conference on Aviation Security was held at ICAO Headquarters on 19 and 20 February 2002. The Conference was attended by over 700 participants from 153 Contracting States and 25 observers. The Conference endorsed a global strategy for strengthening aviation security worldwide and adopted Conclusions and Recommendations as well as a Declaration on aviation security to reflect the outcome of the Conference and to promote restoration of confidence and revitalisation in international air transport. The Conference called on the Council to develop and adopt an Aviation Security Plan of Action.

2.3 Pursuant to Resolution A33-1 and the Declaration of the Conference, the Council, at the fourteenth meeting of its 166th Session on 14 June 2002, approved a proposed ICAO Aviation Security Plan of Action for strengthening aviation security, which includes regular, mandatory, systematic and harmonized audits to enable the evaluation of aviation security in place in all Contracting States. It also includes the identification, analysis and development of an effective global response to new and emerging threats; integration of measures to be taken in specific fields, including airports, aircraft, and air traffic control systems; strengthening of the security related provisions in the Annexes to the *Convention on International Civil Aviation*, expediting procedures where warranted and subject to overall safety considerations, notably to protect the flight deck; close coordination with audit programmes at the regional and subregional levels; and a follow-up programme to assist with the rectification of identified deficiencies. The Plan of Action is largely dependent on voluntary contributions from Contracting States (see paragraph 5 below).

## **3. IMPLEMENTATION OF THE PLAN OF ACTION**

3.1 Since June 2002, good progress has been achieved in implementing the Aviation Security Plan of Action, although initial concerns over funding and delays in recruitment of Professional and General Service staff created some problems. Certain projects have been given priority in allocating funds, notably Project 3 - Universal Security Audit Programme (USAP). For this reason and because of inter-relationships that exist among projects (for example, an audit must take place before corrective action can be taken), some projects are more advanced than others. The progress on each project is summarized below. Projects 1 to 10 are the responsibility of the Air Transport Bureau, while Projects 11 through 13 are the responsibility of the Air Navigation Bureau, the Legal Bureau and the Bureau of Administration and Services respectively.

### **3.2 MAJOR PROGRAMME – AIR TRANSPORT**

#### **3.2.1 Project 1: Development of aviation security material**

3.2.1.1 Significant progress has been made in the development and worldwide distribution of new training and guidance material. Four new Aviation Security Training Packages (ASTPs) have been made available or have been finalized<sup>1</sup>. All of the existing ASTPs have been reviewed and updated<sup>2</sup>. The Secretariat is cooperating with the ICAO Aviation Security Training Centres (ASTCs) to ensure that the associated translation work is completed as effectively as possible. Workshops, training videos and DVD and multimedia CD-ROM self-study packages to complement higher-level courses are also being completed.

3.2.1.2 The sixth edition of the *Security Manual for Safeguarding Civil Aviation Against Acts of Unlawful Interference* (Doc 8973 — Restricted) has been published and distributed to all Contracting States. It includes new and updated guidance material pertaining to the SARPs in Amendments 9 and 10 to Annex 17, and reflects the advances in security practices and technology that have occurred in the interim. Further amendments to the sixth edition include a list of prohibited items for carriage on board aircraft, and guidance on in-flight security personnel and security of transport of dangerous goods. In order to assist States in the development of countermeasures against new and emerging threats to civil aviation such as man-portable air defence systems (MANPADS), guidance material supplementary to the material contained in the Security Manual has been made available, but only on the ICAO secured website because of the sensitivity of this information. The threat posed by MANPADS is the subject of a separate paper (A35-WP/50).

3.2.1.3 Guidance material to assist States in the implementation of the *Convention on the Marking of Plastic Explosives for the Purpose of Detection* has also been made available to States.

### 3.2.2 **Project 2: Training, including certification of AVSEC auditors**

3.2.2.1 Aviation security training is of particular importance as it is designed to assist States in remedying Annex 17 deficiencies. The AVSEC Section has promoted and conducted over 50 ASTP-based training courses per year in the ASTCs. Current courses taught at the ASTCs include training of AVSEC instructors to conduct training courses in their own States using selected ICAO ASTPs and training material<sup>3</sup>. The training and certification of ICAO aviation security auditors for the purpose of conducting audits under the USAP is currently undertaken by the Aviation Security Audit (ASA) Section.

### 3.2.3 **Project 3: Universal Security Audit Programme (USAP)**

3.2.3.1 The documentation and infrastructure necessary for the implementation and management of the USAP has now been developed and implementation of the Programme is underway. As of 31 July 2004, 45 audits have been conducted under the USAP and the expectation is that a total of 60 States will be audited by the end of 2004. A total of 128 auditors in 63 States in all of the ICAO regions have so far been trained and certified as ICAO aviation security auditors. A comprehensive report on the implementation of the USAP is presented in A35-WP/55.

### 3.2.4 **Project 4: Project documents, assistance and follow up**

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<sup>1</sup> Exercise (on how to organize an AVSEC crisis management exercise in a State), National Auditors-Inspectors, National Quality Control and Airport Design.

<sup>2</sup> Basic, Supervisors, Management, Crisis Management, Cargo, Instructors and Airline (revised jointly by ICAO and the International Air Transport Association (IATA)).

<sup>3</sup> Instructors, Management, Crisis Management, Cargo, Hostage Negotiation and National Auditors-Inspectors.

3.2.4.1 Following the launch of the USAP, technical evaluations under the AVSEC Mechanism have been suspended. Security concerns identified during ICAO AVSEC audits are being addressed in the form of direct and immediate assistance under the AVSEC Mechanism on a case-by-case basis. Support is also provided for the development of longer-term projects under the auspices of the Technical Co-operation Bureau (TCB) to rectify deficiencies identified in the audits, including the development of project documents. To date, [five] assistance missions have been undertaken following USAP missions. In addition, [14] other assistance and follow-up missions have continued under the AVSEC Mechanism.

3.2.4.2 Resource mobilization is in progress for [two] of the project documents which have been developed by TCB. These include documents aimed at addressing common deficiencies of groups of States. Taking into account the positive experience gained with the Universal Safety Oversight Audit Programme (USOAP) Follow-up Programme (i.e. the Co-operative Development of Operational Safety and Continuing Airworthiness Programme - COSCAP), TCB has developed initial Co-operative Aviation Security Programmes (CASP) on a sub-regional basis, in close cooperation with the AVSEC Section.

### 3.2.5 **Project 5: Aviation security seminars and exercises**

3.2.5.1 Eight exercises and two AVSEC Mechanism seminars, as well as two regional workshops organized in collaboration with the European Civil Aviation Conference (ECAC), the Arab Civil Aviation Commission (ACAC), have been conducted during the current triennium.

### 3.2.6 **Project 6: Aviation security training centres (ASTCs)**

3.2.6.1 With a view to developing regional training capabilities, 10 Aviation Security Training Centres (ASTCs) were developed by ICAO during the last 12 years within already established training schools in Amman, Brussels, Casablanca, Dakar, Kyiv, Moscow, Nairobi, Penang, Port of Spain and Quito. In addition, three new ICAO Aviation Security Training facilities have been approved in Auckland, New Zealand; Buenos Aires, Argentina; and Johannesburg, South Africa. This increase is justified in order to meet the current needs in training, in all ICAO languages and in all regions and sub-regions.

3.2.6.2 The ASTC network has been strengthened and its ability to conduct training and to develop or upgrade training and guidance material has been enhanced. The communication and cooperation between the ten ASTCs and the AVSEC Section has been improved with the launching of a secure ICAO ASTCs website and continuous coordination meetings organized amongst Directors of ASTCs and ICAO (Montreal 2002, Casablanca 2003 and Kyiv 2004).

3.2.6.3 A new training programme using state of the art e-learning tools is currently being implemented jointly by ICAO and Concordia University, focussing on providing participants at the management level with a better understanding of Annex 17 SARPs, while promoting management principles and best practices relevant to AVSEC. The pilot course was held in Casablanca in April of this year. Taking into account comments received during the pilot project, the courses are expected to commence in November 2004, with a minimum of three to five sessions per year.

### 3.2.7 **Project 7: Aviation security regional officers (ASROs)**

3.2.7.1 In order to ensure regional implementation of the Plan of Action, the Council agreed to reinforce the ICAO Regional Offices with a view to allocating all AVSEC duties to one dedicated Regional Officer in each Office. As a first step, Aviation Security Regional Officers were appointed to the Regional Offices in Bangkok, Cairo and Mexico to assist in coordination of the AVSEC programmes in these regions.

3.2.7.2 Regional initiatives to improve States' aviation security postures included assistance in the development of AVSEC action plans, training programmes conducted at ICAO-approved aviation security training centres, and regional AVSEC seminars promoting international cooperation. States and regional and international organizations, as well as the aviation industry, were invited to participate in these initiatives through the provision of expertise, funding and contributions-in-kind.

### 3.2.8 **Project 8: Other AVSEC programme needs**

3.2.8.1 Pursuant to 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 finalized Amendment 10 to Annex 17 in November 2001. This amendment which was adopted by the Council in December 2001 addresses the following subjects, *inter alia*, new provisions in relation to the applicability of this Annex to domestic operations, international cooperation relating to threat information, protection of the cockpit, in-flight security personnel, and national quality control.

3.2.8.2 Further work is being undertaken by the Aviation Security Panel for the finalization of Amendment 11 to Annex 17 as well as the development of guidance material for protection against man-portable air defence systems (MANPADS), for the training and usage of in-flight security personnel (IFSP), also called sky marshals, and the development of national quality control tools and guidance material for States.

3.2.8.3 Liaison has been initiated or strengthened with a number of intergovernmental organizations of relevance to aviation security, including the United Nations Counter-Terrorism Committee (UNCTC) and the Organization for Security and Co-operation in Europe (OSCE).

### 3.2.9 **Project 9: Facilitation programme**

3.2.9.1 A Facilitation Manual is being developed; chapters have been completed on general principles, clearance of persons and clearance of cargo, emphasizing the use of information technology to improve procedures as well as risk management concepts. Work has commenced on an assessment methodology for evaluating implementation of security-related, Annex 9 SARPs. ICAO collaborated with the World Customs Organization on guidelines for advance passenger information (API) systems and on strengthening the security and facilitation of the international supply chain. The Twelfth Session of the Facilitation Division (FAL/12 – Cairo, Egypt, 22 March to 1 April 2004) emphasized the importance of this work in its adoption of a number of policy recommendations concerning API systems, advance cargo information, supply chain security standards and simplified clearance arrangements for compliant air carriers and cargo customers.

3.2.9.2 In May 2003, ICAO adopted a global, harmonized blueprint for the integration of biometric identification information into passports and other Machine Readable Travel Documents (MRTDs). The increased use of biometric-enhanced MRTDs will lead to smoother passage of travellers through airport controls, heightened aviation security and added protection against identity theft. A dedicated website has been established to disseminate ICAO technical reports and guidance material on biometrics and MRTD specifications ([www.icao.int/mrtd](http://www.icao.int/mrtd)). A plan has been developed to outline a project to support all Contracting States requesting technical assistance to adopt machine readable passports and to implement measures to assure optimum levels of quality in the documents they produce. FAL/12 supported this work and recommended adoption of a new Annex 9 Standard calling for all Contracting States to issue machine readable passports by the year 2010, a Recommended Practice that States incorporate biometric identification in their travel documents, and a policy recommendation that ICAO assist States to implement these

provisions. A comprehensive report by the Council on the outcome of the Twelfth Session of the Facilitation Division is presented in A35-WP/43.

### 3.2.10 **Project 10: Other air transport programmes**

3.2.10.1 The High-level, Ministerial Conference recommended that ICAO elaborate on its policy and guidance material on cost recovery of security services. The policy and guidance material on cost recovery of security services at airports contained in *ICAO's Policies on Charges for Airports and Air Navigation Services* (Doc 9082/6) and the *Airport Economics Manual* (Doc 9562) has since been amended by the Council, based on advice from the Airport Economics Panel. In parallel, new policy and guidance material on cost recovery of security measures related to the provision of air navigation services has been developed by the Air Navigation Services Economics Panel and approved by the Council for inclusion in Doc 9082 and the *Manual on Air Navigation Services Economics* (Doc 9161).

3.2.10.2 The Plan of Action also includes project elements in the forecasting and economic planning field. Three sets of medium-term air traffic forecasts were developed during the period 2002 to 2004 and a new long-term forecast to the year 2015 was prepared in early 2004; these forecasts can assist States in the estimation of future security requirements. A study on the economic implications of new security measures is being initiated in the second half of 2004. An assessment of financing requirements to remedy shortcomings and deficiencies based on audit findings has been postponed until sufficient information is available.

## 3.3 **MAJOR PROGRAMME – AIR NAVIGATION**

### 3.3.1 **Project 11: Air navigation programmes**

3.3.1.1 Good progress has been made in the development and adoption of security Standards and Recommended Practices (SARPs) in the Annexes under the purview of the Air Navigation Commission, but more limited results have been achieved in the preparation of guidance material. The salient achievements have been the security-related amendments to Annex 6 — *Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes* and Part III — *International Operations — Helicopters* and Annex 8 — *Airworthiness of Aircraft* and the publication of the *Manual on the Implementation of the Security Provisions of Annex 6* (Doc 9811 Restricted).

3.3.1.2 In addition, two important tasks that were not formally part of the Plan of Action have been completed. One of the tasks was the development of a comprehensive list of SARPs with aviation security connotation contained in Annexes under the purview of the Commission and a decision was made by the Council (C-DEC 167/8) that these SARPs should normally be audited under the Universal Safety Oversight Audit Programme (USOAP). The second task was the establishment of a formal coordination mechanism between the safety and security activities of the Organization to ensure the best possible synergy between the two activities.

3.3.1.3 The Air Navigation Commission undertook an in-depth review of the air navigation component of the ICAO Aviation Security Plan of Action on 26 November 2003 and recommended to the Council an amendment to the air navigation component of the Plan that will ensure its continued relevance. The Council approved this amendment on 23 February 2004 and took note of the associated funding considerations.

### **3.4 MAJOR PROGRAMME – LEGAL**

#### **3.4.1 Project 12: Legal programmes**

3.4.1.1 Pursuant to Resolution A33-1, which directs the Council and the Secretary General to act urgently to address the new and emerging threats to civil aviation, in particular to review the adequacy of the existing aviation security conventions, a study has been conducted by the Secretariat on legal measures to cover the new and emerging threats. The study concludes that while the existing five aviation security conventions have been widely accepted by States as useful legal instruments for combatting unlawful interference against civil aviation, they should be updated in several instances to respond to the new and emerging threats. Certain of these threats, such as misuse of aircraft as a weapon, suicide attacks, electronic and computer-based attacks, chemical, biological and radioactive attacks, are not adequately covered. Furthermore, the conventions focus on the persons actually committing the punishable acts, mainly on board an aircraft or at an airport, without specific provisions addressing the issue of persons organizing and directing the commission of the offences. This study is the subject of an information paper (A35-WP/88).

3.4.1.2 The study also concludes that certain issues, such as the control of man-portable air defence systems (MANPADS), air marshals, strict and uniform compliance with Annex 17, and indemnification and immunity for acts of terrorism, may need to be addressed as separate issues.

3.4.1.3 Based on the aforementioned study, the Secretariat will make recommendations for certain amendments to the existing aviation security conventions. These recommendations will be further considered by the Legal Committee or other bodies, as envisaged in paragraph 4.5.

### **3.5 MAJOR PROGRAMME – ADMINISTRATIVE SUPPORT**

#### **3.5.1 Project 13: Administrative and financial support**

3.5.1.1 Administrative support has been provided to manage the additional workload attributable to the recruitment of staff and the provision of personnel services, i.e. administration of contracts, entitlements, allowances, etc. For the years 2002, 2003 and 2004, recruitment and personnel actions have been taken or are projected to be taken for some 62 people, including 27 in the Professional category (5, 7 and 15 respectively in each year) and 35 in the General Service category (13, 12 and 10).

3.5.1.2 Following these recruitment and personnel actions, office services have been provided for the allocation and management of the workspace. Technical support services for the installation of computers and software, office supplies, furniture and equipment, telephone services, translation services, and distribution, courier and mail services have also been provided to respond to the new additional needs.

3.5.1.3 Financial support comprises accounting, budgetary and payroll services provided to the Plan of Action, and includes: processing the payroll and benefits, assistance in preparing the budget, issuing allotments and funds control, producing receipts of voluntary donations, paying expenses, preparing monthly and annual financial statements for all the AVSEC funds, preparing listings of contributions received, and providing financial advice and information as requested by management and by Representatives on the Council.

#### 4. FUTURE ACTIVITIES

4.1 The improvements expected from the Aviation Security Plan of Action will not be visible immediately and may take time to emerge. If the Plan of Action is to be successful in the long term, it will require an intensive and continuous worldwide commitment. The full and active participation of all Contracting States, as well as all technical and deliberative bodies of ICAO, is essential for the achievement of concrete results within an acceptable period of time.

4.2 In the next triennium, ICAO's activities in the aviation security field will follow the general direction set by the Council in June 2002 when it adopted the Plan of Action. Activities which are new or which will be given particular emphasis are identified below.

4.3 As a first priority, audits are expected to continue throughout the triennium on the basis of the USAP Plan of Action, which is established on an annual basis and distributed semi-annually with updates to all Contracting States. Subject to adequate funds being received by way of voluntary contributions from States, it is intended that approximately 40 audits per year will be conducted in 2005, 2006 and 2007, with all ICAO States having undergone an initial audit by the end of 2007. Auditor training and certification activities will also continue and it is intended that ICAO regional aviation security audit seminars will also be held in all of the ICAO regions. Additional information on future USAP activities is included in a comprehensive report on the implementation of the USAP presented in A35-WP/55.

4.4 The development and updating of aviation security training and guidance material will be a priority as Contracting States need guidance for implementing all SARPs contained in Annex 17 in the most effective and timely manner. Assistance to States is expected to increase significantly as more USAP reports and corrective action plans become available. The need for specific AVSEC training in the regions will be met by the reinforcement of the number of Aviation Security Regional Officers as well as the Aviation Security Training Centres under the overall supervision of ICAO.

4.5 In view of the results of the Secretariat study on legal measures referred to in paragraph 3.4.1, further work may be required to address the separate issues identified in the study. This may involve the work of the Legal Committee, its subcommittee, or other bodies as designated by the Assembly or the Council.

4.6 Based upon the experience gained with aviation security project documents developed to date, it is anticipated that a further [20] project documents will be developed by TCB during 2005 to 2007. Aside from country-specific project documents, these will include documents addressing common deficiencies of groups of States, such as the Co-operative Aviation Security Programmes (CASP).

4.7 Although it has been possible to accommodate some of the administrative support services within the existing Regular Programme Budget, additional resources will still be needed to continue providing the same level of services for the next triennium as the Bureau of Administration and Services and the Finance Branch will be under serious resource constraints.



## **5. BUDGETARY CONSIDERATIONS**

### **5.1 Expenditures for 2002, 2003 and 2004**

5.1.1 During the period 2002-2004, the Plan of Action has been funded by the Regular Programme and voluntary contributions from States through the Enhanced AVSEC Mechanism. The implementation of Projects 1 to 13 of the Plan of Action for 2002 to 2004 are in the amount of U.S. \$ [10.683] million from extra-budgetary resources only. Actual figures for 2002 and 2003 and estimated figures for 2004 for projects 1 to 13 of the Plan of Action are provided in the table presented in Appendix A to this working paper.

### **5.2 Budget for 2005, 2006 and 2007**

5.2.1 The Assembly in 2001 had directed the Council to develop proposals and take appropriate decisions for a more stable funding of ICAO action in the field of aviation security (Assembly Resolution A33-1, paragraph 6). However, although a proposal to include an additional U.S. \$ 3.0 million for aviation security-related activities in the Regular Programme for 2005 to 2007 was considered, the Council concluded that this was not feasible in the present budgetary circumstances.

5.2.2 Consequently, while the activities contained in the Aviation Security Plan of Action have been incorporated into the draft Regular Programme Budget document for 2005 to 2007 (A35-WP/20), funding from the Regular Programme will be on a similar scale to the present triennium and these activities will continue to be heavily dependent on voluntary contributions from States. Those activities that are foreseen to be funded from the extrabudgetary resources have been identified in the draft Regular Programme Budget document using a diamond and a specific footnote. The total forecast expenditures for the Aviation Security Plan of Action for the 2005-2007 triennium from the Regular Programme Budget is U.S. \$ 2.171 million as reflected in A35-WP/20; and from extrabudgetary resources is U.S. \$ [19.342] million, as shown in Appendix A to this working paper.

### **5.3 Resource requirements — voluntary contributions**

5.3.1 As of 31 July 2004, [53] of ICAO's 188 Contracting States had contributed to the Aviation Security Plan of Action. Amounts received represent approximately [70] per cent of the voluntary contributions proposed for the period 2002 - 2004 in State letter AS 8/1.5-02/90 Confidential, dated 27 September 2002. Contributions to the Plan of Action are listed in Appendix B to this working paper.

5.3.2 In order to ensure the continued implementation of the aviation security related programmes as planned and reflected in the Programme Budget document, it is estimated that extrabudgetary resources of U.S. \$ [6.25] million, U.S. \$ [6.45] million, and U.S. \$ [6.642] million would be required in 2005, 2006 and 2007 respectively for a total of U.S. \$ [19.342] million. The increase in the budgetary resource requirements for 2005 - 2007 as compared to 2002 - 2004 is mainly due to the increase in Project 3. It is anticipated that a total of 60 audits will have been completed by the end of 2004 and that the pace of audits will continue at 40 per year. With regard to the increase in budgetary resource requirements for other projects, following the recommendations of the FAL/12 Division, activities under Project 9 have been adjusted and Project 13 requirements have been kept at the same level as 2002-2004 on the basis of anticipated activities of the audit programme during the next triennium.

5.3.3 At the end of 2004, it is estimated that approximately U.S. \$ [4.0] million of the voluntary contributions received up to that date would not have been committed for any specific purpose and therefore would be available to fund the programme in 2005. The actual amount available could be better established

towards the end of 2004 by which time the actual requirements for 2004 can be determined. Taking into account the estimated available balance of unused funds and the estimated budget, mentioned in paragraph 5.3.2 above, voluntary contributions required to fund these programmes in 2005, 2006 and 2007 are estimated at U.S. \$ [4.5] million, U.S. \$ [5.1] million, and U.S. \$ [5.742] million, respectively.

5.3.4 It is therefore proposed that Contracting States be requested to make voluntary contributions, as in the current triennium, to fund these programmes based upon the assessment scales approved by the Assembly for the Regular Programme Budget in respect of financial years 2005, 2006 and 2007. In order to ensure the efficient planning and implementation of these programmes over the next triennium, it is necessary to ensure stable funding. Contracting States are therefore requested to make pledges in advance for the three years and also make their voluntary contributions on a timely basis. A draft resolution to this effect is presented in Appendix C.

## 6. ACTION BY THE ASSEMBLY

6.1 The Assembly is invited to:

- a) note the developments since the 33rd Session of the Assembly contained in this report;
- b) request the Council and the Secretary General to continue to give high priority to implementing the Aviation Security Plan of Action; and
- c) adopt the draft resolution on financial contributions to the Aviation Security Plan of Action, presented in Appendix C.

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APPENDIX A

DETAILS OF EXPENDITURES AND RESOURCES FOR  
THE AVIATION SECURITY PLAN OF ACTION - 2002-2004 TRIENNIUM

EXTRA-BUDGETARY RESOURCES REQUIRED FOR  
THE AVIATION SECURITY PLAN OF ACTION - 2005-2007 TRIENNIUM

Project No.	Project Title	Actual Figures		Budget 2004	Total 2002-2004	(1)
		2002	2003			Budget I 2002-2004
<b>Major Programme II : Air Navigation</b>						
11	Air Navigation Programmes	17 926	1 700	125 000	144 626	1 418 000
					<b>144 626</b>	<b>1 418 000</b>
<b>Major Programme III : Air Transport</b>						
<b>Programme 3.1 : Management, coordination and support</b>						
10	Other Air Transport Programmes	0	0	85 000	85 000	383 000
					<b>85 000</b>	<b>383 000</b>
<b>Programme 3.8 : Facilitation</b>						
9	Facilitation programme	23 867	64 602	118 000	206 469	386 000
					<b>206 469</b>	<b>386 000</b>
<b>Programme 3.9 : Aviation Security</b>						
1	Development of AVSEC material	272 720	231 695	350 000	854 415	1 241 000
2	Training, including certification of AVSEC Auditors	53 244	250 138	470 000	773 382	847 000
4	Project documents, assistance and follow-up	279 471	318 305	1 200 000	1 797 776	2 707 000
5	AVSEC seminars and exercises	19 879	124 077	280 000	423 956	698 000
6	AVSEC training centres (ASTCs)	0	21 252	200 000	221 252	1 193 000
8	Other AVSEC programme needs	41 951	77 020	150 000	268 971	1 126 000
					<b>4 339 752</b>	<b>7 812 000</b>
7	Aviation security regional officers (ASROs)	0	27 547	1 200 000	1 227 547	1 929 000
					<b>1 227 547</b>	<b>1 929 000</b>
<b>Programme 3.10 : Universal Security Audit Programme (USAP)</b>						
3	Universal Security Audit Programme (USAP)	337 565	1 226 523	2 744 000	4 308 088	4 169 000
					<b>4 308 088</b>	<b>4 169 000</b>
<b>Major Programme IV : Legal</b>						
12	Legal Programmes	0	15 061	5 000	20 061	249 000
					<b>20 061</b>	<b>249 000</b>
<b>Administrative Support</b>						
13	Administrative support and Financial support	2 003	156 321	193 000	351 324	770 000
					<b>351 324</b>	<b>770 000</b>

Programme	(2)
	Budget II 2005-2007
<b>Major Programme II : Air Navigation</b>	
Staff (1.5 P)	624 000
Missions	62 000
Equipment	15 000
<b>701 000</b>	
<b>Major Programme III : Air Transport</b>	
<b>Programme 3.1 : Management, coordination and support</b>	
FIN, Translations, other ADB	770 000
<b>770 000</b>	
<b>Programme 3.8 : Facilitation</b>	
Staff (2 Ps and 1 GS)	800 000
<b>800 000</b>	
<b>Programme 3.9 : Aviation Security - (Note 3)</b>	
Staff at HQs (8 Ps and 3 GS)	3 415 000
Training - (Note 4)	1 200 000
Assistance - (Note 5)	1 500 000
Equipment	150 000
<b>6 265 000</b>	
ASROs (4 Ps and missions) - (Note 6)	2 043 000
<b>2 043 000</b>	
<b>Programme 3.10 : Universal Security Audit Programme (USAP)</b>	
Staff (10 Ps and 6 GS)	4 844 000
Audit missions - (Note 7)	3 453 000
Equipment	41 000
<b>8 338 000</b>	
<b>Major Programme IV : Legal</b>	
Staff (0.75 P and 1 GS)	425 000
<b>425 000</b>	
<b>Administrative Support</b>	
FIN, Translations, other ADB - (Note 8)	0
<b>0</b>	

<b>Total expenditures</b>	<b>1 048 626</b>	<b>2 514 241</b>	<b>7 120 000</b>	<b>10 682 867</b>	<b>17 116 000</b>
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<b>Total Budget</b>	<b>19 342 000</b>
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Total contribution received and transferred from other Funds *	4 060 594	5 354 941	3 701 104 **	13 116 639 **
Transfer from other AVSEC Funds		56 521		56 521
Interest and other adjustments	34 764	106 155	83 000	223 919
<b>Total resources</b>	<b>4 095 358</b>	<b>5 517 617</b>	<b>3 784 104</b>	<b>13 397 079</b>

<b>Funds available at the beginning of the year</b>	<b>1 358 997</b>	<b>4 405 729</b>	<b>7 409 105</b>	<b>1 358 997</b>
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<b>Balance/(shortfall)of funds at the end of the year</b>	<b>4 405 729</b>	<b>7 409 105</b>	<b>4 073 209 **</b>	<b>4 073 209 **</b>
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\* Voluntary contributions from States, cash surplus and funds transferred from the Regular Programme under Resolution A33-23

\*\* As at 31 July 2004

- (1) Initial Budget 2002-2004 (High Level Ministerial Conference and C-WP/11799)
- (2) Proposed Budget 2005-2007
- (3) Allocation of funds to Projects within Programme 3.9 will depend on priorities to be established in the light of audit results
- (4) Training programme (development/update) and 25-30 training courses/workshops/seminars (AVSEC and USAP) per year
- (5) 20 assistance missions, 1 regional seminar and 5 exercises per year
- (6) Refer to C-DEC 167/2
- (7) 40 audit missions per year
- (8) Now listed under Programme 3.1

Staff P = Professional full-time posts  
GS = General Service full-time posts

APPENDIX B

CONTRIBUTIONS TO ICAO  
AVIATION SECURITY PLAN OF ACTION  
AS AT 31 July 2004  
(in United States dollars)

Contracting States	Total Suggested Contribution	Total Actual Contribution 2002-2004	% of Suggested Contribution	% of Total Actual Contribution
1 Australia	252 362	255 000	101%	2.35%
2 Austria	116 931	30 307	26%	0.28%
3 Azerbaijan	9 250	10 000	108%	0.09%
4 Bahrain	9 250	10 000	108%	0.09%
5 Belgium	143 532	117 070	82%	1.08%
6 Bulgaria	9 250	2 362	26%	0.02%
7 Canada	348 728	298 893	86%	2.76%
8 China	216 360	82 968	38%	0.77%
9 Cuba	9 250	6 954	75%	0.06%
10 Cyprus	9 250	5 506	60%	0.05%
11 Czech Republic	25 059	16 968	68%	0.16%
12 Denmark	86 099	86 099	100%	0.79%
13 Estonia	9 250	2 362	26%	0.02%
14 Fiji	9 250	10 000	108%	0.09%
15 Finland	66 682	66 682	100%	0.62%
16 France	820 160	1 300 800	159%	12.01%
17 Germany	1 175 578	488 674	42%	4.51%
18 Ghana	9 250	9 250	100%	0.09%
19 Greece	67 174	20 000	30%	0.18%
20 Haiti	9 250	8 700	94%	0.08%
21 Hungary	18 499	14 000	76%	0.13%
22 Iceland	9 250	9 250	100%	0.09%
23 Ireland	43 165	11 021	26%	0.10%
24 Italy	574 489	570 000	99%	5.26%
25 Japan	2 213 661	1 606 640	73%	14.83%
26 Latvia	9 250	9 250	100%	0.09%
27 Lebanon	9 250	9 250	100%	0.09%
28 Luxembourg	30 573	15 597	51%	0.14%
29 Malaysia	83 246	49 550	60%	0.46%
30 Maldives	9 250	6 888	74%	0.06%
31 Malta	9 250	3 144	34%	0.03%
32 Mauritius	9 250	9 250	100%	0.09%
33 Mexico	142 351	53 332	37%	0.49%
34 Monaco	9 250	2 362	26%	0.02%
35 Netherlands, Kingdom of the	299 003	414 883	139%	3.83%
36 New Zealand	55 891	40 000	72%	0.37%
37 Norway	77 474	32 164	42%	0.30%
38 Peru	14 268	8 652	61%	0.08%
39 Portugal	62 058	16 138	26%	0.15%
40 Qatar	9 250	20 000	216%	0.18%
41 Republic of Korea	340 346	253 000	74%	2.34%
42 Saudi Arabia	95 349	25 000	26%	0.23%
43 Singapore	174 692	56 555	32%	0.52%
44 Sweden	118 473	118 473	100%	1.09%
45 Switzerland	189 780	175 380	92%	1.62%
46 Thailand	88 789	59 160	67%	0.55%
47 Togo	9 250	9 250	100%	0.09%
48 Turkey	68 224	17 712	26%	0.16%
49 Uganda	9 250	2 362	26%	0.02%
50 United Kingdom	818 618	712 837	87%	6.58%
51 United Republic of Tanzania	9 250	2 362	26%	0.02%
52 United States	3 854 000	3 660 745	95%	33.79%
53 Vanuatu	9 250	9 533	103%	0.09%
<b>Total actual contributions</b>		<b>10 832 336</b>		<b>100.00%</b>
<b>Total contributions as % of suggested contributions (US\$ 15 416 000)</b>		<b>70.27%</b>		
<b>Cash surplus from States</b>		<b>459 113</b>		
<b>Funds transferred from Regular Programme (Res. A33 - 23)</b>		<b>770 000</b>		
<b>Funds transferred from Incentive Scheme for Long-outstanding Arrears (Res. A34-1)</b>		<b>1 055 190</b>		
<b>Total resources</b>		<b>13 116 639</b>		

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## APPENDIX C

### DRAFT ASSEMBLY RESOLUTION ON FINANCIAL CONTRIBUTIONS TO THE AVIATION SECURITY PLAN OF ACTION

#### Resolution 14/

*Whereas* the development of international civil aviation can greatly help to create and preserve friendship and understanding among the nations and peoples of the world, yet its abuse can become a threat to general security;

*Whereas* the threat of terrorist acts, unlawful seizure of aircraft and other acts of unlawful interference against civil aviation, including acts aimed at destruction of aircraft, as well as acts aimed at using the aircraft as a weapon of destruction, have a serious adverse effect on the safety, efficiency and regularity of international civil aviation, endanger the lives of persons on board and on the ground and undermine the confidence of the peoples of the world in the safety of international civil aviation;

*Recalling* its Resolutions A33-1 and A33-2;

*Endorsing* the Aviation Security Plan of Action adopted by the Council to urgently address the new and emerging threats to civil aviation, in particular the establishment of an ICAO Universal Security Audit Programme relating to, *inter alia*, airport security arrangements and civil aviation security programmes, the review of the adequacy of the existing aviation security conventions and the review of the ICAO aviation security programme, including a review of Annex 17 and other related Annexes to the Convention;

*Convinced* that aviation security continues to remain a critical and priority programme of ICAO and of the need to establish and implement work programmes in the next triennium to address the issues identified under Assembly Resolutions A33-1 and A33-2; and

*Noting* that much of the funding required to implement the work programme relating to aviation security could not be included within the Regular Programme Budget for the 2005-2007 due to budgetary and financial constraints;

*The Assembly:*

1. *Expresses* its appreciation to the relevant Contracting States for the voluntary contributions in the form of human and financial resources expected to reach at least U.S. \$ [11] million by the end of 2004 for the implementation of the Aviation Security Plan of Action during the 2002-2004 triennium;
2. *Endorses* the indicative funding requirements from extrabudgetary resources for the implementation of the Aviation Security Plan of Action totaling U.S. \$ [19.342] million for the financial years 2005, 2006 and 2007;

3. *Urges* all Contracting States to provide voluntary contributions to the Enhanced AVSEC Mechanism to finance the implementation of the Aviation Security Plan of Action, the suggested contributions to be based upon the scales of assessments approved by the Assembly for the Regular Programme Budget for 2005, 2006 and 2007;

4. *Urges* all Contracting States to make pledges of voluntary contributions in advance and make contributions early in the financial year so as to ensure the proper planning and implementation of the Aviation Security Plan of Action; and

5. *Urges* the Council to ensure the long term sustainability of the Aviation Security Plan of Action by progressively incorporating the funding requirements within the Regular Programme Budget, and accordingly *requests* the Secretary General to make specific proposals in this regard when preparing the draft Programme Budget for 2008-2010.

— END —