



SECOND HIGH-LEVEL CONFERENCE ON AVIATION SECURITY (HLCAS/2)

Montréal, 29 to 30 November 2018

Agenda Item 3: Global Aviation Security Plan (GASeP)

STATUS OF THE GLOBAL AVIATION SECURITY PLAN

(Presented by the Secretariat)

SUMMARY

The 39th Session of the ICAO Assembly agreed that there was a need for the accelerated development of a first ever Global Aviation Security Plan (GASeP) as a future aviation security policy and programming framework. The GASeP provides the foundation for ICAO States, industry, and other stakeholders to work together towards the shared and common goal of enhancing aviation security worldwide. Central to the Plan is a global commitment to achieve aspirational goals by raising the level of implementation of Annex 17 – *Security*. This paper provides a status update on the implementation of the Global Aviation Security Plan and proposes options in terms of its future evolution.

Action by the High-level Conference on Aviation Security is in paragraph 6.

1. BACKGROUND

1.1 As of its approval by the ICAO Council on 10 November 2017, the Global Aviation Security Plan (GASeP) has become the overarching programming framework for aviation security, replacing the ICAO Comprehensive Aviation Security Strategy (ICASS), which had served as the Organization's primary aviation security reference document since 2011. The approval of the GASeP by Council at the seventh meeting of its 212th Session marked the shift from an ICAO-focused strategy, i.e. ICASS, to a goal-based global plan that commits ICAO, States and industry collectively to make progressive aviation security improvements by 2020, 2023 and 2030. This approach is fully aligned with the direction provided by the resolutions pertaining to Aviation Security of the 39th Session of the ICAO Assembly.

1.2 In approving the GASeP, Council took into account several factors. Firstly, Council recalled the request by the 39th Session of the ICAO Assembly in 2016 that the GASeP be developed on an accelerated basis. Second, although the fast-tracking of the GASeP did not allow for the planning and convening of a worldwide conference in 2017, a rigorous consultative process involving Member States and industry was carried out via State letter AS8/1.10-17/84 dated 11 July 2017, of which the vast majority of the feedback received was highly supportive with most of the comments made duly incorporated. Third, with the ICASS ending its approved term in 2016, it was considered necessary that a new document to replace it be adopted as soon as possible, while recognizing that it would continue to be a "living document" so as to allow possible further adjustments, as needed.

2. IMPLEMENTATION STATUS

Global aspirational targets

2.1 At the centre of the GAsEP are “aspirational global targets”. Recalling that each and every State shall, by default, fully implement all ICAO Standards but acknowledging the fact that a significant number of States are struggling to do so, it was decided to adopt a stepped approach to help States prioritize their actions and focus their resources. These aspirational global targets are a set of new, universal, ambitious, specific and actionable targets that Member States will be expected to achieve by 2020, 2023 and 2030. While the targets are relevant and equally applicable to all Member States, they also serve to encourage those with low levels of Effective Implementation (EI) to be able to reach the minimum 65 per cent EI by the first deadline in 2020. Conversely, every State will be expected to make major efforts towards achieving the full set of aspirational global targets by the agreed timelines (see Appendix).

2.2 It should be noted that “Percentage of States” refers to those States already audited under the Universal Security Audit Programme (USAP), including both the Second Cycle of USAP audits and the Continuous Monitoring Approach (USAP-CMA). “Effective Implementation” (EI) refers to the overall EI for all Critical Elements of an effective aviation security system, which is the primary measurement tool currently in use.

A review of the global and regional EI rates

2.3 The Conference is invited to take stock of current implementation on the basis of USAP data (see Appendix) whereby the following conclusions can be drawn. Firstly, as at 21 August 2018 only 116 States (equivalent to 64 per cent) have reached or exceeded the 65 per cent EI goal. Secondly, regional implementation varies substantially; for example, in three of the seven ICAO Regions, less than 50 per cent of States have met the goal. Finally, in the next two years, an additional 28 States must achieve the target of 65 per cent in order to achieve the global pledge of 80 per cent of audited States meeting the minimum EI. This implies that States must make a significant effort to achieve improvement in their aviation security systems and in accepting audits as scheduled, without requesting postponements. On the ICAO side, the USAP-CMA documents progress made by States toward achieving the targets. However, the increased contribution from States to the next triennium’s regular budget and voluntary contributions, financial and in-kind, will be required to complement the audit programme’s budget, which is insufficient to cover the related costs. The availability of additional Team Leaders and supporting resources in Headquarters would also allow the programme to update States’ results more frequently.

Roadmap actions

2.4 In addition to the aspirational targets, 32 specific actions whose attainment will contribute to achieving the goals above, were established and grouped under the following five key areas: risk awareness and management, security culture and training, innovation, oversight and quality assurance, and cooperation. These actions are further elaborated in the Plan’s Roadmap, which is intended to serve as a tool to guide the aviation security community to be better coordinated in its planning and responses.

2.5 ICAO is developing tools and mechanisms to facilitate tracking the progress, involving both Headquarters and Regional Offices. A toolkit for the implementation and monitoring of the Plan, designed to be a primary reference document for the Regional Offices, is in the near-final stages of development. Outreach activities, such as the convening of conferences, and GAsEP implementation monitoring, are highly resource intensive.

2.6 As ICAO's current efforts are focused on the implementation of Annex 17 and addressing new threats, ICAO welcomes the increased contribution from States to the next triennium's regular budget and their voluntary contributions, financial and in-kind, to enhance activities related to the implementation, monitoring and reporting of the GAsEP.

3. SECURING REGIONAL COMMITMENT

3.1 In anticipating challenges in meeting the aspirational goals referred to in paragraph 2 above, ICAO considered it necessary to convene a series of regional conferences. Such events were intended to raise greater awareness of the GAsEP's structure, goals and targets. They also promote shared accountability for regional priorities, taking into account regional challenges, threat and risk picture and regional infrastructure. ICAO gratefully acknowledges the initiatives taken by various States in hosting the regional conferences relating to GAsEP implementation:

- a) the first conference was convened in Sharm El Sheikh, Egypt, from 22 to 24 August 2017, and drew over 200 participants representing 50 States from Africa and the Middle East, also with participation of officials from other regions. It concluded with a Ministerial Session in order to adopt a "Declaration and Roadmap on fostering Civil Aviation Security in Africa and the Middle East";
- b) the second was held in Bangkok, Thailand from 20 to 21 December 2017, and served as a forum for an open dialogue to promote and focus on priority settings in the Asia and Pacific Region (APAC). The Conference was attended by approximately 150 participants from 23 States, and resulted in the adoption of a "Regional Aviation Security Roadmap for Asia and the Pacific";
- c) the third was held in Lisbon, Portugal from 29 to 31 May 2018, and was attended by over 200 participants from 40 States. The main outcome at the Lisbon Conference was regional commitment to implementing the GAsEP via a "Europe and North Atlantic Aviation Security Roadmap"; and
- d) the fourth was held in Panama City, Panama from 24 to 26 July 2018. It was attended by more than 200 delegates from 21 States. The main outcome of this conference was a regional commitment on implementing the GAsEP through the adoption of the "Americas and the Caribbean Aviation Security Roadmap".

4. COORDINATION AND DELIVERY OF ASSISTANCE EFFORTS

4.1 In light of the current EI levels as described in paragraph 2, the Secretariat continues to implement targeted assistance to address identified security deficiencies within Member States. The primary objective of aviation security and facilitation assistance is to support Member States in resolving significant security concerns (SSeCs) identified through the ICAO USAP-CMA, and to assist States in implementing the Standards of Annex 9 - *Facilitation* and Annex 17 - *Security*, as well as the ICAO Traveller Implementation Programme (TRIP) Strategy. Prioritization of assistance and capacity-building efforts is based on: risk management principles; the expressed commitment of States to address their SSeCs; and on geographic priorities expressed by Donor States. In providing assistance for facilitation matters, ICAO collaborated with States, international and regional organizations and industry that were in a position to provide resources and expertise to expand the scope and effectiveness of assistance activities.

5. PROPOSED EVOLUTION OF THE PLAN

5.1 In addition to ICAO's strategic objective of *Security and Facilitation*, the ICAO Council requested the separate development of a Global Aviation Security Plan and a Global Aviation Facilitation Plan, which explains why the current GAsEP does not address Annex 9 - *Facilitation* Standards to support aviation security objectives.

5.2 Discussions within ICAO, including within its expert and governing bodies, up to the Air Transport Committee (ATC) and the Committee on Unlawful Interference (UIC) level, on the viability of a separate Global Aviation Facilitation Plan (GAFP) are ongoing. It is a fact that the identification of potential perpetrators and terrorists is high on States' agendas. In particular, a number of Annex 9 Standards related to border security, are interlinked with security processes. Specifically, border security and aviation security objectives can complement one another to prevent terrorists and other criminals from carrying out their missions or escaping prosecution (see HLCAS/2-WP/4). Furthermore, a strong national identity management system allows States to perform better and faster security checks on the vast majority of legitimate travelers. Advance Passenger Information (API) data and Passenger Name Records (PNR) data have proven useful in the identification of both known criminals and possible perpetrators through risk assessments. Recognizing such synergies will make the GAsEP a more coherent plan when considering global security.

6. ACTION BY THE HIGH-LEVEL CONFERENCE

6.1 The High-level Conference on Aviation Security is invited to:

- a) give consideration on the need for subsequent iterations of the GAsEP with a possibility to also reflect security-related provisions of Annex 9;
- b) take into account budgetary considerations and the pressing need of additional resource requirements, as referred to in paragraph 2.3 and 2.6; and
- c) support ICAO coordination of assistance delivery efforts by all concerned.

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APPENDIX

ASPIRATIONAL GLOBAL TARGETS

(as set out in Appendix A of the GASeP)

By 2020 80% of States reach above 65% EI
By 2023 90% of States reach above 80% EI
By 2030 100% of States reach above 90% EI

Note:

“Percentage of States” refers to those States already audited under the Universal Security Audit Programme (USAP), including both the Second Cycle of USAP audits and the Continuous Monitoring Approach (USAP-CMA).

“Effective Implementation” (EI) refers to the overall EI for all Critical Elements of an effective aviation security system, which is the primary measurement tool currently in use.

LEVEL OF EFFECTIVE IMPLEMENTATION

(as at 21 August 2018)

ICAO Region	APAC	ESAF	EUR/NAT	MID	NACC	SAM	WACAF	Total
# States	39	24	56	15	21	13	24	192
# States audited	35	21	54	13	21	13	23	180
# above 65% EI	17	10	51	9	12	9	8	116
% above 65% EI	49%	48%	94%	69%	57%	69%	35%	64%

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