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SECURITY & FACILITATION

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# Third Africa-Indian Ocean (AFI) Aviation Safety & Security Symposium

Provision of Assistance Under the  
Aviation Security Improvement  
Plan (ASIP) Framework

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Malabo, 27 June 2016





# Overview

- Background and context of Aviation Security Improvement Plans (ASIPs)
- Purpose, structure, implementation process and management of an ASIP
- Benefits and challenges



# Foundations

- Established practices of the Secretariat
- Assembly Resolution A38-15: Declaration on Aviation Security
- ICAO Strategic Objective: Security and Facilitation
- ICAO Comprehensive Aviation Security Strategy (ICASS)
- Aviation Security Assistance and Capacity-Building Strategy
- No Country Left Behind



# Aviation Security Assistance and Capacity Building Strategy

The ICAO Assistance and Capacity Building Strategy for Aviation Security, approved by the Secretary General in May 2011, sets out the Secretariat's strategy for the renewal and redirection of ICAO assistance and capacity-building to support aviation security enhancement



# ASIP Purpose

Provides a multi-phase assistance framework tailored to a State's specific needs

- outlines the scope of assistance to be provided to a State to address deficiencies
- developed collaboratively with the appropriate State authority responsible for aviation security, and with stakeholders
- clarifies roles, commitments, deliverables and funding for each assistance activity

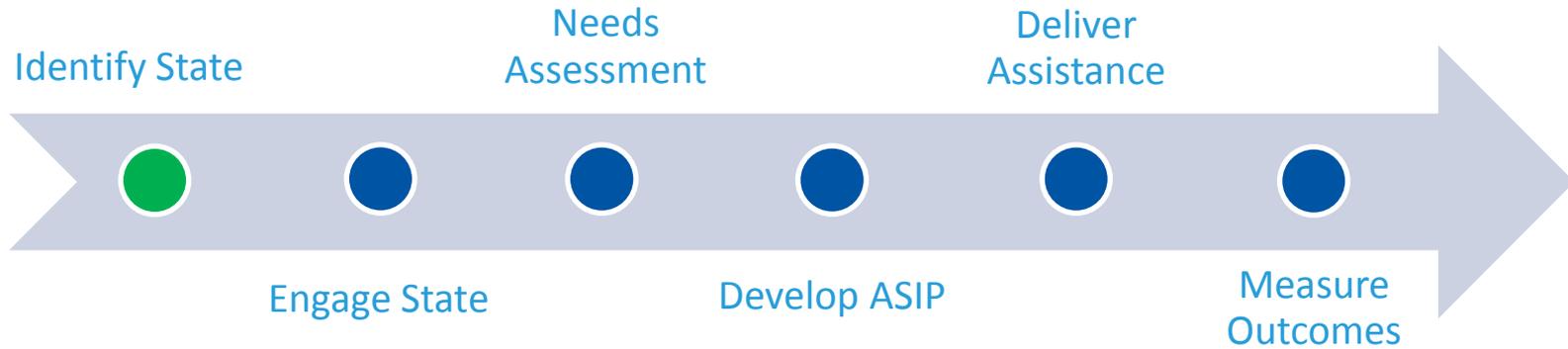


## ASIP Purpose (cont'd)

- facilitates the monitoring of assistance activities so that adjustments can be made, if necessary, and enables ICAO and the State to have a single, structured point of reference for coordinated action
- establishes a phased approach to assistance activities and results
- fulfilment of milestones is an indicator of progress in the State's ability to meet its aviation security (AVSEC) obligations



# ASIP Process Map





# Identify State

- USAP Audit Results
- Flight volume
- Number of int'l destinations





# Identify State

Prioritization - Weighted	State	Region	Audit Dates	Latest EI*	Score	Scheduled Departures per year	Score	International Destinations	Score	Total Score
1	XXXX	APAC	Never been audited	N/A	189	21,056	96	17	82	159
2	XXXX	APAC	Never been audited	N/A	189	17,589	89	17	82	157.95
3	XXXX	MID	15 to 22 November 2009	24.49%	170	19,050	93	44	159	156.8
4	XXXX	EUR/NAT	15 to 22 November 2009	30.02%	167	52,013	129	30	128	155.45
5	XXXX	APAC	15 to 22 August 2012	46.75%	145	283,303	170	61	174	153.1
6	XXXX	WACAF	First cycle	1.40%	184	10,308	65	19	96	152.95
7	XXXX	EUR/NAT	3 to 12 November 2009	41.75%	153	63,037	135	43	156	150.75
8	XXXX	MID	24 to 31 January 2011	38.08%	159	38,137	123	35	138	150.45
9	XXXX	MID	4 to 11 May 2009	39.79%	157	27,204	108	44	159	149.95
10	XXXX	NACC	Never been audited	N/A	189	9,142	59	11	58	149.85
11	XXXX	ESAF	Never been audited	N/A	189	7,636	52	9	48	147.3
12	XXXX	WACAF	14 to 22 April 2010	10.71%	178	6,279	45	20	100	146.35
13	XXXX	NACC	24 to 28 August 2009	17.30%	173	9,850	60	21	104	145.7
14	XXXX	ESAF	Never been audited	N/A	189	4,409	36	6	29	142.05
15	XXXX	ESAF	First cycle	1.54%	183	3,293	28	11	58	141
16	XXXX	WACAF	1 to 8 July 2010	23.75%	172	4,647	37	20	100	140.95
17	XXXX	WACAF	First cycle	1.54%	183	1,569	16	12	63	139.95
18	XXXX	NACC	1 to 8 March 2012	48.42%	144	62,703	134	26	119	138.75
19	XXXX	MID	14 to 21 June 2011	51.89%	141	47,437	127	35	138	138.45
20	XXXX	WACAF	First cycle	15.28%	175	7,997	53	10	53	138.4

\* EI – Effective implementation



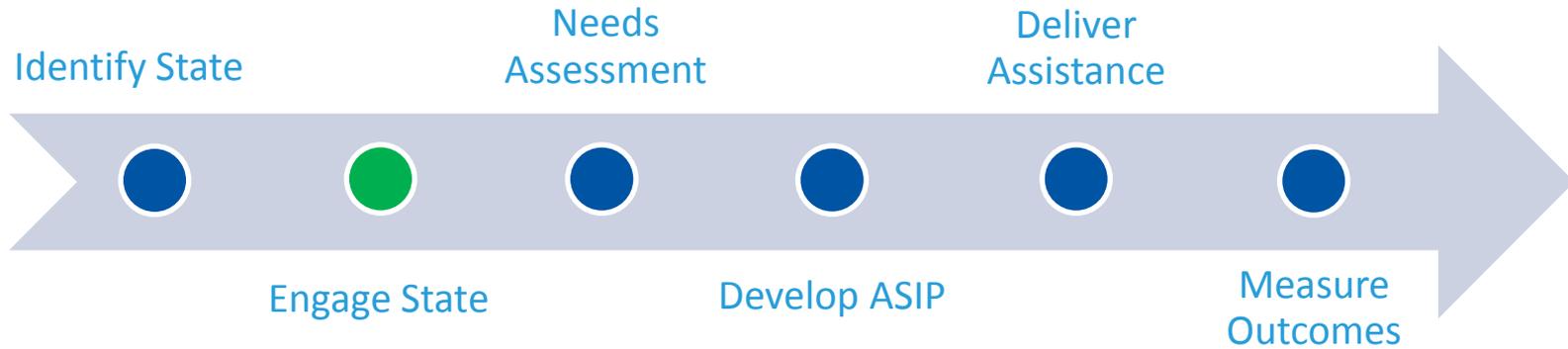
# Identify State – Other Factors

- Significant security concerns
- State request
- Act of unlawful interference
- Specific threat information
- Earmarked resources





# ASIP Process Map





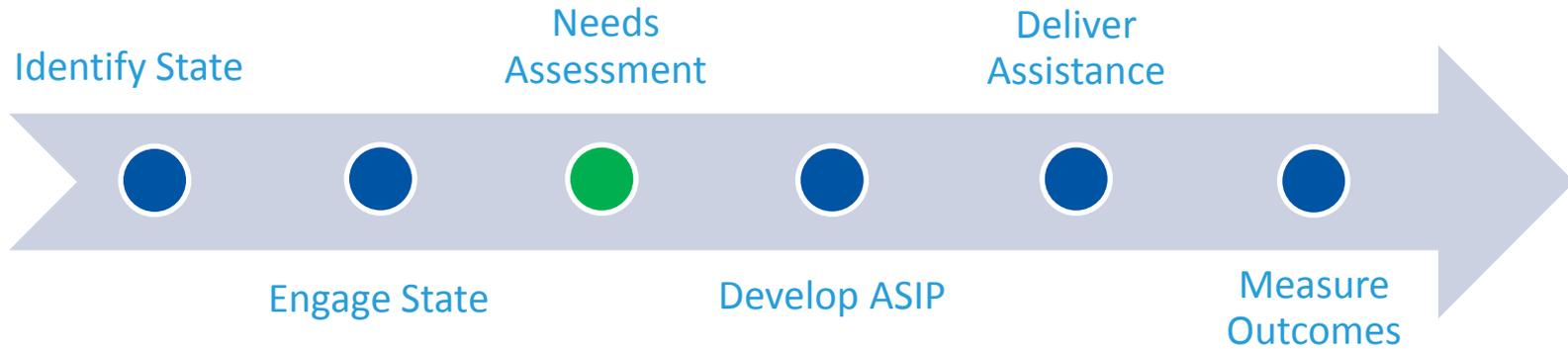
# Engage State

- Proactive outreach by ICAO
- Response to State inquiry
- Through partners
- Through Regional Organizations
- Through Industry





# ASIP Process Map





# Needs Assessment

- What is the State's AVSEC motivation?
- What gaps and challenges need to be overcome to fulfill their objective?
- Why do these challenges exist?
- How can the challenges be addressed?
- Is assistance needed? If so, how can ICAO help?





# ASIP Process Map





# ASIP Structure

- Objectives
- Strategy
- Measures (actions, dates, outcomes and phases)
- Funding and other resource arrangements
- State commitments and conditions
- ICAO commitments and conditions





# ASIP Structure (cont'd)

- Partner engagement
- Regional mechanisms
- Project oversight and management
- Project monitoring and reporting
- Outcome evaluation
- Plan decommissioning





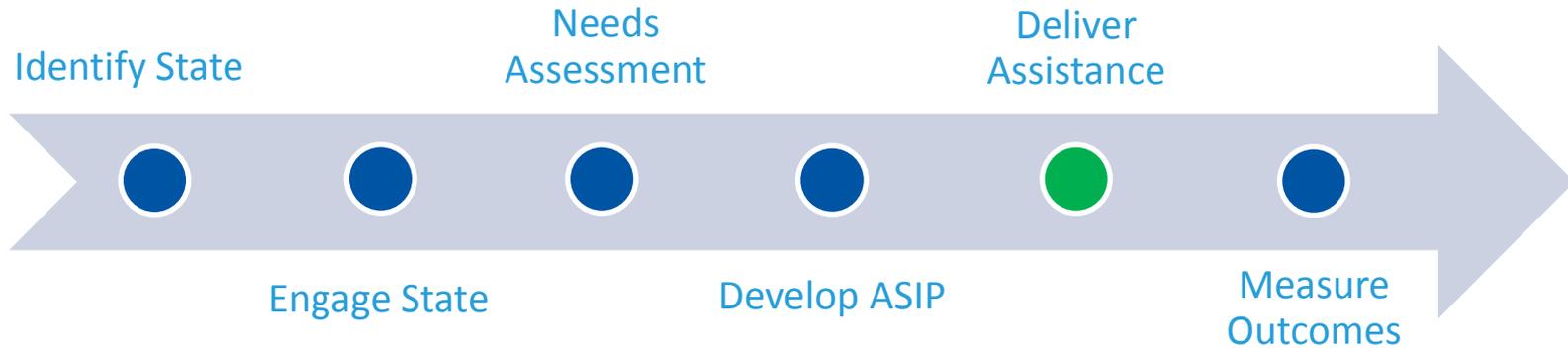
# Assistance tools

- Short Term (ISD-SEC) or Long Term (TCB)
- Develop/review national programmes
- Provide in-Country AVSEC Training, including OJTs and workshops
- Assistance with AVSEC Crisis Management Exercises
- Machine Readable Travel Documents (MRTD)
- Etc.





# ASIP Process Map



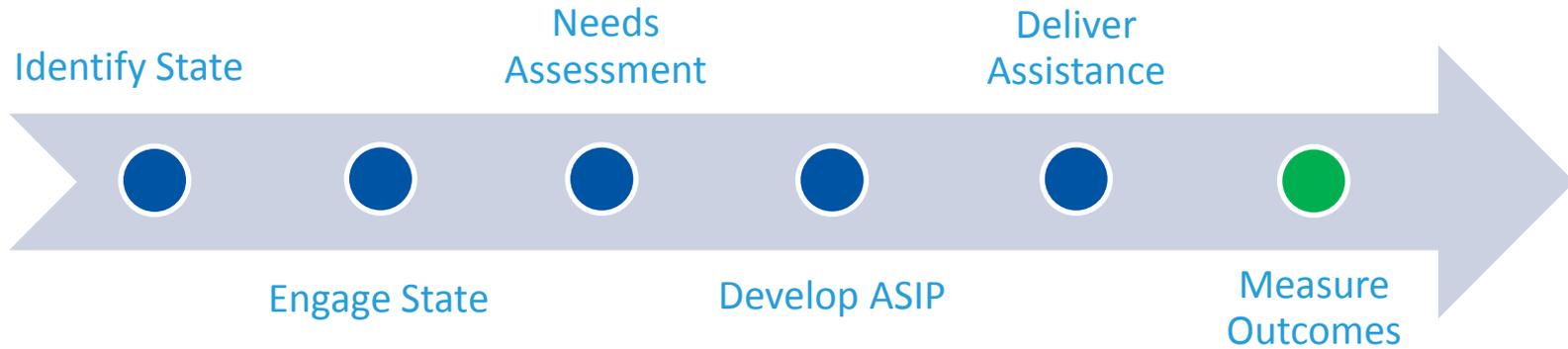


# Deliver Assistance

- Coordinated and managed by the Regional Office and Headquarters with State designated points of contact (POCs)
- Each assistance activity administered separately
- Use of ICAO, Member State and partner subject-matter experts as well as Technical Co-operation Bureau consultants
- Focus on transfer of knowledge and skills to build sustained capacity



# ASIP Process Map





# Measuring Outcomes

- Establish baseline measurements at the start of an ASIP
  - available USAP audit results
  - ICAO needs assessments
  - Assessments/audits completed by partners and shared with ICAO by the recipient State





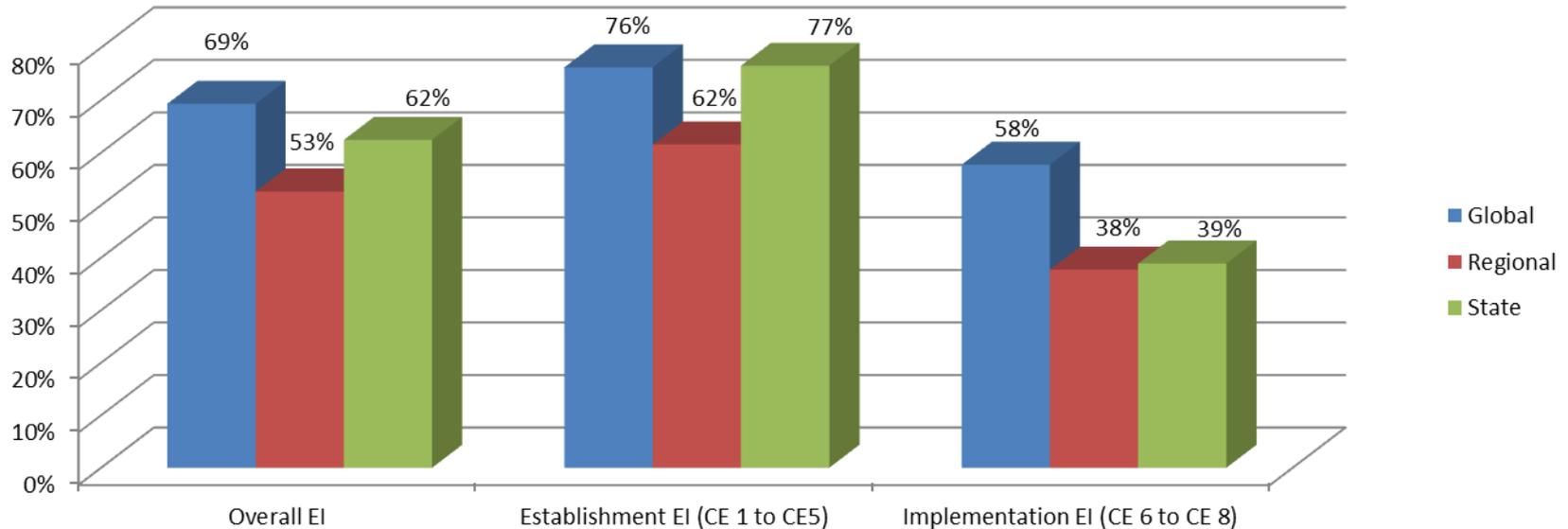
# Measuring Outcomes (cont'd)

- Measure progress at the end of each activity
  - Evidence of output (updated documents, draft/final programmes, hiring, training, etc.)
  - Instructor/consultant reports
  - Self-assessment by State
- Measure progress at the end of the ASIP and beyond
  - Post ASIP survey
  - USAP results



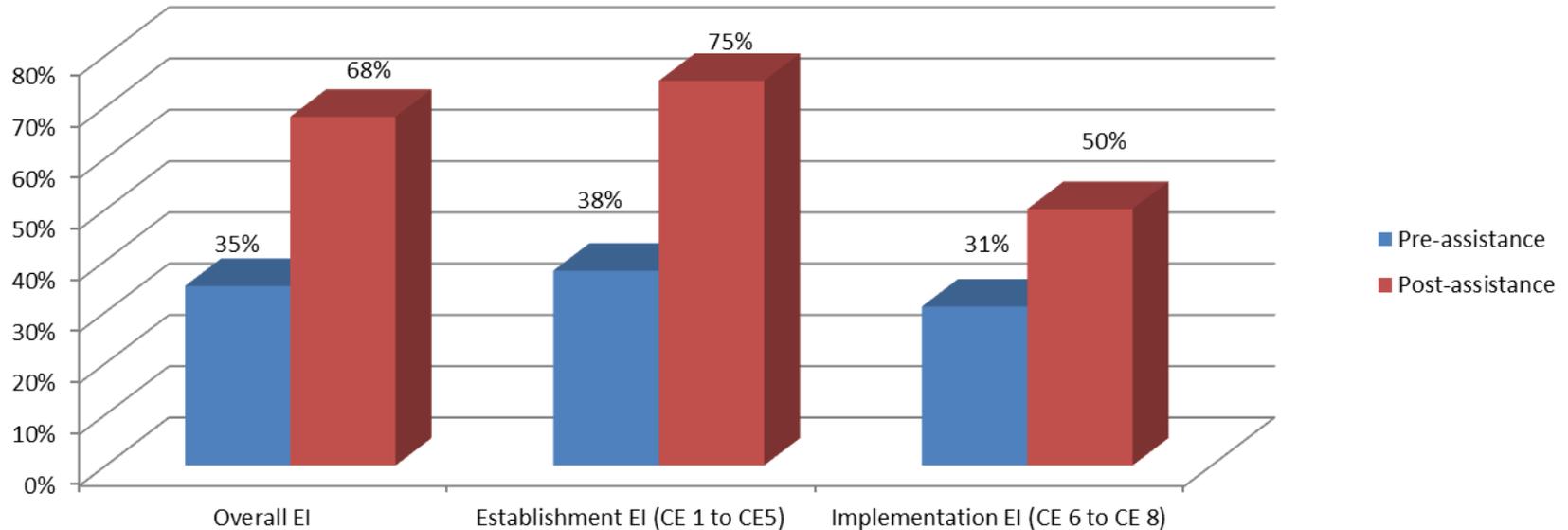


# Measuring Outcomes (no pre-assistance audit data)





# Measuring Outcomes (with pre-assistance audit data)





# ASIP Recipients

(as of May 2016)

29 States have been engaged in the ASIP process, 20 are currently engaged:

- 13 States in Africa;
- 4 States in the Americas; and
- 3 States in the Asia and Pacific (APAC) Region.





# ASIP Process Summary

- Identify and prioritize States in need of assistance
- Evaluate the needs in a holistic manner with the State
- Set goals and achievable milestones with the State
- Commit resources when and where appropriate
- Integrate partnerships
- Focus on sustainable results
- Help States help themselves





# ASIP Challenges

- Obtaining current information on the needs of each State
- Distinguishing the ASIP process as different from the audit process
- Government changes/POC changes at the State level during the ASIP process
- Coordination of partner commitments and resources
- Managing project timelines
- Sustained funding





# ASIP Benefits

- Establishes a collaborative relationship with the State
- Incentivizes the fulfilling of commitments
- Fosters will at the State level to strengthen national AVSEC system
- Provides structure and alignment to new and existing assistance activities
- Developed, implemented and managed collectively
- Success belongs to the State



# The meeting is invited to:

- a) Encourage member States to further support the ICAO aviation security assistance programme; and
- b) Encourage States encountering difficulties in the implementation of the SARPs of Annex 17 — Security and the security-related provisions of Annex 9 — Facilitation consider seeking assistance.



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Central African  
(WACAF) Office  
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