



WORKING PAPER

ASSEMBLY — 39TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 16: Aviation Security — Policy

ICAO COMPREHENSIVE AVIATION SECURITY STRATEGY (ICASS)

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

This paper reports on implementation of the ICAO Comprehensive Aviation Security Strategy (ICASS) during the 2014-2016 triennium and recommends that implementation of the ICASS be extended into the 2017-2019 triennium, pending approval of a Global Aviation Security Plan (GASeP).

Action: The Assembly is invited to:

- a) approve continued implementation of the ICASS as the primary ICAO strategy for the aviation security Programme during the 2017-2019 triennium, pending approval of the GASeP, at which time the GASeP would replace the ICASS; and
- b) urge States to continue to provide voluntary contributions to support the ICAO aviation security work programme.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective C — <i>Security and Facilitation</i> .
<i>Financial implications:</i>	Implementation of ICASS will be undertaken subject to the resources available in the 2017-2019 Regular Programme Budget and/or through voluntary contributions.
<i>References:</i>	A39-WP/20, <i>Implementation of the Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA)</i> A39-WP/28, <i>Report on the ICAO Technical Assistance Programme in the Safety, Security and Facilitation, and Environment Fields</i> A39-WP/21, <i>Report on Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa</i> A39-WP/15, <i>Establishment of a Global Aviation Security Plan (GASeP)</i> A38-WP/13, A37-WP/18 and A37-WP/75 <i>Assembly Resolutions in Force</i> (as of 4 October 2013) (Doc 10022)

1. BACKGROUND

1.1 An important milestone in the establishment and implementation of the global aviation security framework occurred in 2010 when the 37th Session of the ICAO Assembly adopted the *Declaration on Aviation Security* and the ICAO Comprehensive Aviation Security Strategy (ICASS), both of which have become key instruments of leadership and engagement for the Organization in carrying out its aviation security programme. Recognizing the need to strengthen aviation security worldwide in light of the continuing threat of unlawful interference, the Declaration reflected an important consensus by ICAO Member States. It outlined nine priority areas for action by States, primarily to improve and strengthen information collection and sharing, promote the use of modern detection technologies, and enhance States' capacities in resolving deficiencies. The Declaration also reaffirmed the need to enhance ICAO's security-related Standards and Recommended Practices (SARPs) and adoption of measures in order to effectively address new and emerging threats. Overall, it succeeded in strengthening political commitment, focusing attention and consolidating efforts to prevent unlawful interference against civil aviation.

1.2 While the Declaration sets out States' commitments to enhance aviation security under key themes, the ICASS focuses on guiding and strengthening ICAO's efforts and capacity to effectively carry out its aviation security programme. The Strategy has played a major role in bringing attention and action to areas in aviation security where progress and improvement are most needed. The financial and in-kind contributions made by States to enhance aviation security in line with the Declaration, and under ICASS, has contributed significantly to its success. The ICASS has been a key instrument in ICAO's efforts to enhance aviation security worldwide, facilitate and focus international/regional cooperation, promote government-industry collaboration, enhance coordination of partners, and mobilize donor contributions.

1.3 This paper highlights outcomes and achievements from ICASS implementation during the 2014-2016 triennium and illustrates how it fully supports ICAO's No Country Left Behind and Resource Mobilization initiatives. As aviation security faces both familiar and formidable new challenges, it proposes that the future ICAO aviation security programme agenda take into account important lessons learned from the implementation of the ICASS, while employing a more holistic and outcomes-focused approach to the enhancement of global civil aviation security in the 2017-2019 triennium and beyond.

2. IMPLEMENTATION HIGHLIGHTS

2.1 Summarized below are highlights of the ICASS implementation during the 2014-2016 triennium.

- a) **Strategic Focus Area 1 – Addressing new and existing threats.** The Organization continued to ensure that any recommendation for new measures be threat- and risk-based. Furthermore, ICAO made continued efforts to enhance risk awareness, promote risk policy, and implement a risk-driven security culture with a view to ensuring risk-based Standard-setting and rule-making on the basis of guidance material such as the *Aviation Security Global Risk Context Statement*. In close consultation with the Aviation Security (AVSEC) Panel Working Group on Threat and Risk (WGTR), ICAO monitored potential security threats (e.g. cybersecurity, landside security and remotely-piloted aircraft systems, person-delivered improvised explosive devices), and ensured prompt communication and dissemination of aviation security risks through guidance to all States and stakeholders, which facilitated coherent, effective and timely action. Other guidance material has been issued in order to increase States' capacity to prioritize aviation security resources based on risk, which include: *Civil Aircraft Operations Over Conflict Zones*, *MANPADS Information and Airport Vulnerability Assessment Guide*, and the Cybersecurity Repository

on the ICAO secure portal (<https://portal.icao.int>). Addressing new and existing threats was also emphasized through ICAO continuous monitoring and implementation assistance activities.

- b) **Strategic Focus Area 2 – Promoting innovative, effective and efficient approaches in aviation security.** ICAO focused on innovation, collaborative actions and coordinated efforts such as through the organization of an ICAO Symposium on Innovation in Aviation Security (2014), the Joint Airports Council International (ACI)/International Air Transport Association (IATA)/International Civil Aviation Organization (ICAO) AVSEC World Conference (2015), supporting the ACI Airport Excellence (APEX) programme, the establishment of an AVSEC Panel Working Group on Innovation in Aviation Security (WGIAS) and enhancements to the AVSECPaedia within the ICAO secure portal (<https://portal.icao.int>); all designed to stimulate innovative, effective, and efficient security approaches to aviation security.
- c) **Strategic Focus Area 3 – Promoting the sharing of aviation security information amongst Member States.** Efforts have been made to continuously strengthen ICAO capacity to securely gather, collate and disseminate information on security incidents, threat and risk concerns, and trends through improved functionalities of the relevant ICAO platforms, particularly the Point of Contact (PoC) Network, which currently includes PoCs from nearly all ICAO Member States, the Acts of Unlawful Interference Database, and information on Universal Security Audit Programme (USAP) audit results and Significant Security Concerns (SSeCs).
- d) **Strategic Focus Area 4 – Promoting global compliance and establishing sustainable aviation security oversight capability of States.** Throughout the triennium, ICAO ensured greater coherence and coordination in rectifying deficiencies identified by the USAP including the Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL), which was launched as an ICAO Programme to enhance the coordination of assistance activities in Africa (A39-WP/20, *Implementation of the Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA)*, A39-WP/28, *Report on the ICAO Technical Assistance Programme in the Safety, Security and Facilitation, and Environment Fields* and A39-WP/21, *Report on Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa* refer). Moreover, ICAO collaborated with Member States, international and regional organizations and industry supporters that were in a position to contribute resources and make available subject-matter experts to expand the scope and effectiveness of assistance activities offered. Such assistance activities include: collaborating on the development and implementation of Aviation Security Improvement Plans (ASIPs); delivery of ICAO courses and workshops under the framework of ASIPs and the ICAO Aviation Security Training Centre (ASTC) network; jointly developing and disseminating information and workshops (for example, ICAO/World Customs Organization cargo-related initiatives); and incorporating assistance activities developed by other providers into ICAO's assistance framework.
- e) **Strategic Focus Area 5 – Improving human factors and security culture.** Increased emphasis was placed on addressing the continuing need for global and regional aviation security training, by collaborating with the institutions within the ICAO ASTC Network, which now comprises 30 members. An average of 41 training events were offered throughout the ASTC network per year, benefitting 549 aviation security personnel from 109 States. In addition, ICAO continued efforts to enhance knowledge and awareness of

national officials, professionals and experts in aviation security by developing three guidance material documents, namely: Security Management Systems (SeMS); Staff Screening; and Security Culture.

- f) **Strategic Focus Area 6 – Promoting the development of mutual recognition for aviation security processes.** Continued efforts in promoting mutual recognition of aviation security processes were made through extensive collaboration with stakeholders and industry, including dissemination of the newly developed guidance material *Recognition of Equivalence of Security Measures* as well as information exchange and debate through the AVSEC Panel. Formalized aviation security mutual recognition agreements are gaining increased momentum in the management of bilateral aviation security affairs.
- g) **Strategic Focus Area 7 – Emphasizing the importance of security amongst States, stakeholders and within ICAO.** Increased outreach activities at the national, regional and international levels led to improved awareness of the global aviation security threat environment. For example, to strengthen air cargo security, ICAO carried out a range of joint initiatives with the World Customs Organization (WCO), designed to heighten awareness among aviation security authorities, customs administrations and stakeholders of the need to strengthen aviation and border security while facilitating the flow of cargo. Intensified ICAO/WCO collaboration included, for example, Joint ICAO/WCO Conferences, alignment of regulatory frameworks, joint training courses and the publication of a document entitled *Moving Air Cargo Globally*.

3. LESSONS LEARNED

3.1 From the implementation of ICASS during the 2011-2013 and 2014-2016 triennia, several lessons have emerged. Among those most relevant are:

- a) aviation will face serious continuing and new security risks from terrorist groups, radicalized individuals and persons acting for other reasons (as documented in consecutive editions of the *Aviation Security Global Risk Context Statement*) against the backdrop of the evolving global security situation, passenger and cargo traffic growth, infrastructure expansion, commercial and fiscal pressures and other developments in air transportation. Taking into account that international passenger traffic is expected to reach 6 billion by 2030 from about 3.3 billion today, while air cargo transported is expected to increase to 125 million tonnes from 50 million (based on ICAO and IATA air traffic forecasts), growth of the aviation industry will have significant ramifications for the aviation sector's security risk profile;
- b) ICAO SARPs— and guidance material, coupled with USAP-CMA activities and ICAO Secretariat implementation support to States, function together as an effective system for the enhancement of civil aviation security. State progress in enhancing aviation security is now being assessed by measuring the level of Effective Implementation (EI) of ICAO Standards through USAP Continuous Monitoring Activities and through implementation of a State's ASIP – noting that in 2015 assistance and capacity-building activities reached 118 States, of which 17 were engaged in implementing ASIPs. While improvement in EI is a new enhancement measurement tool, clear indications of improved implementation following ICAO assistance activities are being documented;

- c) as terrorists continue to innovate, aviation security faces an increasingly complex risk environment. While the ten acts of unlawful interference recorded by ICAO in 2015 is less than the 21 acts in the previous year, high-priority risk areas for aviation in the coming years include landside security, the threat of a cyber-attack on the aviation sector, the increasing use of Remotely Piloted Aircraft Systems (RPAS) as well as the use of person-delivered improvised explosive devices;
- d) continued improvement in the effective implementation of Annex 17 — *Security* provisions is paramount to assuring the security and regularity of international air transport. Concerted efforts by States are required towards achieving and sustaining 100 per cent effective implementation from the global average of 71.59 per cent today;
- e) in order to ensure the sustainability of aviation security measures, a broad set of risk management strategies and tools must be employed to align security measures with security risk. Given the growing interest in States to develop and implement effective risk-based measures and approaches, ICAO has been actively delivering Risk Management Workshops in the Regions. Eleven workshops were conducted in 2014, and 21 in 2015;
- f) regional/international cooperation and initiatives, as well as public-private partnerships, facilitate capacity-building efforts and the pooling of limited technical and financial resources for aviation security enhancement. ICAO welcomes the many contributions and successes of States, international and regional organizations, and industry to successfully address challenges through collaboration;
- g) as illustrated by such issues as civil aviation over or near conflict zones, cybersecurity and RPAS, aviation security requires a cross-functional approach that assures all appropriate coordination with facilitation, aviation safety, air navigation and other relevant matters; and
- h) the establishment of clear aviation security goals and targets supported by concrete and measurable indicators should form the basis of a new ICAO global strategic framework for progressive aviation security enhancement, which engages ICAO, States, international and regional organizations, industry and other stakeholders, as appropriate.

4. ICASS BEYOND 2016

4.1 The valuable lessons learned confirm the continued relevance of ICASS as a robust framework for guiding ICAO action on aviation security matters. Meanwhile, the Organization is considering the development of a framework that reflects shared ambitions and responsibilities at the global level relevant in guiding all States and industry to enhance aviation security, and the need for an up-to-date, forward-looking and ambitious new global plan for aviation security. A proposal for the creation of the ICAO Global Aviation Security Plan (GASeP) is presented in A39-WP/15, *Establishment of a Global Aviation Security Plan (GASeP)*. The ICASS should be extended in its current form until the GASeP is approved for implementation, at which time the GASeP would replace the ICASS.

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EX/2

4.2 Key objectives of the ‘transitional’ ICASS are presented in the Appendix to this paper. It is important to note that the lessons learned highlighted in paragraph 3 above serve as a basis for preparing the groundwork for the GAsEP, including setting defined and attainable goals and targets to be achieved by States, based on the following considerations:

- a) that the goals are universal and address key aviation security issues and challenges in both developed and developing States; and
- b) the need to establish indicators that are simple, easily applicable, achievable and cost-effective, so that they can be used by all Member States, as appropriate, taking into account their particular conditions and priorities.

4.3 The ICAO strategic framework for international civil aviation security would transition seamlessly from the ICASS to the GAsEP when the latter is approved, with the Strategic Focus Areas of the ICASS being given renewed emphasis in a more holistic and outcomes-based framework.

APPENDIX

ICAO COMPREHENSIVE AVIATION SECURITY STRATEGY

KEY OBJECTIVES FROM 2017 – DEVELOPMENT OF THE GASeP

Strategic Focus Area 1: Addressing new and existing threats

Key objectives for 2017-2019: Continue efforts to ensure States take substantial steps to incorporate effective threat and risk assessment methodologies and mechanisms into their national aviation security programmes.

Strategic Focus Area 2: Promoting innovation in aviation security

Key objectives for 2017-2019: Promote the increased sharing among States of best practices and emerging trends in aviation security systems and technologies utilizing ICAO platforms.

Strategic Focus Area 3: Sharing of information

Key objectives for 2017-2019: Improve mechanisms for the reporting by States of acts of unlawful interference in accordance with Annex 17 and the dissemination of relevant information.

Strategic Focus Area 4: Promoting global compliance

Key objectives 2017-2019: Enhance implementation and address deficiencies in States identified through audit and monitoring activities, capacity-building and resource mobilization to support effective implementation of regional plans and initiatives focused on assisting developing States to achieve improved levels of security.

Strategic Focus Area 5: Improving human factors and security culture

Key objectives 2017-2019: Enhance aviation security training efforts by collaborating with the institutions within the ICAO Aviation Security Training Centre Network.

Strategic Focus Area 6: Mutual recognition of aviation security processes

Key objectives 2017-2019: Reduce unnecessary duplication of measures towards the optimal use of aviation security resources, in order to achieve the desired and appropriate balance between the effectiveness of security measures and the efficiency of air transport, including optimized facilitation.

Strategic Focus Area 7: Emphasizing the importance of aviation security worldwide

Key objectives 2017-2019: Improve awareness of the global aviation security threat environment, and promotion of dialogue on new and emerging aviation security challenges.

— END —