



ASSEMBLY — 40TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 12: Aviation Security — Policy

IMPLEMENTATION OF THE GLOBAL AVIATION SECURITY PLAN (GASeP)

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

This paper provides an overview of the extensive activity undertaken to develop and implement the Global Aviation Security Plan (GASeP). It includes a global and regional overview of the current level of aviation security, as documented through the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA). It also recommends establishing a three-year revision schedule, in alignment with the Global Aviation Safety Plan (GASP) and the triennial budget cycle, and addressing in the next edition of the GASeP certain Annex 9 – *Facilitation* components that also support both aviation security and border security objectives.

Action: The Assembly is invited to:

- a) acknowledge the extensive efforts undertaken to date and are currently underway to accomplish GASeP priority actions and tasks;
- b) urge States to take action to improve the effective implementation of Annex 17 – *Security* in order to achieve the targets identified in the GASeP;
- c) request Council to implement a triennial revision schedule for the GASeP; and
- d) request Council to incorporate in the next edition of the GASeP actions and tasks that relate to certain Annex 9 – *Facilitation* components that also support both aviation security and border security objectives, including Advance Passenger Information and Passenger Name Record.

<i>Strategic Objectives:</i>	This working paper relates to the <i>Security and Facilitation</i> Strategic Objective.
<i>Financial implications:</i>	The activities referred to in this paper will be undertaken subject to the resources available in the 2020 - 2022 Regular Programme Budget and/or from extra-budgetary contributions.
<i>References:</i>	Global Aviation Security Plan (GASeP) A40-WP/27 <i>Consolidated statement of continuing ICAO policies related to aviation security</i> A40-WP/26 <i>Outcome of the Second High-level Conference on Aviation Security (HLCAS/2)</i> A40-WP/28 <i>ICAO Cybersecurity Strategy</i>

1. INTRODUCTION

1.1 The 39th Assembly directed the ICAO Council to develop the Global Aviation Security Plan (GASeP), based on clear and collective aviation security global goals and targets supported by concrete and measurable indicators. Over the past year, a Task Force comprising security experts from Member States, industry, and international organizations developed a comprehensive plan that provided guidance for priority-setting at the global, regional and State levels. The GASeP established a framework that has enabled States to work with each other and with stakeholders to meet shared objectives, support global solutions to common challenges, and guide efforts to further enhance aviation security.

1.2 The GASeP was approved at the seventh meeting of the 212th ICAO Council on 10 November 2017. The final version includes aspirational targets for effective implementation of the Annex 17 – *Security Standards and Recommended Practices (SARPs)*, as reported through the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA). To achieve these targets, the GASeP outlines five key priority outcomes with 32 accompanying actions supported by 94 tasks.

1.3 The Second High-level Conference on Aviation Security (HLCAS/2) convened from 29 to 30 November 2018 expressed strong support for the GASeP and gratefully acknowledged that the regional aviation security conferences hosted by Egypt, Panama, Portugal and Thailand helped Member States obtain a deeper understanding of the GASeP.

2. GASeP ACTIONS AND TASKS

2.1 Regional conferences play an important role in fostering knowledge-sharing, reciprocal learning, and peer review across all ICAO regions. Between 2017 and 2018, four GASeP-specific regional conferences were held to focus on shared accountability and regional priorities, identify unique challenges and threats, and develop region-specific roadmaps. Each event was attended by numerous high-level officials and representatives from a large number of States and stakeholders. Actions are underway to refine timelines and complete the specific tasks and initiatives identified in each of these roadmaps.

2.2 Numerous capability-enhancing initiatives have been developed and deployed in support of GASeP actions. Wide distribution of the ICAO *Aviation Security Global Risk Context Statement* information, and presentations of the Risk Management Workshop in every region have greatly improved understanding of the risk methodology and of threats and viable countermeasures, and the adoption of innovative approaches to mitigate risk. Workshops and supporting material on Security Culture and Insider Threat have been developed and translated into the six official ICAO languages. ICAO Regional Offices (ROs) receive monthly updates on USAP-CMA results in order to identify specific focus areas within their regions and target assistance as appropriate.

2.3 In tandem with the GASeP submission to Council for approval, ICAO held the first Global Aviation Security Symposium (AVSEC2017). The 2017 event was the first in a series of annual symposia focused specifically on important facets of the GASeP. Formal panel discussions were accompanied by workshops, interactive displays, and table-top exercises. AVSEC2018 was preceded by the inaugural Industry Engagement Day, which focused on current and future innovations in technology and processes, and was followed by the second High-level Conference on Aviation Security (HLCAS/2). AVSEC2019 was held just prior to the International World Aviation Forum and the 40th Assembly. This level of global engagement is unprecedented in the aviation security discipline and has ensured that the GASeP is a cornerstone of State AVSEC priorities.

3. EFFECTIVE IMPLEMENTATION

3.1 The Appendix reflects the current levels of Effective Implementation (EI), compared with the aspirational targets, as at 31 May 2019, as well as global and regional trends in average EI levels since 2008. Out of the 181 States audited, 120 States (equivalent to 66 per cent) are above the 65 per cent EI target with the EUR/NAT Region having the highest percentage at 89 per cent EI. To achieve the 2020 global target of 80 per cent of States scoring above the minimum 65 per cent EI, another 29 – or at least half the States to be audited in 2019 and 2020 – would have to demonstrate an enhanced level of aviation security. Each Regional Office has been provided these data, along with the USAP-CMA schedule for 2019, and is working with its Member States to identify assistance opportunities. However, it is the individual Member State that must demonstrate the political will necessary for taking action to ensure a robust security posture.

4. COORDINATION WITH ICAO REGIONAL OFFICES

4.1 Extensive activity undertaken to facilitate and promote the implementation of the GASep by all stakeholders have involved the following ICAO Headquarters initiatives with key support from the ROs:

- a) a detailed brochure was widely disseminated during Aviation Security Week 2018 to promote greater awareness of and access to the risk assessment methodology in the *ICAO Aviation Security Global Risk Context Statement* (Doc 10108). Copies of the brochures in all six ICAO languages were provided to ROs and these have been further distributed to their respective Member States as appropriate;
- b) finalization and validation of the *ICAO Risk Management Workshop*, and workshops were delivered in the regions in 2019. ROs commenced presenting the workshops in 2019, in coordination with the Implementation, Support and Development – Security Section;
- c) development of a *Toolkit on Enhancing Security Culture* by the Working Group on Training, which was soft-launched on Industry Engagement Day during Aviation Security Week and received high praise. The ROs widely distributed these materials in 2019;
- d) briefing sessions took place with ROs on the margins of Aviation Security Week 2018 so that increased efforts and initiatives to ensure alignment of Regional Roadmaps across regions were coordinated, having taken into account pre-existing security and facilitation initiatives and location-specific strengths and challenges;
- e) provision of data compilations, graphs and analyses to the ROs, including detailed reviews of each region's Universal Security Audit Programme (USAP) audit results, and in order to track States' progress in meeting the GASep 2020 level of effective implementation global targets; and
- f) monitoring activities by ROs were initiated through an internal document formerly referred to as the GASep Toolkit. The document highlights the critical actions to be accomplished by each RO, with a month-by-month breakdown, to assist Member

States and industry in focusing on the significant efforts necessary to accomplish the GAsEP priority actions.

5. UPDATING THE GAsEP

5.1 Approval of the GAsEP included acknowledgement by Council that the Plan would be a living document and would be revised as necessary and appropriate. In the time since its dissemination, the need for some adjustments has been noted. While the five Priority Outcomes remain germane to establishing and sustaining a strong security posture, some Priority Actions have been completed, others are no longer necessary, and still others require timeline adjustments in the GAsEP Roadmap. The proposed revision shall not inhibit momentum in implementing the existing GAsEP Priority Outcomes and Actions.

5.2 Experiences reported by States in implementing the Global Aviation Safety Plan (GASP) and the Global Air Navigation Plan (GANP) have revealed the importance of maintaining current overarching strategic documents. Each of these Plans' revision schedules aligns with the triennial budget cycle. Assigning a similar revision schedule to the GAsEP would ensure State Civil Aviation Authorities and other competent authorities receive updates to all three plans in the same year and that the Plan remains up to date and relevant. Although the next edition's development and release would need to be accelerated to align with the 2020-2022 schedule, the envisaged revisions to the document would not be overly burdensome.

5.3 In addition to revising timelines and deleting obsolete or completed tasks, the next edition of the GAsEP will provide an opportunity to include more guidance and Specific Measures and Tasks for an existing Priority Action (PA). PA 3.7 in the approved GAsEP specifies, "Consider and evaluate the use of passenger information to inform and assist aviation security." This aligns with the growing emphasis on Advance Passenger Information (API) and Passenger Name Record (PNR), reflected in Annex 9 – *Facilitation* and highlighted in United Nations Security Council resolutions such as 2178 (2014), 2309 (2016), and 2396 (2017).

5.4 The use of API and PNR to identify active terrorists, returning foreign terrorist fighters, and other persons of law-enforcement or counter-terrorism interest has proven to be highly useful in those States that have successfully implemented the system. Incorporating Specific Measures and Tasks into the 2020-2022 edition of the GAsEP would enhance the collaboration between border and aviation security experts while ensuring the facilitation aspects of API and PNR are upheld.

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 31 May 2019)

ICAO Region	APAC	ESAF	EUR/NAT	MID	NACC	SAM	WACAF	Total
# States	39	24	56	15	22	13	24	193
# States audited	35	22	54	13	21	13	23	181
# above 65% EI	18	13	51	10	11	9	8	120
% above 65% EI	51%	59%	94%	77%	52%	69%	35%	66%

TRENDS IN LEVEL OF EFFECTIVE IMPLEMENTATION (Global and regional average by year between 2008-2018)

	2008	2009	2010	2011	2012	2013	2015	2016	2017	2018
Global	54.61	57.97	63.75	67.62	68.88	68.91	71.27	72.02	72.62	72.71
APAC	41.04	52.24	59.06	64.71	67.48	66.74	69.43	70.47	69.95	68.33
ESAF	32.90	43.77	44.07	50.82	55.19	53.66	57.41	58.93	58.84	63.98
EUR/NAT	71.02	72.54	79.55	83.83	85.37	86.02	87.37	87.83	88.79	88.55
MID	56.41	49.35	64.76	63.44	68.34	68.34	68.91	68.92	69.64	71.30
NACC	58.86	50.38	57.68	62.11	60.83	60.83	65.96	66.37	67.18	69.60
SAM	42.16	56.24	64.26	67.28	66.17	66.17	67.13	69.45	71.05	70.52
WACAF	60.52	59.03	52.82	49.45	49.25	52.61	55.25	55.30	58.10	55.39

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