



WORKING PAPER

ASSEMBLY — 41ST SESSION

EXECUTIVE COMMITTEE

Agenda Item 14: 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 activities undertaken to implement the Global Aviation Security Plan (GASeP). It includes a global and regional overview of the current level of effective implementation of the critical elements of an aviation security oversight system, as documented through the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA). Actions proposed take into account ICAO’s internal evaluation of the GASeP, which assessed its relevance, coherence, effectiveness, efficiency and sustainability.

Action: The Assembly is invited to:

- a) acknowledge the extensive efforts undertaken to date and currently underway to accomplish GASeP priority actions and tasks;
- b) urge States to take action to improve the effective implementation of Annex 17 – *Aviation Security* in order to achieve the aspirational targets identified in the GASeP; and
- c) agree that the next update to the GASeP should be based on the experience gathered in the 2017 - 2022 period.

<i>Strategic Objectives:</i>	This working paper relates to the <i>Security and Facilitation</i> Strategic Objective.
<i>Financial implications:</i>	The ICAO activities referred to in this paper are expected to be undertaken within the resources available in the 2023-2025 Regular Budget and/or from extra-budgetary contributions as guided by the ICAO Business Plan 2023-2025.
<i>References:</i>	Global Aviation Security Plan (GASeP) A41-WP/5 <i>Consolidated statement of continuing ICAO policies related to aviation security</i>

1. INTRODUCTION

1.1 Following the request by the 39th Session of the Assembly, the Global Aviation Security Plan (GASeP) was approved in 2017 with the objective of assisting Member States, ICAO and other stakeholders in enhancing the effectiveness of a global aviation security through a set of priority outcomes, priority actions and aspirational targets. This was followed by the immediate implementation of the GASeP, which was launched through the convening of GASeP awareness-raising regional conferences in different ICAO regions.

1.2 As directed by the 40th Session of the Assembly, ICAO considered lessons learned from the implementation of the GASeP, including the observations of the evaluation carried out by ICAO's Office of Internal Oversight (OIO).

2. PROGRESS TO DATE

2.1 The GASeP identifies five key priority outcomes where ICAO, States and stakeholders should focus their urgent efforts. Within these priority outcomes, the following activities have been undertaken by the Secretariat to facilitate and promote its implementation by all stakeholders:

Priority Outcome 1: Enhancing risk awareness and response: Understanding risk is essential for the development of policies and measures that are effective, proportionate and sustainable. Risk assessments by States serve to identify gaps and vulnerabilities. ICAO ensures the regular dissemination of the *Aviation Security Global Risk Context Statement* (Doc 10108) to help guide the conduct of risk assessments by States. Doc 10108 has also been used as one of the primary reference documents when conducting the impact assessment process for Amendment 18 to Annex 17 – *Aviation Security*. To support implementation at the national level, during 2020 and 2021, ICAO has delivered 12 Risk Management Workshops to 144 participants from 29 Member States through the Implementation Support and Development – Security (ISD-SEC) Programme.

Priority Outcome 2: Develop security culture and human capability: ICAO undertook a series of activities, including:

- a) the official launch of the Year of Security Culture (YOSC) during the 2020 Global Aviation Security Symposium and the implementation of a communication campaign to promote a robust security culture in aviation throughout 2021;
- b) the development of the ICAO security culture website¹, which is maintained as a permanent resource and updated accordingly with tools and materials for use by States;
- c) the delivery of training and assistance activities; and
- d) the convening of related meetings, seminars, and conferences.

The ICAO Security Culture Campaign “Starter Pack” and the ICAO Toolkit on Enhancing Security Culture constitute important resources related to the Security Culture Workshop, and have been made available for free on the ICAO Security Culture website in all ICAO working languages.

Priority Outcome 3: Improve technological resources and foster innovation: ICAO has continued to hold the Global Aviation Security (AVSEC) Symposium on an annual basis. AVSEC2020 (18 December 2020) was held under the theme *Improving Security Culture by Connecting the Dots*, focused on Security Culture to reinforce GASeP's priority outcome *Development of Security Culture and Human Capability*. From 8 to 10 September 2021, AVSEC2021, titled *AVSEC: Business Not As Usual*, highlighted the importance of innovation as a driving force to find new ways of implementing security measures after the pandemic, and to

¹ <https://www.icao.int/Security/Security-Culture/Pages/default.aspx>

contribute to civil aviation's recovery, in line with GAsEP's priority outcome *Improve Technological Resources and Foster Innovation*.

Priority Outcome 4: Improve oversight and quality assurance: The Universal Security Audit Programme - Continuous Monitoring Approach (USAP-CMA) methodology has been reviewed in coordination with the Secretariat Study Group (SSG) on the USAP-CMA, which made a number of recommendations that were addressed in the reporting period. The Secretariat continues to work in collaboration with the SSG to ensure the continuous improvement of the audit programme. This includes the development of new training initiatives for auditors, the conduct of seminars for National Coordinators and regularly updating the USAP-CMA Protocol Questions (PQs) to reflect new and modified Annex 17 – *Aviation Security* and Annex 9 - *Facilitation* security-related Standards. Additional information on these initiatives is provided in A41-WP/7-EX3. During 2020 and 2021 three regional USAP-CMA seminars, attended by 177 national coordinators and other participants from 63 States, were conducted to familiarize them with the USAP-CMA and help them to prepare for future audits. Two additional seminars are planned for 2022.

Priority Outcome 5: Increase cooperation and support: In an effort to maintain its core mission of providing aviation security assistance and capacity-building support to ICAO Member States, the Secretariat has adapted its operations by focussing on the virtual delivery of much of its aviation security training programme since the onset of the pandemic. During 2020 and 2021, 576 students from 92 Member States have participated in 47 training courses (held virtually or in-person). Other activities carried out include: comprehensive and targeted AVSEC assistance and training funded by the AVSEC/FAL voluntary fund; development of needs assessments; continuous implementation of the Aviation Security Improvement Plans (ASIPs) for States in-need; development of security culture products; and updating the ICAO Aviation Security Assistance and Capacity-Building Strategy with enhanced focus on the GAsEP.

3. EFFECTIVE IMPLEMENTATION

3.1 The Appendix reflects the current levels of Effective Implementation (EI) of the critical elements of an aviation security oversight system, compared with the aspirational targets, as at 28 February 2022, as well as global and regional trends in average EI levels since 2008.

3.2 The COVID-19 pandemic-related restrictions and public health measures prevented the Secretariat from completing the planned schedule of USAP-CMA activities, as on-site audits were suspended as of March 2020. Limited-scope documentation-based activities began for selected States in the fourth quarter of 2020, and the gradual resumption of on-site activities began in September 2021.

3.3 The GAsEP aspirational target for 2020 was for 80 percent of States to have over 65 per cent EI. Prior to the interruption of audits caused by the pandemic, the percentage of States meeting this target was at 63 per cent. Consequently, this initial GAsEP target was not met. The next GAsEP aspirational target is for 90 per cent of States to score over 80 per cent EI by the end of 2023. As at 28 February 2022, 73 States out of 193 States (equivalent to 38 per cent) have scored above the 80 per cent EI target, with the European and North Atlantic (EUR/NAT) Region having the highest percentage. To achieve the 2023 global target, an additional 101 States would have to achieve this level of aviation security. Each Regional Office holds audit data relating to their accredited States, along with the USAP-CMA schedule, and is working with States to identify assistance and capacity-building opportunities. However, individual Member States' political will and policy decisions, coupled with implementation support from ICAO, will determine the achievability of the 2023 and 2030 aspirational targets.

4. EVALUATION OF THE GAsEP

4.1 ICAO's OIO carried out an evaluation of the GAsEP between April and November 2021. The purpose of the evaluation of the GAsEP was to carry out a high-level analysis of the relevance, coherence, effectiveness, efficiency and sustainability of GAsEP in enhancing global aviation security and provide recommendations to improve the delivery of results and management of the GAsEP.

4.2 The evaluation confirmed that GAsEP has been a useful and relevant framework to advance aviation security and helped to raise the profile of aviation security at the political level.

4.3 While recognizing that it is strategically aligned with ICAO's Business Plan, the evaluation identified a need to incorporate the priority actions of the GAsEP roadmap in the Operating Plans for more effective implementation and monitoring. Likewise, a need for further clarifying the relation between GAsEP, Annex 17 and the ICAO *Aviation Security Manual* (Doc 8973) was also underlined.

4.4 The evaluation determined that establishing global aspirational goals and targets for GAsEP proved important to focus the attention of, and get commitment from, senior managers and political leaders. However, the aspirational goals were found to be unrealistic and the mechanisms available to assess progress against the Effective Implementation targets were inadequate.

4.5 Finally, there is evidence that progress is being made in implementing the priority actions of the GAsEP by ICAO, Member States and other stakeholders. The quality of the technical assistance provided by ICAO to Member States in the area of security is found to be good. However, the absence of coherent monitoring and reporting of the priority actions of the GAsEP makes it difficult to assess the level of achievements at the outcome level. Inadequate human resources and budgetary allocation for GAsEP has also limited the attention it required for monitoring, implementation and reporting by the Secretariat.

4.6 The report of this evaluation is publicly available on ICAO's public website².

5. UPDATING THE GAsEP

5.1 Approval of the GAsEP included the acknowledgement by Council that the Plan would be a living document and would be revised as necessary and appropriate (C-DEC 212/7, C-WP/14648 refers). In the time since its dissemination, the need for some adjustments has been noted. While the five Priority Outcomes remain relevant 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.

5.2 During its Thirty-first meeting, the Aviation Security Panel recognized that the GAsEP roadmap and its associated Priority Actions and the requirements of Annex 17 were not fully aligned, and considered possible ways to better align them, in order to continue to work towards meeting the aspirational targets. As a result of this discussion, the Panel recommended to reconvene the GAsEP Task Force to further review and complete an update to the current Roadmap and to take into account lessons learned and progress made in implementation, including relevant recommendations from the evaluation of the GAsEP carried out by the ICAO Office of Internal Oversight (OIO) in 2021, as indicated in paragraph 4.

² <https://www.icao.int/secretariat/SecretaryGeneral/OfficeOfInternalOversight/Pages/oversight-reports.aspx>

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 28 February 2022)

ICAO Region	APAC	ESAF	EUR/NAT	MID	NACC	SAM	WACAF	Total
# States	39	24	56	15	22	13	24	193
# States audited	37	22	54	13	22	13	23	184
# above 80% EI	10	5	43	6	4	2	3	73
% above 80% EI	27%	23%	80%	46%	18%	15%	13%	40%

TRENDS IN LEVEL OF EFFECTIVE IMPLEMENTATION (%)

(Global and regional average percentage by year between 2008-2021 as at 31 December 2021)

	2008	2009	2010	2011	2012	2013	2015	2016	2017	2018	2019	2020	2021
Global	54.61	57.97	63.75	67.62	68.88	68.91	71.27	72.02	72.62	72.71	71.70	71.40	71.86
APAC	41.04	52.24	59.06	64.71	67.48	66.74	69.43	70.47	69.95	68.33	65.91	66.17	66.42
ESAF	32.90	43.77	44.07	50.82	55.19	53.66	57.41	58.93	58.84	63.98	64.98	64.98	65.61
EUR/NAT	71.02	72.54	79.55	83.83	85.37	86.02	87.37	87.83	88.79	88.55	88.25	88.18	87.93
MID	56.41	49.35	64.76	63.44	68.34	68.34	68.91	68.92	69.64	71.30	74.75	74.75	74.75
NACC	58.86	50.38	57.68	62.11	60.83	60.83	65.96	66.37	67.18	69.60	63.25	60.42	60.97
SAM	42.16	56.24	64.26	67.28	66.17	66.17	67.13	69.45	71.05	70.52	69.12	69.12	69.33
WACAF	60.52	59.03	52.82	49.45	49.25	52.61	55.25	55.30	58.10	55.39	56.01	56.46	59.03

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