International Civil Aviation Organization

WORKING PAPER

ASSEMBLY — 37TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Security policy
Agenda Item 15: Implementation support and development (ISD)
Agenda Item 16: Cooperation with regional bodies

AVIATION SECURITY CAPACITY BUILDING ACTIVITIES

(Presented by Belgium on behalf of the European Union and its Member States[1]
and by the other States Members of the European Civil Aviation Conference[2])

EXECUTIVE SUMMARY
This paper presents proposals for the better prioritisation and coordination of capacity-building activities by ICAO, as well as proposals to revise Assembly Resolution A36-20: *Consolidated statement of continuing ICAO policies related to the safeguarding of international civil aviation against acts of unlawful interference*. The Universal Security Audit Programme (USAP) has identified areas of non-implementation of Annex 17 — *Security*, which makes necessary the adoption of a more pro-active approach to rectification, and the strengthening of ICAO capacity-building activities.
Action: The Assembly is invited, when amending Resolution A36-20, to include reference to: a) the need for ICAO to prioritise its capacity building activities on the basis of USAP audit results and to focus resources where Significant Security Concerns have been identified;   b) the need for States, organisations and ICAO to share information about their capacity building activities with the objective of this information being included in the ICAO database, subject to adequate protection being given to security sensitive information;   c) the need for ICAO to take the lead in facilitating and coordinating capacity building activities, and to rely more on regional organisations and programmes which already provide capacity building activities; and   d) a requirement for ICAO to measure the quality and effectiveness of capacity building activities which it conducts itself.

Strategic Objectives:	This working paper relates to Strategic Objective B, Security — Enhance global civil aviation security
Financial implications:	None
References:	A37-WP/32 — Universal Security Audit Programme Doc 9902, *Assembly Resolutions in Force (as of 28 September 2007)*

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[1] Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and the United Kingdom.

[2] Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Croatia, Georgia, Iceland, Moldova, Monaco, Montenegro, Norway, San Marino, Serbia, Switzerland, The former Yugoslav Republic of Macedonia, Turkey, and Ukraine.

1.   **INTRODUCTION**

1.1   The efficiency of our security systems relies on the effective implementation by all States of Standards and Recommended Practices (SARPs) contained in Annex 17 to the Chicago Convention. The Universal Security Audit Programme (USAP) provides valuable information on the implementation by States of Annex 17 SARPs, and the analysis of audit results tends to indicate that not all States achieve the same level of compliance. Some States face significant challenges when endeavouring to implement or maintain the security standards specified in Annex 17.

1.2   Capacity-building in partnership between States is potentially the most effective means of raising international aviation security standards. It expresses in practical terms the shared responsibility and interests of States in improving security wherever in the world measures have effect. By raising standards generally at a location, reassurance can be provided to all States served by flights from that location, thus heading off the need for unilateral or extra-territorial measures and strengthening the international system of aviation security more broadly.

1.3   It is proposed to strengthen the role of ICAO in conducting capacity-building activities, the primary objective of which should be to support States' own efforts to achieve full implementation with Annex 17 SARPs. The first priority in this respect should be a careful evaluation of the needs for capacity-building activities, conducted on the basis of audit results. In addition, ICAO is best placed to take the lead in facilitating and coordinating capacity-building activities currently organised by individual States and organisations, and should therefore best placed to establish adequate tools to manage the sharing of information on these activities.

2.   **PRIORITISING CAPACITY-BUILDING ACTIVITIES**

2.1   Areas of non-implementation of Annex 17 can expose vulnerabilities in the security systems of States that terrorist groups could exploit to commit an act of unlawful interference. It is therefore of crucial importance that ICAO mobilises and focuses its resources on States where Significant Security Concerns and serious compliance shortcomings have been identified.

2.2   The audit results should be used as the main source of information for a needs analysis and for helping determine how capacity-building activities could be best prioritised. In addition, States should themselves be invited to identify their needs and express their political commitment to rectify compliance shortcomings.

3.   **SHARING INFORMATION BETWEEN ICAO AND PARTNER STATES AND ORGANISATIONS**

3.1   ICAO should share information with partner States and organisations on the capacity-building activities they organise, so that they are aware of both planned and on-going ICAO activities. Information shared should include a description of the objectives, the recipient State(s), the dates, and the contents of each activity.

3.2   In addition to ICAO itself, a number of Contracting States and organisations are involved in the organisation and/or conducting of capacity building activities to bolster States' own efforts to improve their security standards and oversight capabilities. These include individual States (e.g., Australia, Belgium, Canada, France, Singapore, South Africa, United Kingdom, United States) and

organisations (e.g. World Bank, European Civil Aviation Conference, European Union). In addition, industry stakeholders (e.g., International Air Transport Association, security consultants) are also involved in the delivery of security capacity building activities.

3.3   ICAO should finalise its ongoing work to establish a database of capacity-building activities, in order to support its objective of collecting and centralising information on these initiatives. This database should be specific to security, adequately protected from unauthorised access, and involve guarantees regarding the protection of security sensitive information to those partner States and organisations prepared to share such information.

3.4   This information shall not in any circumstances be disclosed in the public arena, as planned activities are by definition indicators of weakness in the security system of the State in question, which may be exploited by terrorist groups.

4.   COORDINATING CAPACITY-BUILDING ACTIVITIES

4.1   Given the many States and organisations undertaking capacity-building activities, there is a risk of wasteful duplication of effort, and of the repetition at short intervals of activities for the benefit of the same State. Better visibility and coordination of these activities would allow better use to be made of available resources. The coordination and management of capacity-building resources is especially important in a context where experts are not widely available and financial resources are limited.

4.2   ICAO is well placed to play such a coordinating role. In order to do so it will need to be provided with adequate information about activities planned and organised by other entities. To that end, States, organisations and industry stakeholders should be encouraged to share information with ICAO on their respective capacity-building initiatives.

5.   SUPPORTING THE REGIONAL APPROACH

5.1   Each ICAO region or sub-region has its own detailed approach to achieving implementation of Annex 17 SARPs within its territory. Furthermore, some regions, such as Europe, have adopted their own set of requirements, which supplement Annex 17 SARPs and are based on the region's own risk assessment. Some regions have developed their own capabilities to develop and conduct capacity-building activities for the benefit of their States; this is the case of the Cooperative Aviation Security Programme (CASP) – Asia Pacific, the ECAC Assistance Programme, and the ICAO-ECAC EASTI project on the development of regional AVSEC training packages. This regional approach ensures that information is shared amongst regional experts and ensures the establishment of solid cooperation links. In addition, States that receive support in one aspect of security may at the same time be giving support to other States in another aspect where they themselves have expertise.

5.2   These structures and programmes are capable of providing advice, training and logistical support to the States in the region. ICAO should be encouraged to rely more on existing structures and programmes to make best use of existing capacity-building activities.

6. **IMPROVING AND MEASURING THE QUALITY AND
    EFFECTIVENESS OF CAPACITY-BUILDING
    ACTIVITIES**

6.1   Significant resources are invested by ICAO in the planning, organisation and conduct of capacity-building activities. These include inter alia the costs of staff, travel, accommodation and development of materials. It is therefore essential that the activities be both of a satisfactory quality and effective in achieving the set objectives. Information should be shared among States and other organisations involved in capacity-building work on how to ensure that the benefits of such activity are maximised and sustained. Good practice should be codified to help improve the quality of capacity-building projects worldwide. In particular, there should also be a systematic evaluation of both the quality and effectiveness of capacity-building activities organised by ICAO.

6.2   ICAO should define criteria for measuring the quality and effectiveness of these activities, and then apply them to the activities it organises itself. This would reflect the good practice developed by States and regional organisations, which already conduct similar types of activities.

7. **CONCLUSIONS**

7.1   The Assembly is invited, when amending Resolution A36-20 on the *Consolidated statement of continuing ICAO policies related to the safeguarding of international civil aviation against acts of unlawful interference*, to include reference to:

  a) the need for ICAO to prioritise its capacity-building activities on the basis of USAP audit results and to focus resources where Significant Security Concerns have been identified;

  b) the need for States, organisations and ICAO to share information about their capacity-building activities with the objective of this information being included in the ICAO database, subject to adequate protection being given to security sensitive information;

  c) the need for ICAO to take the lead in facilitating and coordinating capacity-building activities, and to rely more on regional organisations and programmes which already undertake capacity-building activities; and

  d) a requirement for ICAO to measure the quality and effectiveness of capacity-building activities which it conducts itself.

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