



**Building Sustainable Capacity for Development  
of Aviation Security Infrastructure, Lessons  
Learned:  
FAA/GW International Aviation Safety &  
Security Summits**

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**International Arab Civil Aviation Security  
Conference  
7th – 9th February 2006,  
United Arab Emirates**

# Overview of the Summit Program

- **A 3 year program funded by FAA Flight Standards Services through a cooperative agreement between the FAA and the George Washington University with GMU as a partner.**
- **The program was focused on ICAO Standards and the need for regional cooperation**
- **Program Elements and Characteristics:**
  - Address the highest level of government officials: Need for Political Commitment
    - Economic benefits of a safe and secure aviation system
    - Critical elements of safety and security
    - Funding and Technical resources
    - Sharing resources, ***regional cooperation***
  - ***No preaching, academic forum and credibility***
  - ***“Open exchange of ideas” and access to high-level US officials***



# Overview of the Summit Program

Sept. 23, 2001 – March 23, 2005

- Prototype program held in April 2002.
- Fourteen International Summits in Washington, DC
  - Four Summits during FY 2002
  - Six Summits in FY 2003
  - Four Summits in FY 2004
- Seven Regional Summits, Conferences and Seminars
  - Africa Air Cargo Roundtable, Nov. 21, 2002
  - **Regional Summits**, San Jose, Costa Rica (April '03); Amman, Jordan, (Feb. '04); Hawaii (April '04)
  - Three international conferences in Istanbul (Feb. '03), Johannesburg (March '04) and Warsaw (Jun. '04)
- Overall, 107 countries represented by 563 delegates with over 90 DGs and over 50 at ministerial level, attended the Program in addition to USG, regional and international organizations
- Global Summit on Regional Aviation Safety Oversight, 1-3 Feb. 05



# Motivation and Scope

## Consequences of Common Oversight Deficiencies

Inability to attract, recruit, and retain qualified technical personnel

Frequent turnover of technical

- The 35<sup>th</sup> ICAO Assembly adopted a resolution and endorsed the concept of regional cooperation.



Inadequate program funding, support staff, computer, record keeping facilities

*“An Update on the ICAO Universal Safety Oversight Audit Program,” by ICAO, 2004.*

Safety Oversight – Feb. 1-3, 2005 Washington, DC

There is a spectrum of regional cooperation:

- Multi-lateral agreements
- COSCAPs
- Regional Aviation Safety Oversight Organizations



# Global Summit Program Overview

1-3 February 2005

Over 140 attendees:

## Summit Goal

- 28 Countries
  - 6 Regional Organizations
  - 71 Delegates
  - 3 Ministerial (Prime Minister, ...)
- To foster the development, and effective implementation of regional organizations in support of civil aviation safety oversight.*

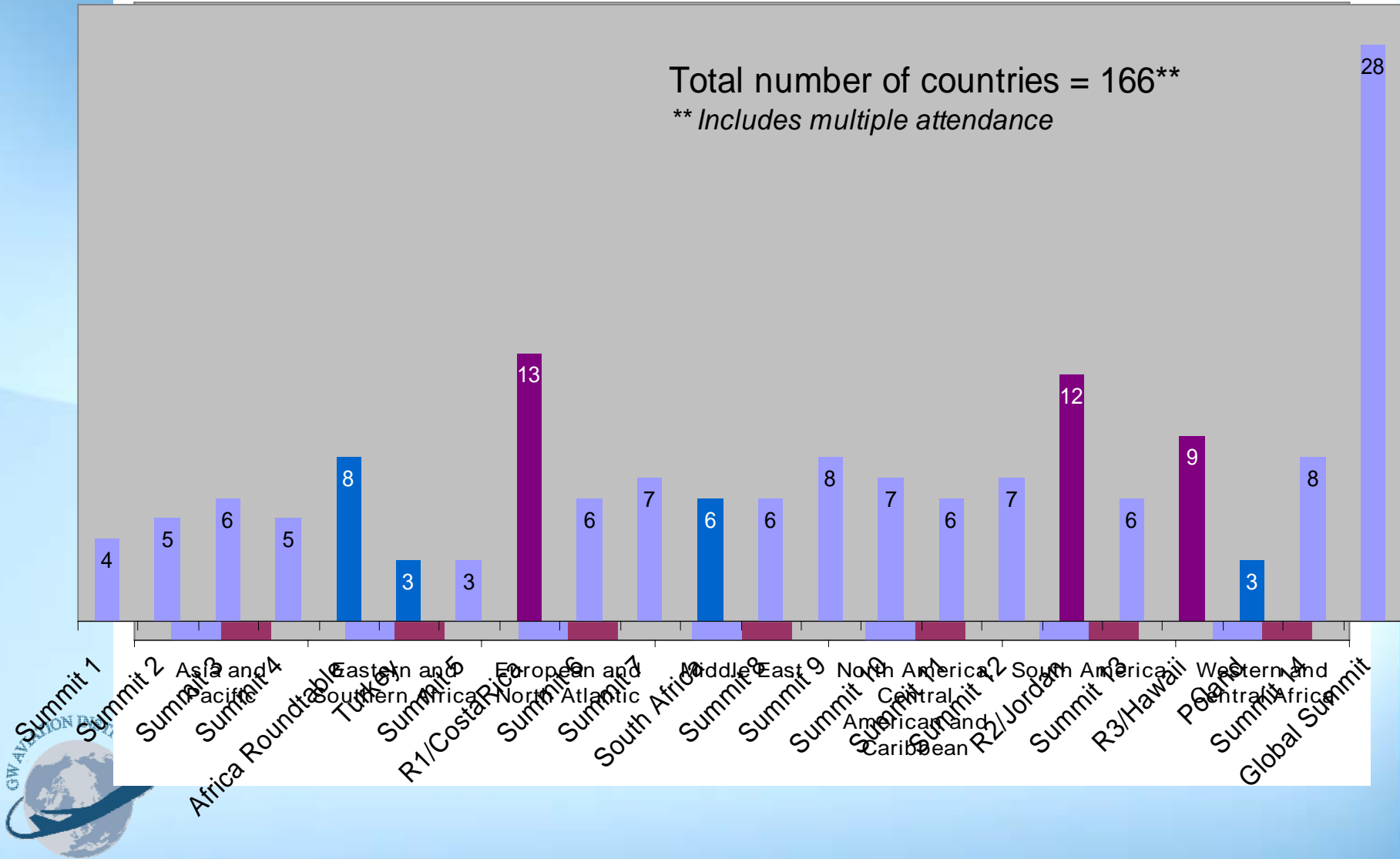
## Scope

- 22 Directors General
  - Industry
  - ICAO (Gen. Secretary and Council President)
  - International Organizations
  - USG (DOT, FAA, NTSB, DOS, TSA)
- Cooperative approaches to regional aviation safety oversight**
- How to Develop a Regional Safety Oversight Organization (RSOO)**
- How to Make an RSOO Effective**
- How to Sustain an RSOO**
- Under Sec. Shane, Asst. Sec. Bhatia, Adm. Blakey, Asst. Sec. Stiles, Chairman Engleman Conners



# Countries and Regions

Total number of countries = 166\*\*  
 \*\* Includes multiple attendance



**Slide 6**

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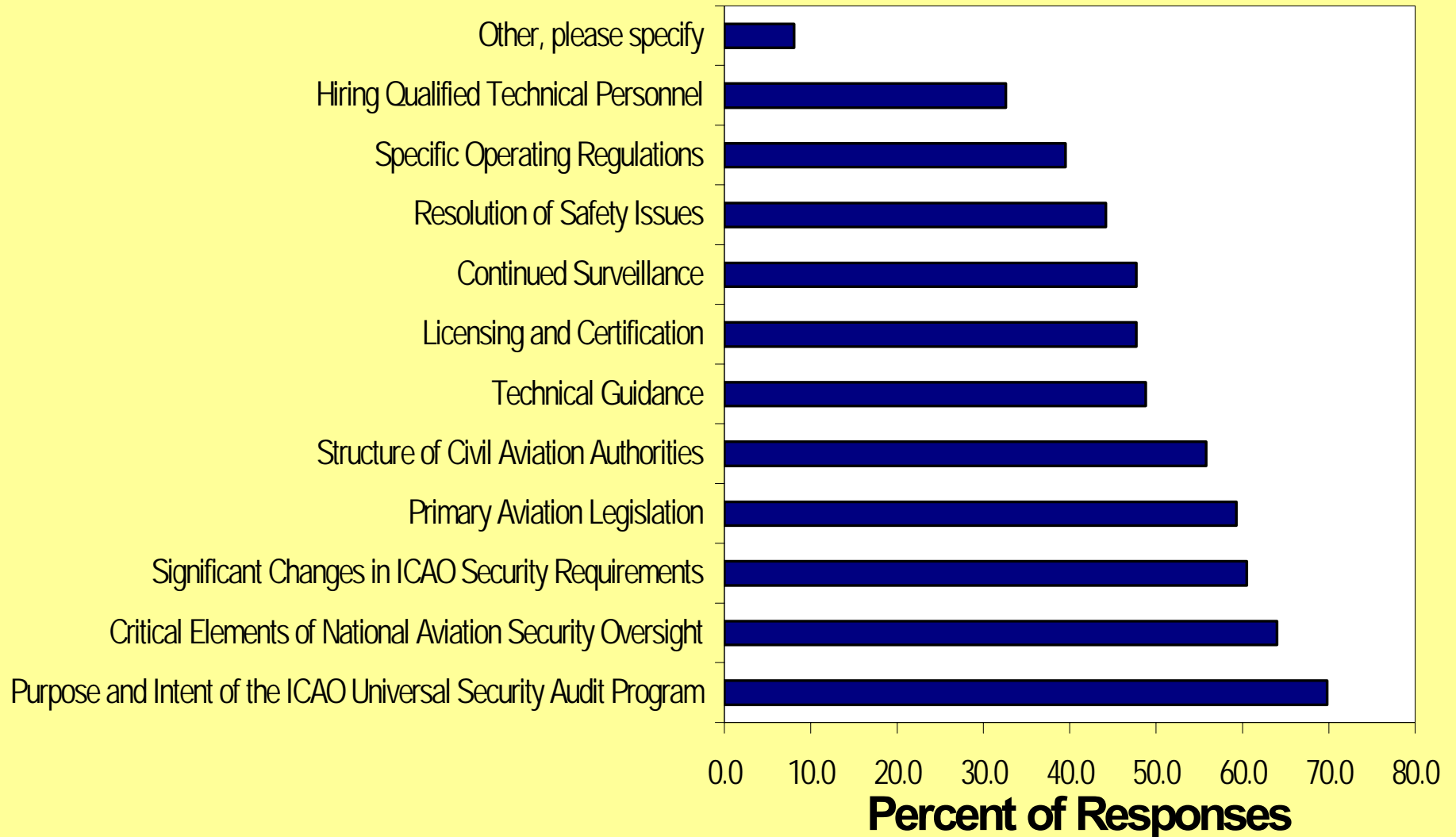
**VM2**

On Sept. 3, 2005 Democratic Republic of Timor-Leste became the 189th Member State.

GW, 8/09/05

# Sample Evaluation Results

## Areas of Knowledge Considered Beneficial to Delegates





# Accomplishments

- Political commitment; consistent and credible message delivered
- Recognition of obligations as Member States
- Validity and importance of the Critical Elements of Oversight
- Need for **Regional Cooperation** and usefulness of **Regional Oversight Organizations**
- Right audience
  - 92 Directors General
  - Nearly 50 Ministerial level delegates
  - Over 300 USG officials



# Lessons Learned

- Should have done the Global Summit first
- Communicate with the attendees prior to the program, preparation
- Selection of the countries and regional cohesiveness best to be left to the countries
- In-region Summits are successful
- Engage and follow-up with the attendees
- USG (FAA/DOT) take advantage of attendees being in DC
- One third turn-over in the CAA officials
- Open the program to the industry



# Lessons Learned; Overriding Issues

- Effective and successful civil aviation oversight programs must have the appropriate level of political support and adequate resources which include:
  - Laws and Regulations
  - **Budget, Resources**
  - Infrastructure:
    - **Material**
    - **Political/Organizational Resources**
    - **Human Resources**



# Common Grounds and Challenges for Cooperation

## Critical Infrastructure Issues and Challenges

- Political Commitment to Security Compliance
- Operational Sustainability
- Compliance with Annexes and SARPs
- Training of Personnel and Human Resources
- Privacy and Information Protection

## Other Challenges

- Post 9/11 security costs
- Lack of qualified technical personnel
- Information sharing in security areas
- Corruption/Conflict of interest
- Insurance cost and a potential for loss of insurance due to major security event



# Questions

- **What are the potential exclusions from air transport activities due to deficiencies in aviation security?**
- **What are the sources of revenue that can be used to enhance security oversight?**
- **What partnerships between government and industry (regulator and regulated) are possible?**
- **Which of the following are related to the infrastructure of the civil aviation security?**
  - Civil aviation organization
  - Training facilities and programs
  - Retaining qualified personnel
  - Airport perimeter security
  - Airport terminal
  - ATC system

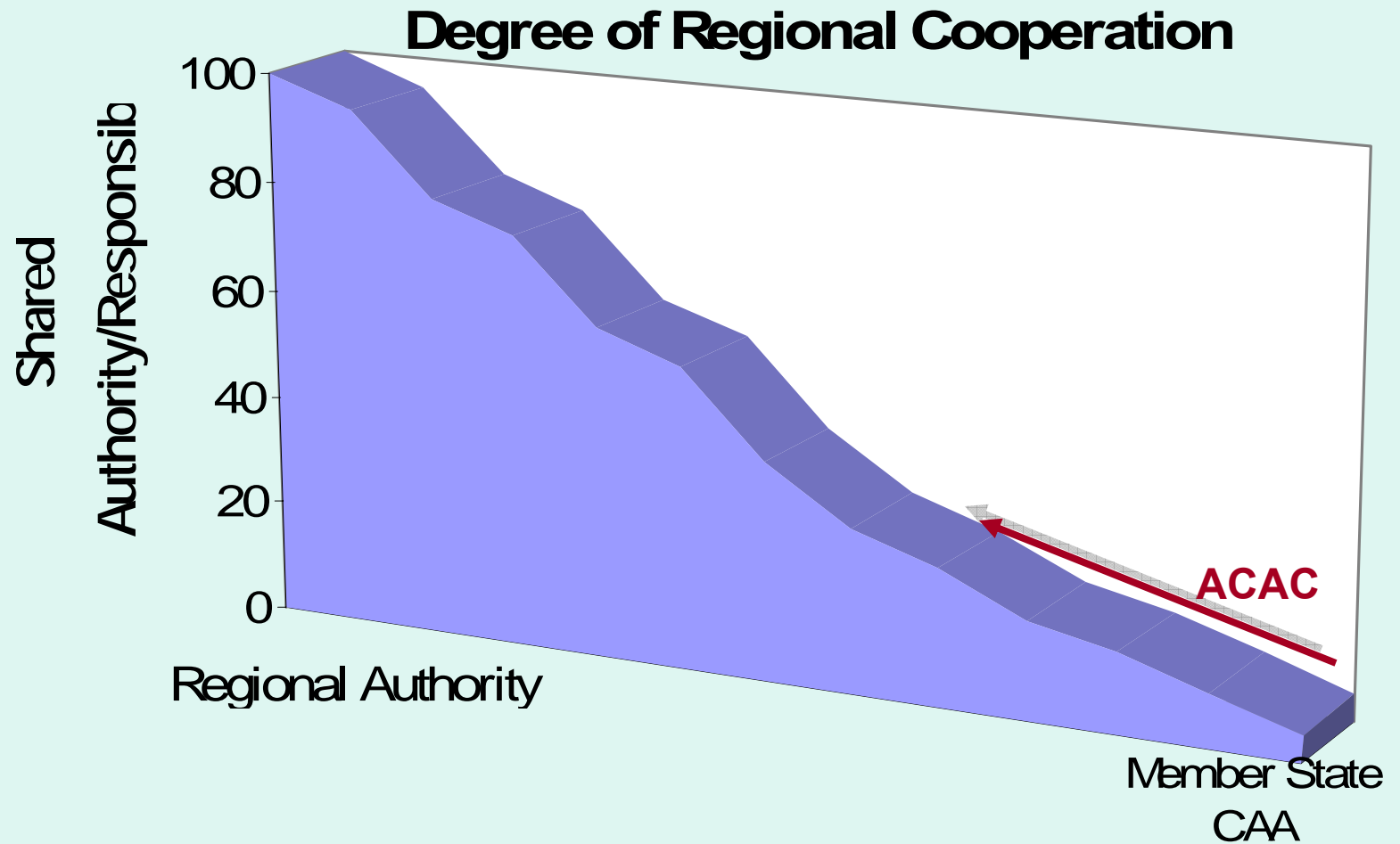


# Potential Answers

- Empower CAA and secure funding from revenue generated from the system, written into law
- Regional oversight organizations
- Regional information sharing partnerships
- Provide checks and balances, accountability and transparencies for the aviation system
- Mitigate insurance and other costs by enhancing safety and security of the system
- Provide State guarantees for insurance coverage in the event of a catastrophic safety or security event
- Pursue privatization and liberalization to increase revenue for safety and security enhancements



# Regional Cooperation in Aviation History



# Role for ACAC in Regional Cooperation

ICAO plays a key role globally on promoting the **safety and security** of the global air transport system, ACAC can play this role regionally. A system that is neither safe nor secure simply cannot grow or prosper

- Economic impact of safety and security deficiencies is tangible and often measurable
- Security system is an integral part of the aviation infrastructure.
- Regional cooperation must be logical, sustainable and genuine with commonality in many aspects
- 22 countries are too many, need sub-groups





# Does Regional Cooperation Work?

Success of Regional Organizations in many fields, particularly those anchored in economic treaties and unions, is well known

Development of Regional Oversight Organizations is a concrete and profound approach for any government to address their obligations under ICAO Conventions and the Annexes to the Conventions

**Regional Oversight Organization is a specific approach in cooperation**

Regional cooperation approaches:

- Technical working groups (but must have authority and resources)
- Coordination groups
- Resource sharing



# Fundamental Issues

- **Developing Regional Cooperation**
  - (a) Requires Political commitment at the highest levels of each Member State;
  - (b) Needs a foundation in law, both internal and multilateral ratified by respective legislative bodies (Ref. ICAO 9734 and 9734(b));
  - (c) Requires initial investment of resources and funding;
  - (d) Greatly benefits from existing economic/political structure and treaties ; and
  - (e) Need a leader, local champion.



# Fundamental Issues

- **Making Regional Cooperation Effective** requires;
  - a) Adequate and qualified technical personnel;
  - b) Dynamic regulation and enforcement;
  - c) Institutionalization of organization continuity, and
  - d) Management and strategic framework for long-term success.



# Fundamental Issues

- **Sustaining** Regional Cooperation requires the following essential elements:
  - a) Annual reliable budget;
  - b) Development of dedicated sustainable revenue sources, and
  - c) Recruitment and retention of technical and administrative resources.



# Mapping Critical Elements of Security Oversight onto ROO

**National Civil Aviation Security Program**

**National Aviation Security Committee**

**Airport and Operator Security Programs**

**Quality Control Program**

Coordination is a big challenge  
Regulations and procedures can be coordinated, but not shared

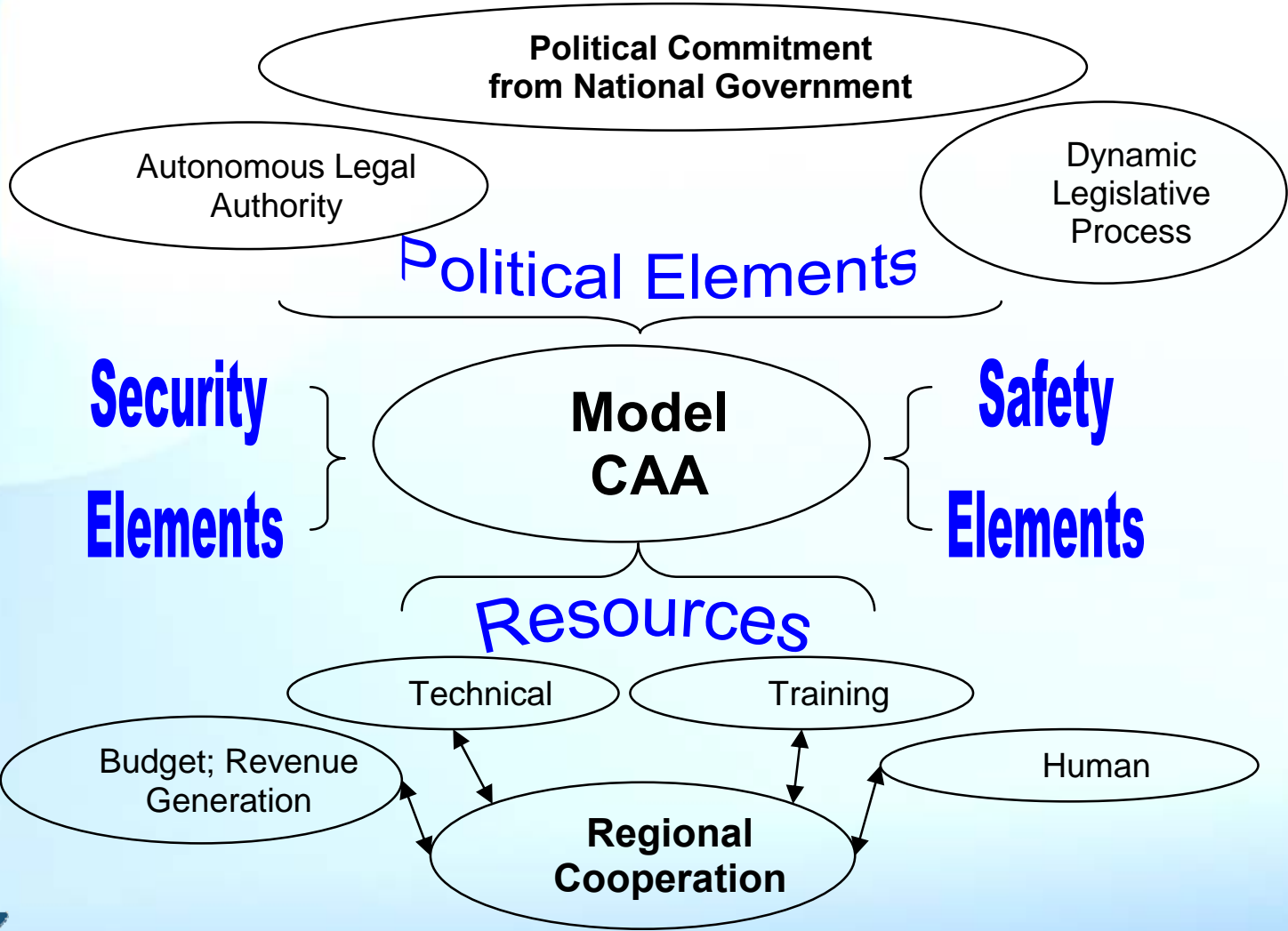
Coordinate security activities with their counterparts in ROO

Coordination of procedures, sharing of oversight findings

Use ROO to conduct surveys, inspections, and test the effectiveness of the system



# Model CAA with Regional Cooperation





## Additional Information

**GW Consortium Web Site**

**<http://www.gwsummit.org>**

**<http://www.gwu.edu/~aviation>**