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INTERNATIONAL CIVIL AVIATION ORGANIZATION

## ASSEMBLY — 33RD SESSION

### EXECUTIVE COMMITTEE

#### Agenda Item 13: Aviation security

### REPORT ON THE CONTINUING IMPLEMENTATION OF THE AVIATION SECURITY MECHANISM AND ITS OVERALL FUTURE REQUIREMENTS

#### SUMMARY

This paper presents a report on the implementation of the Aviation Security (AVSEC) Mechanism and its coordination with other bilateral and multilateral assistance activities with regard to aviation security. In addition, it also describes the modalities of its financing beyond 2001 and the adjustments to the implementation strategy to be applied.

Action by the Assembly is in paragraph 4.1.

#### REFERENCES

A32-WP/5  
Doc 9723, A32-EX

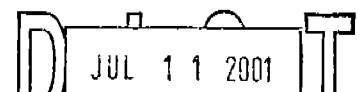
## 1. BACKGROUND

### 1.1 Introduction

1.1.1 During the seventh meeting of its 126th Session on 16 February 1989, the Council adopted a resolution which directed its subordinate bodies, as a matter of top priority, to consider and submit recommendations, *inter alia*, in the following areas:

- a) the provision of advice to States on request on aviation security organization and techniques;
- b) the coordination by ICAO of an aviation security training programme; and
- c) the provision to Member States, on request, of international security surveys under ICAO auspices.

(9 pages)



1.1.2 Furthermore, Operative Clause 8 of the Resolution urged Member States that have the means to do so to consider increasing financial, technical and material assistance to States in need of such assistance to improve aviation security through bilateral and multilateral efforts, in particular through the ICAO Technical Assistance Mechanism.

## 1.2 Establishment of the Mechanism

1.2.1 Pursuant to the Resolution of 16 February 1989 and recognizing the need for the establishment of a Mechanism to assist States in the strengthening of implementation and cooperation in the field of aviation security, the Council, during the twenty-sixth meeting of its 126th Session, considered the creation of a Mechanism for financial, technical and material assistance to States. The Council requested the Secretary General to take the necessary action to set up a funds-in-trust agreement for this purpose.

1.2.2 The Assembly, during its 27th Session, endorsed the establishment of such a Mechanism and requested the Council of ICAO to present to the next ordinary session of the Assembly a progress report on its implementation. Accordingly, the 29th and 31st Sessions of the Assembly received a report on the progress made in the implementation of the Mechanism. During its 32nd Session, the Assembly, when reviewing a progress report on the implementation of the AVSEC Mechanism, endorsed this programme until the end of 2001.

1.2.3 In order to restate the objective of the Mechanism, the Council, at the seventh meeting of its 161st Session, when reviewing a progress report on its implementation, agreed to rename this programme as a Mechanism for effective implementation of Standards and Recommended Practices (SARPs) contained in Annex 17.

## 1.3 Objectives and Elements of the Mechanism

1.3.1 The overall objective of the Mechanism is to assist States in achieving compliance with the SARPs of Annex 17, aimed at preventing acts of unlawful interference against civil aviation through:

- a) the provision of advice to States, upon request, on aviation security organization and techniques;
- b) the conduct of international aviation security surveys and assessments on a confidential basis, upon request, and recommending methods for the introduction of aviation security measures to meet the requirements of Annex 17;
- c) the coordination of an aviation security training programme, providing on-the-job counterpart training and the staging of ICAO-sponsored, topic-focussed workshops and regional training seminars;
- d) in fully justified and selected cases, subject to supply by donor States, the provision of aviation security equipment, training aids and other equipment appropriate for the enhancement of aviation security; and
- e) recently, the conduct of international aviation security audits on a voluntary basis with a view to assessing the level of implementation of Annex 17.

## 2. MECHANISM ACTIVITIES

### 2.1 Status of the programme

2.1.1 To date, 140 States have requested assistance under this programme, 112 States have been visited for comprehensive technical evaluations and 35 States received follow-up missions. A complete breakdown is set out in Appendix A to this working paper. Based on the findings of technical evaluations, emphasis thus far has been placed on training by means of formal courses and workshops both within States and the aviation security training centres (ASTCs). Appendix B provides data relating to training events.

2.1.2 In the early stages of implementation, emphasis was placed on the development of long-term strategies, mission profiles, reporting formats as well as guidance and training materials in order to provide a structure and a base for the logical starting point of the programme for the initial technical evaluations in the field. As the Mechanism progressed and the results of the initial technical evaluations were analyzed, a picture of common problem areas or deficiencies emerged. In the main, these deficiencies fall into the following critical categories:

- a) aviation security programme development (national, airport and operator), including national legislation;
- b) assessment and dissemination of threat;
- c) aviation security training programme development and implementation;
- d) implementation of the appropriate preventive measures at airport and quality control; and
- e) contingency planning and management of response to acts of unlawful interference.

2.1.3 With a view to addressing these deficiencies, the implementation strategy has concentrated on:

- a) the development of guidance material and its subsequent dissemination to States;
- b) the development of self-sufficient regional aviation security training centres capable of providing a range of AVSEC instruction to States, utilizing training material developed by ICAO or adapted by themselves as well as regional instructors and experts;
- c) the development of workshops on specifically focused topics conducted at the ASTCs or other suitable venues; and
- d) the continuation of the development of Aviation Security Training Packages (ASTPs) and their regionalization by ASTCs.

2.1.4 The results of the analysis of the technical evaluations and follow-up missions reports undertaken over the years confirmed that the compliance with Annex 17 provisions is less than satisfactory. This is particularly so in the area of the organization at national and airport levels as well as the implementation of relevant aviation security programmes. Whilst many States have strenuously endeavoured to improve their capabilities and willingness to address the deficiencies, the Mechanism strategy in the future will place greater emphasis on the implementation aspect.

2.1.5 With a view to developing national training capabilities and to assure that courses based on ICAO material can be staged with a limited physical involvement from Headquarters for a limited period and thereafter independently, it was decided to locate regional AVSEC training centres (ASTCs) within already established training schools. Accordingly, with the assistance of donor States, centres have been selected in Amman, Brussels, Casablanca, Dakar, Kiev, Moscow, Nairobi, Penang, Port of Spain and Quito. Within the capacity and capability of each training facility, it is proposed to stage an optimum number of training events per year.

2.1.6 To ensure training standards are maintained and sound levels of cooperation and coordination are achieved between all regional facilities, ICAO prescribed and monitored the implementation of AVSEC training policy through a model agreement and standard operating procedures. In collaboration with donor States, ICAO is still endeavouring to establish a computer-based training (CBT) network between these facilities. The expertise which evolves within these facilities will be tapped in terms of participation in the development and maintenance of regional ASTPs.

2.1.7 In order to augment the human resources available within the Aviation Security (AVSEC) Section to implement the Mechanism, ICAO established a short-term expert (STE) programme under which donor States release AVSEC experts from within their respective administrations for short periods of time. To date, some 172 STEs, mainly drawn from ASECNA, Australia, Belgium, Benin, Canada, Côte d'Ivoire, Croatia, Egypt, France, Germany, Greece, Guinea, Ireland, Kenya, Luxembourg, Maldives, Mali, Morocco, New Zealand, Niger, Norway, Senegal, South Africa, Spain, Sweden, Switzerland, Togo, Ukraine and United States have been utilized, which represents an average of 40.0 work-months per year over the reporting period.

## 2.2 **Coordination by ICAO of AVSEC Assistance Programmes**

2.2.1 When implementing the Mechanism, care is taken to ensure that efforts are coordinated with other assistance initiatives wherever possible, particularly bilateral or multilateral assistance programmes from individual donor States and UNDP-funded projects executed by the Technical Cooperation Bureau, in order to avoid duplication of efforts. This coordinating role has continued with ICAO entering into formal agreements with a number of States whereby financial resources are placed at the disposal of ICAO to coordinate and implement specific assistance programmes in a number of States in accordance with established criteria mutually developed between the donor State(s) and ICAO. Moreover, an agreement between the Security Department of the International Air Transport Association (IATA) and the Aviation Security Section of ICAO has been concluded in order to coordinate their efforts within the framework of the missions of the aviation security programme assigned to each organization.

## 2.3 **Programme implementation difficulties**

2.3.1 The AVSEC Mechanism follow-up missions have not been found cost effective due to recipient States not utilizing to advantage the technical recommendations provided during the missions and in relevant reports, as well as knowledge and skills gained through training. It is evident that a momentum generated within States during initial missions wanes when follow-up activities are not mounted in a timely manner. This difficulty emanates from the sheer number of States that have requested assistance under the Mechanism and lack of established follow-up programmes to this effect.

2.3.2 In order to assist States in the implementation of the recommendations contained in the technical evaluation mission reports, the AVSEC Section and the Technical Cooperation Bureau (TCB) have launched a programme based on experience gained with the implementation of the Safety Oversight

Programme. Such will involve the development of a project document by TCB on the basis of the technical evaluation report.

### 3. FUTURE ACTIVITIES

#### 3.1 Future Implementation Strategy

3.1.1 Consistent with the objectives of the AVSEC Mechanism, the following proposals are formulated:

- a) continuation of the implementation of the worldwide networking system between all ICAO ASTCs to enhance coordination and harmonization of training initiatives as well as their financial and technical self-sufficiency by reinforcing the new fellowships and course fees policy;
- b) creation of a new list of AVSEC Mechanism States which includes States requesting assistance, States accepting to be audited, on a voluntary basis, with a view to assessing the level of implementation of Annex 17 and States offering technical assistance under this programme;
- c) confirmation of the link between the provision of further assistance under the ICAO AVSEC Mechanism and the receipt of a National AVSEC Plan of Action by States;
- d) preparation toward an Aviation Security Oversight Audit Programme, on a voluntary basis, with a view to assessing the effectiveness of the ICAO AVSEC programmes; and
- e) training of all ICAO AVSEC short-term experts performing technical assessments (evaluations or audits) in order to certify their competencies.

3.1.2 With a view to improving implementation of Annex 17 SARPs, States joining the Mechanism will be invited to participate in an AVSEC audit programme on a voluntary basis. Regional initiatives to improve States' AVSEC postures will include assistance in the development of AVSEC action plans, training programmes conducted at ICAO aviation security training centres and regional AVSEC seminars promoting international cooperation. States, regional and national organizations as well as the aviation industry will be invited to participate in these initiatives through the provision of expertise, funding and contributions in kind. In this context, a questionnaire has been sent to all Contracting States in January 2001 in order to determine their willingness to participate in the new form of the AVSEC Mechanism.

#### 3.2 Financial requirements

3.2.1 Based on the recommendation of the Evaluation Audit and Management review of the aviation security programme conducted in June 1999, the Security Specifications and Guidance Material (SGM) and the Security Implementation and Assistance (SIA) Sections have been merged into an Aviation Security Section. This new section is composed of three units: the Support Unit (SUP); the Development Unit (DEV); and the Assistance and Oversight Unit (AO). The new structure will ensure continuity and uniformity in the

Unit (DEV); and the Assistance and Oversight Unit (AO). The new structure will ensure continuity and uniformity in the execution of the aviation security programme and addresses the request of the 32nd Session of the Assembly of gradually integrating the AVSEC Mechanism into the Regular Programme Budget.

3.2.2 The Assistance and Oversight Unit is responsible for implementation of the AVSEC Mechanism. Presently, the Unit continues to be supported by one Professional Officer, Chief of the Unit, and one General Service post providing administrative support funded by the Regular Programme Budget as well as six Professional Officers funded by France (one post), United Kingdom (one post), United States (two posts), and Netherlands (one post). In addition, staff from the Support and Development Units provide technical support in the form of training and guidance material development.

3.2.3 Since inception of the AVSEC Mechanism, implementation of this programme has been possible through voluntary contributions received from the following donor States: Australia, Belgium, Canada, Finland, France, Germany, Greece, India, Japan, Netherlands, Russian Federation, Saudi Arabia, Switzerland, Turkey, United Kingdom and United States. With reference to the funding of the Professional posts beyond 2001, the United States, the United Kingdom, France and Netherlands have confirmed their willingness to extend their support to the AVSEC Mechanism until the end of 2004. In addition, France, Greece and the United States have confirmed their financial support to the AVSEC programme until the end of 2004. In this context, the Council, at the second meeting of its 162nd Session, approved the extension of the Mechanism until the end of 2004. Voluntary contributions to the Mechanism are provided at Appendix C to this working paper.

3.2.4 In addition, the ICAO Regular Programme Budget may increase its contribution to the AVSEC Mechanism in order to permit a minimum and consistent level of activity which will not be totally linked to the availability of funds-in-trust. An annual Regular Programme Budget contribution of US \$ 150,000 may complement the average level of donor States' contributions thus providing a minimum financial support. Unfortunately this contribution could not have been accommodated in the draft Programme Budget submitted to the Assembly.

3.2.5 In the light of States' pressing need to access the ICAO Training Programme for Aviation Security, following the request of the 32nd Session of the Assembly, the Council agreed to the non-simultaneous distribution of aviation security training packages (ASTPs) in its initial language version pending full translation into the official languages of the Organization. ASTPs 123/Management, 123/Instructors, 123/Crisis Management, 123/Airline, 123/Supervisors and 123/Cargo have been distributed in English only to all ICAO aviation security training centres, ICAO regional offices and international organizations such as the Airports Council International and IATA. ICAO Contracting States and industry partners, have received one hard copy of each ASTP, in English, upon request.

#### 4. ACTION BY THE ASSEMBLY

4.1 The Assembly is invited to:

- a) note the progress made in the implementation of the Aviation Security Mechanism; and
- b) endorse the continuing implementation of the Mechanism until the end of 2004 as outlined in part 3 of this working paper.

## AVSEC MECHANISM REQUESTING STATES

APPENDIX A

Asia and Pacific Region			24	16	1	No. States	visited	follow-up
Bangladesh	TE	Cambodia	TE				Sri Lanka	TE
Malaysia	TE	Micronesia, Fed States of					Viet Nam	TE
Tonga		Indonesia	TE				Cook Islands	
Vanuatu	TE	Nepal	TE				Nauru	
Bhutan	TE	Philippines	TE				[ Tuvalu ]	
China	TE FU	Lao People's Dem. Rep.	TE				Papua New Guinea	
Maldives	TE	Solomon Islands	TE				Mongolia	TE
Thailand		Fiji	TE				Kiribati	
Eastern and Southern African Region			23	22	7	No. States	visited	follow-up
Ethiopia	TE FU	United Republic of Tanzania	TE				Burundi	TE
Kenya	TE FU	Djibouti	TE				Namibia	TE
Lesotho	TE	Uganda	TE FU				Malawi	TE
Madagascar	TE FU	Botswana	TE				Eritrea	TE
Mozambique	TE FU	Swaziland	TE				Comoros	TE FU
Rwanda	TE	Angola	TE				South Africa	
Zimbabwe	TE	Mauritius	TE FU				Somalia(Somaliland) *	TE
Zambia	TE	Seychelles	TE					
European and North Atlantic Region			23	15	2	No. States	visited	follow-up
Romania	TE	Belarus	TE				Azerbaijan	TE
Algeria	TE FU	Georgia	TE				Armenia	TE
Estonia	TE	Greece	TE				Turkmenistan	
Latvia	TE	Hungary					Bosnia & Herzegovina	
Moldova	TE	Tajikistan					Russian Federation	
Morocco	TE FU	Lithuania	TE				Uzbekistan	
Ukraine	TE	Albania	TE				Kyrgyzstan	
Kazakhstan		Tunisia	TE					
Middle East Region			13	7	1	No. States	visited	follow-up
Afghanistan		Saudi Arabia	TE				Sudan	
Egypt	TE	Syrian Arab Republic	TE				Iran, Islamic Republic of	
Jordan	TE	Lebanon	TE FU				Cyprus	TE
Kuwait	TE	Yemen Arab Republic						
Pakistan		Libyan Arab Jamahiriya						
North, Central American and Caribbean Region			21	17	4	No. States	visited	follow-up
Aruba (King. of Neth.)	TE	Costa Rica	TE				Cuba	
Honduras	TE FU	[ Dominica ]	TE				Nicaragua	TE
Trinidad & Tobago	TE FU	Cayman Islands (U.K.)					Dominican Republic	TE
Barbados	TE	Belize	TE				Jamaica	TE
Grenada	TE	St Lucia	TE				Antigua & Barbuda	TE
El Salvador	TE FU	Turks & Caicos Islands (U.K.)						
St Vincent & Grenadines	TE	Montserrat (UK)						
Haiti	TE FU	Guatemala	TE					
South American Region			12	12	4	No. States	visited	follow-up
Peru	TE FU	Uruguay	TE				Ecuador	TE
Chile	TE	Bolivia	TE FU				Paraguay	TE
Colombia	TE FU	Argentina	TE					
Suriname	TE	Panama	TE					
Venezuela	TE FU	Guyana	TE					
Western and Central African Region			24	23	16	No. States	visited	follow-up
Benin	TE FU	Dem. Rep. of Congo	TE				Cape Verde	TE FU
Central African Republic	TE FU	Togo	TE FU				Niger	TE FU
Chad	TE FU	Mali	TE FU				Equatorial Guinea	TE
Congo	TE FU	Ghana	TE FU				Sierra Leone	TE
Côte d'Ivoire	TE FU	Guinea	TE FU				Mauritania	TE
Gabon	TE FU	Cameroun	TE FU				Guinea Bissau	TE
Gambia	TE FU	Burkina Faso	TE FU				Liberia	
Nigeria	TE	Senegal	TE FU				Sao Tome	TE

as at June 2001

States having requested Assistance 140

\* Non-Contracting State



**APPENDIX B**

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**APPENDIX B**

**ICAO AVSEC MECHANISM TRAINING EVENTS**

as at June 2001

Type of Training	Time Frame	Number of Events	Participants	Fellowships	Registrations
Pre-Board Screening Equipment Maintenance In-Flight Security	from 1990 to 1994	12	244	0	0
National Programme Development National Programme Follow-up	from 1993 to 1996	16	318	216	0

Basic Aviation Security	since 1990	10	246	0	18	NAI, KIE and AMM
Instructors' Course	since 1990	61	973	317	165	ALL
Management	since 1990	35	841	372	86	ALL
Crisis Management	since 1994	34	781	286	165	ALL except POS
Security Exercise / System Testing	since 1996	3	69	42	0	CAS and DAK only
Cargo	since 1999	20	428	42	182	ALL
Airlines	since 1999	11	182	0	12	BRU and KIE
Supervisors	since 1999	2	32	0	0	NAI
Airport Security Programme	since 2001	1	34	0	16	DAK
<b>TOTAL</b>		<b>205</b>	<b>4148</b>	<b>1275</b>	<b>644</b>	

ICAO AVSEC Training Centres (ASTCs) :

Europe : **BRU** : Brussels, **KIE** : Kiev and **MOS** : Moscow

Asia : **PEN** : Penang and Middle East : **AMM** : Amman

Africa : **DAK** : Dakar, **NAI** : Nairobi and **CAS** : Casablanca

Americas : **POS** : Port of Spain and **QUI** : Quito



AVSEC MECHANISM CONTRIBUTIONS

Direct Contributions to ICAO AVSEC Mechanism Funds-in-Trust (#)

Previous trienniums	Dedicated Funds	General Trust Fund	Salaries (ICAO positions)	Total
1989 - 1992	1 473 381	359 520	1 390 062	3 222 963
1993 - 1995	674 246	654 783	1 175 119	2 504 148
1996 - 1998	1 250 951	472 200	1 119 121	2 842 272
Current triennium	Dedicated Funds	General Trust Fund	Salaries	Total
1999 - 2001	564 924	566 990	1 147 914	2 279 828

Contributions in kind (##)

1999 - 2001	1999 - 2001	Programme	Salaries	In kind	Total
<b>687 727</b>	US	500 000	554 714	6 383	1 061 097
<b>328 381</b>	France	524 514	160 000	251 561	936 075
	UK		353 200		353 200
	Netherlands		80 000		80 000
	Belgium	40 410		7 867	48 277
	Greece	40 000		6 811	46 811
<b>241 072</b>	Australia	26 990		4 326	31 316
	Others (*)			410 779	410 779
	<b>Total</b>	1 131 914	1 147 914	687 727	2 967 555

(\*) see list of States and Organizations which contributed in kind for the current triennium

Summary of AVSEC Mechanism contributions since inception (#)

1989 - 2001	Programme	Salaries	Total
<b>11 138</b>	US	1 819 564	3 269 564
	France	740 621	3 026 526
<b>2 949</b>	UK	2 022 584	2 073 584
	Netherlands	80 000	93 378
<b>68 976</b>	Others (**)	169 447	2 386 159
	<b>Total</b>	6 016 995	10 849 211

(\*\*) Belgium, Germany, Canada, Australia, Japan, Switzerland, Finland, Russian Federation, Saudi Arabia, Turkey, Greece and India

(#) without Contributions in kind

(##) Salaries and Travel directly provided by States/Organizations