



INTERNATIONAL CIVIL AVIATION ORGANIZATION

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ASSEMBLY — 32ND SESSION

EXECUTIVE COMMITTEE

Agenda Item 16.2: Mechanism for financial, technical and material assistance to States with regard to aviation security

REPORT ON THE CONTINUING IMPLEMENTATION OF THE MECHANISM FOR FINANCIAL, TECHNICAL AND MATERIAL ASSISTANCE TO STATES WITH REGARD TO AVIATION SECURITY

SUMMARY

This paper presents a report on the implementation of the Mechanism for financial, technical and material assistance to States and its co-ordination with other bilateral and multilateral assistance activities with regard to aviation security. In addition, it also describes the modalities of its financing beyond 1998 and adjustments to the implementation strategy to be applied.

Action by the Assembly is in paragraph 4.1.

REFERENCES

A31-WP/45, EX/13

Doc 9659, A31-EX, Agenda Item 13.3

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 co-ordination by ICAO of an aviation security training programme; and
- c) the provision to Member States, on request, of international security surveys under ICAO auspices.

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 co-operation 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 Council, during the thirty-first meeting of its 127th Session, approved the recommendation of the Committee on Unlawful Interference on the structure and functioning of the new Mechanism. It agreed with the proposed funds-in-trust concept and agreed that this should be part of a more general assistance programme for aviation security which would include all contributions provided by States. The financial contributions were to be made in the form of funds-in-trust without any overhead charges. It was recognized that this Mechanism should constitute one of the components of an integrated aviation security assistance programme which was not to be confined to the procurement of financial contributions only but should also include other technical and material assistance components.

1.2.3 During its 27th Session, the Assembly 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, during its 29th Session the Assembly received a report on the progress made in the implementation of the Mechanism. A further update was given to the 31st Session of the Assembly in A31-WP/45.

## 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 Standards and Recommended Practices (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) co-ordination of an aviation security training programme, providing on-the-job counterpart training and the staging of ICAO-sponsored, topic-focussed workshops and regional and sub-regional training seminars; and

- 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.

## 2. MECHANISM ACTIVITIES

### 2.1 Implementation strategy and major findings

2.1.1 To date one hundred and thirty-one (131) States have requested assistance, of which one hundred and six (106) have received technical evaluation missions. Of the remainder, only seven (7) still require to be visited as the others did not request evaluation and they only require assistance in the training field. In terms of follow-up activities, twenty-nine (29) States have been the subject of missions to monitor progress made with the implementation of recommendations, to provide specific assistance as identified in the technical evaluations and to determine further remedial action. The list of Mechanism Requesting States, reflecting the nature of missions undertaken, is at Appendix A.

2.1.2 In the early stages of implementation, emphasis was placed on the development of long-term strategies, mission profiles, reporting formats and guidance and training materials in order to provide a structure and base for the logical starting point of the programme, the initial technical evaluations in the field.

2.1.3 As the Mechanism progressed and results of initial technical evaluations were analysed, 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, operator), including national legislation;
- b) aviation security training programme development and implementation;
- c) pre-board screening of passengers;
- d) passenger and baggage handling/reconciliation;
- e) control of access and protection of aircraft;
- f) assessment and dissemination of threat; and
- g) contingency planning and management of response to acts of unlawful interference.

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

- a) the development of guidance material and its subsequent dissemination to States;

- b) the identification, co-ordination and promotion, with donor States participation, of the development of regional aviation security training facilities capable of providing a range of AVSEC instruction to States, utilizing training material developed by ICAO;
- c) the development of workshops on specifically focused topics conducted at the regional/sub-regional AVSEC training facilities, or other suitable venues; and
- d) the continuation of the development of Standardized Training Packages (STPs) which comprise parts of the ICAO Training Programme for Aviation Security, subject to the availability of funding.

2.1.5 The results of the analysis of technical evaluation and follow-up mission reports raised in relation to the thirty-six (36) most recently evaluated States as at the end of 1997 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. It should be borne in mind that the majority of these States entered this assistance programme having minimal AVSEC infrastructure and expertise. Whilst many States have strenuously endeavoured to improve their capabilities in this regard, the Mechanism implementation strategy in the future will place greater emphasis on direct practical assistance.

## 2.2 Programme implementation difficulties

2.2.1 Based on the findings of technical evaluations, emphasis thus far has been placed on externally provided 'across-the-board' training by means of formal courses and workshops both within States and centralized regional venues. In this regard States' trainees have received tuition in all aspects of the AVSEC discipline — see Appendix B for data relating to training events. However, it has become apparent that authorities have not been able to retain the trained personnel in positions which would serve to ensure improvements in the individual States' AVSEC posture. As a consequence, the value of continuing with this form of assistance is questionable unless commitments can be obtained from recipient States before they receive any further assistance.

2.2.2 The provision of advice to States on aspects of AVSEC organization and techniques relating to the implementation of Annex 17 provisions (SARPs) during follow-up missions has been found to be costly and not wholly efficient. This is caused by recipient States not using to advantage both the information imparted during the initial technical evaluation mission and relevant report, as well as knowledge and skills gained through training.

## 2.3 Establishment of regional/sub-regional AVSEC training facilities

2.3.1 With a view to developing national training capabilities and to assure courses based on ICAO material can be staged with limited instructional assistance from Headquarters for a period and thereafter independently, it was decided to locate regional and sub-regional AVSEC training centres within already established training schools. Such infrastructure and organization could better provide the basis for AVSEC training initiatives in consistent teaching environments. Accordingly, with the assistance of donor States, centres have been approved in Amman, Brussels, Casablanca, Dakar, Kyiv, 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.

2.3.2 To ensure training standards are maintained and sound levels of co-operation and co-ordination are achieved between all regional/sub-regional facilities, ICAO will prescribe and monitor the implementation of AVSEC training policy. In collaboration with donor States, ICAO will endeavour 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 STPs.

#### 2.4 Short-term experts

2.4.1 In order to augment the human resources available within the Aviation Security and Facilitation (S&F) Branch 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. This comprises one hundred and fourteen (114) STEs, drawn from Australia, Belgium, Canada, France, Germany, New Zealand, Spain and United States, representing some 48.5 work-months over the reporting period.

#### 2.5 Co-ordination by ICAO of AVSEC Assistance Programmes

2.5.1 When implementing the Mechanism, care is taken to ensure that efforts are co-ordinated with other assistance initiatives where possible, particularly bilateral or multilateral assistance programmes from individual donor States and UNDP-funded projects executed by ICAO, in order to ensure there is no duplication of effort. This co-ordinating role has continued with ICAO entering into formal agreements with a number of States (Belgium, France and Germany) whereby financial resources are placed at the disposal of ICAO to co-ordinate and implement specific assistance programmes to a number of States in accordance with established criteria mutually developed between the donor State(s) and ICAO.

#### 2.6 Future Implementation Strategy

2.6.1 At a co-ordination meeting between ICAO and Mechanism donor States held in Bled, Slovenia on 20 October 1997, it was agreed that the Mechanism, whilst playing a fundamentally important role in ICAO's AVSEC activities, requires its implementation strategy to be adjusted. The meeting therefore identified, on the basis of recognized weaknesses, the following features for change:

- a) to increase the effectiveness of the Mechanism, the programme activities should focus on a thorough implementation of Annex 17 Standards and Recommended Practices. Training initiatives must therefore be designed to reinforce the efforts to enhance States' compliance with Annex 17 provisions;
- b) to improve the efficiency of the Mechanism, the activities of which must be amenable to assessment, a formal commitment by recipient States to accept the advice proffered during technical evaluations and to give effect to recommended remedial actions with defined time frames as contained in the evaluation report should be assured, before any further assistance can be provided;
- c) to correct the deficiencies identified during the technical evaluation mission, each State should be required to submit an appropriate action plan to ICAO. Since the remedial action will in most cases require further ICAO assistance, training initiatives will undoubtedly assist in the achievement of this goal;

- d) to measure the results of the assistance provided a follow-up programme should be developed to verify the status of implementation of the recommendations contained in the evaluation reports and action plans submitted by recipient States;
- e) to ensure commonality of purpose and consistency in the interpretation of results, standardized procedures should be further elaborated within the S&F Branch to evaluate, report, record and propose remedial actions; and
- f) the training fellowship funding policy should be re-evaluated. The scarcity of funds dictates variations in the funding of training events could include the award of full fellowships, reduced fellowships, fellowships only on request, attendance at States' expense (travel/per diem), and the payment by attending States of limited staging charges for events.

### 3. POST-1998 FUNDING

3.1 The Council at the second meeting of its 145th Session accepted the recommendation of the UIC to extend the Mechanism in its present form until the end of 1998. At the nineteenth meeting of its 145th Session the Council also accepted the proposal of the Secretary General for an allocation of US\$ 158,000 in the Programme Budget 1996, 1997 and 1998 to supplement voluntary contributions with regard to general operational expenses for the implementation of the Mechanism. Provision has been made in the Programme Budget 1999, 2000 and 2001 to maintain this same level of financial support.

3.2 Presently the Security Implementation and Assistance Section (SIA), tasked with responsibility for the implementation of the Mechanism, comprises five (5) Professional Officers: funded by France (one post), United Kingdom (two posts) and United States (two posts). Two (2) General Service posts, providing administrative support to the Mechanism, are funded by the Regular Programme budget. In addition, Professional staff from the Security Specifications and Guidance Material (SGM) Section provide technical support in the form of training and guidance material development. For details of overall voluntary contributions to the Mechanism, see Appendix C.

3.3 With reference to the funding of the SIA Professional posts beyond 1998, the United States has extended its Memorandum of Co-operation with ICAO until September 2000, thus continuing the funding of two (2) posts. The United Kingdom has committed to funding one post to at least up to the end of March 2001. France has extended its Protocol with ICAO until January 2001 and is funding the provision of one Professional for a period of three years, up to the end of September 2000.

3.4 The continuing development of the ICAO Training Programme for Aviation Security within the Mechanism is dependent on voluntary financial contributions specifically for the task and the level of revenue generated by the sales of each STP. As demonstrated by sales of the initial STP (in excess of US\$ 43,000), this ICAO initiative has the potential to become self-sustaining. Costs associated with the translation of the next five (5) STPs are reflected in Appendix D.

4. **ACTION BY THE ASSEMBLY**

4.1 The Assembly is invited to:

- a) note the progress made in the implementation of the Mechanism for financial, technical and material assistance to States with regard to aviation security; and
- b) endorse the continuing implementation of the Mechanism until the end of 2001 as outlined in part 3.

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**APPENDIX A**  
**MECHANISM REQUESTING STATES**  
**REFLECTING NATURE OF MISSIONS UNDERTAKEN**

<b>Asia and Pacific Region</b>				<b>22</b>	<b>13</b>	<b>1</b>	No. States   visited   follow-up
Bangladesh	TE	Cambodia	TE				Sri Lanka TE
Malaysia		Micronesia, Fed States of					Viet Nam TE
Tonga		Indonesia	TE				Cook Islands
Vanuatu	TE	Nepal	TE				Nauru
Bhutan	TE	Philippines					[ Tuvalu ]
China	TE FU	Lao People's Dem. Rep.	TE				Papua New Guinea
Maldives	TE	Solomon Islands	TE				
Thailand		Fiji	TE				
<b>Eastern and Southern African Region</b>				<b>21</b>	<b>21</b>	<b>6</b>	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				Malawi TE
Madagascar	TE	Botswana	TE				Eritrea TE
Mozambique	TE FU	Swaziland	TE				Comoros TE FU
Rwanda	TE	Angola	TE				
Zimbabwe	TE	Mauritius	TE FU				
Zambia	TE	Seychelles	TE				
<b>European and North Atlantic Region</b>				<b>19</b>	<b>14</b>	<b>1</b>	No. States   visited   follow-up
Romania	TE	Kazakhstan	TE				Albania TE
Algeria	TE FU	Belarus	TE				Tunisia
Estonia	TE	Georgia	TE				Azerbaijan
Latvia	TE	Greece	TE				Armenia
Moldova	TE	Hungary					Turkmenistan
Morocco	TE	Tajikistan	TE				
Ukraine	TE	Lithuania	TE				
<b>Middle East Region</b>				<b>13</b>	<b>7</b>	<b>1</b>	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					
<b>North, Central American and Caribbean Region</b>				<b>21</b>	<b>17</b>	<b>5</b>	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 FU				Antigua & Barbuda TE
El Salvador	TE FU	Turks & Caicos Islands (U.K.)					
St Vincent & Grenadines	TE	Montserrat (UK)					
Haiti	TE FU	Guatemala	TE				
<b>South American Region</b>				<b>12</b>	<b>12</b>	<b>4</b>	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				
<b>Western and Central African Region</b>				<b>23</b>	<b>22</b>	<b>12</b>	No. States   visited   follow-up
Benin	TE FU	Zaire	TE				Cape Verde TE
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				Mauritania TE
Gabon	TE FU	Cameroon	TE				Guinea Bissau TE
Gambia	TE	Burkina Faso	TE FU				Liberia
Nigeria	TE	Senegal	TE FU				

as at 30 June 1998	States having requested Assistance	131	
	States evaluated	106	TE
	States having received a follow-up mission	29	FU

[ Non-Contracting State ]

**APPENDIX B**  
**MECHANISM TRAINING EVENTS**

November 1990 - June 1998

Type of Training	Venue	Events	Participants	Fellowships	States
Basic Aviation Security	Nairobi, Kampala, Entebbe	3	77		2
Pre-Board Screening	Nairobi (2), St-Lucia	3	87		3
Equipment Maintenance	Nairobi	1	9		1
In-Flight Security	Bangkok, Colombo, Dalian, Mauritius, Nairobi, Shanghai	6	145		5
National Programme Development	Budapest, Cairo, Mexico City, Montevideo, Nairobi (2), Niamey, Penang, Mauritius, Dakar	10	206	135	86
National Programme Follow-up	Cairo, Penang, Port of Spain, Quito, Windhoek, Brussels	6	112	81	49
Instructors' Course	Auckland, Cairo, Casablanca (2), Dakar (3), Eskisehir, Kyiv, Moscow (2), Nairobi (5), Niamey(2), Penang (2), Port of Spain (2), Warsaw, Windhoek, Asmara, Mauritius, Athens, Quito (2), Lebanon, Brussels,	32	559	278	102
Management	Bangkok, Banjul, Casablanca, Nadi, Nairobi (2), Panama, Penang (2), Port of Spain (2), Cairo, Mauritius, Dakar (3), Quito, Brussels	18	504	292	106
Crisis Management	Casablanca (2), Dakar (4), Mexico City, Nairobi, Penang (2), Quito, Warsaw, Mauritius, Amman, Kyiv	15	355	209	96
Security Exercise	Brisbane, Casablanca	2	48	32	20
<b>November 1990 - June 1998</b>					
<b>TOTAL</b>		<b>96</b>	<b>2102</b>	<b>1027</b>	

Number of ICAO States which have attended at least one ICAO AVSEC training event : **144**

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APPENDIX C

MECHANISM CONTRIBUTIONS

	Dedicated Trust Funds						General Trust Fund															
	Belgium Trust Fund	Belgium Kenya Uganda	France	France Protocole	Germany	Morocco	US	Japan	Switzerland	Australia	UK	France	Finland	Russia	Saudi Arabia	Turkey	Greece	India	Netherlands	New Zealand	Suriname	
1 989																						
1 990			188 435		223 498		100 000		51 376				18 257		15 168		18 167	10 000				
1 991	86 000		118 844		140 978		100 000		21 591													
1 992		588 196	58 572		68 858		100 000		12 229				12 732									
1 993	87 142				35 070		150 000	94 524	8 769						14 450	20 000		3 977	13 378			
1 994	171 000			181 034			100 000			57 065	51 000											
1 995				200 000			100 000															
1 996	196 148			230 769			100 000		11 000													
1 997				349 667			100 000		12 000					30 000								
1 998				383 333		30 000 *	100 000														9 800	8 600 *
	540 290	588 196	365 851	1 344 804	468 404	30 000	850 000	94 524	93 965	80 065	51 000	41 620	30 989	30 000	29 618	20 000	18 167	13 977	13 378	9 800	8 600	

Total Dedicated Trust Funds 3 337 545

Total General Trust Fund 1 385 703

\* pledged

Total of Contributions (excluding salaries) 4 723 248

SUMMARY OF FINANCIAL INPUTS (including Salaries)

June 98	Programme	Salaries	TOTAL	% TOT
Belgium	1 128 486		1 128 486	13,4%
France	1 752 275	582 158	2 334 433	27,8%
Germany	468 404		468 404	5,6%
US	850 000	1 264 850	2 114 850	25,1%
UK	51 000	1 669 384	1 720 384	20,5%
Canada		169 447	169 447	2,0%
Morocco	30 000		30 000	0,4%
Japan	94 524		94 524	1,1%
Switzerland	93 965		93 965	1,1%
Australia	80 065		80 065	1,0%
Others	174 529		174 529	2,1%

4 723 248 3 685 839 8 409 087

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**APPENDIX D**

**ICAO TRAINING PROGRAMME FOR AVIATION SECURITY  
TRANSLATION COSTS OUTSTANDING  
(US DOLLARS)**

<b>TITLE</b>	<b>MODULES</b>	<b>COST PER LANGUAGE VERSION*</b>	<b>TOTAL COST ALL LANGUAGES</b>
123/AIRLINE SECURITY	151	120,000	480,000
123/CARGO	10	8,000	32,000
123/SUPERVISORS	12	9,500	38,000
123/AWARENESS	9	7,250	29,000
123/SYSTEMS TESTING	10	8,000	32,000
<b>GRAND TOTAL</b>		<b>152,750</b>	<b>611,000</b>

\* Denotes 5,300 words/module multiplied by UN translation rate of US \$150/1,000 words.

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