



WORKING PAPER

ASSEMBLY — 40TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 12: Aviation Security - Policy

**ENHANCING GLOBAL AVIATION SECURITY THROUGH EVIDENCE-BASED
RISK-INFORMED DECISION-MAKING**

(Presented by Canada, on behalf of Australia, Jamaica, Japan, New Zealand,
Singapore, United States, Global Express Association, International Air
Transport Association, International Federation of Air Line Pilots' Associations)

EXECUTIVE SUMMARY

The integration of Outcome-Focused and Risk-Based principles into the fabric of an organization and its aviation security programs is both complex and continually evolving.

To support the priority objectives of the International Civil Aviation Organization's Global Aviation Security Plan, the sharing of such experiences, with the global community, and developing tangible methods to further recognize and integrate such practices, principles and policies is central to: further enhancing global aviation security; strengthening security culture and awareness; promoting evidence-based, risk-informed decision-making; and providing for a more sustainable and innovative global aviation security ecosystem.

Action: The Assembly is invited to consider the Actions contained in paragraph 4.1.

<i>Strategic Objectives:</i>	This working paper relates to the Security and Facilitation Strategic Objective.
<i>Financial implications:</i>	The activities referred to in this working paper will be undertaken subject to the resources available to Member States, Organizations and Industry and subject to resources in the International Civil Aviation Organization 2020-2022 Regular Programme Budget.
<i>References:</i>	UNSCR 2309 – <i>Threats to international peace and security caused by terrorist acts: Aviation Security</i> (2016) A39-18 – <i>Consolidated Statement on Continuing ICAO Policies Related to Aviation Security</i> AVSECP/22 thru 30 – Yellow Cover Final Reports <i>Global Aviation Security Plan</i> (Doc 10118) Key Priorities: Enhance risk awareness and response, and Develop security culture and human capability. <i>Report of the Second High-level Conference on Aviation Security</i> (Doc 10123) <i>Report of the High-level Conference on Aviation Security (2012)</i> (Doc 9990)

1. INTRODUCTION

1.1 ‘Outcome-focused’ (OF) and ‘risk-based’ (RB) are frequently used terms or concepts in civil aviation, including in aviation security. Over the years, the International Civil Aviation Organization (ICAO), Member States and industry partners have recognized the complexity of the aviation security environment and the interrelated activities required to achieve a secure transportation system.

1.2 It has been well over a decade since OF/RB principles were first introduced at ICAO fora that have resulted in High Level Aviation Security Conference and Aviation Security Panel conclusions and outcomes, and Assembly Resolution 39-18. OF/RB principles and practices are further promoted and enshrined as part of the Global Aviation Security Plan (GASeP), in two of the five key global priorities: Enhance risk awareness and response, and Develop security culture and human capability.

1.3 For example, A39-18 - Consolidated statement on continuing ICAO policies related to aviation security, *“Encourages Member States pursuant to their domestic laws, regulations and aviation security programmes, and in accordance with applicable Standards and Recommended Practices (SARPs) and the capacity of each State, to promote the implementation of aviation security measures in a practical manner to define aviation security measures that are risk-based, appropriate and proportionate to the threat, effective, efficient, operationally viable, economically and operationally sustainable, and take into account the impact on passengers and on legitimate trade.”*

1.4 Notably, the ICAO High-level Conference on Aviation Security (HLCAS), 2012 *“encouraged ICAO Member States and industry stakeholders to adopt a risk-based approach to aviation security; and requested ICAO and its Member States to consider developing a more outcomes-based approach when regulating aviation security, as this would help them better define the security objectives of their measures.”*

1.5 Further, the GASeP key priority to ‘enhance risk awareness and response’ also highlights that *“understanding risk is essential for policies and measures to be effective, proportionate and sustainable”*. Enhancing aviation security outcomes requires a sound understanding and knowledge of risk and a regime that is responsive to and addresses security risks.

2. RISK-INFORMED EVIDENCE-BASED DECISION MAKING LEADS TO OUTCOME-FOCUSED / RISK-BASED APPROACHES

2.1 All organizations, regardless of size and complexity, need to be able to identify, analyze, and prioritize security-related issues so that aviation security policies and security mitigations are developed and implemented based on risk, while ensuring they are effective, proportionate, and responsive and that they balance the impact on passengers and on legitimate trade.

2.2 Additionally, critical to achieving the intended security outcome, is ensuring the linkages and inter-dependencies, between the various stakeholders who are responsible to implement the policies and security measures, are proactively identified and engaged.

2.3 It is becoming increasingly common practice for ICAO, Member States and industry partners to explore, and to integrate evidence-based, risk-informed decision-making into their organizational frameworks and aviation security programs. Such practices require timely and relevant

data that carefully weigh risk, security objectives, planning and decision making so that the intended outcomes can be met. Applying such OF/RB principles ensures that :

- relevant data is collected and analyzed;
- risks, gaps and vulnerabilities are identified and assessed through the conduct of regular risk assessments;
- appropriate action is taken to monitor and address changes in risks and vulnerabilities in the most practical manner and with optimal use of resources;
- planning and resource allocation is prioritized from highest to lowest risk;
- policies and regulations are developed and are responsive to the dynamic aviation security environment, and effectively mitigate risks to the greatest degree practicable; and
- in the case of ICAO and Member States, that regulatory interventions and oversight activities ensure the intended outcomes are achieved across the national and global security eco-system.

2.4 Integrating and applying OF/RB principles into the fabric of an organization and its programs promotes evidence-based, risk-informed decision-making, innovation, stronger security culture and a more risk-responsive aviation security regime. This in turn helps ICAO, Member States and industry partners develop effective and sustainable measures to prevent acts of unlawful interference with civil aviation. Further, such principles when adopted, form a core component in helping achieve two of the five GASeP priorities: Enhance risk awareness and response, and Develop security culture and human capability.

3. WAY FORWARD

3.1 The complexity and dynamic nature of aviation security, and the varying risk environments from region to region necessitate further integration of OF/RB principles. ICAO programs and practices, Annex 17 SARPs, Doc 8973, and Member States' National Civil Aviation Security Programme would benefit from further integration of such principles, to the extent practicable, recognizing that some SARPs may require a greater degree of prescription where evidence warrants.

3.2 ICAO, Member States, and industry partners with knowledge and practical experience in designing, implementing, maintaining and evaluating OF/RB practices, principles and policies into their organizations and their aviation security programs, can and should be leveraged to the extent possible. These experiences and knowledge will directly contribute to further enhancing global aviation security, strengthening security culture and awareness, promoting evidence-based, risk-informed decision-making, and providing for a more sustainable and innovative global aviation security ecosystem.

4. **PROPOSED ACTION BY THE ASSEMBLY**

4.1 The Assembly is invited to:

- a) recall the conclusions and outcomes of High-level Conference on Aviation Security 2012 and 2018, Aviation Security Panels, Assembly Resolution A39-18 and United Nations' Security Council Resolution 2309, in respect of Outcome-Focused and/or Risk-Based principles and measures;
- b) encourage Member States, the International Civil Aviation Organization Secretariat, and industry partners to promote and share practical experiences, as outlined in paragraph 3.2, in respect of the design, implementation and maintenance of organizational frameworks, National Civil Aviation Security Programmes and aviation security programs, as appropriate; and
- c) direct the Council to task the Aviation Security Panel, as well as the International Civil Aviation Organization Secretariat, to advance risk awareness and response by developing tangible methods to further recognize and integrate Outcome-Focused and Risk-Based practices, principles and policies that:
 - i. lead to evidence-based, risk-informed decision-making;
 - ii. provide for a stronger security culture; and
 - iii. strengthen the effectiveness, efficiency and sustainability of aviation security programs and practices of ICAO, Member States and industry partners.

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