

**55th CONFERENCE OF
DIRECTORS GENERAL OF CIVIL AVIATION
ASIA AND PACIFIC REGIONS**

*Denarau Island, Nadi, Fiji
22 — 26 October 2018*

**AGENDA ITEM 8: TECHNICAL AND REGIONAL
COOPERATION**

**COOPERATIVE AVIATION SECURITY PROGRAMME –
ASIA PACIFIC (CASP-AP)**

Presented by CASP-AP

SUMMARY

As of 1 July 2018, CASP-AP is entering the final (fifth) year of Phase III (2014-2019). At the 15th Steering Committee Meeting, held in the Maldives a number of current Member States/Administrations provided in-principle support of a further five year extension of CASP-AP from 2019-2024.

This paper outlines the rationale for the extension, the proposed outputs for Phase IV, and transitioning from Phase III to Phase IV. The DP calls upon all APAC non-Member States/Administrations to consider participating in CASP-AP with the commencement of Phase IV (July 2019).

COOPERATIVE AVIATION SECURITY PROGRAMME – ASIA PACIFIC (CASP-AP)

1. INTRODUCTION

1.1 Establishment of CASP-AP

1.1.1 The Cooperative Aviation Security Programme – Asia Pacific (CASP-AP) was set up as a regional cooperative programme under the auspices of ICAO/TCB in 2004, with the participation of 12 States/Administrations (referred to as Members) in the Asia-Pacific (APAC) region and commenced operations in early 2005, and now considers 28 States/Administrations as Members. Collocated with the ICAO APAC Regional Office, CASP-AP was established on the basis of the following:

- (a) ICAO Assembly Resolution A35-9, Appendix C, which called upon Contracting States to substantially enhance cooperation and coordination between them and to intensify their efforts for the implementation of existing SARPs and Procedures relating to aviation security.
- (b) The High-level, Ministerial Conference of February 2002 which concluded inter alia that regional and sub-regional approaches can make a significant contribution to ICAO's aviation security activities.
- (c) The continued need of APAC States and Administrations for assistance in addressing shortcomings in aviation security identified through mandatory audits carried out under the ICAO USAP programme and other related audit programmes.
- (d) The advantages to be gained by the sharing of 'best practices' amongst Programme Members and the utilization of the capacity available in some Member States/Administrations to assist others.

1.1.2 The primary objective of CASP-AP is to ensure compliance with the international aviation security conventions, ICAO Standards and Recommended Practices (SARPs) of Annex 17 and Annex 9, and related guidance material by enhancing the aviation security capabilities of the participating Members. The Programme also aims to achieve a greater degree of harmonization in civil aviation security matters for information exchange, technical assistance, cooperation and coordination, as well as for the training of aviation security personnel.

1.1.3 The strategic objectives of the Programme can therefore be summarized as enhancing the security and efficiency of civil aviation in the Asia/Pacific Region through the adoption and harmonization where appropriate of aviation security legislation and regulations and its oversight procedures in conformity with Annex 17, the security provisions of Annex 9 and the guidance material contained in the Security Manual, ICAO Doc 8973 and the State Aviation Security Oversight Manual ICAO Doc 10047.

2. DISCUSSION

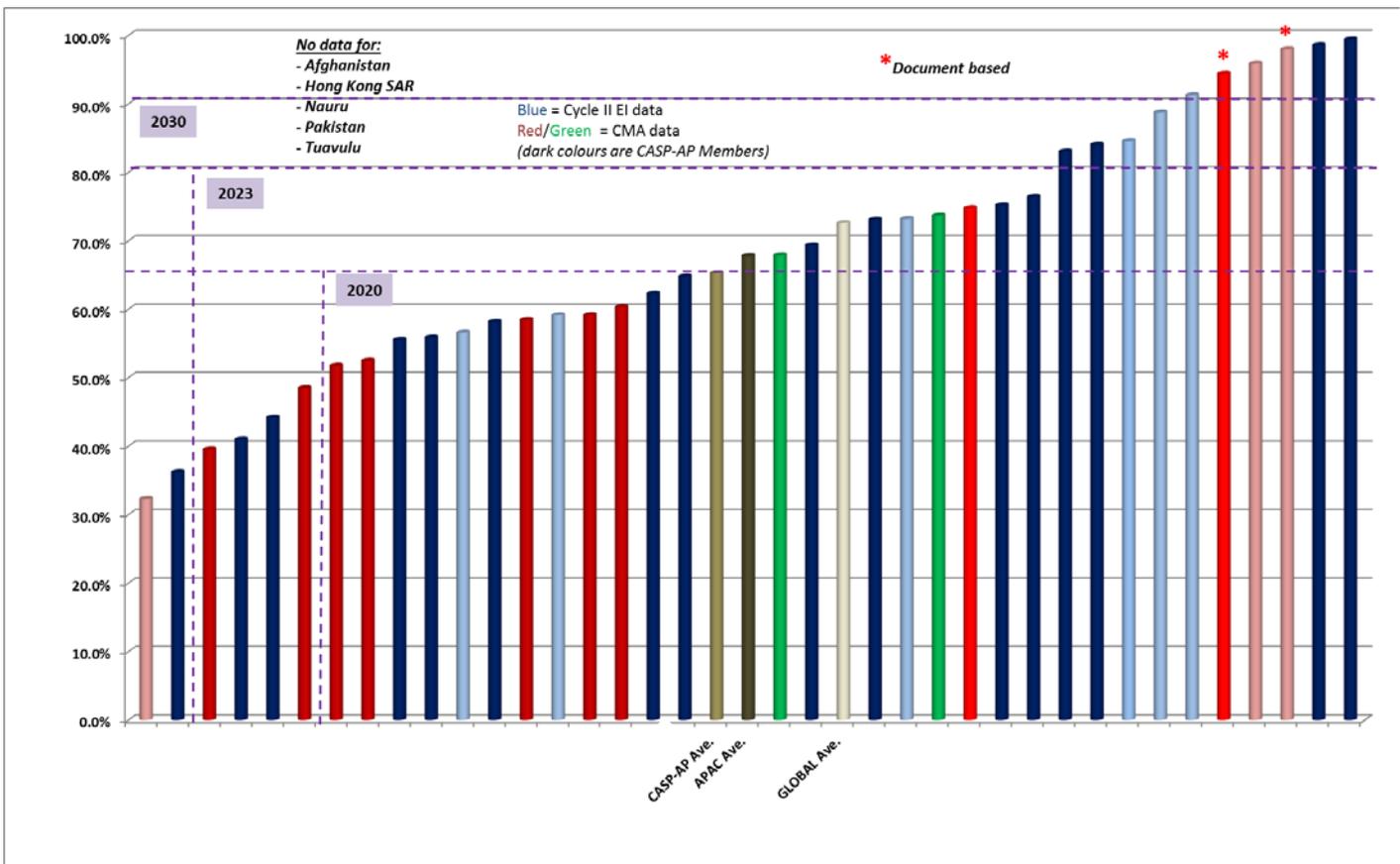
2.1 Justification for Extension

2.1.1 With the ICAO Council adopting the Global Aviation Security Plan (GASeP) in November 2017 to enhance aviation security globally, CASP-AP is able to support participating Member States/Administrations focus on addressing the five strategic priorities. By doing so, CASP-AP will be a key mechanism for participating Members to achieve the aspirational targets of effective implementation. The targets are:

- (a) 80% of States with EI above 65% by 2020
- (b) 90% of States with EI above 80% by 2023
- (c) 100% of States with EI above 90% by 2030

2.1.2 APAC States/Administrations are reminded that GASeP Priority Five (5) focuses on Increased Cooperation and Support, and CASP-AP as a regional cooperative programme can be considered as a key pillar n supporting this strategic outcome.

2.1.3 Many APAC States/Administrations continue to require assistance, to varying degrees, in addressing the shortcomings in aviation security oversight identified by the ICAO USAP Cycle II and CMA audits in aspects related to compliance with Annex 17 (and the security provisions of Annex 9). The following graph illustrates the APAC and CASP-AP Members levels of Effective Implementation (EI), based upon the most recent USAP assessment (Cycle II or CMA). Currently 18 APAC States/Administrations (44%) are still not demonstrating achievement of the aspirational target of 65% EI. The following chart indicates the progress by APAC States/Administrations in relation to GASeP targets.



2.1.4 An analysis of the ICAO USAP results indicates that Members are progressing well in the Establishment Critical Elements 1-3 (Primary Legislation, Secondary Legislation and National Programmes, and Appropriate Authority) of an Aviation Security Oversight System. There is evidence of progress in Establishment Critical Elements 4 and 5 (Personnel Training and Provision of Technical Guidance), however additional capacity building is necessary in these areas to improve USAP results. In respect to the Implementation Critical Elements 6-8 (Certification, Quality Control and Resolution of Security Concerns), performance in these areas requires the focus of capacity building support to increase the effective implementation to the levels observed in CEs 1-3.

2.1.5 During Phase III the programme has been well supported by States/Administrations, evidenced by a nominal 28 Members, of whom 20 have signed the Programme Document, and 24 have made at least one Annual Financial Contribution (AFC) over the five year period (2014-2019) to date. At the 15th Steering Committee Meeting held in the Maldives 1-2 July 2018, nine current Member States/Administrations provided in-principle support for the extension of CASP-AP into a fourth phase.

2.2 **Extension and Transition**

2.2.1 In order to be able to extend CASP-AP for a further five years (2019-2024) a Phase IV Programme Document (ProDoc) must be signed by APAC States and Administrations for Membership. As in all previous Phases, the Programme Document is not considered to be a 'Treaty-level' document, and should be entered into as an agreement to abide by the conditions of a regional cooperative programme.

2.2.2 The draft of the Phase IV ProDoc was open to comment by current CASP-AP Members until August 2019. The structure and format of the document remains largely unaltered from previous Phases, however parts of the content have been amended to reflect progress since Phase III, future directions and focus of the programme and considerations of external influences are taken into account over the period 2019-2024. A key change has been the revision and alignment of Programme outputs under Objective 1 and Objective 2. The outputs have been aligned to reflect the Critical Elements of a State Aviation Security Oversight System, and USAP audit areas. No outputs have been removed; however some have been shifted or merged to a different sub-output. Several new outputs are now included (1.4.1, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.8.1, 1.8.2, 1.8.3, 1.8.4, 1.9.1, 1.9.2, 1.9.3, 2.1.5). A copy of the draft is available for download from the [CASP-AP Group](#) on the ICAO Secure Portal, or request directly from CASP-AP by email (ras04901@icao.int).

2.2.3 The Phase IV ProDoc has been submitted to the ICAO TCB and LEB for review and adjustment in accordance with ICAO ProDoc policies. After the finalization, ICAO will provide a final copy for APAC States/Administrations for consideration and signature. It is anticipated that APAC States/Administrations should be able to sign the document from first quarter 2019.

2.2.4 In order to achieve a seamless transition to Phase IV without disruption to personnel or delivery of capacity assistance activities from the Annual Work Plans, the ProDoc must have approval and signatures from several APAC Member States/Administrations by mid-May 2019.

2.3 **Financing Phase IV**

2.3.1 The proposed expenditure budget for Phase IV for the full five-year period of Phase IV is USD\$2,921,000. This represents approximately 15% increase over the Phase III budget which was USD\$2,537,600. This increase in overall budget however should translate into more cost-effective approach to capacity assistance available to Members, with more than a 15% increase of outputs and activities.

2.3.2 To maintain the viability of CASP-AP, budget expenditures must be met through income. The key source of income for CASP-AP consists of Annual Financial Contributions (AFCs) from Member States/Administrations. Additional income may be made available from donor grants (e.g. Global Affairs Canada - GAC), however this is variable as to the amount and number of years that it is provided.

2.3.3 The current rate for AFCs was set in 2009 based upon Work Bank GNI data. This set the minimum AFC at USD\$15,000 and the maximum at USD\$30,000 per year. The table of AFCs using the 2009 AFC rates has been updated to the latest World Bank data in Attachment 1. There is no proposed increase to AFCs for Phase IV.

2.3.4 Based upon estimated remaining funds of the Programme at the close of Phase III (30 June 2019), and projected Membership of Phase IV, CASP-AP is financially viable for the full five years of Phase IV.

2.4 **CASP-AP Membership**

2.4.1 CASP-AP Membership has observed fluctuations since the inception in 2004, commencing with 12 States/Administrations. This increased to 24 by the end of Phase I, decreased marginally during Phase II, and has steadily increased to 28 during Phase III.

2.4.2 The Member States/Administrations who have been engaged of CASP-AP have received increased support from the programme with additional activities (reflective of increased personnel and financial resources), and have access to extensive guidance and reference materials, and capacity assistance activities (both ICAO and CASP-AP developed). Many of these activities have been able to be delivered within the receiving Member on a sub-regional basis. Where a Member hosts an activity which is open to all Members, they are able to increase participation to 50% of nominations, creating a highly cost-effective mechanism to increase the knowledge and skills of many personnel. In addition Members have received specialized CASP-AP missions to achieve specific aviation security objectives.

2.4.3 Notwithstanding the high level of Membership in the APAC region, when broken down into sub-regions, there are clear differences in the level of States participating in CASP-AP. The following table provides an analysis of CASP-AP Membership by sub-region:

SOUTH ASIA	SOUTH-EAST ASIA	NORTH ASIA	PACIFIC
Afghanistan	Brunei Darussalam	China	Australia
Bangladesh	Cambodia	China Hong Kong SAR	Cook islands
Bhutan	Indonesia	China Macau SAR	Fiji
India	Laos PDR	DPR Korea	Federated States of Micronesia
Maldives	Malaysia	Japan	Kiribati
Nepal	Myanmar	Mongolia	Marshall islands
Pakistan	Philippines	Rep. Korea	New Zealand
Sri Lanka	Singapore		Nauru
	Thailand		Palau
	Timor-Leste		Papua New Guinea
	Vietnam		Samoa
			Solomon Islands
			Tonga
			Tuvalu
			Vanuatu

(Green denotes current recognized Members, red is a non-Member)

2.4.4 Recalling the ICAO stated objective of No Country Left Behind (NCLB) in the GASeP to ensure that the implementation of security SARPs are urgently undertaken globally so that all States have access to the significant socio-economic benefits of safe, secure and reliable air transport, the ICAO APAC region strongly encourages those States in the Pacific sub-region to consider participating in CASP-AP, to access support mechanisms to increase effective implementation.

2.4.5 Noting that the Pacific sub-region also contains many of the UN classified Small Island Developing States; with increased sub-regional membership CASP-AP is able to deliver costs-effective capacity assistance on a more regular basis for the benefit of these States. Due to challenges of inter-State travel within the sub-region, sub-regional activities will be conducted in accessible locations, while Member States will still be able to receive specialized missions from CASP-AP aviation security experts.

3. ACTION BY THE CONFERENCE

3.1 The Conference is invited to:

- a) Acknowledge CASP-AP as an effective regional cooperation mechanism able to support APAC States and administrations work towards achieving the GASeP targets;
- b) Note the in-principle support of current CASP-AP Member States/Administrations for the extension of CASP-AP for a further five years, being Phase IV (1 July 2019 – 30 June 2024);
- c) Note the financial viability of CASP-AP to transition for a further five years from 1 July 2019;
- d) Note the finalization of the Phase IV Programme Document in early 2019 and:
 - i. Urge existing CASP-AP Member States/Administrations to renew commitment to Phase IV; and
 - ii. Encourage all APAC States, in particular from the Pacific sub-region, to participate in CASP-AP for Phase IV.

ATTACHMENT 1

CASP-AP Members Annual Financial Contribution Proposal

The Member States and Administrations of CASP-AP have a diverse spread of socio-economic circumstances. This Contribution Proposal uses the projected costs of CASP-AP Phase IV 2019-2024 and relates this to four groupings of States to determine an Annual Financial Contribution (AFC) for each Member State or Administration. A State/Administration position in these groupings is based on the gross national income (GNI) per capita of the State or Administration accordance with World Bank data.

This approach is being applied to ensure sufficient funds to allow the full implementation of CASP-AP Phase IV Outputs (of Objectives 1 and 2) in an equitable and affordable manner for Members. Programme costs for Phase IV are balanced against projected carry over of budget at 30 June 2019, and potential extension of Donor Grants, which maintains the AFC levels established in 2009 for each grouping. The AFC groupings for Phase IV use a minimum level of USD\$15,000, increasing by \$5000 to reach the final AFC amount of USD\$30,000.

Each year on July 1, The World Bank revises the classification of the world’s economies based on estimates of gross national income (GNI) per capita for the previous year. The updated GNI per capita estimates are inputs to the Bank’s operational classification of economies, which determines their lending eligibility. From 1 July 2017, the World Bank income classifications by GNI per capita are:

- Low income: \$1,005 or less
- Lower middle income: \$1,006 to \$3,95
- Upper middle income: \$3,956 to \$12,235
- High income: \$12,236 or more

Low- and middle-income economies are sometimes referred to as developing economies. The term is used for convenience; it is not intended to imply that all economies in the group are experiencing similar development or that other economies have reached a preferred or final stage of development.

The AFC grouping of States and Administrations by GNI are as follows:

Low Income	USD\$15,000	<i>Afghanistan, DPR Korea, Nepal</i>
Lower middle Income	USD\$20,000	<i>Bangladesh, Bhutan, Cambodia, India, Indonesia, Kiribati, Lao PDR, Micronesia, Mongolia, Myanmar, Pakistan, Papua New Guinea, Philippines, Solomon Islands, Sri Lanka, Timor-Leste, Vanuatu, Viet Nam</i>
Upper Middle Income	USD\$25,000	<i>China, Fiji, Malaysia, Maldives, Marshall Islands, Nauru, Samoa, Thailand, Tonga, Tuvalu</i>
High Income	USD\$30,000	<i>Australia, Brunei Darussalam, China Hong Kong SAR, China Macao SAR, Cook Islands, Japan, Rep. of Korea, New Zealand, Palau, Singapore</i>