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(AVSEC/FAL/RG/3)**

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- Agenda Items**
- 3.1: High-level Conference on Aviation Security**
 - 3.2: Annex 17, AVSEC Panel, AVSEC Manual**
 - 3.3: Annex 9, FAL Panel, Facilitation Manual**
 - 3.4: Universal Security Audit Programme**

**AVIATION SECURITY AND FACILITATION DEVELOPMENTS
SINCE THE LAST AVSEC/FAL/RG**

(Presented by ICAO Secretariat)

SUMMARY

This paper highlights recent achievements in strengthening the global aviation security framework in response to the real and evolving threat, with particular emphasis on the major outcomes of the High-level Conference on Aviation Security (HLCAS) held in September 2012. It also describes a number of developments in ICAO's Aviation Security and Facilitation programmes as well as developments in the North American/Caribbean/South American (NAM/CAR/SAM) Regions.

References:

- Report of the HLCAS
- HLCAS Communiqué
- Joint Statement of the ICAO Regional Aviation Security Conference in Caracas, Venezuela (5-6 February 2012)
- A37 Declaration on Aviation Security (embedded in Resolution A37-17)
- Report of FALP/7 (Oct 2012)

***Strategic
Objectives***

*This working paper is related to ICAO Strategic
Objective B.*

1. INTRODUCTION

1.1 In the period since the 37th Session of the ICAO Assembly held in 2010, ICAO has fostered cooperation among Member States and with other stakeholders with the aim of improving aviation security and air transport facilitation, both at the regional and global levels. The High-level Conference on Aviation Security (HLCAS) of September 2012 — ICAO's first global conference dedicated to security topics in more than a decade — showcased this increased level of cooperation.

1.2 A number of steps are being taken to enhance policy, security audit and assistance activities. Recognizing the urgent need to address air cargo vulnerabilities and concerns about insider threat, Annex 17 – *Security* was recently amended on a fast-track basis. The Organization also approved plans for proceeding with a more proactive and risk-based continuous monitoring approach to the security audits of States, while placing greater emphasis on assistance focused on the implementation of State Improvement Plans and enhanced partnerships with donors and regional bodies.

2. 37TH ASSEMBLY DECLARATION

2.1 A series of aviation security conferences were held in all regions during 2011 and 2012 to promote the implementation of the 2010 ICAO Assembly Declaration on Aviation Security. These events, of which five were hosted by States in collaboration with ICAO, encouraged closer cooperation among all stakeholders in addressing security concerns. Participants at the conference for the North American/Caribbean/South American (NAM/CAR/SAM) Regions, hosted by Venezuela in February 2012, underscored the need to work more closely together in response to threats and incidents and agreed on a strategy for enhancing passenger and cargo security throughout the region. Representatives from 20 States of the NAM/CAR/SAM Regions, as well as other regional bodies and international organizations, took part in the event in Caracas.

2.2 All six regional conferences adopted joint statements reflecting the realities and concerns of their respective regions, and calling for concrete actions to collectively and individually strengthen aviation security in accordance with the Declaration. Their positive results laid the foundation for the global conference held in September 2012.

3. KEY OUTCOMES OF HIGH-LEVEL CONFERENCE

3.1 ICAO convened the HLCAS primarily in light of the need to address vulnerabilities and close gaps in the global aviation security framework, such as in the area of air cargo. Chaired by the Minister of the Economy of the United Arab Emirates, the meeting was held at ICAO Headquarters in Montréal on 12-14 September 2012, with more than 700 participants representing 132 States and 23 international and regional organizations. Twenty-four Ministers took part, reflecting the importance that States continue to attach to aviation security.

3.2 The Declaration on Aviation Security and the recommendations of the global High-level Conference have shaped ICAO's aviation security policy and programme direction, particularly in terms of input to the 38th Session of the ICAO Assembly. Following is a brief summary of some of the key outcomes. Further details on the results of the Conference are available at the public website (www.icao.int/meetings/avsecconf/).

3.3 With a view to mitigating the risk, ICAO was called on to expedite the adoption of new Standards and Recommended Practices (SARPs) for air cargo and mail. The Council responded in November 2012 by approving a fast-track Amendment 13 to Annex 17 – *Security*. The revised and new provisions further the implementation of supply chain security measures with special focus on high-risk

cargo as well as common baseline security measures for both passenger and cargo aircraft. The Amendment, which becomes applicable on 15 July 2013, includes a revised and comprehensive Standard for the screening of persons other than passengers because the HLCAS concluded that the vulnerabilities posed by insiders are real and should be addressed on an expedited basis.

3.4 A State letter on Amendment 13 to Annex 17 was issued on 22 November 2012, and Member States were urged to respond by notifying ICAO of their compliance or differences with the amended Annex not later than 15 June 2013.

3.5 To further strengthen cargo and mail security, a set of outcome-based key principles on air cargo and mail security was embraced by the High-level Conference as a comprehensive framework for guiding ICAO and other stakeholders in efforts to secure the air cargo and mail supply chain. The key principles highlight a process for more accurately identifying and securing high-risk cargo.

3.6 States and industry stakeholders were encouraged to adopt a risk-based approach to aviation security, and ICAO and its Member States were urged to focus more intensely on desired outcomes when developing security measures. In this regard, the HLCAS welcomed an initiative by ICAO to periodically issue a global *Risk Context Statement* to provide States with a robust methodology for further developing their own national risk assessments. Noting that risk varies from region to region, the Conference emphasized the need for this living document to take account of the regional context as it is further developed. The *Risk Context Statement* is available at ICAO's secure website.

3.7 In this same vein, the Conference supported the proposal to implement a new approach to the security audit process, whereby a range of audit and other monitoring activities are carried out according to each State's particular situation. While acknowledging the need for flexibility, it agreed that the Universal Security Audit Programme (USAP) should continue under a Continuous Monitoring Approach (CMA), in coordination with regional aviation security oversight activities when appropriate.

3.8 Also recognized was the role that USAP audit information has played — and should continue to play — in targeting technical assistance efforts. The Conference at the same time stressed the need to uphold the principle of confidentiality and recommended that ICAO share general audit results without providing details on State-specific deficiencies.

3.9 Member States were encouraged to share the results of their ICAO audits, in an appropriate and secure manner, so that capacity-building and technical assistance efforts can focus more effectively on critical areas. In collaboration with relevant stakeholders such as regional organizations, States were urged to establish capacity-building partnership agreements.

3.10 The sustainability of aviation security measures emerged as a notable theme, with delegates urging greater attention to passenger satisfaction through the introduction of more efficient security and facilitation processes. The Conference recommended that any development of security-related SARPs take into account the interests of passengers and the need to control the cost of implementing security, in part by focusing on outcomes.

3.11 Given the commitment at the highest level to improve aviation security while minimizing the adverse consequences for airport operations, the Organization intends for the 2014-2016 triennium to pursue a strategic objective giving emphasis to the need for ICAO's leadership in aviation security, facilitation and related border security matters.

4. FACILITATION DEVELOPMENTS

4.1 Amendment 23 to Annex 9 – *Facilitation* became applicable in February 2013. The Amendment focuses on Appendix 13 to Annex 9, and is intended to enhance passenger data sharing and efficient responses to a pandemic or large-scale epidemic.

4.2 The Facilitation Panel concluded its seventh meeting in October 2012 by agreeing on recommendations concerning accessibility to air transport for persons with disabilities, air cargo facilitation, the security of the travel document issuance process and utilization of Advance Passenger Information (API) and Passenger Name Record (PNR) data systems. With regard to persons with disabilities, ICAO guidelines are currently available in English and other language versions will follow.

4.3 The ICAO Council has approved the ICAO Traveller Identification Programme (TRIP) Strategy in order to establish a strategic orientation and key outcomes for ICAO's and States' activities in the travel documents field. The TRIP Strategy emphasizes a holistic approach to identification management in order to maximize security and facilitation aspects. The TRIP Strategy will be considered by the 38th Session of the ICAO Assembly for endorsement.

4.4 ICAO continues to assist Member States on all matters related to machine readable travel documents (MRTDs), including capacity-building activities. At the regional level, the Organization relies on seminars generously supported by host States to promote awareness of MRTD, biometrics and security standards. These events, including a seminar hosted by Venezuela in April 2012, promote best practices for managing secure passport issuance and border control systems. They also emphasize the importance of issuing ICAO Doc 9303-compliant machine readable passports and participating in the ICAO Public Key Directory (PKD).

4.5 Established in 2007, the PKD enhances security by enabling the verification of ePassports by immigration authorities. It provides a mechanism for the secure and timely distribution of public keys and related information required for authentication. The PKD currently has 35 members, including two in the ICAO NACC Region (Canada, United States). Member States are urged to join because of the importance of enhancing cross-border security and air transport facilitation. Further, ICAO Annex 9 recommends that ePassport issuance and participation go hand-in-hand.

4.6 In addition to the regional MRTD seminars held each year, ICAO continues to convene an annual worldwide MRTD symposium at Montréal Headquarters. The ninth MRTD Symposium and Exhibition will take place from 22 to 24 October 2013.

5. USAP DEVELOPMENTS

5.1 ICAO expects to complete the second cycle of USAP audits by the end of 2013, as mandated by the ICAO Assembly. A full and final analysis of the second-cycle audit results (2008-2013), both by region and audit area, will be provided to all States during the 38th Session of the ICAO Assembly in September 2013.

5.2 Following the completion of the current audit cycle, the Programme will transition to a continuous monitoring approach (USAP-CMA). The intention is to fully implement the new methodology beginning in January 2015. During the transition period, Member States are requested to attend regional seminars, sign a new Memorandum of Understanding upon request, submit updates on their implementation of corrective action plans and provide associated information, as required. In some instances they will be invited to participate in USAP-CMA field tests.

5.3 As with the first and second audit cycles, the support of Member States is sought for USAP-CMA. Short- and long-term secondments of aviation security auditors will continue to be essential to the Programme's success.

6. REGIONAL DEVELOPMENTS

6.1 A Cooperative Aviation Security Programme for the Middle East Region (CASP-MID) was established in January 2013 by 13 States in the Middle East. The goal of the newly created CASP-MID is to enhance the implementation of security measures, strengthen compliance with Annex 17 and promote coordination on aviation security matters among Member States. A CASP-MID Programme Coordinator serves as Secretary to the Steering Committee and coordinates programme activities; the inaugural Steering Committee meeting is expected to take place in June 2013.

6.2 With regard to USAP, audits have been conducted in all but one State in the NACC and SAM Regions. The remaining State in the NACC Region will not receive an audit under the current cycle as it is currently the focus of a large-scale ICAO-led assistance effort.

6.3 As of 31 March 2013, USAP had conducted 167 second-cycle audits. The lack of effective implementation of the critical elements of a State's aviation security oversight system is 30.7 per cent globally, compared to 39.2 per cent in the NACC Region and 33.8 per cent in the SAM Region, which indicates there is much room for improvement. States in both regions are encouraged to continue to work to resolve deficiencies identified by the USAP.