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SECURITY & FACILITATION

# Global Developments in Aviation Security and Facilitation

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DGCA/6, Brazzaville, Congo  
2-4 November 2016





## Security and Facilitation:

Enhance global civil aviation security and facilitation

This Strategic Objective reflects the need for ICAO's leadership in aviation security, facilitation and related border security matters.

## Sûreté et facilitation

Renforcer la sûreté et la facilitation de l'aviation civile à l'échelle mondiale.

Cet Objectif stratégique reflète la nécessité du rôle de chef de file de l'OACI en matière de sûreté de l'aviation, de facilitation et pour toutes les questions liées à la sûreté des frontières.

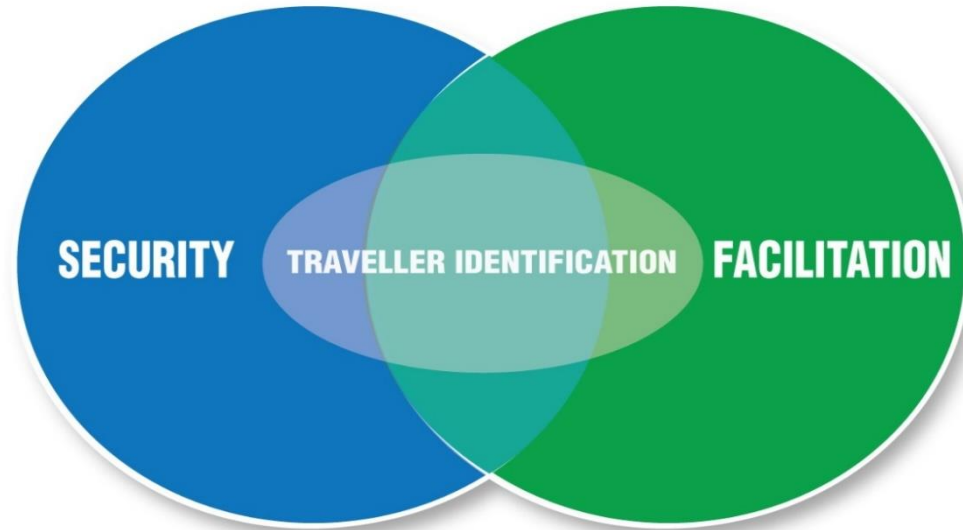


## ICAO STRATEGIC OBJECTIVE: **Security and Facilitation**

- Enhance global civil aviation security and facilitation
- Reflect the need for ICAO's leadership in aviation security, facilitation and related border control matters
  - SECURITY: minimize the number of incidents of unlawful interference and other security-related events with civil aviation, ensure appropriate responses when incidents occur, and reduce aviation security and border integrity risks
  - FACILITATION: maximize efficiency in border control management and other airport processes to expedite clearance and prevent unnecessary delays, resulting in promoting trade, tourism and economic development



- This Strategic Objective reflects the need for ICAO's leadership in aviation security, facilitation and related border security matters

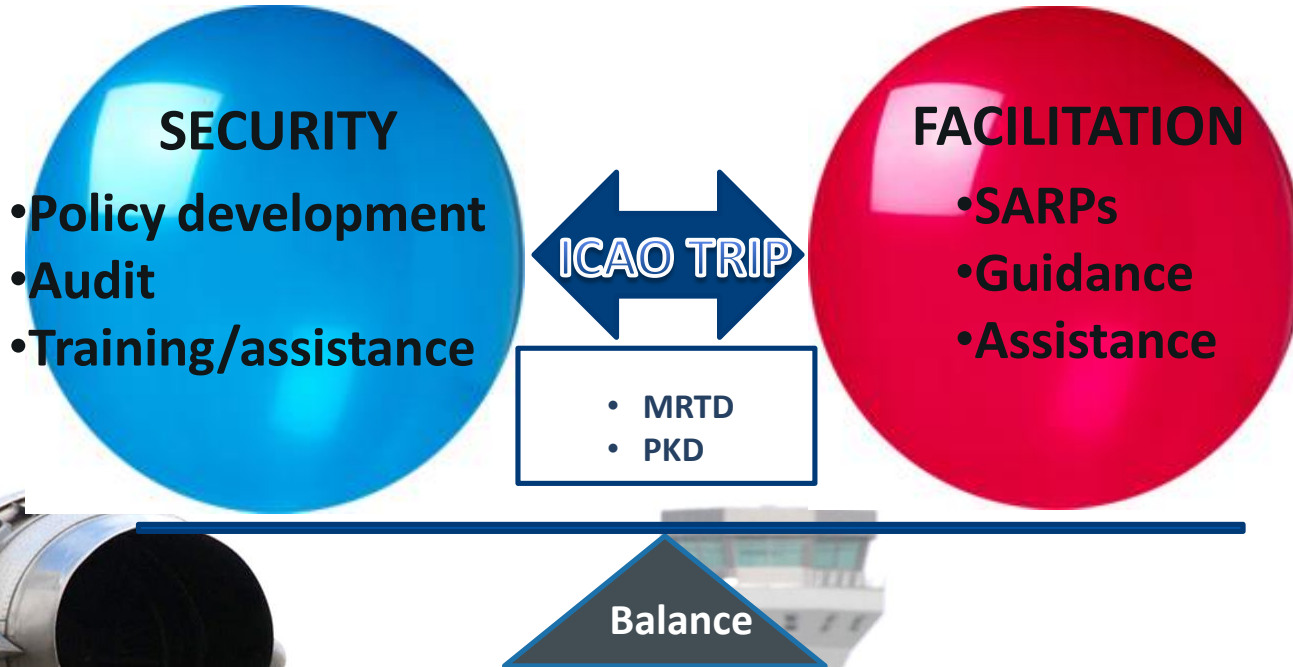




# Balancing Security and Facilitation

*Improving*

*Efficient operations*





# Annex 17: Security (AVSEC)

- Lead and support global efforts to establish sustainable civil aviation security regimes and oversight systems to:
  - prevent unlawful interference with civil aviation;
  - respond effectively to attacks and attempted attacks; and
  - assure the safe and efficient movement of people and goods

“Provide **technical assistance to States** in need, including funding, capacity building and technology transfer to effectively address security threats to civil aviation, in cooperation with other States, international organizations and industry partners.”

37<sup>th</sup> ICAO Assembly, Montreal, October 2010





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# Annex 9: Facilitation (FAL)

*Facilitation is the efficient management of (customs, immigration, health and quarantine) **border control** processes, to expedite clearance (of **aircraft, passengers/crew, baggage and cargo**) and to prevent unnecessary delays*

- Maintain stability of supply chain
- Support economic growth
- Enable sustainable development of air transport
- Maintain security and flight safety

## Annex 9 to the Chicago Convention

- facilitation of landside formalities for clearance of aircraft, passengers, goods and mail
- requirements of customs, immigration, public health and agriculture authorities



## Security and Facilitation: A39 Resolutions

A39-18 Consolidated statement of continuing ICAO policies related to aviation security

A39-18 Exposé récapitulatif de la politique permanente de l'OACI relative à la sûreté de l'aviation

A39-19 Addressing Cybersecurity in Civil Aviation

A39-19: Cybersécurité dans l'aviation civile

A39-20 Consolidated statement of continuing ICAO policies related to facilitation

A39-20 : Exposé récapitulatif de la politique permanente et des pratiques de l'OACI liées à la facilitation





# ICAO and the UN Security Council

Agreement between the United Nations and the International Civil Aviation Organization (13 May 1947)

## *Article VII: Assistance to the Security Council*

The **International Civil Aviation Organization** agrees to co-operate with the **Economic and Social Council** in furnishing such information and rendering such assistance to the **Security Council** as that Council may request, including *assistance in carrying out decisions of the Security Council for the maintenance or restoration of international peace and security*



## UNSC Resolution 2178 (2014)

- “Reaffirms that all States shall prevent the movement of terrorists or terrorist groups by effective border controls and controls on issuance of identity papers and travel documents, and through measures for preventing counterfeiting, forgery or fraudulent use of identity papers and travel documents...”
- “9. *Calls upon* Member States to require that airlines operating in their territories provide advance passenger information (API) to the appropriate national authorities in order to detect the departure from their territories, or attempted entry into or transit through their territories, by means of civil aircraft, of individuals designated by the Committee established pursuant to resolutions 1267 (1999) and 1989 (2011)...”



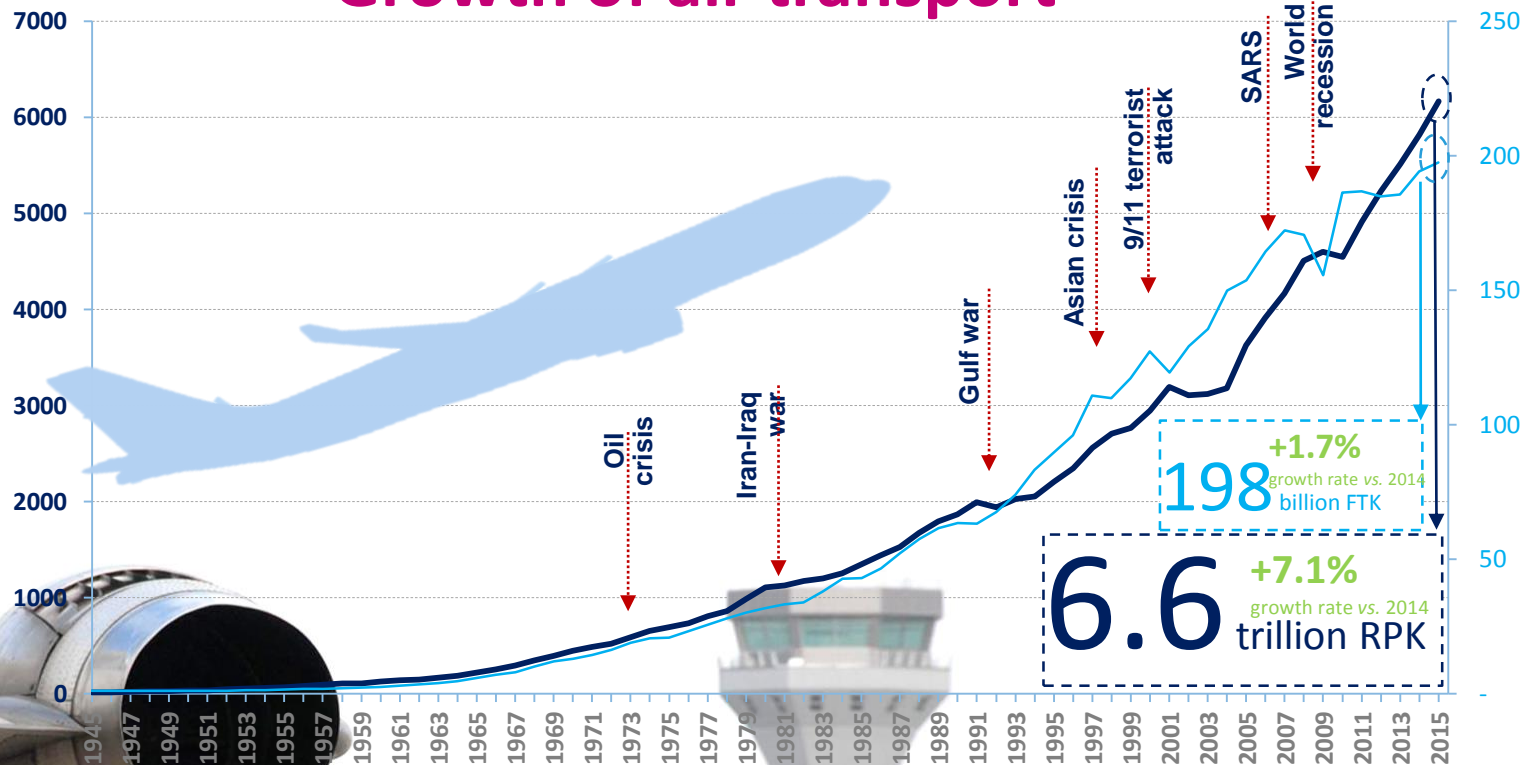
## UNSC Resolution 2309 (2016)

- During a ministerial meeting held on 22 September 2016, on countering the ongoing danger posed by terrorism to civil aviation, the Security Council this morning called on all States to work with each other and the International Civil Aviation Organization (ICAO) to continuously adapt measures to meet that “**ever-evolving global threat**”.

# Growth of air transport

Revenue Passenger-Kilometres  
(billion)

Freight Tonne-Kilometres  
(billion)





- ✈ **40 million flights**
- ✈ **3.5 billion passengers**
- ✈ **51 million tonnes of freight**
- ✈ **Over 1 400 scheduled airlines**
- ✈ **More than 27 000 aircraft**
- ✈ **More than 4 130 airports**
- ✈ **173 air navigation centres**

*Traffic is for scheduled services*



# ICAO and the United Nations Sustainable Development Goals (SDGs)

Read more at: <http://www.icao.int/about-icao/aviation-development/Pages/SDG.aspx>

## ICAO STRATEGIC OBJECTIVES

SAFETY

CAP/EFF

SEC/FAL

ECON  
DEV

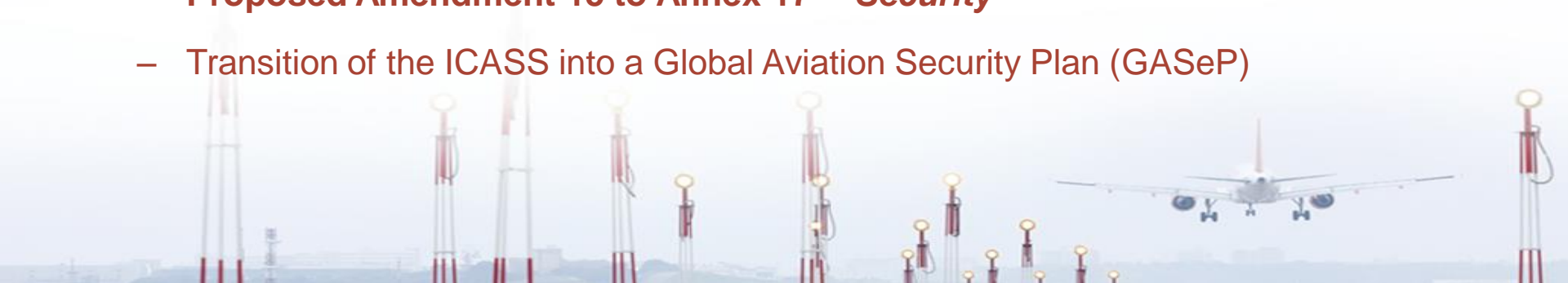
ENV

Goal	Description	SAFETY	CAP/EFF	SEC/FAL	ECON DEV	ENV
Goal 1	End poverty in all its forms everywhere				●	
Goal 2	End hunger, achieve food security and improved nutrition and promote sustainable agriculture					
Goal 3	Ensure healthy lives and promote well-being for all at all ages	●		●	●	●
Goal 4	Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all	●	●	●	●	●
Goal 5	Achieve gender equality and empower all women and girls	●	●	●	●	●
Goal 6	Ensure availability and sustainable management of water and sanitation for all					
Goal 7	Ensure access to affordable, reliable, sustainable and modern energy for all					●
Goal 8	Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all			●	●	
Goal 9	Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation	●	●		●	●
Goal 10	Reduce inequality within and among countries	●	●	●	●	●
Goal 11	Make cities and human settlements inclusive, safe, resilient and sustainable					
Goal 12	Ensure sustainable consumption and production patterns				●	●
Goal 13	Take urgent action to combat climate change and its impacts		●		●	●
Goal 14	Conserve and sustainably use the oceans, seas and marine resources for sustainable development					
Goal 15	Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss			●		●
Goal 16	Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels			●		
Goal 17	Strengthen the means of implementation and revitalize the global partnership for sustainable development	●	●	●	●	●



# Aviation Security Policy

- Aviation Security Panel (AVSECP/27) - Montréal, 14 to 18 March 2016
  - Implications of MH17, Germanwings 9525, Metrojet 9268 and Daallo Airlines 159
  - Emerging risks areas (cybersecurity, RPAS)
  - **Proposed Amendment 15 to Annex 17 – Security**
  - Transition of the ICASS into a Global Aviation Security Plan (GASeP)







# Aviation Security Policy (cont'd)

- Proposed amendment 15 to Annex 17 — *Security*
  - Presented to Council for adoption during its 209th Session in November 2016
  - Envisaged to become applicable in July 2017
  - New/reviewed provisions on behavioural detection, innovation in aviation security, Man-Portable Air Defence Systems (MANPADS), risk assessments, cybersecurity and landside security
  - Existing recommended Practices on landside security will be elevated to Standards
    - Reminder: comments on State letter AS 8/2.1-16/58 had to reach the Secretariat by 9 September 2016



# Aviation Security Policy (cont'd)

- Outcomes of the 39th Session of the ICAO Assembly
  - *Consolidated Statement on Continuing ICAO Policies Related to Aviation Security* adopted as **Resolution A39-18**
  - **Resolution A39-19** reflects a cross-cutting, horizontal approach on *Addressing Cybersecurity in Civil Aviation*
  - **ICASS** extended until GAsEP approval for implementation; request for an accelerated development of **GAsEP**



# Aviation Security Policy

- Outcomes of the 39th Session of the ICAO Assembly (cont'd)
  - **Resolution A39-38** on the *Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa*
  - broad support of the recent **United Nations (UN) Security Council Resolution 2309 (2016)**, on Aviation Security

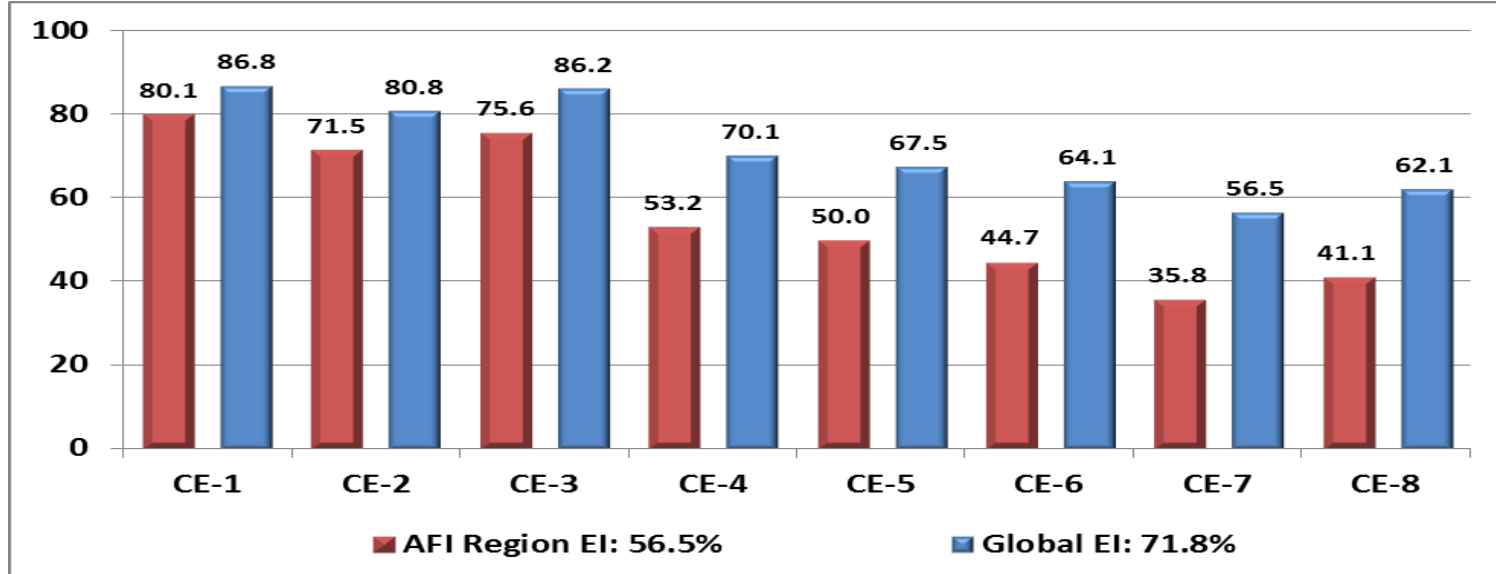


# USAP-CMA

- Activities to date (15 October 2016)
  - 45 audits
  - 3 validation missions to evaluate the resolution of Significant Security Concerns (SSeCs)
  - 5 audits planned in the remainder of 2016
  - AFI Region: 12 States audited under the USAP-CMA so far



# USAP-CMA results



EI: Effective Implementation of the Critical Elements of a State's Aviation Security Oversight system

\*Includes results from both cycle II and USAP-CMA audits



# Implementation Support and Development

- Assistance
  - 21 States are actively engaged in the implementation of an Aviation Security Implementation Plan (ASIP), including 11 States in the AFI Region
  - ASIPs completed in 7 African States
  - 4 ASIPs on hold
  - In addition: 9 States provided with direct assistance



# Implementation Support and Development

- Assistance (Cont'd)
  - Support to various regional aviation security (AVSEC) initiatives
    - Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL Plan)
  - Memorandum of Understanding (MoU) with Airports Council International (ACI)
    - Airport Excellence (APEX) in Security Programme (23/02/2016)



# Implementation Support and Development

- Training
  - 31 Aviation Security Training Centres (ASTCs); recently endorsed:
    - Dublin International Aviation Training Academy (Ireland)
    - Jeddah Saudi Academy of Civil Aviation (Saudi Arabia)
  - 2015: 40 ICAO-sponsored training events offered throughout the ASTC network
    - 521 AVSEC personnel / 105 States
  - As of 30 September 2016, 27 training events offered throughout the ASTC network
    - 392 AVSEC personnel / 77 States





# Implementation Support and Development

- Training (Cont'd)
  - Redevelopment of the ICAO AVSEC Instructors certification process:
    - Two-phase blended approach
  - Re-certification process for the existing cadre of ICAO Aviation Security Instructors:
    - new on-line platform
    - “official” continued endorsement from the State’s appropriate authority required.
  - Validity of certification: 3 years



# Implementation Support and Development

- Training (Cont'd)

- Update of ASTPs:

- Basic
    - Supervisors
    - Air Cargo
    - Mail Security
    - National Inspectors

- Update of workshops:

- National Civil Aviation Security Programme (NCASP)
    - Risk Management

- discontinuation:

- Management ASTP

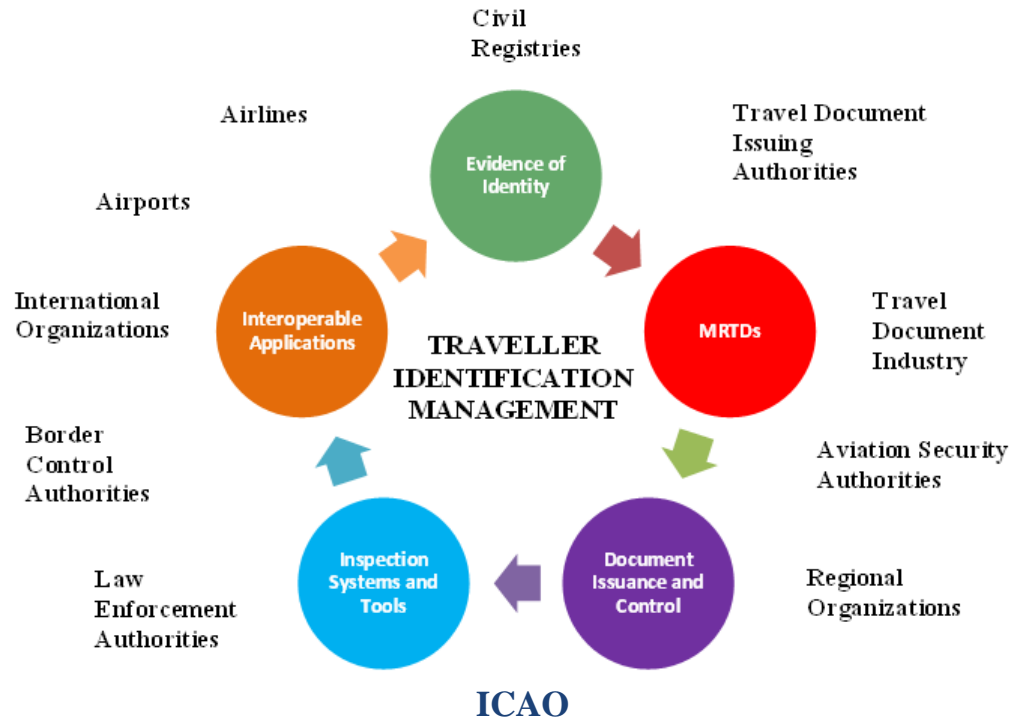
## Traveller identification (TRIP) strategy

- Holistic approach to identification management and travel documents
- Applicable to all mode of transports and borders



- Integrates MRTDs, PKD and other elements of traveller identification management
- Approved by the 38<sup>th</sup> Session of the ICAO Assembly

# Holistic approach to identification management



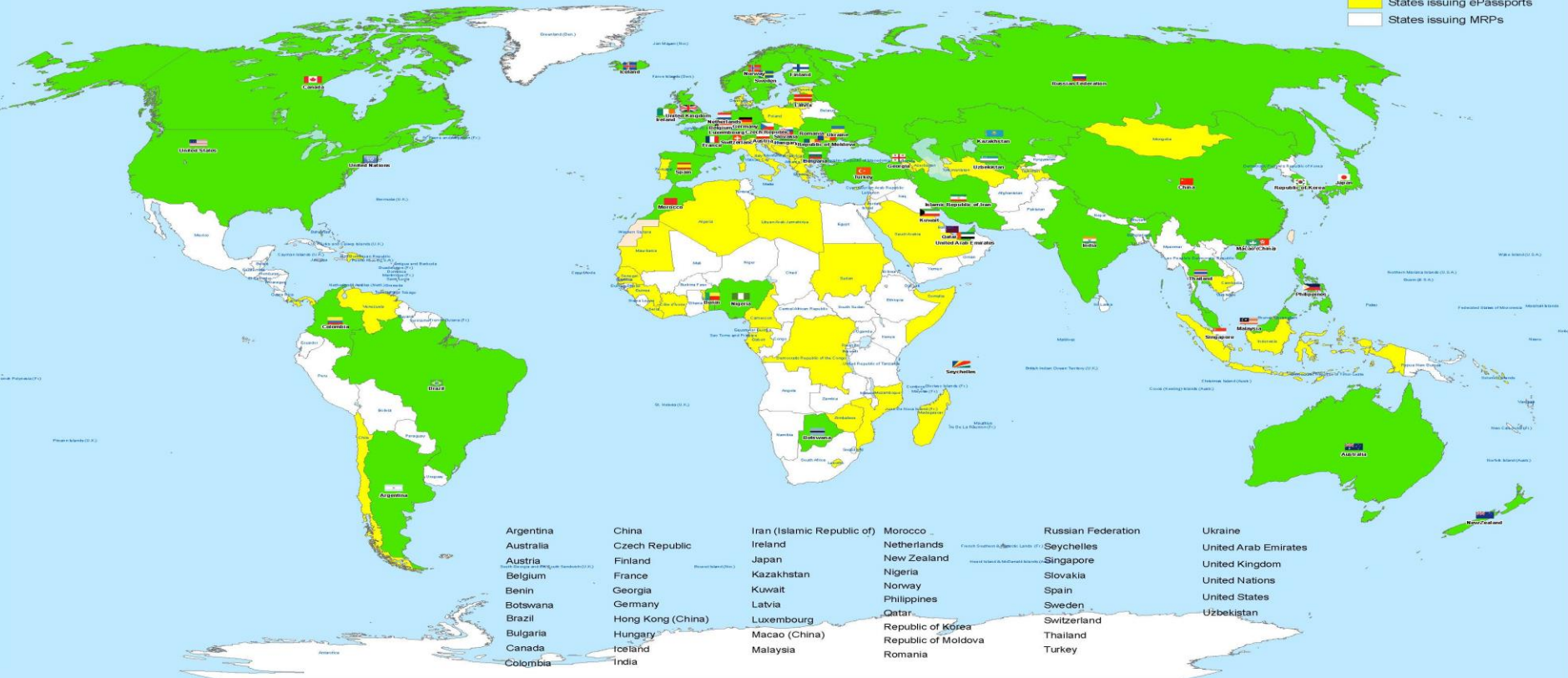


- **MTRD**
- **API**
- **PNR**
- **PKD**
- “Watch lists” Bilateral and multilateral exchanges
- “Trusted” or “expedited” travellers
- **INTERPOL Data Bases**



## 54 PKD Participants and ePassports issuing States

- Legend**
- PKD Participants
  - States issuing ePassports
  - States issuing MRPs





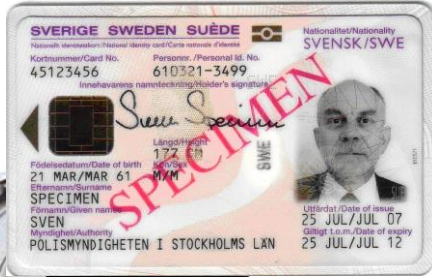
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# Standards and Specifications



Part 2 - Visa

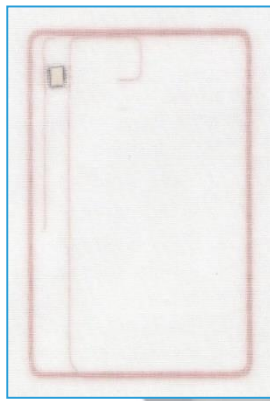


Part 3 - Official Travel Document

## Doc 9303

ISO : SC17 WG3

ISO/IEC 7501



Contactless Chip



Part 1 - Passport ePassport







# ICAO TRIP Global Implementation

- Regional Organizations and Initiatives
- UN Family

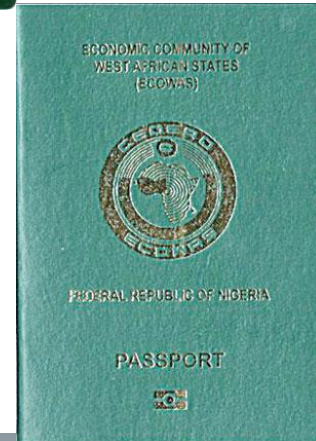
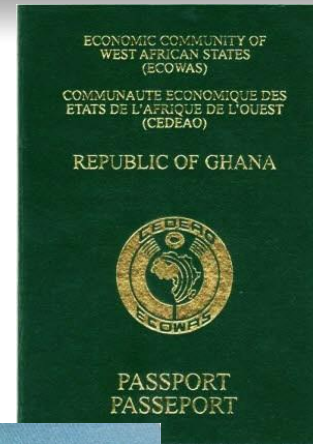
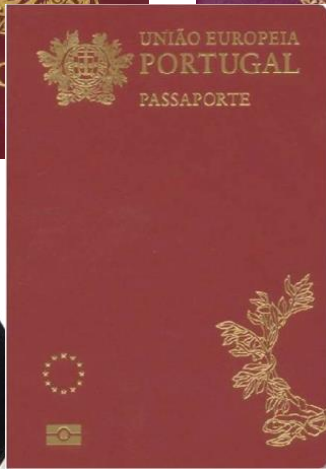
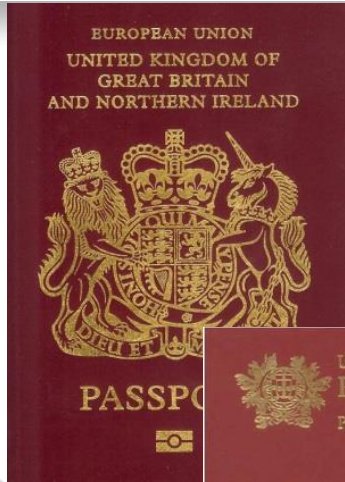




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# Regional Initiatives



ECOWAS - CEDEAO

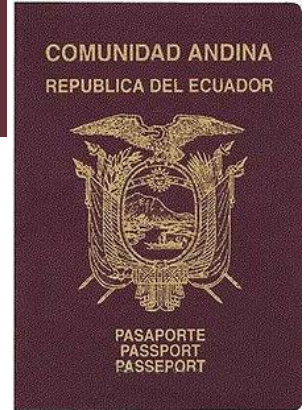
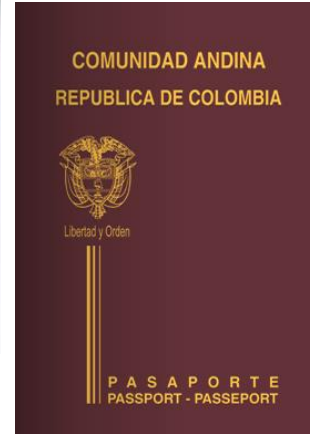
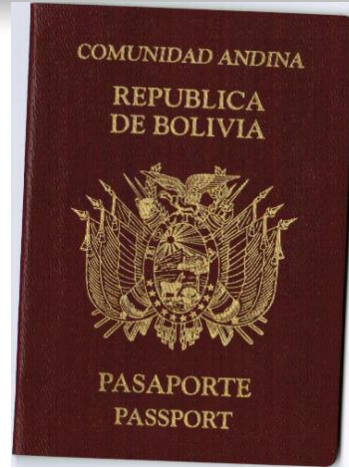
European Union



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# Regional Initiatives



Mercosur

Andean Community



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### Moving Air Cargo Globally

The purpose of this publication is to promote awareness of the air cargo and mail supply chain, with an emphasis on the related security and facilitation procedures developed by the International Civil Aviation Organization (ICAO), the World Customs Organization (WCO), the Universal Postal Union (UPU) and also the United Nations Office on Drugs and Crime (UNODC).

The intent is to provide a better understanding of supply chain security for those who work in the cargo field, and more broadly, anyone who might benefit from knowing more about international air cargo and mail security standards.

This document familiarizes readers with the roles and responsibilities of all entities involved in the transport of cargo and mail by air. It covers the various operational aspects, security factors, facilitation processes and documentation of that supply chain.

The reader will gain an understanding of the applicable regulatory frameworks and efforts made by International Organizations and their members to support information sharing and continued development of a secure air cargo industry. These provisions and activities enhance the movement of goods by promoting effective end-to-end supply chain security.



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Tel.: +1 514-954-8171  
Fax: +1 514-954-4077

[www.icao.int/security/aircargo](http://www.icao.int/security/aircargo)



WORLD CUSTOMS ORGANIZATION

World Customs Organization  
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Email: [information@wcoomd.org](mailto:information@wcoomd.org)  
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[www.wcoomd.org](http://www.wcoomd.org)



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WORLD CUSTOMS ORGANIZATION

### Moving Air Cargo Globally

Air Cargo and Mail Secure Supply Chain  
and Facilitation Guidelines

Second Edition

# Moving Air Cargo Globally ICAO-WCO Joint Publication on Air Cargo Security and Facilitation (Second Edition)

Available for download in six  
languages: Arabic, Chinese,  
English, French, Russian,  
Spanish

[www.icao.int/Security/aircargo/Pages/  
Air-Cargo-and-Mail-Security-and-  
Facilitation.aspx](http://www.icao.int/Security/aircargo/Pages/Air-Cargo-and-Mail-Security-and-Facilitation.aspx)



## ICAO Traveller Identification Programme

Annex 9 –  
Facilitation

Chapter 3: main SARPs related to the TRIP

(TRIP) Strategy

ICAO PKD



Means to enhance security in cross-border movement. Inspection tool for ePassports: verification, validation and authentication of the digital signatures and content of the chip




### Amendment 25 to Annex 9:

**Recommended Practice (RP) 3.9.1:** “Contracting States issuing, or intending to **issue eMRTDs should join** the ICAO Public Key Directory (PKD) and **upload their information to the PKD.**”

**RP 3.9.2:** “Contracting States implementing **checks** on eMRTDs at border controls **should join** the ICAO Public Key Directory (PKD) and **use** the information available from the **PKD to validate** eMRTDs at border controls.”



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# ICAO No Country Left Behind (NCLB) Campaign





- The **No Country Left Behind** (NCLB) campaign highlights ICAO's efforts to assist States in implementing ICAO Standards and Recommended Practices (SARPs).
- The main goal of this work is to help ensure that SARP implementation is better harmonized globally so that all States have access to the significant socio-economic benefits of safe and reliable air transport.

## Aviation Security and Facilitation

- Assist States in the identification of deficiencies in your aviation security system
- Assist States in addressing and solving those deficiencies
- Assist States in enhancing your aviation security and facilitation capabilities





# NCLB Campaign: What can ATB do for States?

## - Aviation Security and Facilitation

- Assist States in the identification of deficiencies in your aviation security system
- Assist States in addressing and solving those deficiencies
- Assist States in enhancing your aviation security and facilitation capabilities



# Cybersecurity

Industry High-level Group (IHLG) Civil Aviation  
Cybersecurity Action Plan – signed December 2014  
(ACI-CANSO-IATA-ICAO-ICCAIA)





## Cybersecurity

The Action Plan establishes clear timeframes for the achievement of goals and targets to facilitate the development of a common understanding of cyber threats and risks, and mechanisms needed to promptly share and communicate related information between government and industry stakeholders

## Cybersecurity

- ✓ Secure repository of cybersecurity-related material  
<https://portal.icao.int/cybersecurity>
- ✓ Draft Assembly Resolution aimed at addressing cybersecurity in civil aviation through a horizontal, cross cutting and functional approach.



## AVSECPaedia

Exchange of information of a sensitive nature, such as screening technologies, between States

ICAO Secure Portal > AVSECPaedia

A screenshot of the AVSECPaedia search interface. It features a navigation bar with two tabs: 'Go To State Page' and 'Combined Query'. Below the navigation bar, there is a search form with a label 'Country:' and a dropdown menu with the text 'Select Country'. To the right of the dropdown menu is a 'Go' button.

Go To State Page Combined Query

Country: Select Country

Go

Introduced in 2011, the AVSECPaedia is a dynamic and collaborative tool that allows States to share their own security information and practices

For more information, e-mail us at  
[avsecpaedia@icao.int](mailto:avsecpaedia@icao.int)



# Acts of Unlawful Interference Database (AUID)

A screenshot of the AUID search interface. It features a search bar with two tabs: 'Basic Search' (selected) and 'Advanced Search'. Below the tabs are several search criteria: 'Period' with 'From' and 'To' dropdowns, 'Category' with 'All Categories', 'Region' with 'All Regions', 'Type of operation' with 'All Operation Type', and 'Source of information' with 'All Information Source'. At the bottom, there is a checked checkbox for 'Show Graphics', a 'Reset' button, and a 'Go' button.

Basic Search | Advanced Search

Period: From to To

Category: All Categories

Region: All Regions

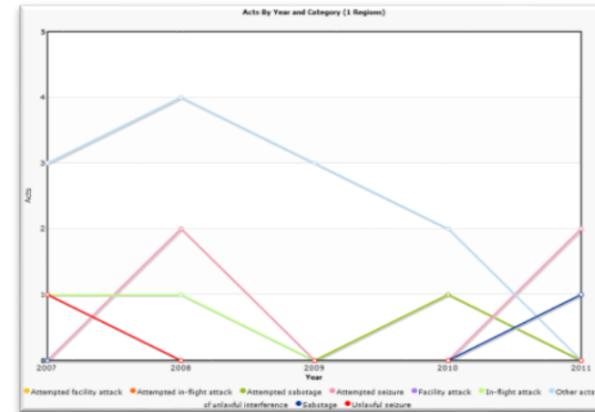
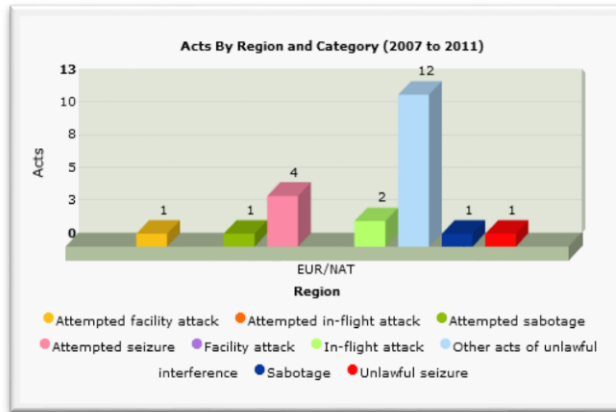
Type of operation: All Operation Type

Source of information: All Information Source

Show Graphics [Reset](#) [Go](#)

The AUID is a secure online database available to all Member States, designed to disseminate information on aviation security incidents in an efficient and effective manner

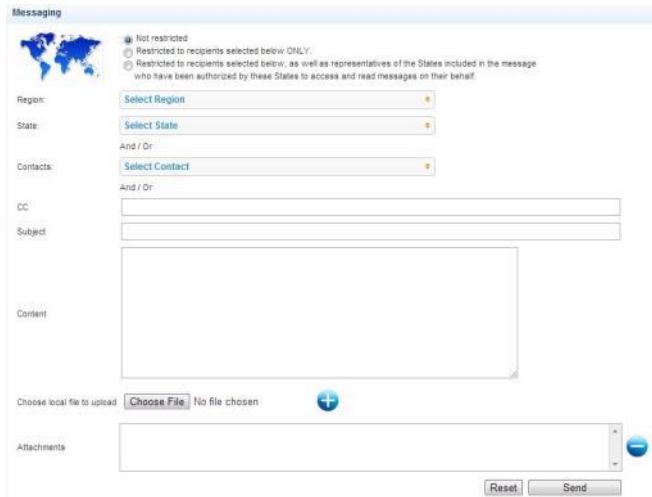
# Acts of Unlawful Interference Database (AUID)



Year	Attempted facility attack	Attempted in-flight attack	Attempted sabotage	Attempted seizure	Facility attack	In-flight attack	Other acts of unlawful interference	Sabotage	Unlawful seizure	Deaths	Injuries
2007	1	0	0	0	0	1	3	0	1	1	0
2008	0	0	0	2	0	1	4	0	0	0	0
2009	0	0	0	0	0	0	3	0	0	0	0
2010	0	0	1	0	0	0	2	0	0	0	0
2011	0	0	0	2	0	0	0	1	0	35	151
<b>Total</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>12</b>	<b>1</b>	<b>1</b>	<b>36</b>	<b>151</b>

-- Graphical and numerical display of AUI data --

# ICAO Point of Contact Network (AVSECNET)



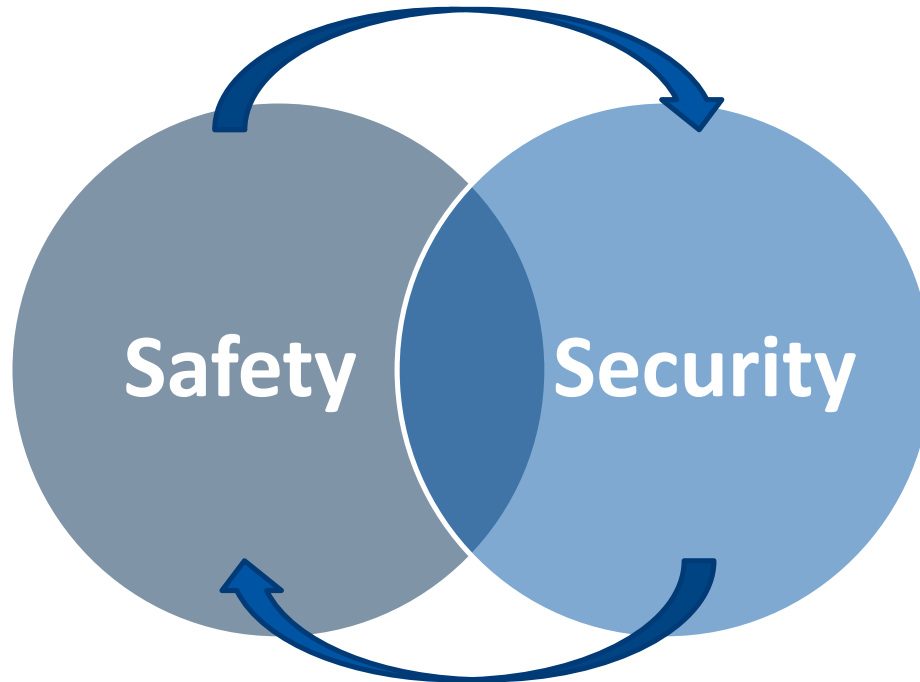
The screenshot shows a web-based messaging interface titled "Messaging". It includes a world map icon and three radio button options for message restrictions: "Not restricted" (selected), "Restricted to recipients selected below ONLY", and "Restricted to recipients selected below, as well as representatives of the States included in the message who have been authorized by these States to access and read messages on their behalf". Below these are dropdown menus for "Region" (labeled "Select Region"), "State" (labeled "Select State"), and "Contacts" (labeled "Select Contact"), each with an "And / Or" label. There are also input fields for "CC", "Subject", and "Content". At the bottom, there is a "Choose local file to upload" section with a "Choose File" button and a "No file chosen" status, and an "Attachments" section with a scrollable list and a minus sign icon. "Reset" and "Send" buttons are located at the bottom right.



Features a built-in messaging system that allows for the secure and rapid exchange of critical information among States, while providing greater controls over who can access such information



# Safety and Security: Convergence and Interdependency





# Safety and Security: Convergence and Interdependency

(non-exhaustive list)

	Safety	Air Navigation	Security & Facilitation
RPAS	✓	✓	✓
Cockpit door	✓		✓
Conflict zones	✓	✓	✓
Cybersecurity	✓	✓	✓
Dangerous goods	✓		✓
Crisis management	✓	✓	✓
Assistance to accident victims	✓		✓



# Action by the meeting

- The AFI DGCA/6 meeting is invited to:
  - note the information contained in this Paper
  - urge Member States and organizations that are providing aviation security assistance to engage ICAO in their activities
  - encourage Member States to make voluntary contributions to further ICAO's aviation security technical assistance and audit activities
  - Urge States to implement the Resolutions of A39



谢谢, Xie Xie

Thank You

شكرا , Shukran

Merci

Спасибо, Spasiba

Gracias





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North American  
Central American  
and Caribbean  
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Mexico City

South American  
(SAM) Office  
Lima

ICAO  
Headquarters  
Montréal

Western and  
Central African  
(WACAF) Office  
Dakar

European and  
North Atlantic  
(EUR/NAT) Office  
Paris

Middle East  
(MID) Office  
Cairo

Eastern and  
Southern African  
(ESAF) Office  
Nairobi

Asia and Pacific  
(APAC) Sub-office  
Beijing

Asia and Pacific  
(APAC) Office  
Bangkok



THANK YOU