



FACILITATION PANEL (FALP)

NINTH MEETING

Montréal, 4-7 April 2016

Agenda Item 6: Other matters

GLOBAL AVIATION FACILITATION PLAN (GAFP)

(Presented by the Secretariat)

SUMMARY

This paper proposes the development of a Global Aviation Facilitation Plan (GAFP) with associated goals and targets that are measurable and reflect the needs of States and Regions.

Action by the FAL Panel:

Action by the FAL Panel is proposed in paragraph 6.

References

A38/WPs 3 and 11
Annex 9 – *Facilitation*
DOC 9303 – Machine Readable Travel Documents
Doc 10022 – Assembly Resolutions in Force (as of 4 October 2013)

1. INTRODUCTION

1.1 Since the beginning of the 1980s, ICAO's leadership and activities in travel documentation policy and operational matters have made a significant contribution towards the enhancement of aviation security and facilitation—notably through uniform and progressive development of travel document Standards and Recommended Practices (SARPs), guidance material and providing assistance to States in the implementation of effective and efficient travel document and border control systems.

1.2 Travel documents serve the broad transport sector by contributing to border integrity not only in air transport but also in maritime and land transport settings. These important benefits extend the contribution of ICAO travel document-related activities beyond ensuring border integrity at international airports.

1.3 ICAO has continued to lead actions to enhance civil aviation facilitation worldwide, foster cooperation, promote government-industry collaboration, intensify coordination of partners at regional and local levels and mobilize donor contributions. In large measure, these efforts have been guided by consecutive amendments to Annex 9 – *Facilitation* to the Convention on International Civil Aviation (the Chicago Convention) and to a certain extent by the ICAO Comprehensive Aviation Security Strategy (ICASS), which was approved for implementation by the 37th Session of the ICAO Assembly in 2010 and confirmed in 2013 by the 38th Assembly (A38) for implementation through the 2014 – 2016 triennium. However the ICASS has very limited references to aviation facilitation and will reach the end of its approved “lifespan” at the conclusion of the current triennium in 2016.

1.4 Other considerations such as the endorsement by A38 of the ICAO Traveller Identification Programme (TRIP) Strategy and recent United Nations Security Council Resolutions have triggered the need to consider a strategic framework to lead ICAO, States, and other entities in collective and individual actions in the years ahead to support facilitation activities under ICAO Strategic Objective C: *Security and Facilitation*. This is all the more important given the projected doubling of global air transport capacity by 2030 and the consequential need to increase efficiency in the civil aviation system.

1.5 While the *Security and Facilitation* Strategic Objective addresses both aviation security and facilitation, a proposal to develop a Global Aviation Security Plan (GASeP) does not address facilitation. One reason for this is that aviation security has been accorded a higher priority at the international level since the 9/11 attacks, resulting in the development of a more comprehensive regulatory aviation security programme.

1.6 The ICAO TRIP Strategy provides significant enhancement to both aviation security and facilitation by bringing together the elements of holistic identification management and the relevant SARPs of Annex 9 into an integrated result-orientated framework.

2. THE FACILITATION PROGRAMME

2.1 In the civil aviation community, Facilitation is of particular interest to four major groups (Contracting States, aircraft and airport operators, and customers), each having a somewhat different priority, although their interests do overlap. The primary interest of States is full compliance with their laws and regulations. The vital interest of aircraft operators is increasing productivity by minimizing the costs of operational delays and administrative procedures. Airports are interested in Facilitation in order to reduce congestion in the passenger terminals and in the cargo sheds. The fourth group, the customers of air transport (passengers and cargo shippers), want quality service, which means being allowed to proceed through airports with minimal delay and difficulty. ICAO's challenge in the Facilitation Programme is to address all of these interests in a co-ordinated manner, while working toward the objective of a more efficient, orderly and attractive transportation product.

2.2 The Facilitation Programme is responsible for the management of three interrelated key activities:

- a) The SARPs of Annex 9 – *Facilitation*;
- b) the ICAO (TRIP) Strategy; and
- c) the ICAO Public Key Directory (PKD).

2.3 Annex 9 articulates the obligations of Member States and standardizes procedures for meeting legal requirements pursuant to the Chicago Convention. A resolution establishing a statement of continuing ICAO policies related specifically to Facilitation was endorsed by the 38th Session of the ICAO Assembly (A38). In A38 – 16 “Consolidated Statement of Continuing Policies and Practices Related To Facilitation”, the Assembly resolved that the Appendices attached to the resolution (listed below) constitute the consolidated statement of continuing ICAO policies related to facilitation, as at the close of the Session:

- **Appendix A** — Development and implementation of facilitation provisions
- **Appendix B** — National and international action in ensuring the security and integrity of traveller identification and border controls
- **Appendix C** — National and international action and cooperation on facilitation matters

2.4 Both Appendix A and Appendix B are of paramount importance in expediting the movement of international passengers.

2.5 The uniform implementation of ICAO SARPs is a fundamental tenet of the Chicago Convention. Standardization therefore is the uniform and consistent implementation of SARPs and related specifications for Machine Readable Travel Documents. Efforts to attain greater standardization must nonetheless recognize that ICAO Member States have disparate human, technical and financial resources at their disposal to manage aviation facilitation matters.

3. CHALLENGES

3.1 Key challenges to be addressed by the enhancement of aviation facilitation include the following:

- a) the continuing threat from international terrorism, including the growing threat posed by foreign terrorist fighters;
- b) innovative and constantly evolving methods of travel document fraud that serves to undermine improvements in aviation security and facilitation;
- c) efficient facilitation infrastructure and processes in all States require adequate resources and training, the firm commitment of all entities having aviation facilitation responsibilities and strong political will;
- d) States and regions where effective implementation of Annex 9 SARPs have been the lowest require particular attention;
- e) the lack of capacity in States to fully employ risk management approaches and tools to ensure that relevant aviation facilitation measures are cost-effective and sustainable;
- f) economic constraints and continuing shortfalls in resources to assist in capacity-building;
- g) innovation in travel document technologies and issuance processes must be pursued more aggressively in order to meet current and future challenges; and

- h) a lack of defined and attainable intermediate goals and targets that support progressive action towards 100 percent effective implementation of Annex 9.

4. GOALS AND TARGETS

4.1 In order to address the challenges listed above in 3, a forward-looking and ambitious global plan for aviation facilitation should be developed as a “to-do-list” to address the challenges. A global framework integrating the three key activities of the Facilitation Programme and that is goal-oriented merits serious consideration, and could be based on the following principles:

- a) a future global framework for aviation facilitation under the proposed Global Aviation Facilitation Plan (GAFP) should include both *goals* and *targets* (see Appendix B for examples of goals and targets) that comprise:

- i. aspirations for achievement at the global, regional and State levels; and
- ii. establishment of national or regional targets;

- b) the new goals should:

- i. focus on improvements in aviation facilitation by focussing on sustainability, efficiency and connectivity; and
- ii. be limited in number, measureable and relatively easy to monitor;

- c) the goals should be universal and address key aviation facilitation issues and challenges in both developed and developing States;

- d) to facilitate monitoring of progress at the national and global levels towards achieving the aims and objectives of the new strategic goals and targets, a set of performance indicators should be developed, with a view to ensuring that each target can be monitored by at least one indicator for an agreed target year; and

- e) indicators should be relatively simple, easily applicable and cost-effective, so that they can potentially be used by all Member States, as appropriate, taking into account their particular conditions and priorities. One possible indicator could be the level of effective implementation (LEI) of specific Annex 9 SARPS as assessed by either the Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) or other assessment methods (e.g. surveys).

4.2 While goals and targets are envisaged to be the centrepiece of the GAFP – in much the same way that the ICAO Global Aviation Safety Plan (GASP) and the Global Air Navigation Plan (GANP) establish targets for aviation safety and air navigation, respectively, a number of other elements could usefully be developed.

5. THE WAY FORWARD

5.1 The ICAO Secretariat envisages the GAFP being developed in a structured and coordinated manner, drawing input from Member States, international and regional organizations, and the aviation facilitation community at large. It is suggested that systematic and comprehensive consultations be a critical success factor, in order to ensure that the consensus which has characterized progress to date

in global civil aviation remains the foundation and that goals and targets are appropriate for the States and regions concerned.

5.2 Developmental consultations and decision making would engage the ICAO deliberative and technical bodies, as appropriate. These bodies would be apprised of progress on a regular basis.

5.3 The following is presented as a possible development and decision making process leading to implementation of the GAFP:

Phase	Action	Timeframe
1	Approval of GAFP concept and work plan by the FAL Panel and setting up of a Working Group	Spring 2016
2	Approval, in principle, of the GAFP concept and work plan by the Air Transport Committee (ATC)	Fall 2016
3	Preparation of GAFP consultation draft in the inter-session by the WG assisted by the Secretariat	Fall 2016 – Fall 2018
4	GAFP consultation draft approved by the FALP/10 and TAG/TRIP-2 meetings	Fall 2018
5	Consult Member States and all stakeholders through a series of regional conferences	Fall 2018 to March 2019
6	ATC/Council approval in full for implementation of the GAFP	217th Session (Spring 2019)
7	Progress report to 40th Session of the ICAO Assembly	Fall 2019

6. ACTION BY THE FAL PANEL

6.1 The FAL Panel is invited to:

- a) agree, in principle, that the establishment of a GAFP based on the above concepts and principles would be both enhance an improvement in implementation of Annex 9 SARPs and a constructive evolution of the ICAO TRIP Strategy;
- b) note the proposed way forward in paragraph 5, the examples of global goals and targets in Appendix A, and the indicative table of contents for the GAFP in Appendix B (both to be developed and finalized in the inter-session); and
- c) provide advice on the elements of paragraph b) and the post-2016 ICAO global aviation facilitation policy and programming framework.

APPENDIX A

EXAMPLE OF GLOBAL AVIATION FACILITATION GOALS AND TARGETS

Goal 1: Improved capacity to address challenges to aviation facilitation

Target 1. By [YEAR], all States have written and approved National Air Transport Facilitation Programmes, and functioning and effective National Air Transport Facilitation Committees and Airport Facilitation Committees.

Target 2. By [YEAR], States have made significant efforts to promote the development and implementation of the ICAO TRIP Strategy including incorporating effective mechanisms to implement the ICAO TRIP Strategy into their national aviation facilitation programmes.

Goal 2: Achieve higher levels of effective implementation of ICAO Annex 9

Target 3. By [YEAR], compliance by States and Regions to substantially improve levels of aviation facilitation, achieving at least xx% improvement in their levels of effective implementation.

Goal 3: Build resilience in aviation facilitation and ensure responses are cost-effective

Target 4. By [YEAR], States have taken substantial steps to define facilitation measures that are effective, efficient, operationally viable, economically sustainable, and take into account the impact on users of the air transport system and those employed within it.

Goal 4: Effective and efficient facilitation measures through process and technology innovation

Target 5. By [YEAR] substantial efforts made by States to enhance research and development, and to foster innovation;

Target 6. by 2020 all States have utilized, populated and shared best practices on all elements of the ICAO TRIP Strategy and associated modern technologies utilizing the ICAO TRIP Platform.

Goal 5: Enhance implementation through capacity-building

Target 7. By [YEAR], mobilise additional financial resources for effective implementation of bilateral and regional plans and initiatives focussed on assisting developing States to achieve improved levels of aviation facilitation.

APPENDIX B

GLOBAL AVIATION FACILITATION PLAN: INDICATIVE TABLE OF CONTENTS

Executive Summary	
Chapter 1	Introduction
Chapter 2	<p>Taking stock</p> <ul style="list-style-type: none"> • Progress so far in enhancing international civil aviation facilitation • Challenges outlook • Air Transport system areas of improvement • Trends in air transport relevant to aviation facilitation
Chapter 3	<p>The need for a Global Aviation Facilitation Plan</p> <p>Key Principles</p> <p>Aviation facilitation partners and stakeholders</p>
Chapter 4	Aviation Facilitation priorities
Chapter 5	Goals and targets
Chapter 6	Supporting Strategies
Chapter 7	Implementation action plan
Chapter 8	Monitoring and reporting progress
Chapter 9	Governance
Appendices	As appropriate