



大会 — 第 38 届会议

执行委员会

议程项目 13：航空保安 — 政策

建议加强全球航空货运保安的路线图

(由澳大利亚、比利时、加拿大、中国、德国、日本、约旦、黎巴嫩、新西兰、俄罗斯联邦、沙特阿拉伯、塞内加尔、新加坡、南非、瑞士、联合王国、美国、国际机场理事会、全球快递协会、国际航空运输协会、国际航空货运协会、万国邮政联盟、世界海关组织提交)

执行摘要

为了支持国际民航组织加强航空货运保安的作用，航空保安专家组的航空货运保安 (WGACS) 工作组已经编制了一份路线图，明确了国际利益攸关方开展的关键活动和为加强全球航空货运保安¹打击非法干扰威胁的作用。在广泛行动领域确定的举措是指国际民航组织全面的航空保安战略综 (ICASS) 的有关战略重点领域 (请参阅 A38-WP/13 号文件)。

行动： 请大会批准加强全球航空货运保安的路线图，作为正在进行活动的概述，并同意其须不断更新，以反映最新发展情况。

战略目标：	本工作文件涉及战略目标 B — 《保安》。
财务影响：	无需额外资源。
参考文件：	A38-WP12 号文件：高级别航空保安会议的成果； A38-WP13 号文件：航空保安宣言和国际民航组织全面的航空保安战略(ICASS)

¹ 本工作文件及所附路线图适用于空运货物和邮件安全。为简单起见，一般都是针对航空货运，某些具体针对邮件。航空货运应包括邮件。

1. 引言

1.1 2010 年 10 月 29 日将简易爆炸装置（IED）装入航空货运供应链的阴谋说明了全球航空货运保安系统被恐怖分子所利用的漏洞。这一阴谋强调会员国有必要采取协同行动，通过国际协调、严格执行、统一和实用及不阻碍国际贸易的方式，加强航空货运保安的现有措施。

1.2 自 2010 年以来，会员国和航空利益攸关方勤奋工作，对航空货运保安威胁、加强保安管制以减轻这种威胁的最有效途径形成了现代观点。2011 年 4 月组建了由包括来自成员国、世界海关组织、万国邮政联盟和国际航空运输协会、全球快递协会等行业机构的代表组成的航空保安专家组的航空货运保安工作组（WGACS）。

1.3 航空保安专家组 2011 年 6 月以来召开过五次次会议，通过与航空货运保安工作组、附件 17 工作组、指导材料工作组及关键利益攸关方协作努力加强航空货运保安，包括强化基线保安标准与建议措施（SARPs）。

1.4 2012 年 9 月 12 日至 14 日在蒙特利尔举行的国际民航组织航空保安高级别会议，通过并批准了一套航空货邮保安原则，作为国际民航组织和所有利益攸关方采取行动以确保航空货邮供应链保安的基石。此后，国际标准和建议措施《保安 — 保护国际民用航空免遭非法干扰行为》（国际民用航空公约附件 17）第 13 次修订于 2013 年 7 月 15 日生效，其中主要包括航空货运保安的有关标准与建议措施，以及《航空保安手册》（Doc 8973 号文件）第八版第 1 次修订的相应新的指导材料。

1.5 加强全球航空货运保安框架是一个多层面的任务，应该不仅审议常规的监管标准、建议措施和指导，也须强化技术和信息工具。会员国、观察员和关键的利益相关者，单独与合作地不断推动这一个重要机构的工作，通过多种多样的活动加强空运货物的保安成果。这些措施包括完善标准和指导文件、提供培训、提供并参与能力建设、追求协调与统一要求的机会、开发技术、工具和先进的风险评估技术。

1.6 虽然初期的工作已经取得了良好效果，但利益攸关方保持参与这一进程甚为重要，进一步加强空运货物的各项保安安排。引入修订的标准和流程之后，今后几个月重点将放在协调实施这些措施。

2. 路线图

2.1 汇集这项工作并支持国际民航组织航空保安高级别会议加强空运货物保安的政策方向（参见 A38-WP/12 号文件），航空货运保安工作组编制了一份加强全球航空货运保安路线图（“路线图”），见附录 A

2.2 路线图明确了国际利益攸关方开展的关键活动和为加强全球航空货运保安打击非法干扰威胁的作用。在广泛行动领域确定的举措是指国际民航组织全面的航空保安战略综（ICASS）的有关战略重点领域（请参阅 A38-WP/13 号文件）。路线图还与航空货邮保安的原则保持一致。

2.3 路线图的目的是为了:

- a) 清楚地阐明多个利益攸关方在一个复杂的系统进展的多层面方法;
- b) 确定国际合作的相互联系、协同效应和机遇;
- c) 推动了解所有利益攸关方发挥的往往是相互关联的作用与责任; 和
- d) 通过确定活动状况并鼓励远期规划, 鼓励这一进程的持续发展势头。

2.4 路线图是一个活的文件, 将定期审查及更新, 以反映进展情况。

2.5 请大会批准加强全球航空货运保安的路线图, 作为正在进行活动的概述, 并同意其须不断更新, 以反映最新发展情况。

APPENDIX ROADMAP TO STRENGTHEN GLOBAL AIR CARGO SECURITY

The Roadmap articulates the key activities underway or completed by international stakeholders that contribute to a strengthening of global air cargo security outcomes. Its purpose is to:

- a) clearly articulate the multi-faceted solution being progressed across a complex system with multiple stakeholders;
- b) identify linkages, synergies and opportunities for international collaboration;
- c) promote an understanding of the roles and responsibilities that all stakeholders play; and
- d) encourage momentum in the process by identifying status of activities and encouraging forward planning.

This Roadmap should be reviewed periodically to reflect new and progressing activities.

This Roadmap is applicable to air cargo and mail security. For the purpose of brevity the generally refers to air cargo with some specific references to mail. References to air cargo should be taken to include mail.

Overarching Goal A global air cargo system that is more secure against the threat of unlawful interference.

Overview of Action Areas and Objectives

ACTION AREA	Threat and Risk	Standards, Recommended Practices and Guidance	Advance Information	Technology, Tools and Communication	Capacity Development	Facilitation and International Cooperation
OBJECTIVE	<i>To better understand, describe and communicate the threat and risk posed to and by air cargo and promote a consistent approach to estimating risk.</i>	<i>To develop a common set of strengthened air cargo security standards (with associated recommended practices and guidance) the adoption of which would lead to a more secure global air cargo system</i>	<i>To promote the evaluation of systems based on common principles for transmitting, receiving and assessing advance cargo information allowing early intervention where high risk scenarios are identified.</i>	<i>To promote the development, deployment and proficient use of appropriate cargo screening technology and other tools that enhance cargo security or communication of cargo security information.</i>	<i>To promote the uptake of and proficiency in administering air cargo security standards in countries with developing systems, with the ultimate aim of all Contracting States securing cargo at origin.</i>	<i>To support cargo facilitation through efficient and aligned supply chain security arrangements. To promote international cooperation at all levels.</i>

Detailed Activities Contributing to the Action Areas**Threat and Risk**

To better understand, describe and communicate the threat and risk posed to and by air cargo and promote a consistent approach to estimating risk.

Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 1: Addressing new and existing threats; Strategic Focus Area 3: Promoting the sharing of information amongst and within member States to raise awareness of threats and aviation security trends.

Activity	Lead Contributors	Status
Production of an Aviation Security Global Risk Context Statement.	ICAO Working Group on Threat and Risk ICAO Aviation Security Panel	Complete. First and second editions endorsed by AVSEC Panel in March 2012 and March 2013 respectively.
Production an assessment paper titled “Threats and Risks to and from the Air Cargo System”.	ICAO Working Group on Threat and Risk	Complete. Report back to AVSEC Panel, March 2012.
Concept of high risk cargo developed, identifying key attributes for identification through a practical definition.	ICAO Working Group on Threat and Risk ICAO Working Group on Air Cargo Security ICAO Working Group on Annex 17 ICAO Aviation Security Panel	Complete. Definition of high risk cargo incorporated into Annex 17 as part of Amendment 13.

Standards, Recommended Practices and Guidance

To develop a common set of strengthened air cargo security standards (with associated recommended practices and guidance) the adoption of which would lead to a more secure global air cargo system.

Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 2: Promoting innovative, effective and efficient security approaches.

Activity	Lead Contributors	Status
Develop Principles on Air Cargo and Mail Security.	ICAO Working Group on Air Cargo Security ICAO AVSEC Panel	Complete. Endorsed by the ICAO High-Level Conference on Aviation Security, September 2012.
Preparation of new Standards and Recommended Practices for inclusion in Annex 17 as Amendment 13: - Definition of High Risk Cargo and Mail - Transfer cargo and mail - Passenger / all-cargo aircraft controls.	ICAO Working Group on Air Cargo Security ICAO Working Group on Annex 17	Complete. Effective from 15 July 2013.
Preparation of new Standards and Recommended Practices for inclusion in Annex 17 as Amendment 14.	ICAO Working Group on Air Cargo Security ICAO Working Group on Annex 17	New draft Standard 4.6.8bis endorsed by AVSEC Panel, April 2013, and subsequently the Council. This will be included in Amendment 14 to Annex 17.
Evolution of new Universal Postal Union mail security standards.	Universal Postal Union	Compliance with mail security standards has been incorporated by UPU Congress into the UPU Convention. Compliance with these standards is mandatory from 2014 onwards.

Preparation of new guidance material on Amendment 13 for inclusion in Document 8973.	ICAO Working Group on Air Cargo Security ICAO Working Group on Guidance Material	Complete. Effective from 15 July 2013.
Development of a better understanding of different air cargo and mail security regimes worldwide	ICAO Working Group on Air Cargo Security ICAO AVSEC Panel	Survey of WGACS and AVSECP members and observers complete, giving illustrative snapshot of current implementation of air cargo and mail security requirements in different national contexts. Paper on results to be tabled at 25th AVSECP Meeting, March 2014.
Development of supply chain security approaches in air cargo and mail security	ICAO Working Group on Air Cargo Security ICAO Working Group on Guidance Material ICAO Secretariat WCO Secretariat	Framework of best practices in air cargo and mail supply chain security developed. To be reviewed by ICAO Secretariat for consistency with the latest guidance material, and incorporated into the next revision of guidance material, for Member States to consult in developing their own secure supply chain programmes. (See also activities under Facilitation and International Cooperation.)

Advance Information

To promote the evaluation of systems based on common principles for transmitting, receiving and assessing advance cargo information allowing early intervention where high risk scenarios are identified.

Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 2: Promoting innovative, effective and efficient security approaches.

Activity	Lead Contributors	Status
Development of common approaches to using advance cargo information for aviation security purposes.	WCO Technical Expert Group on Air Cargo Security ICAO Working Group on Air Cargo Security Global Express Association	The WCO Technical Expert Group on Air Cargo Security and ICAO Working Group on Air Cargo Security have considered the results of on-going pilot programmes being conducted at the national level in some Member States. This remains work in progress and is included on the work programme for the ICAO Working Group on Air Cargo Security. A number of Member States and industry participants are involved in pilot projects with advance cargo information, to inform future developments.
Development and rollout of postal advance information model and programme.	Universal Postal Union	The Universal Postal Union has established an Interim Group on Advance Information Requirements to develop a data model for providing advance information for security purposes.

		The Universal Postal Union has trialled a system (Customs Declaration System, or CDS) that can be used to provide advance information for both fiscal and security purposes.
Technology, Tools and Communication <i>To promote the development, deployment and proficient use of appropriate cargo screening technology and other tools/systems that enhance cargo security or communication of cargo security information.</i>		
Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 2: Promoting innovative, effective and efficient security approaches; Strategic Focus Area 3: Promoting the sharing of information amongst and within member States to raise awareness of threats and aviation security trends.		
Activity	Lead Contributors	Status
Progressive introduction of the electronic Consignment Security Declaration (e-CSD).	International Air Transport Association	Pilot activities have been conducted in a number of countries with encouraging results.
Alignment between IATA and ICAO documentation for confirming security status of air cargo.	International Air Transport Association ICAO Working Group on Air Cargo Security	Complete. The requirements of the IATA e-CSD and the ICAO Consignment Security Declaration have been harmonized and included in the latest guidance material (Amendment 1 to Document 8973/8).
Development of an ICAO Secretariat-WCO Secretariat Joint Training Brochure in all six UN languages, to provide an introduction on air cargo security and facilitation.	WCO Secretariat ICAO Secretariat	Complete. To be released at 38th ICAO Assembly, 2013.
Capacity Development <i>To promote the uptake of and proficiency in administering air cargo security standards in countries with developing systems, with the ultimate aim of all Contracting States securing cargo at origin.</i>		
Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 5: Improving human factors and security culture; Strategic Focus Area 6: Promoting global compliance and establishing sustainable aviation security oversight capability of States; Strategic Focus Area 7: Emphasizing the importance of security amongst States and stakeholders.		
Activity	Lead Contributors	Status
Development of a focussed international strategy for air cargo security capacity development.	ICAO Aviation Security Panel ICAO Secretariat ICAO Working Group on Air Cargo Security	In September 2012 the ICAO High-Level Conference on Aviation Security supported further development of the strategy. Proposed for consideration by AVSECP in 2013. A paper towards a capacity development strategy for air cargo security is being developed by Working Group on Air Cargo Security members.

Development and piloting of the IATA Secure Freight initiative.	International Air Transport Association	Standards and guidance have been progressively developed to support the Secure Freight programme. Pilot activities have been conducted in a number of countries with encouraging results.
Facilitation and International Cooperation		
<i>To support cargo facilitation through efficient and aligned supply chain security arrangements. To promote international cooperation at all levels.</i>		
Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 2: Promoting innovative, effective and efficient security approaches; Strategic Focus Area 6: Promoting the development of mutual recognition for aviation security processes		
Activity	Lead Contributors	Status
Potential to harmonise requirements between WCO's Authorised Economic Operator (AEO) and ICAO's Regulated Agent (RA) / Known Consignor (KC) regimes.	WCO Secretariat ICAO Secretariat ICAO Working Group on Air Cargo Security WCO Technical Expert Group on Air Cargo Security	Draft Terms of Reference (TORs) facilitate a Joint AEO and RA/KC Pilot Project have been prepared. On-going analysis of tabular comparison of the RA/KC and AEO regimes.
Strengthening cooperation and collaboration between the Facilitation Panel (FALP) and AVSECP.		AVSECP, based on WGACS's detailed consideration, has prepared consolidated comments on air cargo facilitation amendments in Amendment 24 to Annex 9 for consideration by the Air Transport Committee (ATC).
Preparation and implementation of ICAO-WCO Joint Action Plan as a follow-up to ICAO-WCO Joint Communiqué from the Joint Conference on Enhancing Air Cargo Security and Facilitation-Synergy through Cooperation.		Draft Joint Action Plan prepared and considered by ICAO Working Group on Air Cargo Security and WCO Technical Expert Group on Air Cargo in first half of 2013. ICAO and WCO Secretariats to work on prioritising activities in the Joint Action Plan.
Developing an ICAO -WCO Joint Training Module to provide an introduction/understanding on air cargo security and facilitation.	WCO Secretariat ICAO Secretariat	Training module being prepared in 2013 with anticipated pilot workshop in 2014.
Potential to harmonise requirements between UPU's postal security requirements (in Standards S58 and S59) and ICAO's air cargo and mail security requirements (in Annex 17 SARPs).	ICAO Secretariat ICAO Working Group on Air Cargo Security UPU Secretariat	ICAO and UPU Secretariats to work out policy issues on relationship between the ICAO's and UPU's respective air cargo and mail security regimes, and also on developing a more detailed comparison of the two regimes.