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Kingston, Jamaica, 11 to 13 May 2015

**Agenda Item 6: Aviation Security (AVSEC) and Facilitation (FAL)**  
**6.1 Aviation Security and Facilitation Activities in the NAM/CAR Regions**

**REGIONAL NAM/CAR ACTIVITY ON AVIATION SECURITY AND FACILITATION**

(Presented by the Secretariat)

<b>EXECUTIVE SUMMARY</b>	
This working paper presents relevant information regarding regional NAM/CAR activities on Aviation Security (AVSEC) and Facilitation (FAL) that appropriate authorities related with these two areas should consider in order to comply with Standards and Recommended Practices (SARPs) of Annex 9 – <i>Facilitation</i> and Annex 17 – <i>Security</i> .	
<b>Action:</b>	Suggested action is presented in Section 4.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"><li>• Security &amp; Facilitation</li></ul>
<i>References:</i>	<ul style="list-style-type: none"><li>• Report on Agenda Items 14, 15 and 16 of the ICAO 38<sup>th</sup> Session of the Assembly</li><li>• Annex 9 – <i>Facilitation</i></li><li>• Annex 17 – <i>Security</i></li><li>• <i>Universal Security Audit Programme – Analysis of audit results – Reporting period November 2002 to June 2013</i>, Fifth Edition, 2013</li></ul>

**1. Introduction**

1.1 As a result of ICAO Universal Security Audit Programme (USAP) second cycle audits, and considering that the 38th Session of the ICAO Assembly recognized Facilitation as one of its strategic objectives; in coordination with Headquarters Implementation Support and Development-Security Section (ISD-Sec), the North American, Central American and Caribbean (NACC) Regional Office has carried out training and assistance activities in NAM/CAR States oriented to promote and improve implementation of Annex 9 – *Facilitation* and Annex 17 – *Security* provisions.

## 2. Training and assistance activities

2.1 Once identified the urgent need to clarify the concept and criteria regarding the application of **aviation security risk assessments** established in Annex 17 standards that States must carry out by national appropriate authorities, ICAO developed training material to ease the understanding on threats and risk analysis and the methodology and procedures that States must consider when assessing the threats and vulnerabilities to implement Aviation Security (AVSEC) measures within their States.

2.2 This information was taken to the knowledge of civil aviation authorities and other authorities related with the national security of the State throughout several AVSEC Risk Management Workshops, and thanks to the support of several States that accepted to be hosts, and as part of the initiative of the *ICAO/Canada Security Awareness Training Programme, Phase III* (component of the *ICAO/Canada AVSEC Project*). These workshops were also inserted in the ICAO regular training programme through the Regional Aviation Security Training Centres (ASTC) network in the NAM/CAR and SAM Regions.

2.3 Additionally, in accordance with Amendments 12, 13 and 14 of Annex 17, ICAO has updated the Aviation Security Training Packages (ASTP) for the AVSEC Instructor Courses and for the Air Cargo and Mail Security Course, and with this new material has delivered training events through ASTCs.

2.4 Furthermore, and with the purpose of better assisting to the States with the implementation of the cargo security criteria, and as part of a new ICAO/Canada Aviation Security Project, it is expected to teach this Cargo and Mail Security Course the second half of 2015, at no cost to States. As in previous years, States will be geographically grouped by vicinity, and transportation and subsistence fellowships for two representatives of States not hosting the event will be awarded. ICAO will be responsible for the travel and daily subsistence allowance for the instructors selected from its instructor`s roster, as well as the corresponding training material.

2.5 In order to carry out these events, ICAO will request States` support to host these courses and receive neighbour States to take advantage of this training. It is planned to hold one course for Cuba and the Dominican Republic, and other for the Central Caribbean States. Invitations will be issued promptly, and States are urged to take advantage of these courses by sending suitable representatives.

2.6 Moreover, as part of the ICAO assistance programme, the NACC Regional Office implemented a State improvement plan for Haiti, from 2012 to mid-2014. This involved onsite experts that jointly developed proposals to improve the legal framework and AVSEC programmes adapted to the reality of that State. This has also included training in their own language, for work teams designated by the civil aviation authority in order to involve other governmental entities in this objective with onsite exercises. It is expected that Haiti had taken advantage from these improvements and have approved and is applying the different national programmes in order to comply with the ICAO Standard and Recommended Practices (SARPS), and to be prepared for receiving the ICAO Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA) audit at the first semester of 2015. A similar project is in process with ECCAA and by mid-2014 another was initiated in Bahamas.

2.7 Regarding FAL issues, the NACC Regional Office, in coordination with ISD-Sec and ISD-FAL, has conducted annual regional seminar for the NAM/CAR and SAM regions. The last was conducted at the ICAO SAM Regional Office in Lima, Peru, in September 2014. However, not all the Central Caribbean States participated in these events and benefited from the FAL instruction.

2.8 The seminars provided information regarding updates and latest amendments to Annex 9 - *Facilitation* SARPs covering a great variety of other issues related to this Annex, and the content that States should consider when developing its National Air Transport Facilitation Programme (NATFP), besides the compliance regarding the issuance of Machine Readable Travel Document (MRTD). The Fourth Facilitation Regional Seminar is planned to be held from 8 to 11 September 2015, at the ICAO NACC Regional Office in Mexico City and States are urged to participate in this event.

2.9 On this regard, and in order to assist the States in the compliance of the standard, ICAO Doc 9957 - *Facilitation Manual* includes *Guidance to the development of NATFPs*. Additionally, ICAO also finalized in April the development of Doc 10042 – *Model of a NATFP*. Spanish and French versions of this guidance material will be published in the second half of 2015.

2.10 With regards to MRTDs, in a joint ICAO and Organization of American States (OAS) Inter-American Committee against Terrorism (CICTE) effort, many regional seminars have been conducted in the last years on the best practices for security of travel documents and identity management, specifically oriented to those authorities in charge of issuing identity and/or travel documents within the States of the NAM/CAR Region. A Hemispheric Workshop on Best Practices for Travel Document Security and Identity Management was conducted in Miami, United States, in February 2014.

2.11 The Tenth Symposium and Exhibition on Machine Readable Travel Documents (MRTDs), Biometrics and Border Security was also conducted by ICAO in Montreal, Canada, from 7 to 9 October 2014, with the participation of more than 505 delegates from 86 States and seven International Organizations.

### **3. Discussion**

3.1 Even though the AVSEC and FAL assistance and training provided by ICAO in the NAM/CAR Regions, not all States have updated, approved, and/or implemented their National Civil Aviation Security Programme (NCASP) considering Annex 17 – *Security*, Amendments 12, 13 and 14; and to be prepared for receiving the future ICAO USAP-CMA audit. Therefore, it is important that States update their legal, regulatory and procedural framework as well as all other national AVSEC programmes related to training and certification of instructors and security personnel, quality control, and measures on control and inspection of air cargo and mail to be transported in an aircraft engaged in commercial air transport operations.

3.2 Moreover, States include within their regulations and/or their NCASP the establishment of a national aviation security committee (NCASC) to coordinate AVSEC activities between other State departments, agencies and other government organizations, airport and aircraft operators, air traffic service providers and other entities involved with or responsible for the implementation of various NCASP aspects. However, not all States convene regularly meetings of this NCASC or similar entities to achieve the necessary coordination with other government bodies to ensure a joint effort to comply with the provisions of Annex 17.

3.3 It is also important to mention that, when updating their legislation and regulations, the appropriate authorities must consider determining the legal implications and include clear procedures to control unruly or disruptive behavior at aviation facilities and onboard aircraft, as well as for the misuse of laser lights by imprudent persons. These situations that can impact safety and security of international civil aviation have been increasing.

3.4 Considering that FAL has been recognized as one of the ICAO strategic objective, it is important that civil aviation authority directors recognize the need to update their legal framework regulations and programmes with Annex 9 provisions, giving also attention to Annex 9 related security measures, which are also part of the future USAP-CMA.

3.5 Additionally, the results of the USAP Second Cycle Audits reported that not all States have established and/or updated, approved and/or implemented their National Air Transport Facilitation Programme (NATFP) considering the provisions of Annex 9 and its latest amendments.

3.6 Furthermore, not all States have mandated the establishment and/or activation of National Air Transport Facilitation Committees, and Airport Facilitation Committees to coordinate FAL activities between government border control organizations concerned with or responsible for various aspects of international civil aviation as well as with airport and aircraft operators.

3.7 Finally, not all States answer State Letters sent by the ICAO Secretary General, for example: regarding the validity of non-machine readable passports the compliance of Annex 9 Standard 3.10.1, and to Annex 9 Amendment 25 proposal sent in March of this year. Likewise, the request made to States on the adoption of Annex 17 Amendment 14; these are issues pending response from some Central Caribbean States which are urged to reply with the position of your State.

3.8 All considerations of the above-mentioned possible deficiencies were raised to the knowledge of the Fifth Meeting of Directors of Civil Aviation of North America, Central America and the Caribbean (NACC/DCA/5) held in April 2014, where authorities, apart from the Port of Spain Declaration, adopted and approved Conclusion NACC/DCA/5/8 - *Future Actions on Aviation Security (AVSEC) and Facilitation (FAL) in the NAM/CAR Regions*, presented as **Appendix** to this working paper.

#### 4. **Suggested Actions**

4.1 The Directors of the Central Caribbean Civil Aviation Authorities are urged:

- a) to comply with the commitment contracted during the Fifth Meeting of Directors of Civil Aviation of North America, Central America and the Caribbean (NACC/DCA/5), supporting their AVSEC and FAL units in order to ensure complying with Conclusion NACC/DCA/5/8 - *Future Actions on Aviation Security (AVSEC) and Facilitation (FAL) in the NAM/CAR Regions*, in order to prevent and address potential threats, and at the same time ensure a balance to facilitate the movement of aircraft, crews, passengers, cargo, mail and stores, and the satisfaction and protection of international air transport users for the benefit of safety and security within their own States; and

- b) to do their utmost effort to coordinate inside their entities the timely responses of the ICAO requests and communications regarding AVSEC and FAL issues.

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**APPENDIX**

**CONCLUSION  
NACC/DCA/5/8**

**FUTURE ACTIONS ON AVIATION SECURITY (AVSEC) AND  
FACILITATION (FAL) IN THE NAM/CAR REGIONS**

That the NAM/CAR States:

- a) support the participation of their AVSEC/FAL personnel at ICAO AVSEC and FAL training activities;
- b) consider the following regional aviation security (AVSEC) targets within their States:
  - i. update, approve and implement the National Civil Aviation Security Programme (NCASP) considering the latest amendments to Annex 17 – *Security*;
  - ii. bearing in mind the latest amendments to Annex 17 – *Security*, activate and have a fully functioning National Aviation Security Committee for the purpose of coordinating AVSEC activities among the departments, agencies and other organizations of the State, airport and aircraft operators, air traffic service providers and other entities concerned with or responsible for the implementation of various aspects of the NCASP;
  - iii. revise and, if necessary, update relevant legislation and regulations in order to determine legal implications and include clear procedures to control unruly or disruptive behaviors at aviation facilities and onboard aircraft;
- c) consider the following regional air transport FAL targets within their State:
  - i. establish and/or update, approve and implement National Air Transport Facilitation Programmes (NATFPs) considering the provisions of Annex 9 – *Facilitation* and its latest amendments;
  - ii. adopt all practicable measures to facilitate the movement of aircraft, crews, passengers, cargo, mail and stores by removing unnecessary obstacles and delays by coordinating these measures with the appropriate authorities and stakeholders within their State; and
  - iii. establish and/or activate National Air Transport Facilitation Committees and Airport Facilitation Committees for the purpose of coordinating and facilitating activities among departments, agencies and other organizations of the State concerned with or responsible for various aspects of international civil aviation as well as with airport and aircraft operators.