



## **FACILITATION (FAL) DIVISION — TWELFTH SESSION**

**Cairo, Egypt, 22 March to 2 April 2004**

- Agenda Item 1:        Developments since the Eleventh Session of the Division**  
**Agenda Item 2:        Facilitation and security of travel documents and border control**  
                                 **formalities**  
**2.5:        Implementation of aviation security**

### **SECURITY-RELATED STANDARDS AND RECOMMENDED PRACTICES (SARPs) IN ANNEX 9 — *FACILITATION***

(Presented by the Secretariat)

#### **1.        INTRODUCTION**

1.1                In ICAO the strategy of the Facilitation Programme is to advocate and support action by Contracting States in three principal areas: the standardization of travel documents, the rationalization of border clearance systems and procedures, and international cooperation to tackle security problems related to passengers and cargo. While the primary motivation of Annex 9 is to carry out the mandate in Article 22 of the Chicago Convention, "...to prevent unnecessary delays to aircraft, passengers and cargo....", numerous provisions, developed with the intent to increase efficiency in control processes, support also the objective to raise the level of general security.

1.2                Moreover, the events of 11 September 2001 and afterward have demonstrated that national programmes of travel document issuance and security, and the efficacy of inspection systems in controlling smuggling and illegal migration, can have a significant effect on the security of civil aviation.

#### **2.        SECURITY-RELATED SARPs**

2.1                Presented in the table below are those provisions of Annex 9 (Eleventh Edition, 2002) which relate most directly to security of the civil aviation system and which correlate to the indicated provisions of Annex 17.

| Topic                           | Annex 9 provisions                                                                                                                                                                                                                                                                           | Annex 17 provisions                                                                                                                                                                                                                                                                           |
|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Facilitation and Security       | <b>Standards 1.6, 2.2 and 3.2</b> – that aviation security requirements be taken into account in the development of procedures for efficient border control.                                                                                                                                 | <b>Recommendation 2.2</b> – security controls and procedures to cause a minimum of interference with or delay to the activities of civil aviation.<br><b>Standard 3.1.1</b> – regulations, practices and procedures which take into account the safety, regularity and efficiency of flights. |
| Industry-government cooperation | <b>Recommended Practice 2.3</b> – memoranda of understanding concerning cooperation to control the smuggling of narcotics.                                                                                                                                                                   | <b>Standard 3.1.6</b> – coordinating security activities between the departments, agencies and other organizations of the State, airport and aircraft operators and other entities concerned.                                                                                                 |
| Controls on aircraft            | <b>Standards 2.40, 2.41</b> – requirements and procedures for advance notice of general aviation and other non-scheduled flights.<br><b>Recommended Practice 2.43</b> – coordination of border control functions at airports where international general aviation operations are infrequent. | <b>Standard 4.2.1</b> – aircraft security checks of originating aircraft assigned to international flights.                                                                                                                                                                                   |
| Controls on baggage             | <b>Standard 3.48</b> – that mishandled baggage be kept under secure supervision when not in transit, and that it may be subject to aviation security controls during transfer between aircraft.                                                                                              | <b>Standard 4.4.3</b> – ensure that operators ... do not transport the baggage of passengers who are not on board the aircraft unless that baggage is subjected to appropriate security controls which may include screening.                                                                 |
| Secure storage of baggage       | <b>Standard 6.35.2</b> – secure storage of unclaimed, unidentified and mishandled baggage.                                                                                                                                                                                                   | <b>Standard 4.4.4</b> – secure storage areas at airports ... where mishandled baggage may be held until forwarded, claimed or disposed of in accordance with local laws.                                                                                                                      |

| Topic                                                                 | Annex 9 provisions                                                                                                                                                                                                                                                                                                                                                                  | Annex 17 provisions                                                                                                                                                                                                                                      |
|-----------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Controls on people                                                    | <b>Recommended Practices 3.29 and 3.33</b> – application of technology and streaming of passengers in outbound and inbound immigration/passport controls.<br><b>Standards 3.53 and 3.54</b> – that operators ensure that passengers are in possession of appropriate, valid travel documents upon embarkation, and that the public authorities and operators cooperate to this end. | <b>Standard 4.3.1</b> – ensure that originating passengers and their cabin baggage are screened prior to boarding an aircraft.                                                                                                                           |
| Controls on people in transit                                         | <b>Standard 3.44 and Definition of direct transit area</b> – that such are under the direct control of the public authorities.                                                                                                                                                                                                                                                      | <b>Standard 4.3.2</b> – ensure that transfer and transit passengers and their cabin baggage are subjected to adequate security controls.                                                                                                                 |
| Customs controls on people                                            | <b>Standard 3.37</b> – adoption of a dual channel inspection system or other selective process for customs inspection of passengers and baggage, based on risk management.                                                                                                                                                                                                          | <b>Section 4.3</b> – Measures relating to passengers and their cabin baggage.<br><b>Section 4.4</b> – Measures relating to hold baggage.                                                                                                                 |
| Security of flights carrying persons under administrative proceedings | <b>Standards 3.60.1 and 3.66</b> – that the public authorities give the operator sufficient advance notice of a removal of an inadmissible person or a deportation to enable precautions to ensure the security of the flight.                                                                                                                                                      | <b>Standard 4.6.1</b> – ensure that the aircraft operator and the pilot-in-command are informed when passengers are obliged to travel ... subject of judicial or administrative proceedings, in order that appropriate security controls can be applied. |
| Controls on persons travelling under administrative proceedings       | <b>Standards 3.60, 3.61, 3.62, 3.67</b> – standard procedures for removal and repatriation of inadmissible persons and deportees.<br><i>Note.— Amendments proposed in WP/5.</i>                                                                                                                                                                                                     | <b>Standard 4.6.3</b> – require operators ... measures and procedures to ensure safety on board their aircraft when passengers ... have been the subject of judicial or administrative proceedings.                                                      |
| Crew identification                                                   | <b>Standards 3.73 to 3.75.1</b> – standardization of documentation and clearance of crews.<br><i>Note: Amendments proposed in WP/23.</i>                                                                                                                                                                                                                                            | <b>Recommendation 4.7.4</b> – identity documents issued to aircraft crew members conform to the relevant specifications set forth in Doc 9303.                                                                                                           |

| Topic                                         | Annex 9 provisions                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Annex 17 provisions                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-----------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Clearance of security equipment               | <p><b>Standard 4.41</b> – prompt release or clearance ... of ground and security equipment and their replacement parts...imported or exported by an operator of another Contracting State.</p> <p><b>Recommended Practice 4.39</b> – relief from duties and taxes on ground and security equipment and their component parts imported by foreign operators.</p>                                                                                                                                          | <p><b>Sections 4.3, 4.4 and 4.5</b> – measures relating to passengers, cabin baggage, hold baggage, cargo, mail and other goods.</p>                                                                                                                                                                                                                                                                                                                                                                  |
| Controls on goods (air cargo)                 | <p><b>Standard 1.3</b> – use of risk management in the inspection of goods.</p> <p><b>Standard 4.4</b> – coordination of the inspection functions of the various agencies interested in a consignment.</p> <p><b>Standard 4.5</b> – use risk management to determine which goods shall be examined for import or export and the extent of that examination.</p> <p><b>Standard 4.6</b> – use modern screening techniques to facilitate the physical examination of goods to be imported or exported.</p> | <p><b>Standard 4.5.2</b> – ensure that cargo, courier and express parcels and mail intended for carriage on passenger flights are subjected to appropriate security controls.</p> <p><b>Standard 4.5.3</b> – that operators do not accept consignments of cargo, courier and express parcels and mail intended for carriage on passenger flights unless the security of such consignments is accounted for by a regulated agent or such consignments are subjected to other security controls....</p> |
| Controls on air cargo consignments in transit | <p><b>Standard 4.47</b> – allow operators under the supervision of the public authorities concerned to unload transit cargo arriving in containers and pallets so that they may sort and reassemble shipments for onward carriage....</p>                                                                                                                                                                                                                                                                | <p><b>Standard 4.5.1</b> – protect cargo, baggage, mail, stores and operators' supplies being moved within an airport and intended for carriage on an aircraft, to safeguard such aircraft against an act of unlawful interference.</p>                                                                                                                                                                                                                                                               |

### 3. OTHER SECURITY-ENHANCING PROVISIONS OF ANNEX 9

3.1 A number of other provisions in Annex 9 contribute substantially to security of civil aviation although they do not correlate directly to provisions in Annex 17. These provisions fall principally into the categories of information management and document security.

#### 3.1.1 *Information management*

Standard 1.4 requires the development of effective information technology applications to improve control procedures.

Standard 1.5 requires the development of procedures for pre-arrival lodgement of data in order to permit advance examination of goods and people.

Recommended Practice 3.34 considers advance passenger information systems.

Standard 4.4 requires acceptance of cargo manifests and air waybills in electronic form.

Recommended Practice 4.28 considers the concept of “premium procedures” for authorized importers meeting specific criteria of compliance, records management, and advance submission of information to the public authorities.

3.1.2 ***Document security***

Recommended Practice 3.5 and Standard 3.6 call for conformity of passports and other travel documents to the formats set forth in Doc 9303.

Standard 3.10 requires that each person be issued a separate passport.

Standard 3.40 requires that when limited-entry visas have been used up, they be clearly marked.

Standard 3.56 requires that fraudulent, falsified or counterfeit travel documents, and those carried by imposters, be seized by the public authorities and removed from circulation.

3.1.3 It should be noted that this list is not exhaustive, as numerous other provisions support the interoperability of control systems and hence have an indirect bearing on security.

4. **ACTION BY THE DIVISION**

4.1 The Division is invited to consider the numerous areas in which the objectives of Annex 9 SARPs relate closely with those of provisions in Annex 17, or otherwise contribute to enhanced security, and to adopt the following recommendation.

**Recommendation B/xx —**

It is recommended that member States in setting up, conducting and evaluating the effectiveness of their aviation security programmes, take into account the relevant objectives, Standards and Recommended Practices of Annex 9.

— END —