



International Civil Aviation Organization

**The Third Meeting of the APANPIRG ATM Sub-Group
(ATM /SG/3)**

Bangkok, Thailand, 03-07 August 2015

Agenda Item 9: Any other business (including Election of Officers)

ATS PROVIDER & AIR TRAFFIC MANAGEMENT SECURITY REQUIREMENTS

(Presented by ICAO Asia and Pacific Office – Security)

SUMMARY

This paper presents information on Annex 17 - *Security* Amendment 14 pertaining to Air Traffic Service Providers and Air Traffic Management Security Requirements.

1. INTRODUCTION

1.1 Aviation security SARPs are contained in Annex 17 and have relevance to many other Annexes including, but not limited to, Annex 2, 6, 8, 9, 10, 11, 14 and 18. There are also connections with PANS Docs 4444 and 8168.

1.2 Annex 17 – *Security* requires States to develop and implement an NCASP, which should specify the roles and responsibilities of all the organizations and agencies, including ATS Providers that may be involved in security operations. The NCASP addresses the whole range of security activities including, *inter alia*, threat and risk assessment, staff selection and training (in security-related matters), access control and other preventive security measures, management of response to acts of unlawful interference, and quality control.

1.3 Not all provisions of the NCASP will be applicable to the ATS Providers. The NCASP identifies the specific responsibilities of each of the parties that have a role in security operations.

2. DISCUSSION

2.1 There are a number of SARPs with particular relevance to ATS Providers and ATM security contained in Annex 17 – *Security* including primarily Standard 3.5 but also to varying degrees, a number of additional SARPs with direct relevance as follows;

3.5 Air traffic service providers

Each Contracting State shall require air traffic service providers operating in that State to establish and implement appropriate security provisions to meet the requirements of the national civil aviation security programme of that State.

4.2 Measures relating to access control

4.2.2 Each Contracting State shall ensure that security restricted areas are established at each airport serving civil aviation designated by the State based upon a security risk assessment carried out by the relevant national authorities.

4.2.3 *Each Contracting State shall ensure that identification systems are established in respect of persons and vehicles in order to prevent unauthorized access to airside areas and security restricted areas. Identity shall be verified at designated checkpoints before access is allowed to airside areas and security restricted areas.*

4.2.4 *Each Contracting State shall ensure that background checks are conducted on persons other than passengers granted unescorted access to security restricted areas of the airport prior to granting access to security restricted areas.*

4.8 Measures relating to the landside

4.8.1 **Recommendation.**— *Each Contracting State should ensure that security measures in landside areas are established to mitigate the risk of and to prevent possible acts of unlawful interference in accordance with national and local risk assessments carried out by the relevant authorities.*

4.8.2 **Recommendation.**— *Each Contracting State should ensure coordination of landside security measures between relevant departments, agencies, other organizations of the State, and other entities, and identify appropriate responsibilities in its national civil aviation security programme.*

4.9 Measures relating to cyber threats

4.9.1 **Recommendation.**— *Each Contracting State should, in accordance with the risk assessment carried out by its relevant national authorities, ensure that measures are developed in order to protect critical information and communications technology systems used for civil aviation purposes from interference that may jeopardize the safety of civil aviation.*

4.9.2 **Recommendation.**— *Each Contracting State should encourage entities involved with or responsible for the implementation of various aspects of the national civil aviation security programme to identify their critical information and communications technology systems, including threats and vulnerabilities thereto, and develop protective measures to include, inter alia, security by design, supply chain security, network separation, and remote access control, as appropriate.*

5.2 Management of Response to Acts of Unlawful Interference

5.2.2 *Each Contracting State responsible for providing air traffic services for an aircraft, which is the subject of an act of unlawful interference, shall collect all pertinent information on the flight of that aircraft and transmit that information to all other States responsible for the air traffic services units concerned, including those at the airport of known or presumed destination, so that timely and appropriate safeguarding action may be taken en route and at the aircraft's known, likely or possible destination.*

5.2.3 *Each Contracting State shall provide assistance to an aircraft subjected to an act of unlawful seizure, including the provision of navigation aids, air traffic services and permission to land as may be necessitated by the circumstances.*

5.2.4 *Each Contracting State shall take measures, as it may find practicable, to ensure that an aircraft subjected to an act of unlawful seizure which has landed in its territory is detained on the ground unless its departure is necessitated by the overriding duty to protect human life. However, these measures need to recognize the grave hazard attending further flight. States shall also recognize the importance of consultations, wherever practicable, between the State where that aircraft has landed and the State of the Operator of the aircraft, and notification by the State where the aircraft has landed to the States of assumed or stated destination.*

5.2.6 Recommendation.— *Each Contracting State should ensure that information received as a consequence of action taken in accordance with 5.2.2 is distributed locally to the air traffic services units concerned, the appropriate airport administrations, the operator and others concerned as soon as practicable.*

2.2 States' compliance with the above mentioned SARPs are subject to auditing under the ICAO Universal Security Audit Programme - Continuous Monitoring Approach (USAP-CMA).

2.3 In accordance with its leadership role, and in recognition of the vital role played by ATSPs and the security of ATM, ICAO has drafted guidance to assist States to establish and implement the appropriate security provisions as required by the relevant SARPs which would include the physical and electronic protection of all relevant facilities and equipment. The Air Traffic Management Security Manual (Doc 9985) is available to States for convenience. This Manual complements the *Aviation Security Manual* (Doc 8973 – Restricted) and provides guidance on security issues specific to ATM in order to assist States and ATS Providers in implementing appropriate security provisions to meet the published requirements of the NCASP. In addition, the manual provides guidance to the ATS Providers on provision of ATM security services in support of national security and law enforcement requirements, and guidance on protection of the ATM system infrastructure from threats and vulnerabilities.

2.4 With input from India, Malaysia, Hong Kong, Indonesia and Singapore including both ATS and AvSec professionals, the Cooperative Aviation Security Programme-Asia Pacific (CASP-AP), has drafted the following.

- Text to be inserted into the CASP-AP Model National Civil Aviation Security Programme (NCASP) outlining the requirements as per Standard 3.5 and the other relevant SARPs and security practices and mechanisms; and
- A CASP-AP National Air Traffic Service Provider Security Programme (CASP-AP ATS Security Programme) model/template. The model/template addresses the preservation of the ATM system and the use of the ATM system in the response to acts of unlawful interference.

2.5 The appropriate text has been included in the latest version of the CASP-AP Model NCASP released to CASP-AP member States/Administrations.

2.6 The draft CASP-AP ATS Programme is available to Member States and will be released also to non-CASP-AP States on request.

2.7 States are encouraged to share information and best practice regarding their effort to comply with Standard 3.5. An example includes sharing of ATS Providers Security Programs.

3. ACTION BY THE MEETING

3.1 The meeting is invited to:

- a) note the information contained in this paper;
- b) ensure regulatory compliance with the International and National requirements for ATS Providers and ATM Security; and
- c) encourage States that already have security provisions in place for air traffic service providers to share information with other States.