International Civil Aviation Organization
North American, Central American and Caribbean Office (NACC)
Thirteenth Meeting of Directors of Civil Aviation of the Central Caribbean (C/CAR/DCA/13)
Havana, Cuba, 28 - 31 May 2013

Agenda Item 7:   **Aviation Security (AVSEC) Matters**
                       7.1   Results of the High-Level Conference on Aviation Security

OUTCOME OF THE ICAO HIGH-LEVEL CONFERENCE ON AVIATION SECURITY

(Presented by the Secretariat)

SUMMARY
The High-Level Conference on Aviation Security (HLCAS) was held at ICAO Headquarters in Montreal, Canada, from 12 to 14 September 2012. The HLCAS was attended by over 700 participants representing 132 Member States, 23 International and Regional Intergovernmental Organizations, as well as industry stakeholders, Ministers and high level aviation security officers. The HLCAS agreed upon measures to improve the global aviation security. Bahamas, Cuba, Dominican Republic, Haiti, Jamaica, Mexico and United States attended from the Central Caribbean. The Conference recommendations have already been considered by the ICAO Council.
The HLCAS highlighted the importance of providing a more coordinated global response concerning unpredictable threats by terrorism and the need to lighten the load that the aviation security measures represent for the industry and passengers. The Conference supported the strategies and measures based on international cooperation, improved information exchange and a proactive approach. In addition to its agreement on the transition to a global contribution framework based on the risk, the Conference agreed to establish procedures to identify and handle the high-risk air cargo and protect the supply chains. These processes also include stricter measures to handle the possible threats that might involve the airport personnel, air carrier operators and the cargo sector.
Recognizing the importance of taking advantage of the latest technological improvements and innovative procedures, the Conference encouraged ICAO to hold a Symposium on aviation security technology in 2014. Likewise, it supported a detailed plan to observe the compliance with aviation security provisions by States through ICAO aviation security audits and urged the States to contribute with resources in order to help those requiring assistance.
The results and Communiqué of this High-Level Conference on Aviation Security are presented in the **Appendices A and B** to this information paper.

References:
• C-WP/13875 dated 25 September 2012 on the Outcome of the High-Level Conference on Aviation Security
• Communiqué of the ICAO High-Level Conference on Aviation Security (Montreal, Canada, 12 to 14 September 2012)

Strategic Objective	*This information paper is related to Strategic Objective B. Security – Enhance global civil aviation security*

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International Civil Aviation Organization

C-WP/13875
25/9/12

WORKING PAPER

COUNCIL — 197TH SESSION

Subject No. 52: Unlawful interference with international civil aviation and its facilities

OUTCOME OF THE HIGH-LEVEL CONFERENCE ON AVIATION SECURITY

(Presented by the Secretary General)

<table>
<tr><td colspan="2" align="center">EXECUTIVE SUMMARY</td></tr>
<tr><td colspan="2">The High-level Conference on Aviation Security (HLCAS) was held in Montréal from 12 to 14 September 2012. The meeting was attended by 132 Member States and 23 international organizations and industry associations. This working paper, and the associated Appendix, proposes follow-up action required as a result of the recommendations made by the Conference.

The HLCAS discussions resulted in a number of important recommendations intended to enhance the aviation security framework, such as the expedited adoption of Annex 17 Standards and Recommended Practices to mitigate risks to air cargo security and to address the insider threat. The HLCAS also supported the dissemination of the global Risk Context Statement as a source of information States may use when undertaking their own national risk assessments. Additionally, the HLCAS supported the transition of the Universal Security Audit Programme to a continuous monitoring approach, and generated recommendations regarding the development and implementation of a coordinated, targeted, and effective capacity-building framework. Finally, the HLCAS provided recommendations aimed at ensuring sustainability and passenger facilitation, and promoting innovation in aviation security.

Action: The Council is invited to:
<ol type="a">
approve the recommendations of the High-level Conference on Aviation Security and the Secretariat follow-up actions contained in the Appendix; and
request that the Secretary General quantify the resources needed to implement all the recommendations that require action in the next triennium, and to work with the Council to determine the most appropriate method of presenting such information to the 38th Session of the Assembly.

</td></tr>
<tr><td><i>Strategic Objectives:</i></td><td>This working paper relates to Strategic Objective B — <i>Security</i>.</td></tr>
<tr><td><i>Financial implications:</i></td><td>The actions proposed by the Secretariat to implement the recommendations of the HLCAS will not require additional resources in the current triennium. The financial implications of recommendations that require Secretariat action in the next triennium will be addressed by the Secretariat through the budget process in collaboration with Council.</td></tr>
<tr><td><i>References:</i></td><td>C-WP/13869 Restricted
C-DEC 196/2
C-DEC 194/1
<i>Report of the High-level Conference on Aviation Security</i> (yellow cover)</td></tr>
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APPENDIX

PROPOSED FOLLOW-UP ACTION ON HIGH-LEVEL CONFERENCE ON AVIATION SECURITY (HLCAS) RECOMMENDATIONS

SUMMARY OF KEY RECOMMENDATIONS ADOPTED BY THE HLCAS	PROPOSED FOLLOW-UP ACTIONS BY THE SECRETARIAT	TIMEFRAME[1]
Agenda Item 1 – ICAO global Risk Context Statement (RCS)		
ICAO to disseminate the RCS on a confidential basis, and develop associated guidance material.	1) Disseminate the RCS to States in an appropriate format;	Medium-term
	2) Develop additional guidance material;	Medium-term
	3) Maintain the currency of the RCS in coordination with the Aviation Security (AVSEC) Panel Working Group on Threat and Risk; and	Continuing activity
	4) Continue to support the AVSEC Panel in addressing new and existing threats.	Continuing activity
Agenda Item 2 – Enhancing air cargo security		
a) ICAO to adopt strengthened cargo-related Standards and Recommended Practices (SARPs) by means of a fast-track amendment to Annex 17;	1) Propose an Annex 17 amendment and fast-track process for cargo-related SARPs for consideration by the Council during its 198th Session;	Medium-term
b) ICAO, States and stakeholders to take into account the Principles of Air Cargo and Mail Security in taking action to secure the air cargo and mail supply chain;	2) Publish an Electronic Bulletin providing information on the Principles of Air Cargo and Mail Security;	Short-term
c) ICAO, the World Customs Organization (WCO), Universal Postal Union (UPU) and industry stakeholders to continue their technical cooperation and align policy and regulatory frameworks; and	3) Finalize draft guidance material on the air cargo supply chain to be presented to the Twenty-fourth Meeting of the AVSEC Panel for review and subsequent inclusion in the next edition of the *Aviation Security Manual* (Doc 8973). Other means of dissemination ahead of the new edition of Doc 8973 may be necessary;	Medium-term
d) ICAO to develop an international capacity-building strategy specific to air cargo and mail security to aid Member States.	4) Ensure technical collaboration on cargo security-related efforts, including:	

SUMMARY OF KEY RECOMMENDATIONS ADOPTED BY THE HLCAS	PROPOSED FOLLOW-UP ACTIONS BY THE SECRETARIAT	TIMEFRAME[1]
	a. publishing ICAO-WCO joint documentation on air cargo security and facilitation;	Medium-term
	b. aligning all relevant regulatory frameworks, including the conduct of a pilot 'combined' Regulated Agent and Authorised Economic Operator (the WCO equivalent of Regulated Agent) programme; and	Long-term
	c. defining the technical framework for advance cargo information;	Long-term
	5) Develop and implement a focused cargo security assistance action plan.	Medium- to long-term
Agenda Item 3 – Combating the insider threat		
a) Council to adopt revised Standard 4.2.6 to Annex 17 before the 38th Session of the Assembly; and	1) Propose a fast-track amendment process for the revised Standard 4.2.6 to Annex 17 for consideration by the Council during its 198th Session; and	Medium-term
b) States to evaluate measures to mitigate insider threat in advance of the adoption of the new Standard 4.2.6.	2) Review and update guidance material.	Medium-term
Agenda Item 4 – The evolution of the aviation security audit process – transparency		
a) The Universal Security Audit Programme (USAP) to continue to focus on enabling States to identify their deficiencies and implement corrective actions, and on generating information necessary for targeted assistance;	1) Present the transition plan for the USAP-CMA to the Council during its 197th Session for approval, including an outline of financial and other resource implications;	Short-term
b) ICAO to continue to develop and implement a USAP continuous monitoring approach (USAP-CMA);	2) Continue to develop the methodology and framework for the USAP-CMA within the context of the transition plan;	Medium-term
c) The Council to consider, at the earliest opportunity, the proposed methodology, framework, and financial implications for both States and ICAO for the transition to the USAP-CMA;	3) Provide regular updates to the Council on the implementation of the transition plan to the USAP-CMA; and	Medium- to Long-term

SUMMARY OF KEY RECOMMENDATIONS ADOPTED BY THE HLCAS	PROPOSED FOLLOW-UP ACTIONS BY THE SECRETARIAT	TIMEFRAME[1]
d) A limited level of transparency of USAP audit results to remain in place, without compromising the principle of confidentiality of such results; and e) In developing the USAP-CMA, ICAO to ensure that no excessive administrative burdens are placed on Member States.	4) In developing the USAP-CMA, while the methodology will differ, the scope of the Programme will remain unchanged from that of the second cycle of USAP audits. In addition: a. a limited level of transparency will be maintained; and b. the ICAO Secretariat will work to minimize administrative burdens on Member States.	Medium- to Long-term
Agenda Item 5 – Capacity-building and technical assistance		
a) ICAO to continue to provide aviation security assistance; b) ICAO and States to promote partnership agreements; c) ICAO and States to ensure the development of a coordinated, targeted and effective capacity-building framework; d) States to exchange Annex 17 compliance information to assist in defining efficient capacity-building initiatives; e) States to continue to provide voluntary and in-kind resources; f) States to ratify the Convention on the *Suppression of Unlawful Acts Relating to International Civil Aviation* (done at Beijing on 10 September 2010) and the *Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft* (done at Beijing on 10 September 2010); and g) ICAO to continue reviewing the Tokyo Convention with particular reference to the issue of unruly passengers.	1) Continue to implement the Assistance and Capacity-building Strategy, targeting priority States; 2) Encourage and support ad hoc assistance requests from States not targeted; 3) Develop and maintain relevant guidance and training material; 4) Issue a State letter urging States to provide Annex 17 compliance information and to ratify the Beijing Convention and Protocol of 2010; 5) Continue the enhancement of the Ad Hoc Group on Assistance and Capacity Building to further coordinate assistance projects within a capacity-building framework; 6) Develop and establish regional assistance strategies for implementation; 7) Through the implementation of regional assistance strategies, convene regional conferences and/or	Continuing activity Continuing activity Continuing activity Short-term Medium-term Medium-term Long-term

SUMMARY OF KEY RECOMMENDATIONS ADOPTED BY THE HLCAS	PROPOSED FOLLOW-UP ACTIONS BY THE SECRETARIAT	TIMEFRAME[1]
	meetings to exchange information in order to further define regional capacity-building work plans;	
	8) Continue the establishment of regional capacity-building mechanisms using the Cooperative Aviation Security Programme model; and	Medium-term
	9) Support consideration of the issue of unruly passengers in the Legal Committee and its Sub-Committee.	Continuing activity
Agenda Item 6 – Ensuring the sustainability of aviation security measures – equivalence		

a) ICAO and States to take into account the following in the long-term development of Annex 17:
  1. outcomes-based approach; and
  2. improved passenger satisfaction;
	1) Support AVSEC Panel deliberations, and develop a framework for the consideration of sustainability 'principles' adopted during the HLCAS in future amendments of Annex 17;	Medium- to long-term

b) ICAO and States to ensure that international aviation security cooperation is enhanced through the following principles:
  1. respect for bilateral/multilateral air services agreements;
  2. recognition of equivalent security measures; and
  3. focus on security outcomes; and
	2) Continue to support and coordinate the relevant AVSEC Panel Working Groups to address new and existing threats;	Continuing activity

c) ICAO to continue to address other threats and risks, including GNSS jamming, blocking and spoofing, and risks to landside areas of airports.	3) Update and/or revise guidance material, including on matters related to air navigation systems and the security of landside areas;	Medium- to long-term
	4) Issue a State letter communicating guiding principles for sustainable aviation security measures; and	Medium-term
	5) Cost implications of aviation security to be considered by the Sixth Worldwide Air Transport Conference (18 to 22 March 2013).	Medium-term

SUMMARY OF KEY RECOMMENDATIONS ADOPTED BY THE HLCAS	PROPOSED FOLLOW-UP ACTIONS BY THE SECRETARIAT	TIMEFRAME[1]
Agenda Item 7 – The role of the Machine Readable Travel Document (MRTD) Programme, Advance Passenger Information (API), and Passenger Name Record (PNR) (including the Public Key Directory (PKD))		

a) Passenger data exchange systems:
  1. States to consider implementing iAPI;
  2. States to align data exchange systems, and identify a single agency to receive all data;
  3. ICAO to introduce new Annex 9 SARPs to enhance global uniformity; and
  4. ICAO to provide assistance and training on the implementation of API and PNR systems;
b) ePassports and PKD:
  1. States to consider issuing ePassports;
  2. States to consider using ePassport readers;
  3. States to consider joining the PKD; and
  4. ICAO to provide assistance and training on the introduction of ePassports;
 	
c) The Council to consider the new MRTD strategy; and
 	
d) ICAO to address technical issues raised during the HLCAS at the Seventh Meeting of the Facilitation Panel (FALP/7).
	1) Actions on passenger data exchange systems:
	
	  a. Issue a State letter to promote international uniformity in the use of API and iAPI;
	
	  b. Revised guidance and training material;
	
	  c. Develop new/revised Annex 9 SARPs; and
	
	  d. Conduct training and/or seminars for States;
	
	2) Actions on ePassports and PKD:
	
	  a. Issue a State letter to communicate ePassport-related recommendations;
	
	  b. Host MRTD events and produce related publication;
	
	  c. Conduct training, seminars, and symposia; and
	
	  d. Issue new/revised guidance material on the introduction of ePassports;
	
	3) Prepare a working paper on the new MRTD strategy for consideration by the Council during the 198th Session; and
	
	4) Address other technical issues considered by the HLCAS at FALP/7.
		
		Short-term
		
		Medium-term
		
		Long-term
		
		Medium- to long-term
		
		Short-term
		
		Continuing activity
		Continuing activity
		Medium-term
		
		Short-term
		
		Short-term

SUMMARY OF KEY RECOMMENDATIONS ADOPTED BY THE HLCAS	PROPOSED FOLLOW-UP ACTIONS BY THE SECRETARIAT	TIMEFRAME[1]
Agenda Item 8 – Driving technology developments and innovation		
a) ICAO to convene a Symposium on Innovation in Aviation Security in 2014; b) ICAO to provide leadership in next generation screening processes; and c) States to continue efforts in the gradual lifting of liquids, aerosols and gels (LAG) restrictions.	1) Propose for consideration by the Council at its 200th Session the convening of a Symposium on Innovation in Aviation Security in 2014; 2) Propose to the AVSEC Panel and Technical Advisory Group on Next Generation Screening to further review the component research roadmap presented at the HLCAS with a view to issuing an Electronic Bulletin providing information on a framework for the development of next generation passenger screening; and 3) Convene meetings of the Secretariat Study Group on LAGs, as appropriate, in order to provide a coordinating forum for the exchange of information related to the implementation of screening technology for LAGs.	Medium-term Medium-term Medium- to Long-term

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COMMUNIQUÉ OF THE
ICAO HIGH-LEVEL CONFERENCE ON AVIATION SECURITY

Montréal, 12 to 14 September 2012

The High-level Conference on Aviation Security, convened by the International Civil Aviation Organization (ICAO) at its Headquarters in Montréal, was held from 12 to 14 September 2012. The Conference was attended by over 700 participants representing 132 Member States, and 23 international and regional organizations and industry associations.

Acknowledging the critical role of civil aviation in global economic development and the various security challenges which the international air transport sector faces today, the Conference highlighted:

a) that credible threats exist and need to be addressed effectively to protect civil aviation;

b) that terrorism does not respect borders and if not mitigated, can cause the loss of life and injury to persons, seriously disrupt international air transport operations, result in significant damage to civil aviation equipment and facilities, and undermine public confidence in air transport;

c) Resolution A37-17, the Declaration on Aviation Security, and the ICAO Comprehensive Aviation Security Strategy (ICASS), which further enhance aviation security for the safeguarding of international civil aviation against acts of unlawful interference;

d) the Joint Statements adopted at ICAO Regional Aviation Security Conferences held in Bahrain, India, Malaysia, Russian Federation, Senegal and Venezuela;

e) the importance of the cooperation and coordination between ICAO, its Member States, international and regional organizations, industry and all other stakeholders to achieve a sustainable level of aviation security;

f) that all ICAO Member States are committed to compliance with the aviation security Standards and Recommended Practices in ICAO Annexes 17 — *Security* and 9 — *Facilitation* to the *Convention on International Civil Aviation*, and other aviation security conventions; and

g) that a balance should be maintained between the needs of security, facilitation, efficiency and effectiveness.

Mindful of these points, the Conference:

1) encouraged ICAO Member States and industry stakeholders to adopt a risk-based approach to aviation security;

2) welcomed the initiative taken by ICAO to establish a Risk Context Statement which provides valuable information to its Member States and offers a robust methodology for States to use in further developing their own national risk assessments, should they choose to use this methodology;

3) requested ICAO and its Member States to consider developing a more outcomes-based approach when regulating aviation security, as this would help them better define the security objectives of their measures;

4) strongly encouraged ICAO to expedite the adoption of new security Standards and Recommended Practices to mitigate the risk to air cargo and mail, based on the implementation of secure supply chain systems, common baseline security measures for both passenger and all-cargo aircraft, and enhanced security measures for cargo and mail considered to be high risk;

5) requested ICAO, the World Customs Organization, the Universal Postal Union and industry stakeholders to identify further synergies between aviation security, Customs and postal security requirements, with the objective of facilitating trade while assuring the security of air cargo and mail;

6) acknowledged that threats posed by insiders are real, and therefore urged ICAO Member States to implement effective mitigation measures, and to adopt a revised ICAO Standard on the screening of persons other than passengers as soon as practicable;

7) acknowledged the need for ICAO and its Member States to address the continued threat to international civil aviation posed by liquid, aerosol and gel (LAG) explosives, including the implementation of technological solutions needed to gradually lift restrictions on the carriage of LAGs in cabin baggage;

8) requested ICAO Member States to treat flights arriving from States where LAGs screening is applied in the same way as flights from States where LAGs restrictions are applied;

9) supported the transition of the ICAO Universal Security Audit Programme (USAP) to a Continuous Monitoring Approach that combines a risk-based approach to auditing and continuous monitoring, while considering national and regional organization oversight capabilities;

10) requested ICAO to make the best use of USAP audit results for defining and targeting aviation security capacity-building activities for the benefit of Member States in need;

11) encouraged Member States to share USAP audit results in an appropriate and secure manner in order to target capacity-building and technical assistance efforts on those areas where they would do most good;

12) acknowledged the progress made in the implementation of the ICAO Aviation Security Strategy on Capacity Building, and requested ICAO to strengthen its efforts, with additional focus to be given to air cargo and mail security capacity-building activities;

13) encouraged ICAO Member States and relevant stakeholders such as regional organizations to enter into partnership agreements for the organization and delivery of capacity-building activities, encompassing all the parties concerned and including commitments to be made by all partners;

14) highlighted the importance of defining security measures which are effective, efficient, operationally viable, economically sustainable, and take into account the impact on passengers;

15) strongly encouraged ICAO Member States to explore with each other mutual recognition arrangements, including one-stop security, which recognize the equivalence of their aviation security measures where these achieve the same outcomes, and which are based on an agreed comprehensive and continuous validation process and effective exchange of information regarding their respective aviation security systems;

16) endorsed as key principles governing international aviation security cooperation: a) respect for the spirit of cooperation defined in bilateral and/or multilateral air services agreements; b) recognition of equivalent security measures; and c) focus on security outcomes;

17) encouraged ICAO Member States to enhance aviation security by standardizing formats for travel documents and for the electronic transmission of passenger data to State authorities while ensuring the protection of passengers' privacy and civil liberties, and to enhance travel document security by participating in the electronic passport validation service known as the ICAO Public Key Directory (PKD);

18) requested ICAO to further address emerging issues such as air traffic management security (i.e., the security of air navigation services and facilities), landside security, and cyber threats;

19) supported initiatives undertaken by ICAO, in cooperation with industry stakeholders and equipment manufacturers, to develop the next generation of passenger and cargo screening processes, taking into account technology developments and desired security outcomes, and to make recommendations for the modernization of regulatory frameworks as necessary; and

20) strongly encouraged States to ratify the latest aviation security international legal instruments, namely the Beijing Convention and the Beijing Protocol of 2010.

-END-