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WORKING PAPER

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**Fifth North American, Central American and Caribbean Directors of Civil Aviation Meeting  
(NACC/DCA/5)**

Port-of-Spain, Trinidad and Tobago, 28 to 30 April 2014

**Agenda Item 7: Aviation Security (AVSEC) and Facilitation (FAL)  
7.3 Other Aviation Security and Facilitation Matters**

**NAM/CAR REGIONS SECURITY AND FACILITATION ACTIVITY**

(Presented by the Secretariat)

<b>EXECUTIVE SUMMARY</b>	
This working paper provides information on NAM/CAR Aviation Security (AVSEC) and Facilitation (FAL) activities and related relevant information to be considered by the appropriate authorities to accomplish the provisions of Annex 9 – <i>Facilitation</i> and Annex 17 - <i>Security</i> .	
<b>Action:</b>	The suggested action is presented in Section 4
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"><li>• Security and Facilitation</li></ul>
<i>References:</i>	<ul style="list-style-type: none"><li>• Report on Items 14, 15 and 16 of the ICAO 38<sup>th</sup> 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: November 2002 to June 2013, Fifth Edition, 2013</i></li></ul>

**1. Introduction**

1.1 Taking into consideration the results of the ICAO Universal Security Audit Program (USAP) Second Cycle Audits, coordinated with the ICAO Headquarters Implementation Support and Development Section - Security (ISD-Sec), the NACC Regional Office has developed training and assistance activities in the NAM/CAR States to enhance implementation of Annex 9 – *Facilitation* and Annex 17 – *Security* requirements.

## 2. Training and Assistance Activities

2.1 Having identified the need to clarify the concept and criteria regarding Annex 17 Standards regarding implementation of security risk assessments carried out by the applicable national authorities, ICAO developed workshop training material. The content of this material has facilitated understanding of threat and risk analysis, and the methodology and procedures that should be considered by States when applying this criterion to implement corresponding Aviation Security (AVSEC) measures within their respective States/Territories. In this respect, with support from several States that agreed to be hosts, and as part of the *ICAO/Transport Canada Training Awareness Programme - Phase III Initiative* (part of the *ICAO/Transport Canada Aviation Security Project*), several workshops on civil aviation security risk management overview were conducted:

- Aruba, Bonaire, Curaçao, Guyana, Sint Maarten, Suriname, and Trinidad and Tobago (Suriname, 4 to 8 February 2013)
- El Salvador, Guatemala and Honduras (Tegucigalpa, Honduras, 11 to 15 March 2013)
- Costa Rica, Nicaragua and Panama (Panama City, Panama, 13 to 17 May 2013)
- Antigua and Barbuda, Barbados, Grenada, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines and ECCAA (Saint John's, Antigua and Barbuda, 27 to 31 May 2013)
- Cuba and Dominican Republic (Santo Domingo, Dominican Republic, 1 to 5 July 2013)
- Bahamas, Belize, Bermuda, Caiman Islands, Jamaica and Turks and Caicos Islands (Kingston, Jamaica, 15 to 19 July 2013)
- Mexico (ASTC/CIIASA, Mexico City, Mexico, 23 to 27 September 2013)

2.2 Participants were expected to share the knowledge of this methodology with civil aviation authorities and/or the appropriate AVSEC authorities within their States/Territories and also with other national government entities involved in aviation security risk assessment.

2.3 Additionally, in accordance with Amendments 12 and 13 to Annex 17, ICAO has updated the Aviation Security Training Packages (ASTPs) for the Instructors Course and Cargo and Mail Security Course, and has conducted events on these matters with the updated material through the accredited Aviation Security Training Centres (ASTCs) network. This activity will continue as part of the ASTC regular training programmes.

2.4 As part of the *ICAO/Transport Canada Aviation Security Project*, ICAO has conducted State or enhanced assistance plans for Haiti, Honduras, and ECCAA involving onsite experts to improve the legal framework and AVSEC programmes within those States. This has also included training for work teams designated by the civil aviation authorities in order to involve other governmental entities in this objective. A new project is in process to begin similar assistance for the Bahamas.

2.5 Regarding FAL issues, the NACC Regional Office, in coordination with ISD-Sec, has conducted two NAM/CAR and SAM regional seminars: one in Santiago, Chile, in February 2012 and another in Mexico City, Mexico, in May 2013. The seminars provided information regarding updates and latest amendments to Annex 9 Standards and Recommended Practices (SARPs) separate from Machine Readable Travel Document (MRTD) information. It is important to mention that the MRTD programme only covers a portion of Annex 9 and there are many other AVSEC SARPs to be complied with by the States. The next NAM/CAR and SAM Facilitation Regional Seminar will be conducted at the ICAO SAM Regional Office in Lima, Peru, from 9 to 11 September 2014.

2.6 With regard to MRTDs, in a joint ICAO and OAS Inter-American Committee against Terrorism (CICTE) effort, many regional seminars have been provided to NAM/CAR Region States on the best practices for security of travel documents and identity management, oriented specifically to those authorities in charge of issuing identity and/or travel documents within the States of these regions.

2.7 In December 2011 and 2012, capacity building on security of travel documents and identity management regional seminars were conducted in Mexico and Trinidad and Tobago, respectively. Additionally, an ICAO Regional Seminar on Machine Readable Travel Documents, Biometrics and Identification Management was conducted in Philipsburg, Sint Maarten, 9 to 11 July 2013; and as a closure for these series of seminars, a Hemispheric Workshop on Best Practices for Travel Document Security and Identity Management was conducted in Miami, United States, February 26 to 28, 2014.

2.8 As part of this programme on security travel documents and identity management, onsite evaluations by ICAO and OAS/CICTE experts were conducted in:

- Dominican Republic, 28 - 30 March 2012
- Guatemala, 8 - 11 May 2012
- El Salvador, 4 - 8 June 2012
- Antigua and Barbuda 7 - 11 November 2012

### 3. Discussion

3.1 Even though training has been provided in the NAM/CAR Region on different AVSEC fields, not all States have updated, approved, or implemented their National Civil Aviation Security Programme (NCASP) considering Annex 17 – *Security*, Amendments 12, 13 and 14 or future implementation of the ICAO USAP to a Continuous Monitoring Approach (CMA). It is important that States update their legal and regulatory framework as well as all other national programmes related to the NCASP regarding training and certification of instructors and AVSEC personnel, quality control, and control and inspection of air cargo and mail to be transported in an aircraft engaged in commercial air transport operations.

3.2 It is also important to mention that, although States have within their regulations or their NCASP the establishment of a national aviation security committee to coordinate AVSEC activities between State departments, agencies and other organizations, airport and aircraft operators, air traffic service providers and other entities involved with or responsible for the implementation of various NCASP aspects, not all States conduct meetings of national aviation security or similar entities to achieve the necessary coordination with other government entities that ensures a joint effort to comply with the provisions of Annex 17.

3.3 It is also important for the appropriate authorities, when updating their legislation and regulations, to consider determining the legal implications and include clear procedures to control unruly or disruptive behavior at aviation facilities and onboard aircraft. This has been an increasing situation that can impact the safety and security of international civil aviation.

3.4 The 38<sup>th</sup> Session of the ICAO Assembly recognized Facilitation as one of its strategic objectives. It is important that civil aviation authority directors recognize the need to update their legal framework regulations and programmes with Annex 9 provisions, specifically the part of this Annex related to security measures, which is also part of the future USAP-CMA.

3.5 It is also important to mention that one of the observations of the USAP Second Cycle Audits is that not all States have established, updated, approved or implemented their National Air Transport Facilitation Programme (NATFP) considering the provisions of Annex 9 and its latest amendments. Guidance to the development of NATFPs can be found in ICAO Doc 9957, *Facilitation Manual*.

3.6 Additionally, not many States have mandated the establishment and/or activation of National Air Transport Facilitation Committees and Airport Facilitation Committees to coordinate FAL activities between 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 in their national legislation or regulations.

3.7 Considering that the NACC/DCA/5 Meeting will adopt a very important declaration that will set the regional targets for safety and air navigation for future years that are part of other Annexes to the Chicago Convention, it would be of utmost importance that the NAM/CAR Directors of Civil Aviation also set AVSEC and FAL regional targets 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.

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

4.1 The Meeting is invited to:

- a) support the participation of NAM/CAR States at ICAO AVSEC-FAL training activities;
- b) consider the following regional 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. activate and have a fully functioning National Aviation Security Committee for the purpose of coordinating AVSEC activities between 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; and
- c) consider the following regional air transport Facilitation (FAL) targets within their States:
  - i. establish and/or update, and 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 States; and

- iii. establish and/or activate National Air Transport Facilitation Committees and Airport Facilitation Committees for the purpose of coordinating and facilitating activities between 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.

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