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**Agenda Item 7: Aviation Security (AVSEC) and Facilitation (FAL)
7.1 Aviation Security and Facilitation Activities in the NAM/CAR
Regions**

REGIONAL NAM/CAR ACTIVITY ON AVIATION SECURITY AND FACILITATION

(Presented by the Secretariat)

EXECUTIVE SUMMARY

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 complying with Standards and Recommended Practices (SARPs) of Annex 9 – *Facilitation* and Annex 17 – *Security*.

Action:	Suggested action is presented in Section 4.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Security & Facilitation
<i>References:</i>	<ul style="list-style-type: none">• Report on Agenda Items 14, 15 and 16 of the ICAO Assembly 38th Session• Annex 9 – <i>Facilitation</i>• Annex 17 – <i>Security</i>• Universal Security Audit Programme – <i>Analysis of audit results – November 2002 to June 2013</i>, Fifth Edition, 2013

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 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 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 national security within the States throughout several AVSEC Risk Management Workshops, and thanks to the support of several States that accepted to be hosts, and as part of the ICAO/Canada Security Awareness Training Programme, Phase III (component of the ICAO/Canada AVSEC Project), initiative. These workshops were also inserted in the ICAO regular training programme through the Aviation Security Training Centres (ASTC) network in the NAM/CAR and SAM Regions.

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

2.4 Furthermore, pursuing a better assistance to the States with the implementation of the cargo security criteria, and as part of the ICAO/Canada Improving Global Aviation Security Agreement, a Cargo and Mail Security Course was conducted at no cost for NAM/CAR States. As in previous years, States have been geographically grouped by vicinity, and transportation and subsistence fellowships for three representatives of States not hosting the event had been awarded. ICAO take responsibility 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 States and Territories supported ICAO hosting events in Cayman Islands and Trinidad and Tobago in October and November 2015, respectively. The Spanish version was carried out in Dominican Republic, El Salvador and Mexico. With the support of ECCAA, a course for its ICAO Member States and Grenada will be carried out in St. John's, Antigua and Barbuda in February 2016. Invitations will be issued once dates are determined, and States are urged to take advantage of this course by sending suitable representatives.

2.6 Additionally, as part of the ICAO assistance programme to improve the effective compliance of SARPs, the NACC Regional Office implemented a State improvement plan for ECCAA, from 2012 to mid-2014. This involved onsite evaluation visits and courses to jointly develop proposals to improve the legal framework and AVSEC programmes adapted to the reality of the organization. It is expected that ECCAA will take advantage from these improvements and apply the different national programmes in order to comply with the ICAO SARPs. Similar projects were conducted in Haiti, and one is in process in Bahamas.

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

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). It is expected that through CASSOS and the support of one State, a FAL Seminar for the Caribbean region will be organized for 2016 first semester.

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 a National Air Transport Facilitation Programme (NATFP). Additionally, ICAO also finalized in April 2015 the development of Doc 10042 – *Model National Air Transport Facilitation Programme*.

2.10 With regard to MRTDs, in a joint effort of ICAO and the Inter-American Committee against Terrorism (CICTE) of the Organization of American States (OAS), 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 NAM/CAR States. 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 Eleventh Symposium and Exhibition on Machine Readable Travel Documents (MRTDs), conducted at ICAO Headquarters in Montréal, Canada, from 14 to 16 October 2015, was attended by 520 participants from 81 Member States and 16 international organizations. The Symposium exchanged information on all aspects of traveller identification management, and the ICAO Traveller Identification Programme (TRIP) Strategy, providing decision makers and technical experts with valuable insight on key current and emerging issues. On this regard, is important to mention that according to Annex 9 – *Facilitation*, Standard 3.10.1., as of 24 November 2015, all travellers should only use machine readable passports and other travel documents to travel around the globe.

3. Discussion

3.1 Even though that ICAO provided AVSEC and FAL assistance and training in the NAM/CAR Regions, is important that Eastern Caribbean States have updated, approved, and/or implemented their National Civil Aviation Security Programme (NCASP) considering the latest Amendments to Annex 17 – *Security*, to enhance the effective implementation of AVSEC SARPs and to be prepared for receiving the future ICAO USAP-CMA audit. It is also important that States update their legal, regulatory and procedural framework after conducting a risk assessment by the appropriate government authorities, 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 must 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. Hence, is important that 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 behaviour at aviation facilities and on-board 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 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: the validity of non-machine readable passports, 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 Eastern Caribbean States which are urged to reply with their position on these topics.

3.8 All considerations of the abovementioned 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 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 Eastern Caribbean Civil Aviation Authorities are urged to:

- a) comply with the commitment adopted 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) do their utmost effort to coordinate inside their entities the timely responses of the ICAO requests and communications regarding AVSEC and FAL issues.

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.