



ICAO

International Civil Aviation Organization  
North American, Central American and Caribbean Office

WORKING PAPER

E/CAR/DCA/26 — WP/ 16  
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**Twenty-sixth Directors of Civil Aviation of the Eastern Caribbean Meeting (E/CAR/DCA/26)  
New Orleans, United States, 1 - 3 December 2015**

- Agenda Item 7: Aviation Security (AVSEC) and Facilitation (FAL)**  
**7.2 ICAO/Latin American Civil Aviation Commission (LACAC)  
NAM/CAR/SAM Aviation Security and Facilitation Regional Group  
(AVSEC/FAL/RG)**

**ICAO/LACAC NAM/CAR AND SAM AVIATION SECURITY AND FACILITATION  
REGIONAL GROUP (AVSEC/FAL/RG) ACTIVITIES**

(Presented by the Secretariat)

<b>EXECUTIVE SUMMARY</b>	
This working paper presents information on the progress of the ICAO/LACAC NAM/CAR and SAM Aviation Security and Facilitation Regional Group (AVSEC/FAL/RG) projects.	
<b>Action:</b>	Suggested action is presented in Section 4.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"><li>• Security &amp; Facilitation</li></ul>
<i>References:</i>	<ul style="list-style-type: none"><li>• Final Report of the Fifth Meeting of the ICAO/LACAC NAM/CAR and SAM Aviation Security and Facilitation Regional Group (AVSEC/FAL/RG/5), held in Lima, Peru, from 3 to 5 June 2015, and State Letter EMX0714, dated 8 July 2015</li><li>• State Letter EMX0226, dated 5 March 2015, convening for the Fifth Meeting of the ICAO/LACAC NAM/CAR and SAM Aviation Security and Facilitation Regional Group (AVSEC/FAL/RG/5)</li><li>• State Letter EMX0218, dated 3 March 2015, on the Working Group Meeting on the Security Management System (SeMS) of the ICAO/LACAC NAM/CAR and SAM Aviation Security and Facilitation Regional (AVSEC/FAL/RG) Group, held in Buenos Aires, Argentina, from 12 to 15 May 2015</li></ul>

**1. Introduction**

1.1 The AVSEC/FAL/RG/5 Meeting was held at the ICAO South America (SAM) Regional Office in Lima, Peru, from 3 to 5 June 2015. This event was attended by 52 delegates from 22 NAM/CAR and SAM States and three international organizations (CASSOS, ECCAA and IATA).

1.2 The Meeting analysed the work programme and, based on the progress and results of the implementation of the projects, as well as in the deliberations and agreements of the Meeting, the Terms of Reference, Programme and Working Projects were updated. The Strategic Plan developed by the respective working group headed by Argentina was also reviewed, which methodology will assist in achieving the efficiency and effectiveness of the works agreed. Notwithstanding, the Meeting reminded the importance of their active participation and commitment to achieve the group planned objectives for their own benefit and of all the AVSEC/FAL/RG member States.

1.4 As an outstanding result of this Meeting, the representatives determined that after a revision of the draft report, this should be approved by the plenary from now on. The plenary considered that approving the report at the end of the meeting will expedite the slow process of waiting response from State members; and requested to the joint Secretariat of ICAO NACC and SAM Regional Offices, and the Latin American Civil Aviation Commission (LACAC) to disseminate the final report, and to elevate it to their respective entities for the consideration of advanced projects. The Meeting accepted and approved eight conclusions that are presented in the **Appendix A** to this working paper.

1.5 The Meeting was preceded by a two-day Regional Seminar on Aviation Security (AVSEC/SEM), where representatives from different States shared information on several topics: regional AVSEC overview, aviation threats and safer skies, border security facilitation, multi-agency approach, security oversight and Security Management System (SeMS), experiences on SeMS implementation, cyber threats, trends and security configurations, experiences on cyberterrorism in civil aviation, travel document security and identity management, IATA Advance Passenger Information (API) system and Passenger Name Record (PNR) toolkit, among others.

## **2. Progress achieved since the AVSEC/FAL/RG/5 Meeting**

2.1 With respect to Conclusion 5/1, *Universal Security Audit Programme and Continuous Monitoring Approach (USAP-CMA)*, up to date none of the ICAO Member States from ECCAA have signed the two originals of the Memorandum of Understanding (MoU), nor have submitted it to the USAP-CMA Audit Section at ICAO Headquarters.

2.2 Regarding Conclusion 5/2, *Aviation Security Management Systems programme*, States interested in implementing SeMS, that established short and medium-term objectives, may share and report to the joint Secretary of the group their pilot progress implementation by the last week of January 2016.

2.3 In respect to Conclusion 5/3, *Coordination between States to standardize their aviation security systems audit procedures programme*, the project –coordinated by Brazil— will share information on the status to standardize the aviation security system audit procedures programme by the end of January 2016, as well as a final report in the next meeting of the group.

2.4 Regarding Conclusion 5/4, *Questionnaire on Facilitation and use of Machine Readable Travel Documents (MRTDs)*, and the implementation of Annex 9 – *Facilitation* and MRTDs Standards, the Meeting decided to extend once more the deadline to deliver to the Secretariat the questionnaire on these matters. Although it was noticed that some States issues MRTDs, some Eastern Caribbean States have not answered ICAO on the compliance of Standard 3.10.1 –*States should ensure that all not machine readable passports expire before 24 November 2015—*, nor the corresponding questionnaire impelled by the AVSEC/FAL/RG. Antigua and Barbuda, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, and Trinidad and Tobago, are requested to take prompt action and to respond to State Letter EMX1044, dated 30 October 2014, as a reminder for EC6/3-12/70, dated 31 December 2012 (**Appendix B**).

2.5 As a result of Conclusion 5/5, *Best Facilitation Practices Database*, the project, that gathers information on the data bases of its participant States and that is leaded by Chile, will report to the next meeting of the group its results.

2.6 On Conclusion 5/6, *Facilitation training material*, the ASTC/CIASA is working on the development of the Facilitation Training Material Programme, and the Instructor's Guide and the Reference Material for Participants will be submitted by 31 January 2016 for assessment of the AVSEC/FAL/RG.

2.7 Regarding Conclusion 5/7, *AVSEC/FAL/RG Programme of activities and the Strategic Plan of the Regional Group*, the permanent Ad hoc Working Group on the Strategic Plan will assess and determine the development of each ICAO AVSEC/FAL/RG Working Group in the compliance with the established goals, and will submit to ICAO Secretariat results of different projects for consideration of a Global Planning on aviation security.

2.8 Regarding Conclusion 5/8, *Response by States to ICAO State Letters*, the Meeting agreed that representatives of AVSEC and FAL will elevate this conclusion to their respective authorities, to response in a timely manner all ICAO State Letters related with aviation security and facilitation issues, in a permanent way.

### **3. Conclusion**

3.1 Civil Aviation Authorities are urged to attend appropriately all ICAO requests and matters related with aviation security and facilitation. In addition, in order to share information and benefit from the successful results obtained in the different projects and developed guidance material, which will result in the improvement of their own national aviation security and facilitation systems, as well as in the region, the Civil Aviation Authorities of the Eastern Caribbean are urged to support the participation of the AVSEC and FAL units of their States in the AVSEC/FAL/RG activities.

### **4. Suggested actions**

4.1 The Meeting is invited to:

- a) Urge Eastern Caribbean corresponding Aviation Security (AVSEC) and Facilitation (FAL) Authorities to support their AVSEC and FAL Units/representative for an active and committed participation in the AVSEC/FAL/RG activities for the benefit of their own States and of the region; and,
- b) Respond by 30 January 2016 the survey detailed in Appendix B.

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**APPENDIX A**  
**AVSEC/FAL/RG/5 MEETING CONCLUSIONS**

**Conclusion 5/1            Universal Security Audit Programme and Continuous Monitoring Approach (USAP-CMA)**

That States,

- a) urge their authorities to participate in the Universal Security Audit Programme and Continuous Monitoring Approach (USAP-CMA) Seminar, scheduled from 13 to 15 July 2015 in Lima, Peru; and
- b) sign the two originals of the Memorandum of Understanding (MoU) and submit it to the USAP-CMA Audit Section at ICAO Headquarters as soon as possible.

**Conclusion 5/2            Aviation Security Management Systems programme**

That,

- a) States interested in implementing SeMS work towards SeMS implementation with service providers, and that this is developed in stages, as they may deem appropriate;
- b) States interested in implementing SeMS establish short and medium-term objectives, reporting on their pilot progress implementation by the last week of January 2016; and
- c) ICAO Regional Offices in Mexico and Lima, respectively, convene a virtual meeting for the last week of January 2016, in order for States to present their achievements with the pilot implementation of the SeMS.

**Conclusion 5/3            Coordination between States to standardize their aviation security systems audit procedures programme**

That the Coordination between States to standardize the aviation security system audit procedures programme be continued, and enforce the dates presented by Brazil in WP/09 for its development, considering 60 days from the date of approval of this report (5 June 2015).

**Conclusion 5/4            Questionnaire on Facilitation and use of Machine Readable Travel Documents (MRTDs)**

That:

- a) States review the implementation update of the questionnaire in their facilitation systems, and send their information to the Coordinator State of this Project with copy to the Secretariat; and
- b) the results of this project be submitted to the Secretariat of the AVSEC/FAL/RG and to the States by 31 January 2016.

**Conclusion 5/5            Best Facilitation Practices Database**

That the States share their best practices on the various facilitation topics, and if deemed appropriate, their best aviation security practices, sending them to the Coordinator State of this Project, with copy to the AVSEC/FAL/RG Secretariat, by the end of August 2015, and thereafter as they deem convenient, so that they can be published on the LACAC platform designated to this end.

**Conclusion 5/6            Facilitation training material**

That, under the leadership of the ASTC/CIASA the Facilitation Training Material Programme be continued, in order to develop Facilitation training material; and that the Instructor's Guide and the Reference Material for Participants be submitted by **31 January 2016** for assessment of the AVSEC/FAL/RG.

**Conclusion 5/7            AVSEC/FAL/RG Programme of activities and the Strategic Plan of the Regional Group**

That,

- a) ICAO consider the advantages of having an Aviation Security and Facilitation Global Plan and that regional groups similar to the AVSEC/FAL/RG be in charge of providing follow up to this Plan at the regional level and report the achieved progress to ICAO Headquarters, as a way to harmonize the AVSEC/FAL worldwide efforts, and to provide formal recognition to AVSEC/FAL regional groups, and that the ICAO Secretariat process and forward the approved reports of the AVSEC/FAL/RG meetings using its respective mechanisms, as appropriate; and
- b) a permanent Ad hoc Working Group be formed on the *ICAO/LACAC NAM/CAR and SAM Aviation Security and Facilitation Regional Group (AVSEC/FAL/RG) Strategic Plan* to assess and determine the development of each ICAO AVSEC/FAL/RG Working Group to comply with the established goals, with the possibility of meeting whenever necessary. The NACC and SAM Regional Offices respectively will be responsible for convening the meetings, previously agreed by the AVSEC/FAL/RG.

**Conclusion 5/8            Response by States to ICAO State Letters**

States are urged to:

- a) reply in a timely and suitable manner to the requests for comments from the ICAO Secretary General on topics of aviation security and facilitation; and
- b) make use of technological tools and conduct virtual work meetings to address the issue of responses to ICAO communications. These meetings would be convened by the NAM/CAR and SAM Regional Offices, respectively, and notified on a timely basis, as appropriate.



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航空组织

When replying please quote:

Ref.: NT-NR 3-1 — **EMX1044**

30 October 2014

To: States, Territories and International Organizations

Subject: **Reminder on the implementation of Standard 3.10.1 of Annex 9 — Facilitation**

Action

Required: **Provide information on expiration of non-machine readable passports**

Sir/Madam:

In reference to the attached ICAO Headquarters State Letter, **Ref.: EC6/3-12/70**, dated 31 December 2012, on the abovementioned subject, the requested information has not been received at ICAO Headquarters, nor at this Regional Office. This is a kind reminder to answer to the subject matter.

Accept, Sir/Madam, the assurances of my highest consideration.

for  
Loretta Martin  
Regional Director  
North American, Central American and  
Caribbean (NACC) Regional Office

**Enclosure:**

*As indicated*

N:\NR - AVSEC-FAL\NR 3-1 - Annex 9\Correspondence\EMX1044AVSEC-States-Standard3.10.1Reminder.docx

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Ref.: EC6/3-12/70

31 December 2012

**Subject:** Implementation of Standard 3.10.1 of  
Annex 9 — *Facilitation*

**Action required:** Provide information on  
expiration of non-machine readable passports  
by **31 March 2013**,

Sir/Madam,

I have the honour to draw your attention to Standard 3.10.1 of Annex 9 — *Facilitation*, that states: “*For passports issued after 24 November 2005 and which are not machine readable, Contracting States shall ensure the expiration date falls before 24 November 2015.*”

Standard 3.10.1 was adopted by the Council on 7 March 2005, at the same time it adopted Standard 3.10. The latter obliges Contracting States to issue “only Machine Readable Passports in accordance with the specifications of Doc 9303, Part 1, no later than 1 April 2010.” During previous discussions in the Air Transport Committee on Standard 3.10, concerns had been expressed that the long validity periods of some States’ passports might mean that the universal possession of machine readable passports (MRPs) would be realized much later than the date provided in the Standard. Standard 3.10.1 thus was adopted, *inter alia*, to establish a “sunset” date of 24 November 2015 for the phase-out of non-machine readable passports.

Taking into consideration the objective of Standard 3.10.1, I urge your Government to invite citizens currently holding non-machine readable passports that are scheduled to expire after 24 November 2015 to apply for MRPs. Additionally, ICAO is gathering information on the worldwide application of Standard 3.10.1 in order to determine what further action, if any, may be taken to promote implementation. Therefore, I would be grateful if you would complete and return the attached questionnaire by **31 March 2013**.

Please accept, Sir/Madam, the assurances of my highest consideration.

Raymond Benjamin  
Secretary General

**Enclosure:**  
Questionnaire

ATTACHMENT to State letter EC6/3-12/70

QUESTIONNAIRE

NAME OF STATE: \_\_\_\_\_

Please circle the appropriate response.

1. All non-machine readable passports have expired, or are due to expire, before 24 November 2015 ..... Yes/No

If the answer is "Yes", please skip to Question 3.

2. If the answer to Question 1 is "No", please respond to the following questions:

2.1 The number of non-machine readable passports in circulation beyond 24 November 2015 will be approximately .....

2.2 All non-machine readable passports are due to expire by (date) .....

3. Details and signature of the person completing this form:

Name: .....

Official Title/Position: .....

Mailing address: .....

.....

.....

.....

Telephone number: .....

E-mail address: .....

Signature: .....

Please return completed form by 31 March 2013 to:  
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