



INTERNATIONAL CIVIL AVIATION ORGANIZATION
FIFTH MEETING OF DIRECTORS GENERAL OF CIVIL AVIATION (DGCA/5)
OF ESAF AND WACAF STATES
(Dakar, Senegal, 4 November 2013)

Agenda Item 5: Aviation Security

**ICAO AVIATION SECURITY AND FACILITATION
PROGRAMME DEVELOPMENTS**

(Presented by Secretariat)

SUMMARY

This paper highlights recent achievements in strengthening the global aviation security framework in response to evolving risks, with particular emphasis on the security-related outcomes of the 38th Session of the ICAO Assembly held from 24 September to 4 October 2013. It also describes a number of developments in ICAO's Aviation Security and Facilitation programmes as well as developments in Africa.

1. INTRODUCTION

1.1 In recent years ICAO has intensified its efforts to foster cooperation among Member States and other stakeholders with the aim of improving aviation security (AVSEC) and air transport facilitation, both at the regional and global levels. The High-level Conference on Aviation Security (HLCAS) of September 2012 — ICAO's first global conference dedicated to security topics in more than a decade — showcased this increased level of cooperation. The 38th Session of the ICAO Assembly embraced the conclusions and recommendations of the HLCAS.

1.2 A number of steps are being taken to enhance policy, security audit and assistance activities. Recognizing the urgent need to address air cargo vulnerabilities and concerns about insider threat, Annex 17 — *Security* was recently amended on a fast-track basis. The Organization has also adopted a more proactive and risk-based continuous monitoring approach to aviation security audits, while placing greater emphasis on assistance utilizing audit results to focus on the implementation of State corrective and improvement plans and enhanced partnerships with donors and regional bodies.

2. 38TH SESSION OF THE ICAO ASSEMBLY

2.1 The 38th Session of the ICAO Assembly endorsed a new Strategic Objective for the 2014-2016 triennium, placing equal emphasis on enhancing global aviation security and facilitation. Strategic Objective C — Security and Facilitation, constitutes a high-level commitment to effective control measures and operational efficiency.

2.2 With regard to aviation security, the Assembly updated the related Resolution, which was renamed the *Consolidated statement of continuing ICAO policies related to aviation security*, and endorsed a detailed work plan for the implementation of all HLCAS recommendations by the end of 2016, noting that certain recommendations should be implemented as policy priorities. These focused on the need for ICAO and Member States to:

- a) promote a risk-based approach to security;
- b) ensure sustainability of aviation security measures;
- c) encourage mutual recognition arrangements and international cooperation;
- d) promote innovation; and
- e) target assistance activities.

2.3 The delegates agreed that the Declaration on Aviation Security should continue to guide States and other stakeholders in efforts to further strengthen aviation security. They also reaffirmed the ICAO Comprehensive Aviation Security Strategy (ICASS) as the primary strategy for enhancing aviation security in the next triennium, and stressed the importance of continuing to support ICASS activities through financial and in-kind contributions from States.

2.4 In light of the importance of sustainability in aviation security, the Assembly supported a proposal to develop an action plan to implement the principles of international cooperation in aviation security. It reaffirmed that passenger facilitation should be a central consideration in designing and implementing aviation security measures.

2.5 While recognizing that global supply chain security provisions had been strengthened by the latest amendment to Annex 17, the Assembly agreed that the risks to air cargo and mail security remain significant and endorsed a Roadmap to Strengthen Global Air Cargo Security as a means of advancing the global harmonization of air cargo security regimes. The Assembly stressed the importance of multilateralism and encouraged all Member States to work through ICAO on policy matters with implications for international civil aviation.

2.6 The Assembly noted the success achieved by the ICAO Universal Security Audit Programme (USAP) during its second cycle of audits, as well as the role played by ICAO audits in identifying deficiencies, targeting assistance activities, developing auditing strategies and providing feedback for the future amendment and development of ICAO SARPs.

2.7 In addition, the Assembly endorsed the Council's decision to transition to the USAP Continuous Monitoring Approach (CMA). (While USAP's success has been recognized, States should be aware that much work is still needed to strengthen aviation security by addressing the findings and recommendations arising from ICAO security audits.)

2.8 The Assembly noted the progress made in implementing the ICAO Aviation Security Assistance and Capacity Building Strategy during the current triennium. Calling on ICAO to maintain its leadership role in regard to assistance for States, it endorsed a proposal to continue implementing the Strategy during 2014-2016.

2.9 The Assembly agreed furthermore that ICAO should give priority to assisting those States that demonstrate the necessary commitment and ability to sustain improvements.

2.10 The Assembly approved a new *Consolidated statement of continuing ICAO policies and practices related to facilitation*, and endorsed the Facilitation Programme's priorities for the 2014-2016

triennium. These include the development of strategies to help States comply with Annex 9, the enhancement of provisions or guidelines on handling disruptive events and facilitating transport of cargo, and the enhancement of ICAO Standards and Recommended Practices (SARPs) concerning advance passenger information (API) and passenger name record (PNR) data exchanges.

2.11 The ICAO Traveller Identification Programme (ICAO TRIP) was endorsed as a strategy for achieving the desired outcomes for ICAO's and States' activities in the travel documents field. The ICAO TRIP strategy emphasizes a holistic approach to identification management in order to maximize both security and facilitation aspects.

3. AVSEC POLICY DEVELOPMENTS

3.1 The ICAO Council in November 2012 approved a fast-track Amendment 13 to Annex 17. The revised and new provisions further the implementation of supply chain security measures with special focus on high-risk cargo, as well as the use of common baseline security measures for cargo to be transported on passenger or all-cargo aircraft. The Amendment, which became applicable on 15 July 2013, includes a revised and comprehensive Standard for the screening and security control of persons other than passengers because the HLCAS concluded that the vulnerabilities posed by insiders are real and should be addressed on an expedited basis.

3.2 A State letter on Amendment 13 to Annex 17 was issued in November 2012, and to date 105 Member States and Special Administrative Regions have responded by notifying ICAO of their compliance or differences with the amended Annex. The State letter's deadline for notifications was 15 June 2013; however, the ICAO Secretariat will accept notifications of compliance or differences at any time.

3.3 The Aviation Security Panel conducted its twenty-fourth meeting at ICAO Headquarters in Montréal in April 2013. The meeting's recommendations were considered by the Committee on Unlawful Interference (UIC) in early May 2013 and subsequently presented to the 199th Session of the ICAO Council. The Council approved its recommendations, including a proposed Amendment 14 to Annex 17, and agreed that the proposed Amendment should be circulated to States for comment. Amendment 14, which will strengthen measures dealing with landside and cyber threats, is expected to become applicable in 2014.

4. FACILITATION DEVELOPMENTS

4.1 Amendment 23 to Annex 9 — *Facilitation* became applicable in February 2013. The Amendment focuses on Appendix 13 to Annex 9, and is intended to enhance passenger data sharing and efficient responses to a pandemic or large-scale epidemic.

4.2 The Facilitation Panel concluded its seventh meeting in October 2012 by agreeing on recommendations concerning accessibility to air transport for persons with disabilities, air cargo facilitation, the security of the travel document issuance process and utilization of API and PNR data systems. With regard to persons with disabilities, the ICAO guidelines are now available in all languages.

4.3 A series of regional facilitation seminars is planned for the next triennium. The first events have been scheduled for Nairobi, Kenya (18 to 21 February 2014) and for Cairo, Egypt (24 to 27 February 2014). The seminars will focus on Facilitation Programme priorities as well as issues relating to inadmissible persons and deportees, and national air transport facilitation programmes. One day will be dedicated to API and PNR data matters.

4.4 ICAO continues to assist Member States on all matters related to machine readable travel documents (MRTDs), including capacity-building activities. At the regional level, the Organization relies on seminars generously supported by host States to promote awareness of MRTD, biometrics and security standards. (The next regional seminar will be hosted by Burkina Faso from 12 to 14 November 2013.) Such events promote best practices for managing secure passport issuance and border control systems. They also emphasize the importance of issuing ICAO Doc 9303-compliant machine readable passports and participating in the ICAO Public Key Directory (PKD).

4.5 Established in 2007, the PKD enhances security by enabling secure verification of ePassports by border control authorities. PKD currently has 38 members, including two African States. Member States are urged to join because of the importance of enhancing cross-border security and air transport facilitation. Further, ICAO Annex 9 recommends that ePassport issuance and PKD participation go hand-in-hand.

4.6 In addition to the regional MRTD seminars held each year, ICAO continues to convene an annual worldwide MRTD symposium at Montréal Headquarters. The ninth MRTD Symposium and Exhibition was held from 22 to 24 October 2013. It focused on the benefits of implementing automated border controls using ICAO Standards and specifications, and the advantage of using effective border control inspection tools such as the ICAO PKD.

5. USAP DEVELOPMENTS

5.1 The second cycle of ICAO USAP audits was completed in 2013, as mandated by the ICAO Assembly. A full and final analysis of the second-cycle audit results (2008-2013), both by region and audit area, was provided to all States during the 38th Session of the Assembly (a copy of this document may be found on the USAP secure website: <https://portal.icao.int>).

5.2 The Programme has begun the transition to the USAP-CMA. The transition plan calls for full implementation of the new methodology beginning in January 2015. During the transition period, Member States will be requested to attend regional seminars, sign a new Memorandum of Understanding upon request, submit updates on their implementation of corrective action plans and provide associated information, as required. In some instances, States will be invited to participate in USAP-CMA field test missions.

5.3 As with the first and second audit cycles, the support of Member States is sought for the effective implementation of the USAP-CMA. Short- and long-term secondments of aviation security auditors will continue to be essential to the Programme's success.

6. ASSISTANCE STRATEGY

6.1 Through its Implementation Support and Development – Security (ISD-SEC) Programme, the Organization has sharpened its focus with more targeted support to States in the implementation of Annex 17 SARPs and the security-related provisions of Annex 9. This has involved the development and use of a methodology for identifying priorities using risk-based security criteria.

6.2 The ISD-SEC Programme continues to apply a project management framework for tailoring assistance to States, with distinct phases and established milestones. The aim is to ensure the effectiveness and quality of assistance projects.

6.3 In addition to providing assistance through implementation of State improvement plans, the ISD-SEC Programme provides Member States with direct assistance upon request, primarily on a

cost-recovery basis. States and other donors are urged to continue their support for assistance efforts through voluntary financial or in-kind contributions.

6.4 In the ESAF and WACAF regions, 12 States are currently being assisted with implementing State Improvement Plans.

7. REGIONAL DEVELOPMENTS

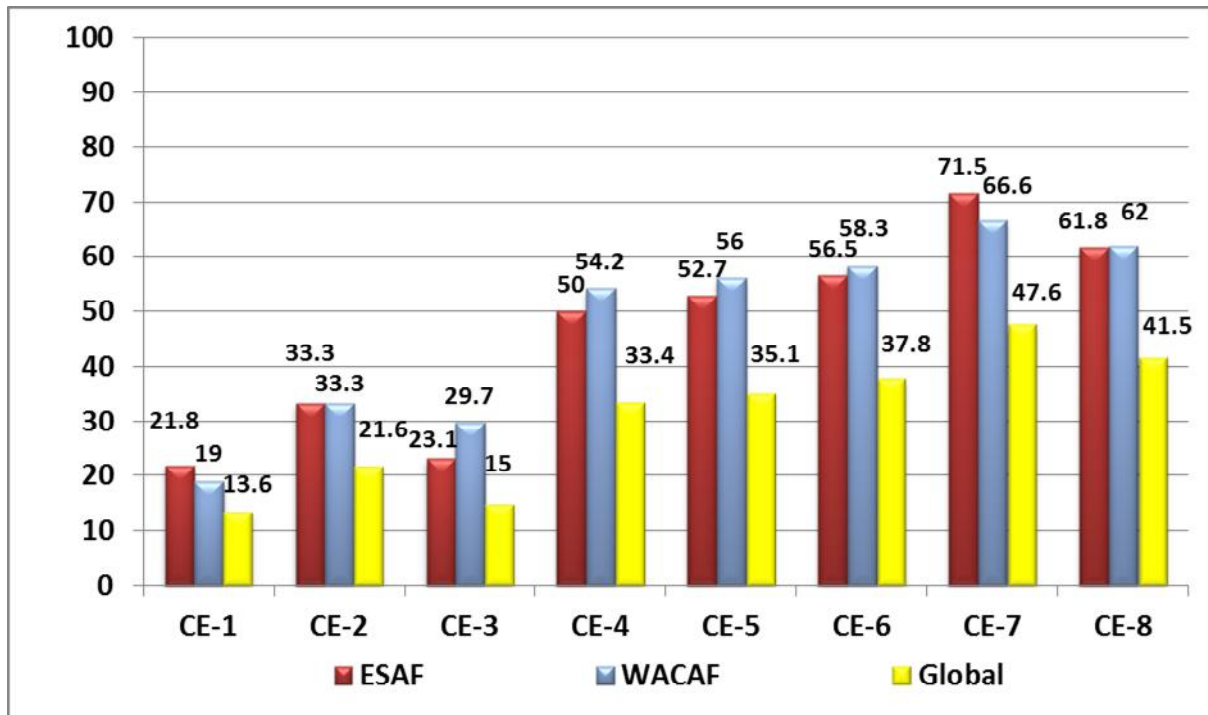
7.1 In line with Vision 2020, a policy statement developed by the Economic Community of West African States (ECOWAS) which calls for the establishment of a safe, efficient and affordable air transport system for the region, ECOWAS, with support from the ICAO WACAF Office, organized a seminar in Niamey, Niger in late August 2013 with emphasis on the threat posed to civil aviation by man-portable air defence systems (MANPADS). More than 150 participants representing 23 States, eight international organizations and 14 air carriers and service providers agreed on 12 recommendations and a roadmap for mitigating the MANPADS threat to civil aviation in the region.

7.2 With regard to ICAO audits, the appendix shows the results for the 21 audits conducted in the ESAF Region and the 20 audits conducted in the WACAF Region, compared to the global audit results for 178 audits conducted under the second cycle of USAP. These results are presented in terms of the lack of effective implementation (LEI) of the eight critical elements (CEs) of a State's aviation security oversight system, where zero per cent would be the optimum result and 100 per cent would constitute a total lack of effective implementation. The average LEI for the States in the ESAF Region is 46.3 per cent, while for the WACAF Region it is 47.4 per cent. This compares to the global average of 30.7 per cent. The audit results show that the LEI varies significantly between States in these two regions, ranging from 6.7 per cent to 98.5 per cent. Approximately half of the States in ESAF and WACAF demonstrate an LEI of 40 per cent or more, indicating significant room for improvement.

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APPENDIX

Critical Elements of an Aviation Security Oversight System
Lack of Effective Implementation



- CE-1: Aviation security legislation
- CE-2: Aviation security programmes and regulations
- CE-3: State appropriate authority for aviation security
- CE-4: Personnel qualifications and training
- CE-5: Provision of technical guidance, tools and security-critical information
- CE-6: Certification and approval obligations
- CE-7: Quality control obligations
- CE-8: Resolution of security concerns

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