ASSEMBLY — 38TH SESSION

EXECUTIVE COMMITTEE

**Agenda Item 13: Aviation Security — Policy**

**OUTCOMES OF THE HIGH-LEVEL CONFERENCE ON AVIATION SECURITY (HLCAS)**

(Presented by the Council of ICAO)

<table>
<tr><td colspan="2" align="center"><strong>EXECUTIVE SUMMARY</strong></td></tr>
<tr><td colspan="2">The High-level Conference on Aviation Security, held in Montréal from 12 to 14 September 2012, was attended by more than 700 participants representing 132 Member States and 23 international and regional organizations. Twenty-four Ministers took part, reflecting the importance that States continue to attach to aviation security.

The Conference resulted in a number of recommendations aimed at strengthening the global aviation security framework, and enhancing international cooperation. Further details on the results of the Conference are available on the public website (www.icao.int/meetings/avsecconf/).

The outcomes of the Conference have helped shape ICAO's aviation security policy and programme direction for the next triennium. In this regard, ICAO is committed to undertake a number of actions and activities to ensure that all the recommendations are appropriately addressed.

This working paper and associated Appendix set out follow-up actions approved by the Council of ICAO.

**Action**: The Assembly is invited to endorse the follow-up actions approved by the Council.</td></tr>
<tr><td><em>Strategic Objectives:</em></td><td>This working paper relates to Strategic Objective B — <em>Security</em></td></tr>
<tr><td><em>Financial implications:</em></td><td>The activities referred to in this paper will be undertaken within the resources available in the 2014-2016 Regular Programme Budget and/or from extra-budgetary contributions.</td></tr>
<tr><td><em>References:</em></td><td>A38-WP/14 – <em>Consolidated Statement on the Continuing ICAO Policies related to the Safeguarding of International Civil Aviation Against Acts of Unlawful Interference</em><br>A38-WP/13 – Declaration on Aviation Security and the ICAO Comprehensive Aviation Security Strategy (ICASS)<br>ICAO <em>Risk Context Statement</em><br>Doc 9990, <em>Report of the High-level Conference on Aviation Security</em> (2012)</td></tr>
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1.       **INTRODUCTION**

1.1             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 and regional organizations, and industry associations.

1.2             The HLCAS discussions resulted in a number of recommendations intended to further international cooperation, and enhance the aviation security framework, such as through the expedited adoption of Annex 17 — *Security* 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 ICAO 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 (USAP) to a continuous monitoring approach (CMA), and generated recommendations regarding the development and implementation of a coordinated, targeted, and effective capacity-building framework. The HLCAS also provided recommendations aimed at ensuring sustainability and passenger facilitation, promoting innovation in aviation security, and enhancing international cooperation.

2.       **DISCUSSION**

2.1             The Council, at its first meeting of the 197th Session, approved the recommendations contained in the report of the HLCAS.

2.2             In order to urgently address vulnerabilities related to air cargo and the threat posed by insiders, the Council adopted a fast-track Amendment 13 to Annex 17 on 13 November 2012. This Amendment is applicable as of 15 July 2013, and includes new and revised Standards in respect of air cargo, and the screening and security control of persons other than passengers.

2.3             The Council also approved follow-up actions to ensure the timely completion of all recommendations made by the Conference over the course of the 2014-2016 triennium. In this regard, ICAO has already made substantial progress on a number of key recommendations from the Conference, such as the secure dissemination of the ICAO global *Risk Context Statement*, and the development of guidance material to assist States in implementing Amendment 13. Some of these actions are expected to be completed by the end of 2013. A detailed list of the follow-up actions is contained in the Appendix to this paper.

2.4             It should be noted that several of those actions are expected to be carried out within the scope of the ICAO Comprehensive Aviation Security Strategy (ICASS) endorsed by the 37th Session of the Assembly. Further information regarding the ICASS and its strategic priorities can be found in A38-WP/13 – *Declaration on Aviation Security and the ICAO Comprehensive Aviation Security Strategy*.

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**APPENDIX**

**WORK PLAN TO IMPLEMENT THE OUTCOMES OF THE HIGH-LEVEL CONFERENCE ON AVIATION SECURITY**

| KEY CONFERENCE OUTCOMES | ACTIONS/ACTIVITIES | TIMEFRAME |
|---|---|---|
| **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; | Completed |
| | 2) Develop additional guidance material on the application of risk assessment methodology; | 2014-2016 |
| | 3) Maintain the currency of the RCS in coordination with the Aviation Security (AVSEC) Panel Working Group on Threat and Risk; and | Ongoing |
| | 4) Continue to support the AVSEC Panel in addressing new and existing threats. | Ongoing |
| **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 Amendment 13 to Annex 17 including cargo-related SARPs for consideration and fast-track process by the Council during its 197th Session; | Completed |
| 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; | 2013 |
| 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) Develop and publish new and revised guidance material on the air cargo supply chain for inclusion in the *Aviation Security Manual* (Doc 8973), and to assist States in implementing Amendment 13 to Annex 17; | 2013 |
| 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: | |

| KEY CONFERENCE OUTCOMES | ACTIONS/ACTIVITIES | TIMEFRAME |
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| | a. publishing ICAO-WCO joint documentation on air cargo security and facilitation; | 2013 |
| | b. aligning all relevant regulatory frameworks, including the conduct of a pilot 'combined' Regulated Agent and Authorized Economic Operator (the WCO equivalent of Regulated Agent) programme; and | 2014-2016 |
| | c. defining the technical framework for advance cargo information; | 2014-2016 |
| | 5) Develop and implement a focused cargo security assistance action plan. | 2013/ 2014-2016 |
| **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 Amendment 13 to Annex 17 including revised Standard 4.2.6 for consideration and fast-track process by the Council during its 197th Session; and | Completed |
| b) States to evaluate measures to mitigate insider threat in advance of the adoption of the new Standard 4.2.6. | 2) Develop and publish guidance material on the screening of people other than passengers to assist States in implementing Amendment 13 to Annex 17. | 2013 |
| **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; | Completed |
| 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; | 2013 |

| KEY CONFERENCE OUTCOMES | ACTIONS/ACTIVITIES | TIMEFRAME |
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| 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 | Ongoing |
| d) A limited level of transparency of USAP audit results to remain in place, without compromising the principle of confidentiality of such results; and<br><br>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:<br><br>a. a limited level of transparency will be maintained; and<br><br>b. the ICAO Secretariat will work to minimize administrative burdens on Member States. | Ongoing |
| **Agenda Item 5 – Capacity-building and technical assistance** | | |
| a) ICAO to continue to provide aviation security assistance; | 1) Continue to implement the Assistance and Capacity-building Strategy, targeting priority States; | Ongoing |
| b) ICAO and States to promote partnership agreements; | 2) Encourage and support ad hoc assistance requests from States not targeted; | Ongoing |
| c) ICAO and States to ensure the development of a coordinated, targeted and effective capacity-building framework; | 3) Develop and maintain relevant guidance and training material; | Ongoing |
| d) States to exchange Annex 17 compliance information to assist in defining efficient capacity-building initiatives; and | 4) Issue a State letter urging States to provide Annex 17 compliance information; | Completed |
| e) States to continue to provide voluntary and in-kind resources; | 5) Continue the enhancement of the Ad Hoc Group on Assistance and Capacity Building to further coordinate assistance projects within a capacity-building framework; | 2013 |

| KEY CONFERENCE OUTCOMES | ACTIONS/ACTIVITIES | TIMEFRAME |
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| | 6) Develop and establish regional assistance strategies for implementation; | 2013 |
| | 7) Through the implementation of regional assistance strategies, convene regional conferences and/or meetings to exchange information in order to further define regional capacity-building work plans; | 2014-2016 |
| | 8) Continue the establishment of regional capacity-building mechanisms using the Cooperative Aviation Security Programme model; and | 2013 |
| | 9) Support consideration of the issue of unruly passengers in the Legal Committee and its Sub-Committee. | Ongoing |
| **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:<br>1. outcomes-based approach; and<br>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 and related guidance material; | 2013/ 2014-2016 |
| b) ICAO and States to ensure that international aviation security cooperation is enhanced through the following principles:<br>1. respect for bilateral/multilateral air services agreements;<br>2. recognition of equivalent security measures; and<br>3. focus on security outcomes; and | 2) Continue to support and coordinate the relevant AVSEC Panel Working Groups to address new and existing threats; | Ongoing |
| c) ICAO to continue to address other threats and risks, including Global Navigation Satellite System (GNSS) jamming, blocking and spoofing, and risks to landside areas of airports. | 3) Update and/or revise guidance material, including on matters related to: | |
| | a. air navigation systems, in coordination with the Air Navigation Bureau, and relevant panels and stakeholders; and | 2013/ 2014-2016 |

| KEY CONFERENCE OUTCOMES | ACTIONS/ACTIVITIES | TIMEFRAME |
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| | b. the security of landside areas; | |
| | 4) Issue a State letter communicating guiding principles for sustainable aviation security measures; and | 2013 |
| | 5) Cost implications of aviation security to be considered by the Sixth Worldwide Air Transport Conference (18 to 22 March 2013). | Completed |
| **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) Actions on passenger data exchange systems: | |
| 1. States to consider implementing interactive API; | a. Issue a State letter to promote international uniformity in the use of API and iAPI; | 2013 |
| 2. States to align data exchange systems, and identify a single agency to receive all data; | b. Revised guidance and training material; | 2013 |
| 3. ICAO to introduce new Annex 9 SARPs to enhance global uniformity; and | c. Develop new/revised Annex 9 SARPs; and | 2013 |
| 4. ICAO to provide assistance and training on the implementation of API and PNR systems; | d. Conduct training and/or seminars for States; | 2013 |
| b) ePassports and PKD: | 2) Actions on ePassports and ICAO PKD: | |
| 1. States to consider issuing ePassports; | a. Issue a State letter to communicate ePassport-related recommendations; | 2013 |
| 2. States to consider using ePassport readers; | b. Host MRTD events and produce related publication; | Ongoing |
| 3. States to consider joining the ICAO PKD; and | c. Conduct training, seminars, and symposia; and | Ongoing |
| 4. ICAO to provide assistance and training on the introduction of ePassports; | d. Issue new/revised guidance material on the introduction of ePassports; | 2013 |

| KEY CONFERENCE OUTCOMES | ACTIONS/ACTIVITIES | TIMEFRAME |
|---|---|---|
| c) The Council to consider the new MRTD strategy (ICAO Traveller Identification Programme); and | 3) Propose the new ICAO Traveller Identification Programme for consideration and approval by the Council during the 198th Session; and | Completed |
| d) ICAO to address technical issues raised during the HLCAS at the Seventh Meeting of the Facilitation Panel (FALP/7). | 4) Address other technical issues considered by the HLCAS at FALP/7. | Completed |
| **Agenda Item 8 – Driving technology developments and innovation** | | |
| a) ICAO to convene a Symposium on Innovation in Aviation Security in 2014; | 1) Develop, in collaboration with the AVSEC Panel, a draft agenda for the Symposium on Innovation in Aviation Security; | 2013 |
| b) ICAO to provide leadership in next generation screening processes; and | 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; and | 2013 |
| c) States to continue efforts in the gradual lifting of liquids, aerosols and gels (LAG) restrictions. | 3) ICAO to serve as a coordinating forum for the exchange of information related to the implementation of screening technology for LAGs, with a view to including best practices and effective techniques for screening LAGs, when they become generally available, in guidance material. | 2013/ 2014-2016 |

— END —