International Civil Aviation Organization

WORKING PAPER

ASSEMBLY — 38TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Aviation Security – Policy

PROPOSED ROADMAP TO STRENGTHEN GLOBAL AIR CARGO SECURITY

(Presented by Australia, Belgium, Canada, China, Germany, Japan, Jordan, Lebanon, New Zealand, Russian Federation, Saudi Arabia, Senegal, Singapore, South Africa, Switzerland, United Kingdom, United States, Airports Council International, Global Express Association, International Air Transport Association, The International Air Cargo Association, Universal Postal Union, World Customs Organisation)

EXECUTIVE SUMMARY
To support ICAO's role in enhancing air cargo security, the Aviation Security Panel Working Group on Air Cargo Security (WGACS) has developed a roadmap that articulates key activities undertaken by international stakeholders and contributions towards strengthening global air cargo[1] security against the threat of unlawful interference. Initiatives are identified within broad action areas referencing the relevant Strategic Focus Areas articulated in the ICAO Comprehensive Aviation Security Strategy (ICASS) (Refer A38-WP/13).
Action: The Assembly is invited to endorse the Roadmap to Strengthen Global Air Cargo Security as an overview of ongoing activities and agree that it be continually updated to reflect the latest developments.

Strategic Objectives:	This working paper relates to Strategic Objective B — *Security*
Financial implications:	No additional resources required.
References:	A38-WP/12 – Outcomes of the High-Level Conference on Aviation Security A38-WP/13 – Declaration on Aviation Security and the ICAO Comprehensive Aviation Security Strategy (ICASS)

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[1] This Working Paper and the attached roadmap are applicable to both air cargo and mail security. For the purpose of brevity references are generally made to air cargo with some specific references to mail. References to air cargo should be taken to include mail.

1.   **INTRODUCTION**

1.1   The 29 October 2010 plot to insert improvised explosive devices (IEDs) into the air cargo supply chain illustrated vulnerabilities of the global air cargo security system, which were exploited by terrorists. The plot highlighted the need for collaborative action from Member States to strengthen existing air cargo security measures in ways that are internationally coordinated, rigorously implemented, consistent, and practical, without hindering international trade.

1.2   Since 2010, Member States and aviation stakeholders have worked diligently to form a contemporary view of the air cargo security threat and the most effective ways to strengthen security controls to mitigate that threat. The Aviation Security Panel Working Group on Air Cargo Security (WGACS) was formed in April 2011 comprising representatives from Member States, organizations such as the World Customs Organization and the Universal Postal Union, and industry bodies such as the International Air Transport Association and Global Express Association.

1.3   Over five meetings since June 2011, the Aviation Security Panel has worked through the WGACS, as well as with its Working Group on Annex 17 and Working Group on Guidance Material, with key stakeholders in collaborative efforts towards enhancing air cargo security, including strengthening baseline security standards and recommended practices (SARPs).

1.4   The ICAO High-Level Conference on Aviation Security, held from 12 to 14 September 2012 in Montréal, adopted and endorsed a set of principles on air cargo and mail security, to serve as a cornerstone for ICAO and all stakeholders in taking action to secure the air cargo and mail supply chain. Following this, on 15 July 2013, Amendment 13 to the *International Standards and Recommended Practices, Security* — Safeguarding International Civil Aviation Against Acts of Unlawful Interference (Annex 17 to the *Convention on International Civil Aviation*), which principally included SARPs relating to air cargo security, came into force accompanied by corresponding new guidance material in Amendment 1 to the Eighth Edition of the *Aviation Security Manual* (Document 8973/8).

1.5   Strengthening the global air cargo security framework is a multi-faceted task that should consider not only conventional regulatory standards, recommended practices and guidance but also enhanced tools such as technology and information. Member States, observers and key stakeholders, both alone and in collaboration, continue to progress a significant body of work to enhance air cargo security outcomes, through a diverse range of activities. These include refining standards and guidance documents, delivering training, offering and participating in capacity building, pursuing opportunities for alignment and harmonization of requirements and developing technology, tools and advance risk assessment techniques.

1.6   While initial work has yielded good results it is important that stakeholders remain engaged in the process to further strengthen air cargo security arrangements. Following the introduction of amended standards and processes, the key focus in the months to come should be on the coordinated implementation of these measures.

2.   **ROADMAP**

2.1   Bringing together this work and in support of the policy direction of the ICAO High-Level Conference on Aviation Security in enhancing air cargo security (Refer A38-WP/12), the WGACS has developed the Roadmap to Strengthen Global Air Cargo Security (the "Roadmap") at Appendix A.

2.2   The Roadmap articulates key activities undertaken by international stakeholders and contributions towards strengthening global air cargo security against the threat of unlawful interference. Initiatives are identified within broad action areas referencing the relevant Strategic Focus Areas articulated in the ICAO Comprehensive Aviation Security Strategy (ICASS) (Refer A38-WP/13). The Roadmap is also consistent with the Principles on air cargo and mail security.

2.3   The Roadmap's purpose is to:

a) clearly articulate the multi-faceted approach being progressed across a complex system with multiple stakeholders;

b) identify linkages, synergies and opportunities for international collaboration;

c) promote an understanding of the roles and responsibilities, often inter-connected, that all stakeholders play; and

d) encourage continued momentum in the process by identifying the status of activities and encouraging forward planning.

2.4   The Roadmap is a living document and will be reviewed and updated periodically to reflect progress.

2.5   The Assembly is invited to endorse the Roadmap to Strengthen Global Air Cargo Security as an overview of ongoing activities and agree that it be continually updated to reflect the latest developments.

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APPENDIX
ROADMAP TO STRENGTHEN GLOBAL AIR CARGO SECURITY

The Roadmap articulates the key activities underway or completed by international stakeholders that contribute to a strengthening of global air cargo security outcomes. Its purpose is to:
a) clearly articulate the multi-faceted solution being progressed across a complex system with multiple stakeholders;
b) identify linkages, synergies and opportunities for international collaboration;
c) promote an understanding of the roles and responsibilities that all stakeholders play; and
d) encourage momentum in the process by identifying status of activities and encouraging forward planning.

This Roadmap should be reviewed periodically to reflect new and progressing activities.

This Roadmap is applicable to air cargo and mail security. For the purpose of brevity the generally refers to air cargo with some specific references to mail. References to air cargo should be taken to include mail.

Overarching Goal A global air cargo system that is more secure against the threat of unlawful interference.

Overview of Action Areas and Objectives

ACTION AREA	Threat and Risk	Standards, Recommended Practices and Guidance	Advance Information	Technology, Tools and Communication	Capacity Development	Facilitation and International Cooperation
OBJECTIVE	*To better understand, describe and communicate the threat and risk posed to and by air cargo and promote a consistent approach to estimating risk.*	*To develop a common set of strengthened air cargo security standards (with (associated recommended practices and guidance) the adoption of which would lead to a more secure global air cargo system*	*To promote the evaluation of systems based on common principles for transmitting, receiving and assessing advance cargo information allowing early intervention where high risk scenarios are identified.*	*To promote the development, deployment and proficient use of appropriate cargo screening technology and other tools that enhance cargo security or communication of cargo security information.*	*To promote the uptake of and proficiency in administering air cargo security standards in countries with developing systems, with the ultimate aim of all Contracting States securing cargo at origin.*	*To support cargo facilitation through efficient and aligned supply chain security arrangements. To promote international cooperation at all levels.*

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Detailed Activities Contributing to the Action Areas

Threat and Risk		
To better understand, describe and communicate the threat and risk posed to and by air cargo and promote a consistent approach to estimating risk.		
Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 1: Addressing new and existing threats; Strategic Focus Area 3: Promoting the sharing of information amongst and within member States to raise awareness of threats and aviation security trends.		
Activity	**Lead Contributors**	**Status**
Production of an Aviation Security Global Risk Context Statement.	ICAO Working Group on Threat and Risk ICAO Aviation Security Panel	Complete. First and second editions endorsed by AVSEC Panel in March 2012 and March 2013 respectively.
Production an assessment paper titled "Threats and Risks to and from the Air Cargo System".	ICAO Working Group on Threat and Risk	Complete. Report back to AVSEC Panel, March 2012.
Concept of high risk cargo developed, identifying key attributes for identification through a practical definition.	ICAO Working Group on Threat and Risk ICAO Working Group on Air Cargo Security ICAO Working Group on Annex 17 ICAO Aviation Security Panel	Complete. Definition of high risk cargo incorporated into Annex 17 as part of Amendment 13.
Standards, Recommended Practices and Guidance		
To develop a common set of strengthened air cargo security standards (with associated recommended practices and guidance) the adoption of which would lead to a more secure global air cargo system.		
Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 2: Promoting innovative, effective and efficient security approaches.		
Activity	**Lead Contributors**	**Status**
Develop Principles on Air Cargo and Mail Security.	ICAO Working Group on Air Cargo Security ICAO AVSEC Panel	Complete. Endorsed by the ICAO High-Level Conference on Aviation Security, September 2012.
Preparation of new Standards and Recommended Practices for inclusion in Annex 17 as Amendment 13: - Definition of High Risk Cargo and Mail - Transfer cargo and mail - Passenger / all-cargo aircraft controls.	ICAO Working Group on Air Cargo Security ICAO Working Group on Annex 17	Complete. Effective from 15 July 2013.
Preparation of new Standards and Recommended Practices for inclusion in Annex 17 as Amendment 14.	ICAO Working Group on Air Cargo Security ICAO Working Group on Annex 17	New draft Standard 4.6.8bis endorsed by AVSEC Panel, April 2013, and subsequently the Council. This will be included in Amendment 14 to Annex 17.
Evolution of new Universal Postal Union mail security standards.	Universal Postal Union	Compliance with mail security standards has been incorporated by UPU Congress into the UPU Convention. Compliance with these standards is mandatory from 2014 onwards.

Preparation of new guidance material on Amendment 13 for inclusion in Document 8973.	ICAO Working Group on Air Cargo Security ICAO Working Group on Guidance Material	Complete. Effective from 15 July 2013.
Development of a better understanding of different air cargo and mail security regimes worldwide	ICAO Working Group on Air Cargo Security ICAO AVSEC Panel	Survey of WGACS and AVSECP members and observers complete, giving illustrative snapshot of current implementation of air cargo and mail security requirements in different national contexts. Paper on results to be tabled at 25th AVSECP Meeting, March 2014.
Development of supply chain security approaches in air cargo and mail security	ICAO Working Group on Air Cargo Security ICAO Working Group on Guidance Material ICAO Secretariat WCO Secretariat	Framework of best practices in air cargo and mail supply chain security developed. To be reviewed by ICAO Secretariat for consistency with the latest guidance material, and incorporated into the next revision of guidance material, for Member States to consult in developing their own secure supply chain programmes. (See also activities under Facilitation and International Cooperation.)

Advance Information

To promote the evaluation of systems based on common principles for transmitting, receiving and assessing advance cargo information allowing early intervention where high risk scenarios are identified.

Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 2: Promoting innovative, effective and efficient security approaches.

Activity	Lead Contributors	Status
Development of common approaches to using advance cargo information for aviation security purposes.	WCO Technical Expert Group on Air Cargo Security ICAO Working Group on Air Cargo Security Global Express Association	The WCO Technical Expert Group on Air Cargo Security and ICAO Working Group on Air Cargo Security have considered the results of on-going pilot programmes being conducted at the national level in some Member States. This remains work in progress and is included on the work programme for the ICAO Working Group on Air Cargo Security. A number of Member States and industry participants are involved in pilot projects with advance cargo information, to inform future developments.
Development and rollout of postal advance information model and programme.	Universal Postal Union	The Universal Postal Union has established an Interim Group on Advance Information Requirements to develop a data model for providing advance information for security purposes.

		The Universal Postal Union has trialled a system (Customs Declaration System, or CDS) that can be used to provide advance information for both fiscal and security purposes.

Technology, Tools and Communication
To promote the development, deployment and proficient use of appropriate cargo screening technology and other tools/systems that enhance cargo security or communication of cargo security information.

Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 2: Promoting innovative, effective and efficient security approaches; Strategic Focus Area 3: Promoting the sharing of information amongst and within member States to raise awareness of threats and aviation security trends.		
Activity	**Lead Contributors**	**Status**
Progressive introduction of the electronic Consignment Security Declaration (e-CSD).	International Air Transport Association	Pilot activities have been conducted in a number of countries with encouraging results.
Alignment between IATA and ICAO documentation for confirming security status of air cargo.	International Air Transport Association ICAO Working Group on Air Cargo Security	Complete. The requirements of the IATA e-CSD and the ICAO Consignment Security Declaration have been harmonized and included in the latest guidance material (Amendment 1 to Document 8973/8).
Development of an ICAO Secretariat-WCO Secretariat Joint Training Brochure in all six UN languages, to provide an introduction on air cargo security and facilitation.	WCO Secretariat ICAO Secretariat	Complete. To be released at 38th ICAO Assembly, 2013.

Capacity Development
To promote the uptake of and proficiency in administering air cargo security standards in countries with developing systems, with the ultimate aim of all Contracting States securing cargo at origin.

Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 5: Improving human factors and security culture; Strategic Focus Area 6: Promoting global compliance and establishing sustainable aviation security oversight capability of States; Strategic Focus Area 7: Emphasizing the importance of security amongst States and stakeholders.		
Activity	**Lead Contributors**	**Status**
Development of a focussed international strategy for air cargo security capacity development.	ICAO Aviation Security Panel ICAO Secretariat ICAO Working Group on Air Cargo Security	In September 2012 the ICAO High-Level Conference on Aviation Security supported further development of the strategy. Proposed for consideration by AVSECP in 2013. A paper towards a capacity development strategy for air cargo security is being developed by Working Group on Air Cargo Security members.

Development and piloting of the IATA Secure Freight initiative.	International Air Transport Association	Standards and guidance have been progressively developed to support the Secure Freight programme. Pilot activities have been conducted in a number of countries with encouraging results.

Facilitation and International Cooperation

To support cargo facilitation through efficient and aligned supply chain security arrangements. To promote international cooperation at all levels.

Relationship to the ICAO Comprehensive Aviation Security Strategy – Strategic Focus Area 2: Promoting innovative, effective and efficient security approaches; Strategic Focus Area 6: Promoting the development of mutual recognition for aviation security processes

Activity	Lead Contributors	Status
Potential to harmonise requirements between WCO's Authorised Economic Operator (AEO) and ICAO's Regulated Agent (RA) / Known Consignor (KC) regimes.	WCO Secretariat ICAO Secretariat ICAO Working Group on Air Cargo Security WCO Technical Expert Group on Air Cargo Security	Draft Terms of Reference (TORs) facilitate a Joint AEO and RA/KC Pilot Project have been prepared. On-going analysis of tabular comparison of the RA/KC and AEO regimes.
Strengthening cooperation and collaboration between the Facilitation Panel (FALP) and AVSECP.		AVSECP, based on WGACS's detailed consideration, has prepared consolidated comments on air cargo facilitation amendments in Amendment 24 to Annex 9 for consideration by the Air Transport Committee (ATC).
Preparation and implementation of ICAO-WCO Joint Action Plan as a follow-up to ICAO-WCO Joint Communiqué from the Joint Conference on Enhancing Air Cargo Security and Facilitation- Synergy through Cooperation.		Draft Joint Action Plan prepared and considered by ICAO Working Group on Air Cargo Security and WCO Technical Expert Group on Air Cargo in first half of 2013. ICAO and WCO Secretariats to work on prioritising activities in the Joint Action Plan.
Developing an ICAO -WCO Joint Training Module to provide an introduction/understanding on air cargo security and facilitation.	WCO Secretariat ICAO Secretariat	Training module being prepared in 2013 with anticipated pilot workshop in 2014.
Potential to harmonise requirements between UPU's postal security requirements (in Standards S58 and S59) and ICAO's air cargo and mail security requirements (in Annex 17 SARPs).	ICAO Secretariat ICAO Working Group on Air Cargo Security UPU Secretariat	ICAO and UPU Secretariats to work out policy issues on relationship between the ICAO's and UPU's respective air cargo and mail security regimes, and also on developing a more detailed comparison of the two regimes.

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