ICAO'S COMPREHENSIVE

GLOBAL AVIATION SECURITY STRATEGY

MANAGING RISK, LEVERAGING PARTNERSHIP AND INNOVATION, AND PROMOTING IMPLEMENTATION

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Q & A:
AVIATION SECURITY PANEL CHAIR

2012 HIGH-LEVEL CONFERENCE
ON AVIATION SECURITY:
ASSESSING THE OUTCOMES

ICAO'S UNIVERSAL
SECURITY AUDIT PROGRAMME

IATA e-FREIGHT INITIATIVE

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UNITING AVIATION

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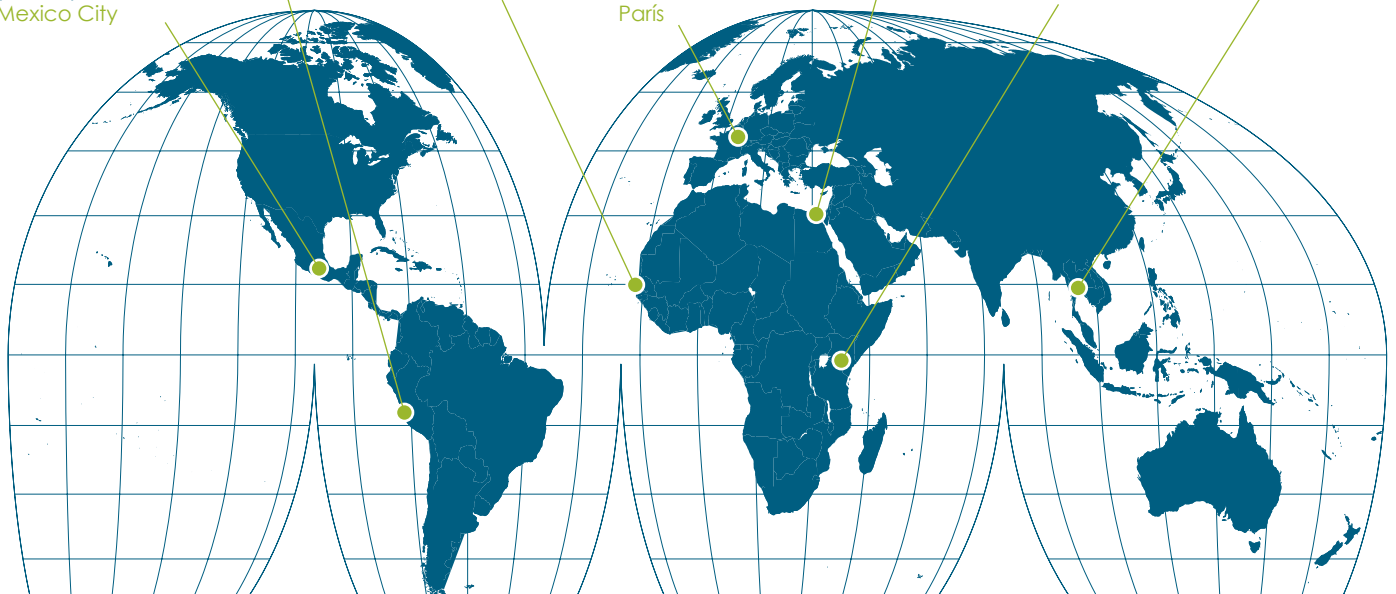
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Raymond Benjamin, *ICAO Secretary General*

DELIVERING BALANCED AND SUSTAINABLE SECURITY AND FACILITATION

This issue of the *ICAO Journal* focuses on our Organization's continuing work in the growingly related areas of aviation security and passenger and cargo facilitation. This remains an area of high priority for ICAO and its Member States as modern security threats continue to evolve, requiring constant innovation and adaptation on behalf of security and law enforcement agencies worldwide.

Recent gatherings of security and facilitation officials, and most notably the 2012 High-level Conference on Aviation Security (HLCAS) held at ICAO Headquarters, reinforced that States fully acknowledge the continuing threat to aviation posed by global terrorism. However these same States are also now more aware than ever of the significant contributions in terms of travel, trade and many other economic benefits which an unimpeded global air transport network delivers to local and regional GDP.

The seeming contradiction of a well-protected yet unimpeded network has been at the heart of all modern deliberations on how to develop and implement effective aviation security in a period of continuing economic uncertainty. And one of the key realizations which has emerged in response to it is that risk management holds the key to the development of threat mitigation approaches which are at once effective, affordable and capable of minimizing inconvenience and delays for passengers and freight.

When you hear ICAO and other organizations increasingly referring to the need to develop *sustainable* security and facilitation solutions, these are precisely the qualities we are referring to.

The Risk Context Statement which ICAO developed in 2011, and which was widely supported at the 2012 HLCAS, continues to serve as a solid set of principles on which the modern international aviation security and facilitation regime can rely. This document provides all of ICAO's 191 Member States with a robust methodology for further developing their national risk assessments and reinforces the importance of a risk-based approach. It also helps to ensure a coherent, effective and timely response to all security-related threats and emergencies.

Since international cooperation is so essential to the success of all risk-based security measures, ICAO has played a key role in providing an effective and legitimate forum where States, industry and enforcement stakeholders can determine viable, win-win solutions, and we will continue to do so as these regimes become more comprehensive.

One important case in point was highlighted in the most recent Amendment to the Chicago Convention's Security Annex. Amendment 13 to Annex 17 was a direct and rapid response to new threats which were evolving in the air cargo area, as well as related and more long-standing realizations concerning vulnerabilities posed by insiders.

Amendment 13 has led ICAO to reinforce partnerships in the air cargo domain with the World Customs Organization (WCO) and the Universal Postal Union (UPU). It strengthens security measures for both passenger and cargo aircraft, and establishes criteria for identifying and securing high-risk cargo and mail. This work is a high-priority for ICAO and we continue to work with these and other partners to avoid duplication and delays in the mail and air cargo supply chains by identifying and exchanging more information on shipments.

Where passenger-related risks are concerned, information and data sharing are equally important. ICAO is presently considering the means by which States can better standardize, access and share Advance Passenger Information/Passenger Name Record (API/PNR) data while respecting the reasonable expectations of passengers to sufficient levels of personal privacy. The lack of uniformity which persists, in terms of how this data is both recorded and transmitted, continues to stand in the way of its optimization as an important resource in any risk-based passenger screening solution.

Another important component of the eventual passenger screening solutions we determine is technology. Current approaches can be uncomfortable and inconvenient, discouraging rather than encouraging people to fly, and this points to the need for continuing innovation in screening technologies so that the passenger experience can be greatly improved.

ICAO has therefore scheduled a first-ever Symposium on Innovation in Aviation Security from 21 to 23 October 2014. Based on the theme of *Innovation for the Enhancement of Aviation Security*, this event will help States, industry, academic researchers and other AVSEC professionals explore how technology, tools and equipment can help us meet both existing and future aviation security challenges.

We are also furthering our work to adapt and refine our international aviation security audits away from the cyclical, snapshot method towards a continuous monitoring approach (CMA). This was supported by a Council decision late in 2012 and the transition is now well underway. It is important to note that ICAO security audits, together with the information they generate, are an important tool to assist Member States in meeting their obligations with regard to international aviation security Standards and Recommended Practices (SARPs).

In closing, I would also like to add that, from 22 to 24 October 2013, the Ninth MRTD Symposium will focus on the benefits of implementing Automated Border Controls (ABCs) systems according to ICAO Standards and specifications, and the benefits of using effective inspection tools such as the ICAO Public Key Directory (PKD) for border control. The Symposium will explore the role of inter-agency and cross-border cooperation in securing border integrity, including the role of ABCs and electronic data sharing, and address challenges and good practices in providing implementation and capacity-building assistance to States in the ABC and biometric MRTD areas. ■

AVSEC PANEL CHAIR SHARES HIS THOUGHTS ON MEETING TODAY'S AVIATION SECURITY CHALLENGES

ABOUT THE AUTHOR

Mr. Bernard Lim, Director (International Relations and Security), Singapore's Ministry of Transport, and Chairman of the ICAO AVSEC Panel

YOU WERE FIRST ELECTED AS THE CHAIRPERSON OF THE AVIATION SECURITY PANEL IN 2011 AND HAVE PRESIDED OVER THREE ANNUAL MEETINGS SINCE THEN. CAN YOU BRIEFLY EXPLAIN THE ROLE OF THE PANEL AND HOW IT FUNCTIONS?

The Panel comprises a group of aviation security experts nominated by ICAO Member States and permanent observers. It was established in 1986 to provide advice to the ICAO Council, through its Committee on Unlawful Interference, on the development of aviation security measures and related guidance material. In 2008, its role was expanded so that the experts could consider a wider range of aviation security issues.

Our main task is to provide expert policy advice aimed at closing gaps in the international aviation security framework. We do this mainly by reviewing and updating the Standards and Recommended Practices of Annex 17 to the Chicago Convention.

As for priorities, several working groups deal with specific issues on an ongoing and timely basis. This year, the Panel also decided to adopt a work priority list that should help us manage our resources even more effectively.

WHAT ARE SOME OF THE KEY CHALLENGES FACING AVIATION SECURITY TODAY?

As we've seen with recent high-profile attempts to commit terrorism, the threat to civil aviation is continually evolving. This means we must adapt to stay ahead of the threat. Adaptation in itself is difficult, but we have the additional challenge of addressing the threat in a sustainable manner.

An appropriate balance can be struck by implementing risk-based security measures. When we focus appropriately on managing risk, security measures tend to be practical, effective and proportionate to the threat. We also need to remember that each State has individual considerations and local circumstances, and resources for enhancing aviation security are not unlimited. For these reasons, outcomes-based approaches are highly desirable and should continue to be adopted, with less emphasis on methodology.

Interestingly, the ICAO High-level Conference on Aviation Security (HLCAS), held last September emphasized this theme. Its Communiqué highlighted the importance of defining operationally viable and economically sustainable security measures that take into account the impact on passengers.

Sustainability can be achieved by introducing more efficient risk- and outcomes-based security and facilitation processes. There's no question, though, that the constant requirement to maintain a secure environment while allowing for the efficient flow of passengers and goods remains a huge challenge.

WHY IS IT THAT AIR TRAVELLERS EXPERIENCE DIFFERENT SECURITY CONTROLS IN DIFFERENT PLACES?

ICAO's provisions provide for effective and consistent security measures around the world. In dealing with the threat, however, national and even local responses must be tailored to their unique circumstances. I should like to stress here that although differing levels of threat and changing circumstances can lead to variations in security approaches, all aviation security regimes must still comply with Annex 17.

HOW DOES THE PANEL KEEP PACE WITH THE CONSTANTLY EVOLVING THREAT TO CIVIL AVIATION?

The Panel has established a working group to concentrate on threat and risk. The group meets regularly and communicates frequently to review trends and prepare analyses of the threat environment. In addition to updating its assessments, the experts offer advice on possible mitigating actions that can be taken in light of the threat picture. Of course, if a serious and imminent threat were to arise, all States would be informed immediately of the situation and advised of the necessary actions that ought to be taken.

The 27 members of the Panel, who are appointed by the Committee on Unlawful Interference, typically meet once a year to agree on recommendations for the Committee's consideration. We last met in Montréal just a few months ago, for the 24th time since the Panel's inception.

We're active between meetings, with several working groups that remain focused on various areas and carry on with vital tasks in a timely fashion. This year, the Panel also decided to adopt a work priority list that should help us manage our resources even more effectively.

WHAT RECENT DEVELOPMENTS IN THE PANEL'S WORK STAND OUT IN YOUR MIND?

The latest amendment to Annex 17 was a very important development, when you consider concerns about air cargo security threats as well as the long-standing need to address vulnerability to an insider threat. Amendment 13, in fact, was fast-tracked by the Council after it was decided that these issues could not wait for completion of the normal Annex amendment process. As a result, the new and revised measures became applicable on 15 July 2013.

I think the decision to develop a global *Risk Context Statement* (RCS) was also highly important. The first edition of the RCS was completed in 2011, and should prove very useful to States in further developing their own national risk assessments. The intent is to update the document on a regular basis.

ROLE OF THE AVSEC PANEL

The mandate of the Aviation Security (AVSEC) Panel is regularly reviewed by the ICAO Council's Committee on Unlawful Interference (UIC) and is revised, when necessary, to maintain its relevancy. Under the revised terms of reference approved by the Council in 2008, the Panel will:

- Using all appropriate means, undertake specific work, as assigned by the Council, with the objective of developing Standards and Recommended Practices (SARPs) and procedures for the purpose of safeguarding civil aviation against acts of unlawful interference while giving due consideration to economic, operational and other impacts of SARPs;

- Identify and examine new and emerging threats against civil aviation, and develop and recommend appropriate countermeasures to the Council through the UIC;

- Review and take account of past and continuing threats and countermeasures, and provide advice to the Council through the UIC on threats and countermeasures, and on the implementation of SARPs and procedures;

- Provide advice to the Council through the UIC on policy development and review strategic direction, priorities and activity planning and other aviation security issues, as required;

- Assist the Secretariat in the development and review of procedures, guidance material and technical requirements related to aviation security and ICAO's security audits, as appropriate; and

- Work closely with the International Explosives Technical Commission (IETC), the Ad Hoc Group of Specialists on the Detection of Explosives (AH-DE), and other technical bodies.

The Panel's current working groups cover the following subjects:
- Annex 17 to the Chicago Convention
- Threat and Risk
- Aviation Security Technology
- Air Cargo Security
- Aviation Security Training
- Aviation Security Guidance Material
- Next-Generation Screening

ICAO INTRODUCED MEASURES FOR STRENGTHENING AIR CARGO SECURITY IN 2011 AND FURTHER ENHANCED CARGO AND MAIL SECURITY WITH THE ADOPTION OF AMENDMENT 13 TO ANNEX 17 IN 2012. WHY WAS THIS NECESSARY AND WHAT MORE REMAINS TO BE DONE?

It's true that enhancing air cargo and mail security has been a top priority. A working group on air cargo security was formed in 2011, in light of evidence that terrorists were targeting perceived vulnerabilities in the air cargo sector. We moved quickly to address any weaknesses, primarily by defining a comprehensive framework for strengthening cargo security and by updating Annex 17.

There has been a lot of emphasis on improving the security of the global supply chain, considering the very real risk of explosives being planted inside cargo during a multi-stage shipping process. The latest amendment to Annex 17, for example, advances implementation of the supply chain security system. Amendment 13 also introduces common baseline security measures for both passenger and cargo aircraft, and highlights streamlined procedures for identifying and securing high-risk cargo and mail.

We have also seen a strong focus on enhancing cargo and mail security through collaborative efforts. ICAO and the World Customs Organization (WCO), in particular, have strengthened cooperation to address threats to global air cargo security and improve cargo facilitation. This cooperation also involves the Universal Postal Union (UPU).

For its part, the Panel has worked to improve security while promoting synergies and facilitating the movement of goods. The working group seeks ways to synergize ICAO's cargo security measures and the standards, policies and guidance material of key international bodies such as the WCO and the UPU. These bodies and their industry partners have a crucial and complementary role in making sure that the global supply chain is totally secure.

Recently, two of our working groups revised the guidance material for air cargo security in light of the newly developed Standards that took effect on 15 July 2013.

AIRPORT SECURITY RELIES HEAVILY ON SCREENING TECHNOLOGY AND EQUIPMENT, WHICH OFTEN REQUIRE SIGNIFICANT INVESTMENT ON THE PART OF STATES AND AIRPORT AUTHORITIES. HOW CAN AUTHORITIES ENSURE THAT THEY ARE INVESTING WISELY, RECOGNIZING THE NEED FOR SECURITY MEASURES TO BE SUSTAINABLE?

There's no question that aviation security is expensive. One of the Panel's working groups recently developed a framework for minimum technical specifications for security equipment. This information will help decision-makers choose equipment that is appropriate and consistent with solutions in place elsewhere. The same group is busy setting up a protocol for

carrying out operational trials of security equipment and procedures. Trials are critical because they allow authorities to ascertain that specific equipment or technology is suitable in an operational environment before committing themselves financially. In addition, to help State authorities evaluate different technologies and equipment, ICAO has established a secure website to provide information on the equipment procurement process.

Innovation is an important consideration for decision-makers because of the twofold role it can play in countering emerging threats and improving the flow of passengers and goods. We

ICAO encourages States to establish one-stop security through a robust verification process, and anticipates that the Panel's next Annex amendment proposal will include a recommended practice on collaborative arrangements in support of the principles of one-stop security.

need to promote innovative measures as a means of meeting these challenges, which explains why ICAO plans to convene its first Symposium on Innovation in Aviation Security in late 2014. That event should encourage further cooperation between regulators and industry in developing technology and innovative techniques, and will support States in their research, development, procurement and systems integration efforts.

I should point out that ICAO is already cooperating with industry stakeholders and equipment manufacturers in efforts to develop the next generation of passenger screening processes. This will most likely facilitate air travel by relying increasingly on intelligence to identify high-risk passengers.

CAN AIR TRAVELLERS LOOK FORWARD TO THE DAY WHEN THEY'LL PASS THROUGH SECURITY WITHOUT FORFEITING THEIR BOTTLES OF WATER AND SHAMPOO?
This is already being tried in some States, where some airports have installed new screening equipment capable of detecting explosives in liquids. The restrictions brought in to address the threat of liquid explosives were never meant to be permanent. I am encouraged by progress made so far, and by efforts to promote the development and wider implementation of the technology needed to gradually lift the restrictions on carry-on liquids, aerosols and gels.

I might add that the implementation of one-stop security is obviously desirable globally. By this, I mean that an air traveller should be able to undertake a multi-stage journey without forfeiting a duty-free bottle at a transit point. Of course, one-stop security arrangements are possible only when a State recognizes the equivalence of another's aviation security regime. In order for one-stop security measures to be implemented effectively and efficiently, all stakeholders, including the air travellers themselves, need to be clear on the processes and operational requirements involved. ICAO encourages States to establish one-stop security through a robust verification process, and anticipates that the Panel's next Annex amendment proposal will include a recommended practice on collaborative arrangements in support of the principles of one-stop security.

WHAT CAN BE DONE TO FACILITATE AIR TRAVEL AND COMMERCE DESPITE NUMEROUS SECURITY REQUIREMENTS?
The most effective approach is to implement risk-based measures that achieve the desired outcomes. These are required for long-term sustainability, as I mentioned earlier.

If we are to implement security measures based on advanced risk-based criteria, the sharing of information on threats—including the use of passenger data for identifying high-risk passengers—is obviously very important. We recognize this requires that appropriate safeguards be in place for

The 24th meeting of the Aviation Security Panel was held at ICAO Headquarters, Montréal, from 8 to 12 April 2013. The Panel members, pictured here along with key Secretariat staff, among other items updated the ICAO global *Risk Context Statement* and agreed on proposed new Standards and Recommended Practices for Annex 17 – *Security*.

protecting privacy. But there is much more work to be done. It is easy to develop a concept; the challenge lies in achieving reality by addressing the many considerations and operational requirements. We must be patient, practical and sensible. And as ICAO always advocates, partnership with industry and stakeholders is essential in order to develop any new security measure that is efficient and cost-effective.

With regard to air cargo and mail, I just highlighted how ICAO is collaborating with the WCO and the UPU—in addition to States, industry and other regulatory bodies—to align standards and guidance. The goal is to avoid unnecessary and costly duplication of measures and processes. In an effort to improve efficiency, the Panel is examining how we might exchange more information on cargo shipments in order to identify packages that could pose a threat.

We can also facilitate air travel through implementation of one-stop security. Of course, this requires a high level of international collaboration and harmonization.

INTERNATIONAL COOPERATION IS CENTRAL TO ALL OF ICAO'S ACTIVITIES. CAN YOU IDENTIFY WHAT ROLE THIS PLAYS IN THE FIELD OF AVIATION SECURITY?
The Panel itself is a model of international cooperation, in the sense that it must be sensible, practical and productive while considering varied expertise from all corners of the globe. ICAO approaches all issues affecting international civil aviation by seeking consensus.

Where security is concerned, ICAO is the most appropriate forum in which to agree on effective and harmonized aviation security measures. What's more, as Member States

naturally look to ICAO for leadership, it is ideally placed to coordinate global aviation security initiatives.

From a practical standpoint, the Panel is considering how to put into practice the principles of aviation security cooperation that were endorsed last September by the High-level Conference on Aviation Security. The Secretariat, with the Panel's input, will identify steps that should be taken to achieve this. The intent is to apply key principles that call for States: to first, respect the security provisions of bilateral and multilateral air services agreements; second, recognize the existence of equivalent security measures put in place by other States; and third, concentrate on achieving desired security outcomes by whatever means are appropriate.

From a broader perspective, cooperation among aviation security stakeholders on a number of fronts is essential. In particular, it is necessary for the successful development of new technology and processes, more effective information sharing and efforts to help States address security deficiencies.

Finally, from a high-level perspective, the Declaration on Aviation Security and ICAO Comprehensive Aviation Security Strategy that were adopted by the ICAO Assembly in 2010, as well as the Communiqué of the High-level Conference of 2012, recognized that the best way forward was for Member States to cooperate more closely in addressing critical issues and to strengthen the global framework for aviation security. The principles they espoused have served us well, and continue to guide us in our work to enhance aviation security worldwide. ▪

SECURING OUR PRIORITIES
A Journal report on assessing the outcomes and consensus that emerged from ICAO's 2012 High-level Conference on Aviation Security

ICAO is in the midst of implementing a number of recommendations set forth at a historic Conference on aviation security held in Montréal in September 2012. The Conference participants agreed on concrete steps to further improve aviation security worldwide, including a commitment to increase their focus on streamlining and accelerating airport security procedures for passengers.

The primary objective of the High-level Conference on Aviation Security (HLCAS)—ICAO's first worldwide meeting dedicated to aviation security since February 2002—was to address vulnerabilities and close gaps in the aviation security framework, particularly in the areas of air cargo and insider threats. (The Communiqué summarizing the essential recommendations of the HLCAS can be viewed at www.icao.int/meetings/avsecconf/).

The sustainability of aviation security measures also emerged as a major issue, with delegates recommending adoption of a number of inter-related policy principles and practices to achieve sustainable aviation security, including risk-based security measures, the optimum use of technology and one-stop security arrangements.

"We must make aviation security more sustainable," ICAO Secretary General, Raymond Benjamin, stated at the conclusion of the Conference. "This means maintaining or augmenting the already robust measures which have protected aircraft and passengers so effectively, but in a streamlined manner that better recognizes the necessary movement of people and goods."

For the past few years, ICAO has collaborated with States and industry stakeholders, including equipment manufacturers, on the development of the next generation of screening processes, with the aim of providing effective security while minimizing the impact on aviation operations.

Mindful of the traveller's perspective and concerns, the Conference strongly urged greater attention to passenger satisfaction when it comes to security processes. It recommended that ICAO and States focus on outcomes when developing aviation security measures, and consider improved passenger satisfaction in aviation security policy-making. It was agreed, furthermore, that any development of security-related ICAO Standards and Recommended Practices (SARPs) should take into account the need to control the cost of security.

Acknowledging that sustainability can be advanced through risk-based approaches, the HLCAS welcomed ICAO's initiative to periodically issue a global *Risk Context Statement*. The first edition of this living document has been disseminated to ICAO Member States and is expected, through regular updates, to provide information for further developing national risk assessments and thus help authorities decide how to mitigate risk without unduly inconveniencing industry, travellers and shippers.

With delegates agreeing that innovation is essential to achieve effective and efficient aviation security and facilitation measures, the Conference supported a proposal to convene the first-ever ICAO Symposium on Innovation in Aviation Security in 2014. The main purpose of this event will be to provide a forum for exchanging information between States and industry, and to promote further development and use of innovative security measures.

For the past few years, ICAO has collaborated with States and industry stakeholders, including equipment manufacturers, on the development of the next generation of screening processes, with the aim of providing effective security while minimizing the impact on aviation operations. The Conference called on ICAO to continue its leadership role in developing such improvements in cooperation with all involved stakeholders.

In a closely related matter, HLCAS delegates acknowledged that the threat posed by the carriage of liquids, aerosols and gels (LAGs) in cabin baggage remains real, yet stressed the importance of gradually replacing the current LAGs restrictions with effective and efficient screening solutions and processes. They also encouraged States to harmonize the implementation of alternative measures selected and to recognize one another's screening regimes. There is no global timeline in place for lifting restrictions since the pace for developing and implementing new measures will likely vary at both the national and regional levels. Availability of screening technology to fully replace the LAGs restrictions is another important consideration. In the meantime, ICAO continues to promote international cooperation to ensure a smooth transition from the current system.

A key aim of the Conference was to strengthen the policy framework for air cargo security, largely in response to the 2010 incident when explosives were discovered in printer cartridges intended to be transported on cargo aircraft.

"We must make aviation security more sustainable. This means maintaining or augmenting the already robust measures which have protected aircraft and passengers so effectively, but in a streamlined manner that better recognizes the necessary movement of people and goods."

ICAO Secretary General Raymond Benjamin

Pictured from left to right are: Jim Marriott, Chief, Aviation Security Branch, ICAO; Roberto Kobeh González, ICAO Council President; Denis Lebel, Minister of Transport, Canada; Raymond Benjamin Secretary General, ICAO; Boubacar Djibo, Director, Air Transport Bureau, ICAO.

To mitigate the risk of such actions, the High-level Conference recommended that ICAO expedite the adoption and implementation of new SARPs for air cargo and mail. The Council of ICAO promptly responded in November 2012 by approving a fast-track amendment to ICAO Annex 17 that contains the provisions for aviation security. The revised and new provisions further strengthen the air cargo and mail supply chain security system. They also enhance cargo security by introducing common baseline security measures for passenger and cargo aircraft.

Moreover, a set of outcomes-based principles on air cargo and mail security was endorsed and embraced as a comprehensive framework for guiding ICAO and other stakeholders in securing the air cargo and mail supply chain. These key principles stress the need to establish a strong, sustainable and resilient air cargo security system, with an enhanced ability to recover from a major disruption; they also highlight a process for more accurately

A key aim of the Conference was to strengthen the policy framework for air cargo security

identifying and securing high-risk cargo. Overall, they call for a total supply chain approach to cargo and mail security and underscore the importance of technical assistance and capacity development. In fact, given current priorities, ICAO was called on to focus more intensely on air cargo and mail security when carrying out capacity-building activities.

To help achieve the total supply chain approach, the Conference recommended greater synergy between aviation, Customs and postal security requirements, and ICAO continues to coordinate with industry and other international organizations in this regard. ICAO and the World Customs Organization (WCO), in particular, have strengthened cooperation in order to address threats to global air cargo security and improve cargo facilitation. Among other things, the two organizations are examining how to improve efficiency by exchanging more information on cargo shipments. ICAO has also strengthened ties with a sister UN agency, the Universal Postal Union (UPU), by supporting UPU's efforts to develop new air mail security standards that complement the existing ICAO SARPs and take account of emerging security concepts.

The fast-tracked Amendment 13 includes a revised, comprehensive Standard for the screening of persons other than passengers, because the HLCAS concluded that the vulnerabilities posed by insiders, such as airport and airline staff with access to security-restricted areas, are significant and need to be addressed on an expedited basis.

One outcome of the High-level Conference was encouragement for States to enhance aviation security by standardizing formats for travel documents and for the electronic transmission of passenger data, while ensuring the protection of passengers' privacy and civil liberties.

Travel document standardization builds confidence and trust in the reliability of documents. It is achieved by complying with ICAO's specifications for the issuance and verification of passports, electronic passports (ePassports), visas and ID cards for crossing borders. Such specifications support effective document inspection procedures and implementation of data applications, including Advance Passenger Information (API) and Passenger Name Record (PNR), as well as programmes for "trusted" or "expedited" travellers, watch lists and bilateral or multilateral information exchange agreements.

With regard to API and PNR data exchange systems, ICAO, WCO and the International Air Transport Association (IATA) have been working together to ensure international standardization, both with regard to passenger data elements and the manner in which data are transmitted. The recommendations of the HLCAS reinforced the importance of achieving this harmonization.

Electronic transmission of such data streamlines border control formalities while contributing to overall security. In recent years,

A set of outcome-based principles on air cargo and mail security was endorsed and embraced as a comprehensive framework for guiding ICAO and other stakeholders in securing the air cargo and mail supply chain.

interest in using API systems as a security measure has grown, with some States deeming it necessary—in order to combat terrorism and protect their borders—to obtain PNR data for their threat assessment value.

Air carriers can facilitate the flow of passengers while enhancing security by providing border control agencies with individual passenger data and flight details prior to an aircraft's departure. Using interactive API (iAPI), States can analyze these details and immediately alert the aircraft operator when a person should be denied boarding. This reduces the number of persons who are refused entry at their destination and can prevent travel by potentially high-risk passengers.

Helping Member States resolve security deficiencies identified by ICAO security audits remains a critical activity. For example, ICAO's Universal Security Audit Programme (USAP), which assesses States' compliance with international standards, more recently examined their capacity to provide oversight, thus providing not only a useful "snapshot" of the level of implementation of ICAO Standards, but that of security oversight systems and capabilities as well.

With regard to the auditing process itself, the HLCAS supported a plan to implement an approach that would take greater account of risk and would involve a range of audit and other monitoring activities. This more flexible process, to be fully implemented in 2015, recognizes that further improvements in aviation security systems and oversight activities are best achieved by tailoring approaches to each State's particular situation.

Also recognized was the role that USAP audit information has played—and should continue to play—in targeting ICAO's technical assistance efforts. At the same time, the Conference stressed the need to respect the principle of confidentiality and recommended that ICAO share general audit results without providing detailed information on State-specific deficiencies.

Member States were encouraged to share their audit results, in an appropriate and secure manner, so that capacity-building and technical assistance efforts can be more effective in specific areas. They were urged, in collaboration with stakeholders such as regional organizations, to establish capacity-building partnership agreements as a more efficient way to utilize scarce resources.

The HLCAS attained all of its desired outcomes because of the spirit of cooperation that prevailed, which made it possible to act decisively on the outstanding issues. Importantly, the high level of Ministerial participation reflected the continuing importance that States attach to aviation security: it sent a strong signal to the world that ICAO, its Member States and other stakeholders continue to address threats to civil aviation as a matter of the highest priority. ■

High-level officials attended a historic conference on aviation security held in Montréal in September 2012.

Türkiye

...bridging the continents...

Antalya, Belek

Nevşehir, Kapadokya

Mardin, Hasankeyf

Konya, Mevlana

Trabzon, Sumela Monastery

UDH
Republic of Turkey Ministry of Transport
Maritime Affairs and Communications

SHGM
DGCA

GREETINGS FROM TURKEY, THE COUNTRY WHERE CONTINENTS AND CULTURES MEET!

Binali YILDIRIM
Minister

>>

As the Minister of Transport, Maritime Affairs and Communications, I would like to briefly summarize the state of our civil aviation sector which has been booming since 2003.

Considering the multiplier effect of civil aviation on the growth of national economies by virtue of its supranational qualities, we have adopted a number of measures over the last decade, the first of which was the opening of our domestic market to competition. Today, Turkish civil aviation can be said to have truly taken off thanks to these measures.

When I became Minister in 2003, I shared my vision with the following motto:

"EVERY TURKISH CITIZEN WILL FLY AT LEAST ONCE"

"THE AIRWAYS WILL BE THE PUBLIC WAY"

This vision came true as passenger, cargo, and aircraft traffic have increased nearly five-fold over the past decade. This growth still continues at rates higher than the world averages.

The Turkish Directorate General of Civil Aviation (DGCA), which is of essential importance to the standards-compliant functioning of civil aviation activities, was restructured in 2005, and was made independent and given its own budget. The organization's regulatory and oversight activities play an important role in the safety, security, and growth of the industry.

Of course, this growth has brought a need for well trained and qualified personel, particularly pilots and technicians. Efforts are underway to provide solutions to such matters in order to ensure healthy and sustainable growth.

Additionally, our airports operated through the Build-Operate-Transfer model (also known as the Turkish model), having been renewed at zero cost to the State, bolster the development process. They add capacity while also becoming centers of social and economic activity by virtue of their architecture and offer all facilitation services to our passengers with no

compromise to security. This model is also being used for the third airport to be built in Istanbul with an annual capacity of 150 million passengers.

FLIGHT SAFETY AND AVIATION SECURITY

Our top priorities in the field of civil aviation are to maintain high levels of safety and security and to have an aviation industry that is environmentally friendly, sustainable and efficient.

In line with these priorities, which also match ICAO's strategic objectives, we will continue to support regional development by sharing our expertise and capabilities with other countries in the region where needed. We will also continue to contribute more by providing experts and playing an active role in ICAO, ECAC, and EUROCONTROL.

Let me take this opportunity to state that, in recent years, Turkey's civil aviation sector has experienced annual growth rates of more than 10 per cent despite the global economic crises and is expected to continue to grow at such rates until around 2030. This is a result of our experience that we have gained during the last decade and we are ready to share that experience with any country.

In line with the aforementioned, I believe that Turkey's election to the Council of ICAO will provide our country with the opportunity to further contribute to the efforts towards realizing the objectives of the International Civil Aviation Organization.

REGIONAL AND GLOBAL COOPERATION

In the pages ahead, Turkey's success story will be presented to you with concrete facts and figures. I certainly believe that a civil aviation system that facilitates environmentally friendly and sustainable development with no compromise to flight safety and aviation security can only be accomplished through the utmost cooperation at regional and global levels.

Best regards

İstanbul

OVERVIEW

The promulgation of the Turkish Civil Aviation Act, 2920 in 1983 cleared a path for civil aviation in Turkey and became a significant milestone in its progress.

The Turkish DGCA was restructured in 2005 by Law, 5431 in order to establish an independent body and autonomous budget, and it has undertaken important duties in providing aviation safety and security, which are the cornerstones of sustainable development.

The DGCA is tasked with setting rules, oversight and supervision as well as enforcement powers. Accident investigations are conducted in accordance with ICAO standards by an independent body established within the Ministry.

Considering geographical features and size of our airspace, air transportation occupies an important role in Turkey. When we look at the growth achieved over the past decade and which continues today, we are justifiably proud of the actions we have taken to exploit these advantages correctly.

With a few measures taken and regulations implemented within the scope of a project to liberalize aviation in 2003, the private sector was granted the opportunity to operate scheduled domestic flights. The competition that sprang from this enabled cheaper fares and allowed passengers greater choice when selecting airlines for travel.

SAFE AND SECURE AVIATION

The incredible progress occurring in aviation is only made possible through a safe and secure aviation system. In addition to these two high-priority issues, the reduction of accident rates to zero, environmentally friendly sustainable growth, and efficiency are the other strategic objectives for the Turkish civil aviation industry.

OUR STRATEGIC OBJECTIVES
Safety, Security, Environment, Sustainability, Efficiency

The audits within the Safety Assessment of Foreign Aircraft (SAFA) program, of which Turkey is a founding member, have been given special importance. The audit results of recent years show that the average result of the Turkish air carriers is better than those of the EU air carriers.

Figure 1. SAFA Analysis

	2007	2008	2009	2010	2011	2012
EU	0.73	0.66	0.62	0.75	0.86	0.97
Turkey	0.85	0.79	0.84	0.91	0.86	0.62

■ EU ■ Turkey —●— Our Target (80%)
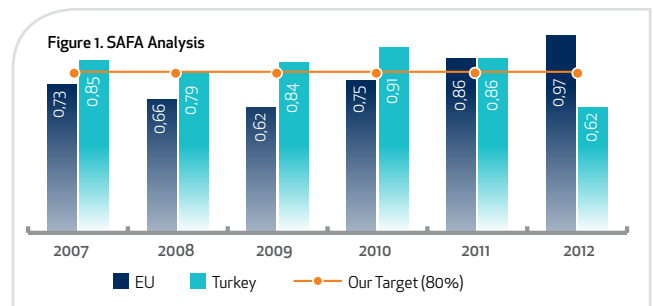
The rulemaking, authorization, and auditing activities are carried out under the three main categories (namely aviation personnel requiring license, aircraft and organization) that comprise: AOC holders, maintenance and training organizations, airport and terminal operators, ground services, and Air Navigation Service Providers (ANSP).

The security standards of the 49 airports used for civil aviation activities are being applied in accordance with the National Civil Aviation Security Program, which was already established in line with ICAO Annex 17 & ECAC Doc. 30. Efforts to launch one stop security applications in cooperation with ECAC and the EU Commission are also under way in Turkey, which was the first country allowed to fly to the US following the 9/11 attacks.

Keeping the balance between security measures and facilitation services is an important challenge for Turkish Aviation.

ENVIRONMENTALLY FRIENDLY ACTIVITIES
One of the strategic objectives is environmentally friendly aviation activities. We are pleased to commit our full support to ICAO initiatives in this field. The Turkish action plan to reduce CO_2 emissions is among the first plans presented to ICAO, and developments relating to the EU Emissions Trading Scheme are being monitored closely.

SHGM DGCA

One of the most strategic countries in the world in terms of air travel by virtue of its geopolitical position.

Located at the intersection of the continents of Asia, Europe and Africa.

A bridge between the civilization of East and

İstanbul

İzmir

Ankara

Antalya

281%
Increase in Passengers Carried over the last decade 131.029.000.

134%
Increase in Cargo Carried over the last decade 2.249.133.

160%
Increase in Airplanes Using Turkish Airspace over the last decade 1.376.486.

146%
Increase in Aircraft fleet over the last decade 400. New orders of 217 Airbus & 95 Boeing.

S IN CIVIL AVIATION

West.

The cradle of civilization, located on the most significant migration and trade routes throughout history.

A country with a population of seventy-six million that welcomes million of foreign visitors every year with its unique, historic architectural heritage and one-of-a-kind hospitality.

Trabzon

Adana

- HUBs in 2002
- Airports
- Hubs added over the past decade
- Airports under construction

254%
Increase in Aviation Employees over the last decade 170.000.

153
Number of Air Service Agreements signed with ICAO Member States

$18 Billion
Industry Revenue

Yesterday
60
Destinations

Today
236
Destinations
in 103
Countries

2003 2004 2005 2006 2007 2008 2009 2010 2011 2012 2013

INTERNATIONAL RELATIONS

Turkey is a member of:

Within the last 5 years Turkey has set a record in Bilateral Air Service Agreements and has become the country with the fastest growing flight network.

AIR SERVICE AGREEMENTS

With bilateral and multilateral air services agreements signed in the last decade, the total number has reached 153 today, up from 81 in 2003, which means an increase of 89 per cent. The traffic rights are used by the following AOC Holders authorized to operate scheduled services:

High importance is also given to regional cooperation activities.

>> Africa is being re-explored.

Africa is not far at all with 34 destinations in 24 countries

Grand services...

...on ground services.

Çelebi Ground Handling, with more than a half century of experience, gives exclusive service to more than 300 international airline companies together with over 13500 employees present at all major airports in Turkey and abroad, on two continents providing ground handling, cargo and warehousing support. Çelebi Ground Handling creates a difference in the sector with its service quality at the most important international airports in Turkey, Hungary (Budapest), India (Delhi-Mumbai) and Austria (Vienna). As a member of IATA/IGHC, ASA, ACI and TIACA, and a founder member of AVIANCE, Çelebi Ground Handling is committed to providing exceptional ground handling services.

Çelebi is one of the leading companies in ground handling service in Turkey, Europe and Asia and awarded as the
" The Ground Handler of the Year"
by the aviation sector's prestigious "Air Transport News."

ÇELEBİ

55 YEARS

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Esenboğa Airport

OUR ACTIVITIES AND PROJECTS

Civil aviation activities in Turkey are conducted in accordance with Turkish National Laws & Regulations published in line with international standards. The duties and responsibilities of the DGCA mandated by the law are categorized under the following three headings:

Rulemaking ›› Oversight and Surveillance ›› Enforcement.

While making a point of conducting aviation activities with no compromise to safety and security on one hand, caution is being exercised on the other hand to ensure the protection of the environment within the scope of social responsibility, and to provide facilitation services to passengers.

The DGCA's autonomous budget is based on income from the services provided to the industry. Discounts of up to 50 per cent are provided to institutions that exhibit success in the "accessible airport" and "green airport" projects launched by the DGCA for the benefit of the environment and for people. The industry is encouraged by the DGCA to demonstrate success with these kinds of projects.

NOTABLE ACTIVITIES

- Authorized MRO providers in Turkey, namely TURKISH TECHNIC, MNG TECHNIC, my TECHNIC, Onurair provide maintenance services complying with international standards in a total of eleven hangars and 221,500 square meters of hangar space.

Turkish Technic

- Air Navigation Services are provided by the Turkish ANSP, called DHMI, within the Turkish airspace covering an area of 1 million square kilometers through a renewal project called SMART using modern equipment. All the related stakeholders, including the military authorities, demonstrate close coordination and cooperation on this important issue.
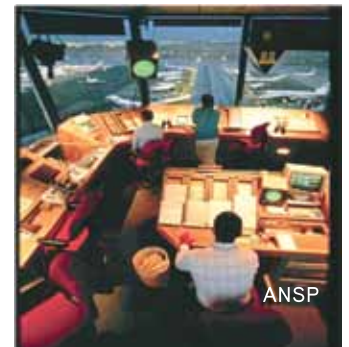
ANSP

- Flight and Type Rating Training Organizations conduct important training activities in line with ICAO & EASA standards to meet the cockpit crew needs of the industry which have grown rapidly in the last ten years.

- Terminal Operations have an important role within the success story of Turkish Civil Aviation. Listed below are our main terminal operators and the terminals they operate:

TAV: Atatürk Airport International Terminal, Esenboğa Airport Domestic & International Terminals, Adnan Menderes International Terminal, Tbilisi and Batumi Airports in Georgia, Skopje and Ohrid Airports in Macedonia, Monastir and Enfida Airports in Tunisia, and Medina Airport in Saudi Arabia.

Fraport IC: Antalya Airport International Terminals 1 and 2, Antalya Airport Domestic Terminal

LİMAK: Istanbul Sabiha Gökçen International Airport Terminal (Limak GMR Group and Malaysian Airports)

ATM: Dalaman ATM International Terminal

MONDIAL: Milas-Bodrum Airport International Terminal

The Ground Handling Services are operated by the 3 different private companies Havaş, ÇELEBİ, TGS under the full liberalization regime.

ANTALYA AIRPORT,
YOUR GATEWAY TO HEAVEN
ON EARTH
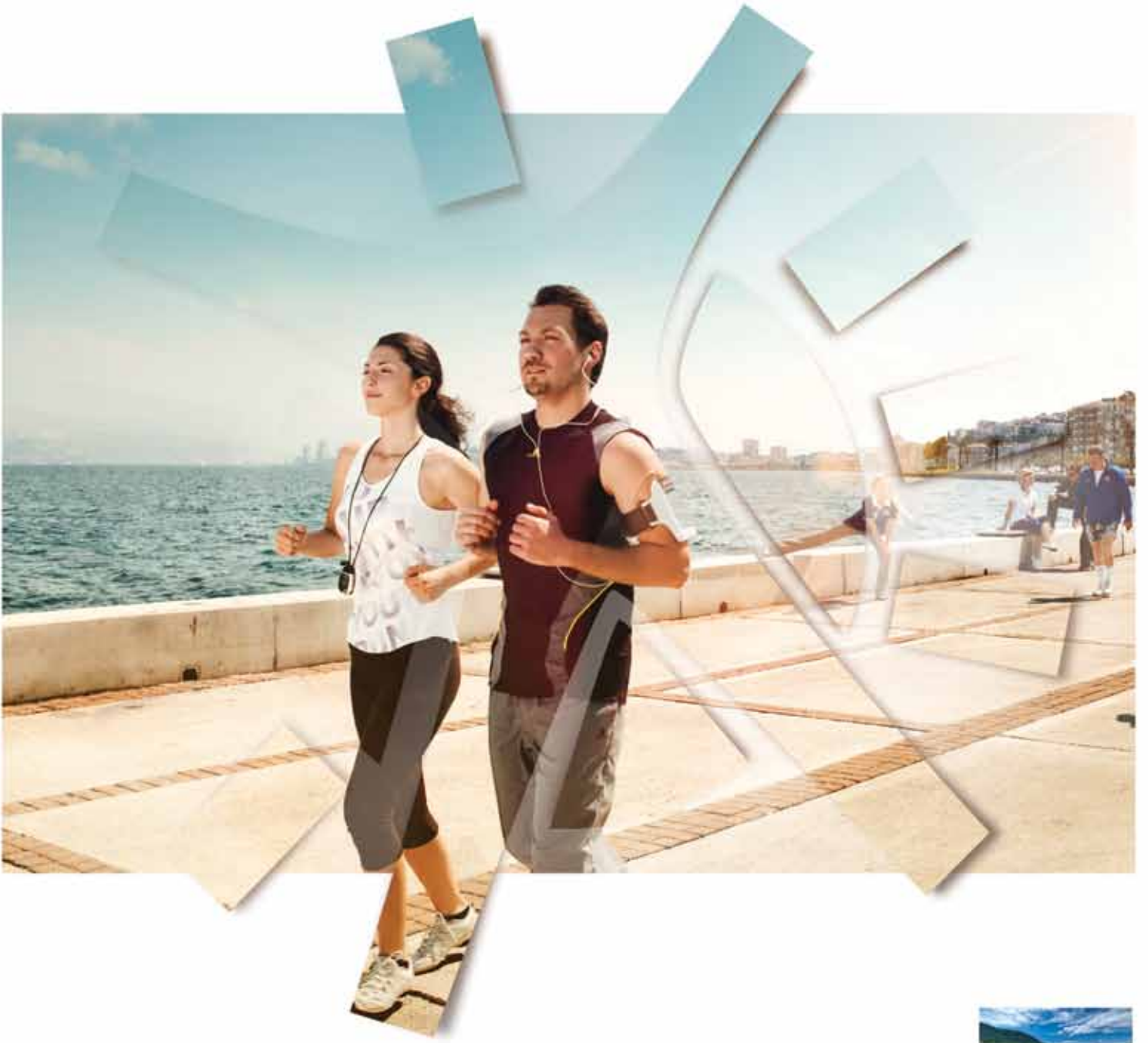
WE ARE RUNNING TOWARD A HEALTHIER FUTURE.

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EXPO 2020
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Candidate City

A NEW DIRECTION: THE FUTURE OF ICAO'S UNIVERSAL SECURITY AUDIT PROGRAMME

ABOUT DAVID WILKINSON
He is an Aviation Security Officer (Aviation Security Audit Section, AVSEC Branch), ICAO Air Transport Bureau

Experience gained from over a decade of conducting aviation security audits has provided important lessons enabling ICAO to move forward towards an innovative and dynamic Continuous Monitoring Approach (CMA) for global aviation security.

Since the inception of the ICAO Universal Security Audit Programme (USAP) in 2002, the Programme has become widely recognized as an invaluable tool for the promotion and enhancement of global aviation security. This is because it has identified deficiencies in States' aviation security and oversight systems, allowing States to develop corrective action plans. The Programme has also allowed for the targeting of assistance activities, and has provided States with advice, guidance and recommendations to assist in enhancing their existing aviation security systems and structures. In addition, the Audit Programme has provided an important side benefit by training and certifying State officials as USAP auditors. These officials have helped to further enable the global harmonization of the interpretation and application of ICAO Annex 17 – *Security* Standards and Recommended Practices (SARPs), and the security-related provisions of Annex 9 – *Facilitation*.

Over the 11 years of the USAP, the ICAO Secretariat, in close consultation with States' subject matter experts, has continually worked to enhance the quality and efficiency of the Programme. In this context, ICAO is developing the necessary tools to evolve the USAP towards an innovative, dynamic and tailor-made approach to security auditing: the Continuous Monitoring Approach specific to aviation security (USAP-CMA). This approach relies on international best practices, and prioritizes the type and scope of monitoring activities based on previous audit results.

OVERVIEW AND EVOLUTION

Prior to the events of 11 September 2001, ICAO did not have a mandatory programme to monitor States' compliance with international aviation security requirements. Rather, aviation security technical evaluations were available upon request by States to assist them in complying with ICAO Annex 17 SARPs.

However, the events of 11 September suddenly changed regulatory, industry and public perceptions of the overall level of threat to international civil aviation. In response to these events, ICAO convened a special High-level Ministerial Conference on Aviation Security in February 2002. One of the key outcomes of this Conference was the recommendation that ICAO create the USAP in order to conduct regular, mandatory, systematic and harmonized audits and follow-up missions designed to identify deficiencies and assist States in their resolution, thereby promoting aviation security on a global basis.

As with the former security technical evaluations, the first cycle of USAP audits focused on States' compliance with Annex 17 SARPs. The cycle was completed in 2007 and revealed many significant findings. Most notably, these audits demonstrated that many States were not fully implementing ICAO SARPs and that the most pressing need was for States to

Symposium on Innovation in Aviation Security
ICAO Headquarters, Montréal, 21–23 October 2014

SIAS2014

Where Security and Technology Meet

Based on the theme of **Innovation for the Enhancement of Aviation Security,** the first-ever Symposium on Innovation in Aviation Security will help States, industry, academic researchers and other AVSEC professionals explore how technology, tools and equipment can help States and industry meet both existing and future aviation security challenges.

The proposed three-day Symposium will feature presentations and panels on themes such as: optimizing technology; achieving a better balance between security and facilitation; accelerating the transfer of innovative methods to less developed States; optimizing partnerships between State authorities and manufacturers; creating and applying knowledge through innovation; promoting research and development; and empowering people and firms toward innovation.

If you would like to take advantage of this invaluable networking and learning opportunity and help set the course for the newest security and facilitation solutions, please visit the ICAO Meetings website at **www.icao.int/meetings** and look for further information on this important 2014 event.
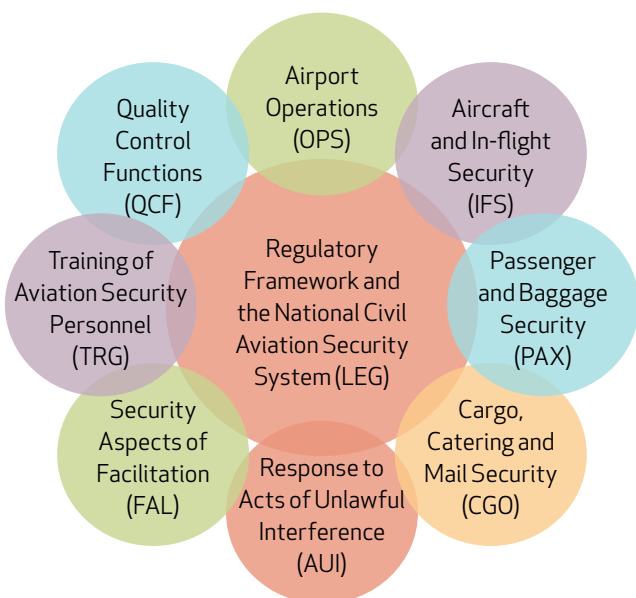
ICAO

SECURITY & FACILITATION

establish their own effective aviation security oversight systems to encourage continuous enhancement of performance. A programme of follow-up visits to determine the level of States' implementation of corrective action plans relating to their first cycle audits observed significantly improved levels of compliance; it also confirmed the need for further improvement. These results formed the basis for the objectives of the second cycle of the USAP, the strategy underlying the next phase of the Programme, the development of new audit tools and the reporting of audit findings and recommendations.

The second cycle of security audits was launched in January 2008 and completed in June 2013. Under this cycle, the findings from the first audit cycle were addressed by, wherever possible, focusing on the new methodology on States' aviation security oversight capabilities. In addition, the audits were expanded to cover not only the Annex 17 SARPs, but also the relevant security-related provisions of Annex 9 – *Facilitation*. A final report and analysis of the audit results from the second cycle of USAP audits will be presented to the 38th Session of the Assembly at the end of September 2013.

USAP AUDITS PRODUCE POSITIVE RESULTS

Over the course of the two USAP audit cycles, over 200 aviation security experts from Member States have received USAP auditor training and certification, providing them with a common understanding of what is necessary to comply with international aviation security and oversight requirements and best practices. Approximately 150 of these experts remain active on the USAP short-term roster of experts. By participating in audits these officials are helping States directly. At the same time, their participation has enabled them to observe global and regional best practices in person and take lessons learned back to their own States and parent administrations for inclusion into their national- and airport-level aviation security and oversight systems.

The Universal Security Audit Programme Continuous Monitoring Approach will use various types of monitoring activities tailored to each State's aviation security situation.

USAP AUDIT CHALLENGES

Despite the many benefits derived from the two cycles of USAP audits, a number of drawbacks were identified concerning this approach to auditing. The primary concern is that cyclical audits provide only a snapshot of the aviation security and oversight situation in a given State, without providing a means to update information as and when required. In addition, under the existing one-size-fits-all model, States with sophisticated aviation security and oversight systems would continue to be audited with the same frequency and methodology as States with less well-developed systems. Given the significant variation in audit results between States, and a need to use limited resources in the most effective manner, ICAO has determined that a cyclical approach, while suitable to provide a comprehensive understanding of individual States' performance during the first two cycles of audits, no longer represents the most efficient means of carrying out aviation security audits in the future.

DEVELOPMENT OF THE USAP-CMA

As early as 2010, ICAO began developing plans for the future of the USAP. This initiative includes drawing on international best practices for risk-based auditing, as observed during the conduct of USAP audits in those States with the highest level of development of their own national or regional quality control programmes and oversight systems. Planning for the evolution of the USAP also involved examining the experience of the ICAO Universal Safety Oversight Audit Programme (USOAP), which has already implemented a Continuous Monitoring Approach (CMA) to auditing.

The ICAO Secretariat created a study group, including aviation security experts from Member States, regional groupings and international organizations, to examine the options available for the evolution of the USAP. Based on this group's feedback and recommendations, it was determined that an approach specific to aviation security, and involving continuous monitoring and risk-based elements, would be the most appropriate option. In addition, it would enable the effective and efficient use of available resources.

Audits conducted under ICAO's Universal Security Audit Programme examine nine specific areas, covering all aspects of a State's aviation security system.

SIGNIFICANT SECURITY CONCERNS (SSeCs) IDENTIFY DEFICIENCIES

In 2010, approximately halfway through the second cycle of USAP audits, the concept of Significant Security Concerns (SSeCs) was introduced, together with a mechanism for identifying and addressing them. SSeCs are identified when a State permits aviation activities to continue, despite a lack of implementation of minimum security requirements related to critical aviation security controls. These include shortcomings, primarily of an operational nature, in the areas of screening, protection of passengers and baggage, cargo and catering security, access control and aircraft security, which result in an immediate risk to international aviation. If an SSeC is identified during a USAP audit, the State is given a short timeframe in which to resolve the deficiency by implementing immediate corrective actions. The inability or failure to do so results in all ICAO Member States being advised as to the existence of the SSeC. To date, a number of SSeCs have been identified and the mechanism has proved very effective in encouraging States to address these concerns as a matter of the highest priority. The SSeC mechanism will continue to be applied under the USAP-CMA with all Member States being subject to its provisions, if and where necessary.

After considering a proposal by the Secretariat incorporating the recommendations of the study group, the Council of ICAO formally approved the move to USAP-CMA in October 2012. Work on developing the methodology for the new approach is well underway. It is anticipated that initial testing of USAP-CMA activities will begin in 2014, with full-scale implementation of the new approach beginning in January 2015.

The USAP-CMA will offer a number of advantages over the previous cyclical approach to auditing. Foremost among these is replacing the "snapshot" form of audits used to date with an ongoing means of identifying security deficiencies without incurring any additional costs. The ability to update audit results as required will further enhance the audits' usefulness. In addition, the flexible risk management-based framework used to identify and carry out monitoring activities will result in a system that extends beyond a one-size-fits-all approach to auditing. Rather, specific types of activities with various scopes will allow for a much more customized approach based on information gathered during the two previous audit cycles. This will also allow greater focus on providing assistance to States in need while ensuring that the fundamental principle of universality is maintained. In fact, all Member States will continue to be subject to appropriate and recurring monitoring, regardless of their level of development. The expectation is that the application of a USAP-CMA will provide numerous advantages to both ICAO and to its Member States, and will be flexible enough to adapt to changing circumstances in the future.

As with audits conducted under the first two cycles, the USAP-CMA will continue to promote global aviation security by monitoring all Member States. However, the scope and frequency of each State's monitoring activities will vary depending on its security situation. The USAP-CMA will determine the status of implementation of the critical elements of States' aviation security oversight systems and will also provide an indication of each State's level of compliance with security-related SARPs. The new methodology will continue to provide States with recommendations to improve their security systems and oversight capabilities. In addition, it will facilitate the targeting and tailoring of assistance projects.

The USAP-CMA will generate up-to-date and useful State-specific and regional data which will benefit assistance programmes, while also providing useful feedback to ICAO for developing new SARPs and refining existing ones, as well as guidance material. ICAO will also introduce a new type of audit report for the USAP-CMA, which will help States in the development and implementation of corrective action plans by identifying and allowing for the prioritization of findings to be addressed in the short, medium and long terms. This will assist States in making the most effective use of their resources to improve civil aviation security systems.

The establishment of the USAP has been a key element in ICAO's response to global civil aviation security threats. USAP audits provide States with the information they require in order to make informed and effective decisions on how to improve their aviation security and oversight systems. The introduction of the SSeC mechanism [see sidebar] has further enabled ICAO to identify States' most serious aviation concerns and to encourage them to address these concerns as a matter of urgency, while simultaneously highlighting the existence of such concerns to all other Member States. Moreover, information generated by the USAP has allowed ICAO to prioritize and target assistance to those Member States where it is required.

The intent of the evolution of the Programme to the USAP-CMA is to build on the notable successes widely recognized as having been achieved by the Audit Programme. The new approach will offer an innovative and more dynamic programme moving away from the one-size-fits-all approach to auditing. At the same time, it will recognize the varying levels of development and sophistication of individual States' aviation security and oversight systems. It will also provide important feedback to ICAO, and other States' and regional bodies, in their efforts to help prioritize the allocation of limited resources. Furthermore, the USAP-CMA will be implemented on an ongoing basis, providing ICAO Member States with regular updates on the global aviation security situation.

While moving forward with the development and implementation of the USAP-CMA, it is important to note that the USAP, together with the information it generates, is a tool to assist Member States in meeting their obligations with regard to international aviation security SARPs. While the sovereign responsibility will always remain with individual Member States, the USAP will continue to play an essential role in the overarching effort to improve global aviation security and prevent acts of unlawful interference against civil aviation. ◾

Advanced ATM Techniques Symposium and Workshops
ICAO Headquarters, Montréal, 4–6 November 2013

AATM2013

Optimizing your operations to save fuel, time and emissions

The AATM2013 Symposium and Workshops will provide practical, hands-on support for States and others looking to implement the latest capabilities in CCO, CDO and ATFM using CDM. A wide array of tools and procedures will be highlighted, as well as the latest guidance on how to document fuel savings and reduced emissions.

This event is essential for air navigation service providers, rule-making authorities, training organizations and other companies or groups seeking to optimize efficiencies and reduce aviation emissions. For more information please contact **AdvancedATM@icao.int,** or visit **www.icao.int/Meetings/AdvancedATM**

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CAPACITY & EFFICIENCY

ICAO ACTIVELY ASSISTING STATES TO ADDRESS AVIATION SECURITY DEFICIENCIES

ABOUT DAVID W. TIEDGE
He is Chief, Implementation Support and Development Section–Security, ICAO

ICAO plays an important role in the provision of aviation security capacity-building assistance to Member States. The process through which assistance is delivered has recently gained considerable momentum towards addressing the needs of States and helping them resolve their aviation security deficiencies to strengthen their overall aviation security system.

ASSISTANCE STRATEGY

Under the Universal Security Audit Programme (USAP), ICAO assesses the implementation of Annex 17 - *Security* Standards and the security-related Standards of Annex 9 - *Facilitation*. Recognizing that not all States have the necessary resources to achieve compliance with relevant Standards and Recommended Practices (SARPs), ICAO works with States towards the provision of assistance. This systems-based approach to overall aviation security enhancement is built on three pillars:

- SARPs to define performance expectations
- The audit programme to assess performance
- The Implementation Support and Development Programme to assist States directly in improving their aviation security performance

ICAO Assembly Resolution A37-17 acknowledges that some countries, particularly developing countries, lack aviation security oversight capacity and face difficulties in fully implementing preventive measures due to insufficient financial, technical and/or material resources. The Declaration on Aviation Security adopted by the 37th Session of the ICAO Assembly urges States to further enhance international cooperation in order to counter threats to civil aviation.

The Secretariat is actively assisting States to remedy deficiencies identified through ICAO audits. These efforts are guided by the ICAO Aviation Security Assistance and Capacity Building Strategy, which sets out the management parameters and methodology for assisting States. Under the Strategy, State Improvement Plans (SIPs) are the principle tool used by ICAO to document and agree with States being assisted with their respective roles and responsibilities, commitments, deliverables and outcomes. These detailed plans enable ICAO and States to have a single point of reference for coordinated action by all concerned stakeholders to remedy aviation security deficiencies.

Support for the regionalization of assistance led to the development of ICAO's Cooperative Aviation Security Programme (CASP) model. The first CASP was created in 2005 for the Asia/Pacific Region. Comprised of regional partner States with shared aviation security objectives that have contributed financial resources, the CASP provides targeted assistance and training to its members.

A mechanism for continuous evaluation of ICAO's 25 Aviation Security Training Centres (ASTCs) has been instituted in order to ensure the provision of high-quality training.

Assistance mission in Mbabane, Swaziland: Crisis Management Course, June 2012

ICAO Regional Aviation Security Conference in Dakar, Senegal, 17-18 October 2011. Pictured from left to right are: Andrew Karasick, ISD-SEC; Alassane Dolo, WACAF, Dakar; David Tiedge, Chief, ISD-SEC; Justus Nyunja, ESAF, Nairobi; Yumi Odani, ISD-SEC.

Following the Joint Statement adopted by the ICAO Regional Aviation Security Conference in Bahrain held in April 2012, the ICAO Secretariat recently established a CASP for the Middle East Region. The Secretariat welcomes opportunities to develop proposals with other regional groupings of States.

Aviation security training is an integral and long-standing component in the provision of assistance to States. Training provided by ICAO includes standardized courses and workshops on subjects ranging from basic technical subjects to entry-level management, while workshops focus on the development of aviation security programmes. A mechanism for continuous evaluation of ICAO's 25 Aviation Security Training Centres (ASTCs) has been instituted in order to ensure the provision of high-quality training. ICAO also encourages States to directly utilize its Aviation Security Training Packages as part of their national training programmes.

It is important to note that aviation security deficiencies and the need for technical assistance are not limited to the aviation security sector. A number of States stress the need for assistance towards implementing SARPs and guidance materials related to Machine Readable Travel Documents (MRTDs), identification management and border control.

POLICY DEVELOPMENTS

The ICAO High-level Conference on Aviation Security (HLCAS) took place in September 2012 and focused on priority areas in the current aviation security policy debate, many of which were related to assistance and capacity-building activities. In particular, the Conference stressed the need for ICAO to:

- Ensure the best usage of ICAO audit results for defining and targeting assistance;
- Strengthen efforts related to air cargo and mail security; and
- Maximize the benefits of partnership agreements for the delivery of capacity-building activities.

The Conference also encouraged Member States to enhance aviation security by standardizing formats for travel documents and the electronic transmission of passenger data to State authorities while ensuring the protection of passengers' privacy and civil liberties. With specific regard to MRTD efforts, the Conference directed ICAO to enhance travel document security by participating in the electronic passport validation service known as the ICAO Public Key Directory (PKD).

FUTURE ROLE

The ICAO Secretary General has emphasized that ICAO is adopting a more proactive stance in providing assistance to Member States. As the recognized global forum for international civil aviation, ICAO brings together States in need, and donors and implementation agencies in order to explore new and better ways to provide assistance and capacity-building support to States. ■

Access to airports and air services by persons with disabilities is currently addressed by two mandatory provisions in Annex 9.

ICAO'S WORK ON ACCESS TO AIR TRANSPORT BY PERSONS WITH DISABILITIES

ABOUT JITU THAKER
*He is Facilitation Officer
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ICAO has worked for years to ensure that persons with disabilities (also referred to as persons with reduced mobility) can make full use of air transportation. Such efforts commenced in 1969, when ICAO recommended—through Annex 9 - *Facilitation* to the *Convention on International Civil Aviation*—that persons with disabilities in transit be allowed to transfer directly between aircraft whenever this was warranted by cut-off times for connecting flights. The aim was to eliminate the need for such passengers to transit lengthy distances in air terminals.

In the years that followed, the number of air travellers with disabilities grew. While barriers still existed that limited the ability of persons with disabilities to take full advantage of international air services, there arose strong international interest in improving the opportunities for the disabled person. Much of this was due to the United Nations proclamation of 1983-1992 as the Decade of Disabled Persons.

Beginning in 1986, ICAO undertook a complete review of the challenges faced by persons with disabilities, and also considered the appropriate measures that could be taken to improve accessibility to international air transportation. The review was conducted in two parts, covering both access to airports and access to air transport services.

Based on the findings of ICAO's review, several new provisions relating to access to airports were incorporated into Annex 9 – *Facilitation*, along with supplementary guidance material.

The review identified facilitation practices that should apply to each stage of a journey. These included: contact with airline reservations and/or travel agents; access to aircraft; mobility, facilities and services on board the aircraft; the right to travel with an attendant, if necessary; and fares, charges and related travel conditions.

As a result of these studies, Annex 9 was updated substantially in the 1990s to include a definition of a "person with disabilities" and several new and amended provisions for facilitating their transport. Further proposed changes are now before States for consideration, and may be incorporated into Annex 9 during 2014.

Access to airports and air services by persons with disabilities is currently addressed by two overarching mandatory provisions (called "Standards") in Annex 9. These are supplemented by provisions setting out broad "Recommended Practices" (RPs).

In brief, States are obliged by the Annex 9 Standards to take the necessary steps to ensure that airport facilities and services are adapted to meet the needs of persons with disabilities. They also must ensure that persons with disabilities have equivalent access to air services.

Recommended Practices in Annex 9 urge States to implement measures so that persons with disabilities have the capacity to complete an entire journey by air, from the time they arrive at the airport of departure until they leave the airport at their destination. States are also urged to ensure that such persons are given the information they need, in formats accessible to those with cognitive or sensory disabilities. The RPs also call on States to ensure that trained personnel are available to assist persons with disabilities, adequate priority parking is available at airports for people with mobility challenges and appropriate assistance is provided during flights. With regard to the latter, Annex 9 includes recommendations on the carriage of service animals and assistants.

States are provided with detailed guidance elaborating on the Annex 9 Standards and Recommended Practices and assisting the civil aviation community in their implementation. In 1999, ICAO published a circular containing guidelines on the matter. Earlier this year, the contents of the circular were comprehensively revised and published as the first edition of the ICAO *Manual on Access to Air Transport by Persons with Disabilities* (Doc 9984). Additional updates will be made, when necessary, to address any new issues that may arise.

Doc 9984 provides general guidance on the services required to meet the needs of persons with disabilities during all stages of travel by air. It also offers guidance on providing information and training for professionals and staff working with persons with disabilities.

The Manual attempts to cover all possible issues that may be faced by persons with disabilities from the time they begin to plan their journeys by air. Among the topics addressed are: the advance notice given to airlines and airports of a traveller's special needs; seat reservations; arrival at and movement through airports; availability and use of airport facilities; security screening and border checks; boarding and disembarking aircraft; services on board an aircraft; flight connections; and the availability of suitable ground transportation. Fittingly, the Manual covers the processes to be made available by airlines and airports so that persons with disabilities can register complaints when the level or quality of special services does not meet their needs.

Importantly, the Manual also highlights how States can uphold their general obligations under the United Nations Convention on the Rights of Persons with Disabilities.

Through various measures, ICAO continues to promote and uphold a climate of inclusiveness for persons with disabilities who travel by air. It remains committed to promoting the implementation of standards and practices that allow such passengers to experience air travel as fully as other segments of the travelling population. ◾

Recommended Practices in Annex 9 urge States to implement measures so that persons with disabilities have the capacity to complete an entire journey by air, from the time they arrive at the airport of departure until they leave the airport at their destination.

e-freight aims to remove the paper from the air freight supply chain from origin to destination in order to improve both efficiency and security.

CARGO SECURITY BENEFITS DERIVED FROM e-FREIGHT

© Carlos Gustavo

ABOUT FREDERIC LEGER
He is Head of Cargo Business Process & Standards at IATA

The International Air Transport Association (IATA) has a long history of developing standards for the air transport industry in order to improve safety, security and efficiency. IATA worked closely with ICAO in the late 1970s to develop the initial *Technical Instructions for the Safe Transport of Dangerous Goods by Air,* which drew from the contents of the IATA Restricted Articles Regulations. Today, IATA standards cover the security, safety, operational and technical aspects of transporting cargo, as well as the carriage of special cargoes such as live animals, perishables and temperature-controlled shipments.

One of the flagship projects of IATA over the last few years has been e-freight, which aims to remove the paper from the air freight supply chain from origin to destination in order to improve both efficiency and security. Increasing numbers of regulators are requesting electronic data so that they can assess the risk related to cargo and identify consignments that may be classified as high risk.

They are also looking to provide an audit trail of who secures what cargo how and when, as all cargo loaded on-board an aircraft must be screened by secure operators. e-freight can offer significant advantages in these areas.

However, e-freight is an extremely complex set of inter-connecting tools and processes, requiring close cooperation between a diverse set of industry stakeholders. Implementing e-freight is proving a significant challenge. New momentum has been achieved, however, by the endorsement by the Global Air Cargo Advisory Group (GACAG) of a three-pillar action plan for e-freight for the next three years. To date, e-freight is already implemented in 47 countries and at 462 airports, translating into 4,275 trade lanes. The commitment is to have e-freight fully implemented by the end of 2015.

The first pillar is to ensure that States ratify the international treaty "Montreal Convention 99" which allows for regulators of all States to support the processing of a cargo shipment without the need to produce paper for each and every shipment. Of course, paper can be requested by the regulators, *e.g.* in the event of an examination, but in such cases, regulators should accept a print-out of the electronic record. Under this pillar, industry and States, as well as international organizations such as ICAO, the World Customs Organization (WCO) and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), need to work closely together in order to find the most appropriate solutions following international standards (*e.g.* ICAO Annex 17 – *Security* and Annex 9 – *Facilitation*, WCO Revised Kyoto Convention, WCO Safe Framework).

The second pillar is to ensure that industry stakeholders remove the core transportation documents at source and replace them with electronic messages following internal standards such as Cargo-IMP (Interchange Message Procedures) or Cargo-XML (eXtensible Markup Language).

Of course, the most critical document is the air waybill (AWB), which is the contract of carriage between the carrier and the shipper, where the freight forwarder very often acts as a shipper. The electronic AWB (e-AWB) is equivalent to the paper AWB that has been used by the industry for many years. IATA and its airline members, as well as the International Federation of Freight Forwarders Associations (FIATA), are committed to introducing the e-AWB as the first step toward the e-freight vision, with the goal of achieving 100 per cent implementation by the end of 2015.
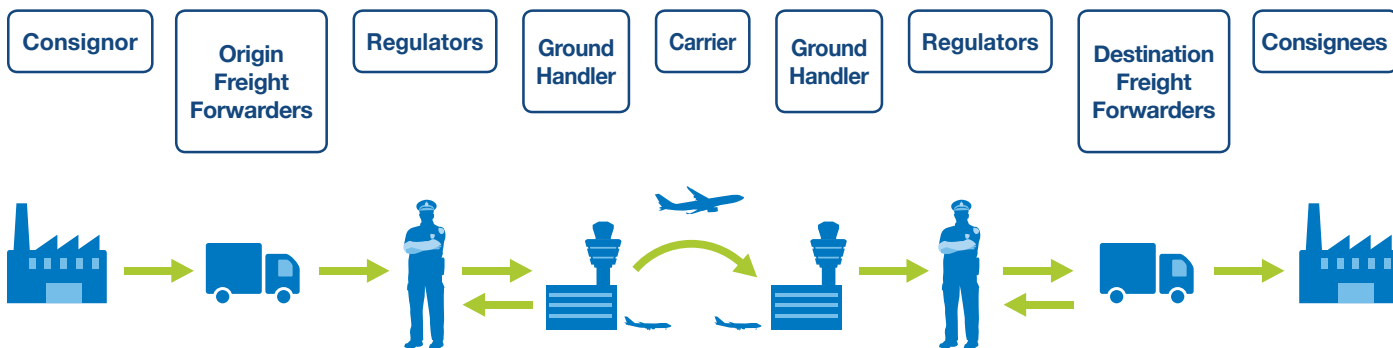
The House Manifest is also a critical document to be removed as it contains detailed information for each and every house waybill, which is included in a master air waybill, and such information is very often used by the carriers to file advance electronic information to the regulators.

New momentum has been achieved by the endorsement by the Global Air Cargo Advisory Group (GACAG) of a three-pillar action plan for e-freight for the next three years.

Finally, the paper Consignment Security Declaration (CSD) that ascertains the cargo was secured prior to being loaded onto an aircraft is also a critical document. Today, each airline in every country asks freight forwarders to complete a specific template of the paper Security Declaration, which introduces the risk of errors, non-compliance and fraud, as well as inefficiencies. An electronic version of the Consignment Security Declaration falls within the scope of the second pillar of the e-freight project.

The third pillar focuses on the removal of commercial documents, for example, the invoice or packing list, which are delivered to the airlines in a pouch, *i.e.* a sealed envelope that accompanies the shipment from origin to destination. The information in these paper documents is critical for proper risk assessment, as the contents information therein comes from the seller of the goods. It therefore contains detailed data from the source, including the buyer and seller, as well as descriptions of the products sold and transported. Under e-freight, the goal is that information will be submitted electronically from the source and then shared in a secured manner between the stakeholders along the supply chain, avoiding manual data entry and re-keying of information based on paper photocopies, which may introduce errors.

| Consignor | Origin Freight Forwarders | Regulators | Ground Handler | Carrier | Ground Handler | Regulators | Destination Freight Forwarders | Consignees |

Building and implementing an end-to-end paperless transportation process where air cargo paper documents are replaced with the exchange of electronic data.

WHY ARE THE ELECTRONIC AIR WAYBILL AND ELECTRONIC HOUSE MANIFEST IMPORTANT FOR SECURITY?

The air waybill and the House Manifest are not primarily security-related documents. However, the e-AWB and e-House Manifest initiatives support and enhance security.

The data on these paper documents is very often used to support risk assessment and the information from these documents serves as the basis of the transmission of advance electronic information to regulators.

When data is transmitted electronically the information becomes available much earlier in the transportation process, as the e-AWB data can be available before the cargo arrives or, in some cases, even before cargo leaves the origin airport.

Furthermore, these are considered as supporting documents in the event that an examination is required and paper documents can be printed from electronic records, when requested.

The more industry stakeholders who submit data electronically as part of e-freight, the better it is for the regulators who are performing the risk assessment.

WHY IS THE ELECTRONIC CONSIGNMENT SECURITY DECLARATION IMPORTANT FOR SECURITY?

Many regulators request that air cargo stakeholders provide an audit trail of who secured what consignment, as well as how and when it was secured.

In the paper world, this is managed by additional security information that can be documented on the paper AWB, including the use of codes indicating the security status of the consignment.

There is already a lot of information included in the AWB, and including additional security information in a document that is not standardized for that purpose is not the best practice.

In some other cases, airlines may request freight forwarders to provide their own version of the paper Cargo Security Declaration, which may increase the risk of non-compliance and impact the efficiency of air transport.

To transmit the security information in a standard manner, as part of the e-freight initiative, IATA, together with industry and regulators, developed the standard electronic Consignment Security Declaration (e-CSD). This provides an audit trail of the security information contained in a typical supply chain movement. It assures that security measures have been applied through a harmonized mechanism of data, and a standard CSD layout in case regulators require it to be printed.

This standard CSD was developed in cooperation with airlines, freight forwarders, ground handling agents, regulators and international organizations.

Recently, the ICAO Working Group on Air Cargo Security (WGACS) agreed on an enhanced standard layout for the CSD that includes additional security information (*e.g.* origin and destination) which is critical for security-risk assessment. At the same time, IATA and ICAO aligned their CSD forms and agreed on a format that can be used electronically. ICAO also updated its *Aviation Security Manual* (ICAO Doc 8973— Restricted), which guides States on implementing ICAO Annex 17 - *Security*, by incorporating the security declaration layout and instructions on how to complete the form.

The standard e-CSD is an integral part of the e-freight programme. However, in various countries, it is increasingly implemented as a stand-alone solution.

Electronic consignment security declaration (e-CSD) proofs of concept have been successfully completed in the U.K., the Netherlands, Germany and Switzerland, involving freight forwarders, ground handlers, airlines, IT service providers and regulators.

Other proofs of concept have been launched in a number of countries worldwide, such as France, Luxembourg, Canada, Singapore and South Africa.

As a result, many airlines are planning to roll out the e-CSD in the coming months.

Several parties have made the choice to implement both e-AWB and e-CSD under their own e-freight project, which is advantageous because their data can be processed automatically. Compliance is improved through harmonization and by avoiding the inefficiencies of archiving paper documents.

WHY IS THE MESSAGE IMPROVEMENT PROGRAMME (MIP) IMPORTANT FOR SECURITY?

e-freight is a common agenda item on which regulators and industry need to collaborate for mutual benefit. The increasing number of stakeholders 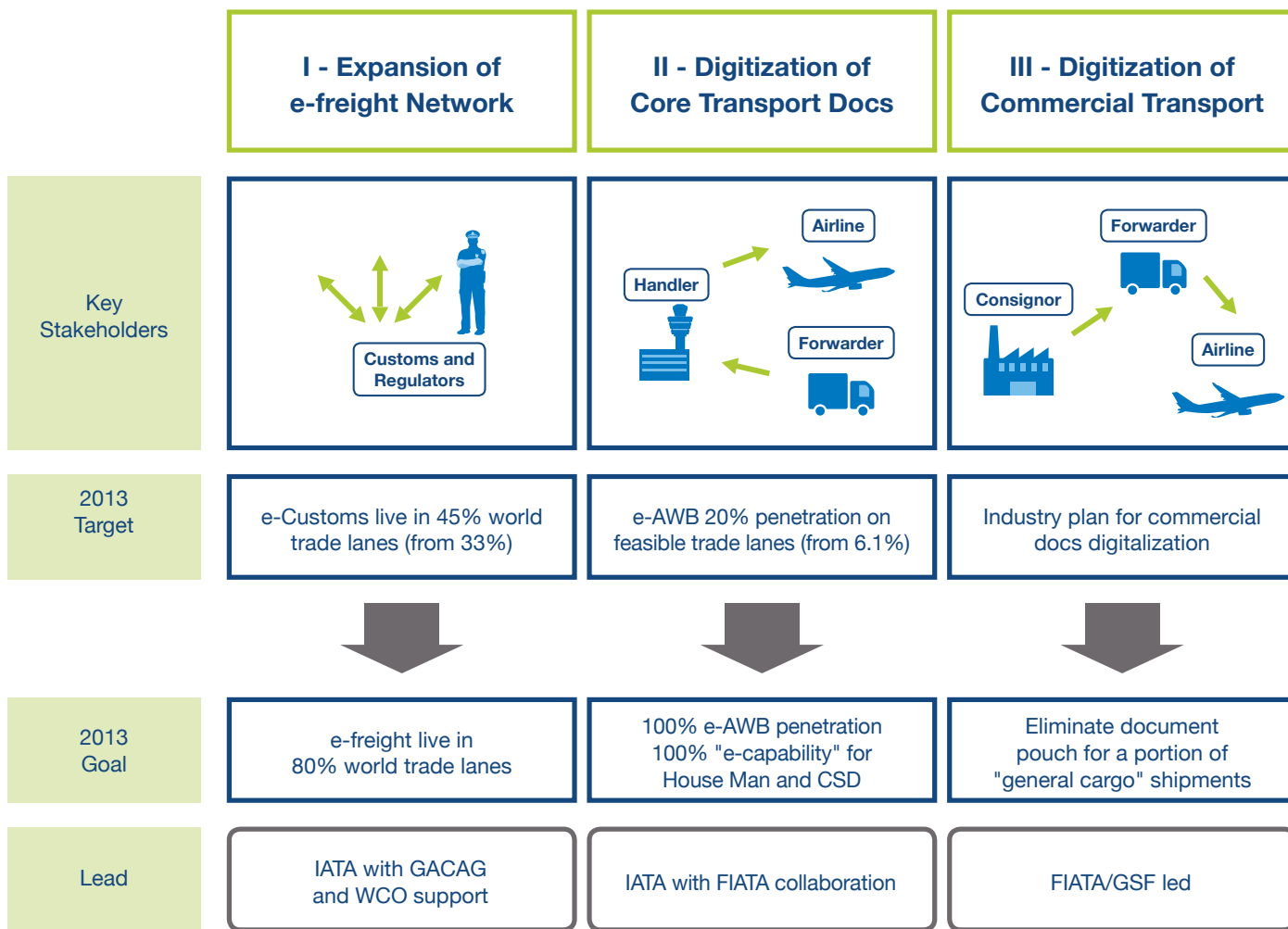that are joining e-freight will certainly serve the interest of regulators to receive high-quality data on a systematic basis, at the level of detail they require to perform appropriate risk assessment in order to improve security. This critical objective is also shared by the entire air cargo industry.

The quality of the data received from the freight forwarders is therefore pivotal in achieving the required outcomes, as accurate information will avoid unnecessary shipment delays and impact cargo risk assessments. IATA has a programme whereby quality of data is being monitored and the Organization works with the air cargo community to address data error issues at their source.

More information can be found at:
www.iata.org/cargosecurity, www.iata.org/e-awb
www.iata.org/e-freight and www.iata.org/mip

Questions can be addressed to: cargo@iata.org ■

	I - Expansion of e-freight Network	II - Digitization of Core Transport Docs	III - Digitization of Commercial Transport
Key Stakeholders	Customs and Regulators	Handler → Airline / Forwarder	Consignor → Forwarder → Airline
2013 Target	e-Customs live in 45% world trade lanes (from 33%)	e-AWB 20% penetration on feasible trade lanes (from 6.1%)	Industry plan for commercial docs digitalization
2013 Goal	e-freight live in 80% world trade lanes	100% e-AWB penetration 100% "e-capability" for House Man and CSD	Eliminate document pouch for a portion of "general cargo" shipments
Lead	IATA with GACAG and WCO support	IATA with FIATA collaboration	FIATA/GSF led

The e-freight three pillar roadmap.

NEWS IN BRIEF

SIGNING BY THE KINGDOM OF LESOTHO

On 25 April 2013, during a brief ceremony at ICAO Headquarters, the Kingdom of Lesotho deposited an instrument of ratification to the protocol of amendment to the *Convention on International Civil Aviation* relating to *Article 83 bis* (Montreal 1980).

Shown on the occasion are: Mr. Raymond Benjamin, Secretary General of ICAO and Her Excellency Dr. Mathabo Tsepa, High Commissioner, High Commission of the Kingdom of Lesotho in Canada.

ICAO AWARDED PRESTIGIOUS ESRI GIS AWARD

On 11 July, Esri congratulated ICAO for being selected as a winner of the 2013 Esri Special Achievement in GIS (SAG) Awards. The awards were presented in front of a 14,000-strong crowd at the Esri International User Conference in San Diego, California.

Thousands of organizations worldwide are considered for the prestigious Esri prize, which recognizes organizations for their use of the company's ArcGIS geographic information system (GIS) platform to improve our world. ICAO was one of three organizations headquartered in Canada which were selected for recognition by Esri at its 2013 event.

"ICAO is very grateful for Esri's recognition of the work of our Air Navigation Bureau (ANB) in this area, and I would highlight particularly the efforts of Gilbert Lasnier and Magda Morawski, our GIS team, for their determined efforts and innovative results," remarked ICAO Secretary General, Raymond Benjamin. "The GIS tools which ICAO is now able to make available are delivering practical benefits across a range of objectives for States and air transport operators in every corner of the world."

ICAO maintains an extensive online gallery (gis.icao.int/gallery) of maps and apps that help the public develop a better understanding of aeronautical issues and trends. They use story maps to explain numerous complex topics, including year-over-year changes in world traffic flows, air route design and development, progress on operational procedures implementation, global emissions mitigation and forecasts of the spread of viruses via air travel (prototype).

The ICAO GIS site provides the global aviation community with quick access to authoritative spatial data supporting improved situational awareness and decision-making.

"ArcGIS has evolved to support nearly all devices and technology platforms, and is accelerating the way we use geographic information to solve problems," commented Esri Canada President, Alex Miller. "ICAO has embraced the power of ArcGIS to achieve new levels of efficiency, openness and collaboration and its outstanding work is setting new standards for the GIS community."

SIGNING BY BENIN

On 21 January 2013, during a brief ceremony at ICAO Headquarters, the Republic of Benin signed the following four air law treaties: the *Convention on the Suppression of Unlawful Acts Relating to International Civil Aviation* (Beijing 2010); the *Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft* (Beijing 2010); the *Convention on Compensation for Damage Caused by Aircraft to Third Parties* (Montréal 2009); and the *Convention on Compensation for Damage to Third Parties, Resulting from Acts of Unlawful Interference Involving Aircraft* (Montréal 2009).
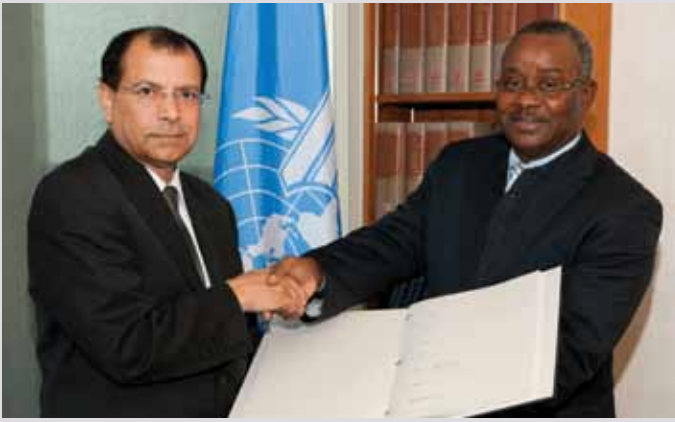
Shown on the occasion are: Mr. Lambert Koty, Minister of Public Works and Transport, Republic of Benin (on the right) and Mr. John Augustin, Acting Director, Legal Affairs and External Relations Bureau, ICAO..

Representing the Republic of Benin on the occasion are, from left to right: Mr. Lambert Koty, Minister of Public Works and Transport; Mr. Aristide de Souza, Director General of Civil Aviation; HE Honoré Théodore Ahimakin, Ambassador of Benin to Canada; and Amb. Moumouni Dieguimde, Representative of Burkina Faso on the Council of ICAO.

THIRTEENTH MEETING OF DIRECTORS OF CIVIL AVIATION OF THE CENTRAL CARIBBEAN (C/CAR/DCA/13) (HAVANA, CUBA, 28 - 31 MAY 2013)

The Thirteenth Meeting of Directors of Civil Aviation of the Central Caribbean (C/CAR/DCA/13) was held in Havana, Cuba, from 28 - 31 May 2013 hosted by Instituto de Aeronáutica Civil de Cuba (IACC). The event was attended by 101 delegates from Belize, Cayman Islands, Costa Rica, Cuba, Dominican Republic, El Salvador, Guatemala, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Sint Maarten, United States, ALTA, ARINC, CANSO, COCESNA, LACAC and SITA. The Meeting documentation and report are available at: www.mexico.icao.int/Meetings/CCARDCA13.html

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More than 34 ICAO videos and counting… including **Sustainability: your future, our responsibility,** a powerful message highlighting aviation's contribution across the economic, environment and social pillars of sustainable development. The video also notes progress on initiatives including States' Action Plans, sustainable biofuels, market-based measures, a CO_2 standard and global aspirational goals.

Watch for more ICAO videos on issues and topics of interest to the global aviation community.

Identify the trends. Optimize your planning.

Global Air Transport Outlook to 2030
and trends to 2040

Approved by the Secretary General and published under his authority

The ICAO Global Air Transport Outlook (GATO) to 2030 summarizes the latest and most expansive passenger and freight traffic forecasts ever produced by ICAO. Designed to help regulators and the aviation industry respond to evolving passenger and shipper needs over the next 20 years, the publication also includes forecasts of corresponding aircraft movements and extended global forecasts of passenger and freight traffic to 2040, in support of greenhouse gas emissions analyses.

This unique document benefits from an expanded system of routes and more sophisticated econometric techniques, as well as the worldwide expertise of ICAO and the extensive data provided by its Member States.

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