

COVER SHEET TO AMENDMENT 13

**INTERNATIONAL STANDARDS
AND RECOMMENDED PRACTICES**

SECURITY

**ANNEX 17
TO THE CONVENTION ON INTERNATIONAL CIVIL AVIATION**

NINTH EDITION — MARCH 2011

INTERNATIONAL CIVIL AVIATION ORGANIZATION

Checklist of Amendments to Annex 17

	<i>Effective date</i>	<i>Date of applicability</i>
Ninth Edition (incorporates Amendments 1 to 12)	26 March 2011	1 July 2011
Amendment 13 (adopted by the Council on 13 November 2012) Replacement pages (xii), 1-2, 1-3, 4-1, 4-3, 4-4 and 4-5	15 March 2013	15 July 2013



Transmittal note

Amendment 13

to the

International Standards and
Recommended Practices

SECURITY

(Annex 17 to the Convention on International Civil Aviation)

1. Insert the following replacement pages in Annex 17 (Ninth Edition) to incorporate Amendment 13 which becomes applicable on 15 July 2013:
 - a) Page (xii) — Foreword
 - b) Pages 1-2 and 1-3 — Chapter 1
 - c) Pages 4-1, 4-3, 4-4 and 4-5 — Chapter 4
 2. Record the entry of this amendment on page (iii).
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<i>Amendment</i>	<i>Source(s)</i>	<i>Subject(s)</i>	<i>Adopted Effective Applicable</i>
7 (4th Edition)	Proposals of the Committee on Unlawful Interference with the assistance of the Aviation Security Panel and Council action in pursuance of Assembly Resolution A26-7	This amendment includes: a) a reorganization of the chapters of the Annex directed at a rationalization of the sequence of objectives, obligations and necessary actions relating to organization, preventive security measures and management of response; b) the introduction of important new provisions to reflect developments and assist States in confronting new situations which arose from grave acts of unlawful interference against civil aviation, since the last revision of Annex 17 in 1985; and c) the amendment or fine tuning of existing provisions consequential to a) and b), as well as to reflect the experience gained in the implementation of such measures.	22 June 1989 30 October 1989 16 November 1989
8 (5th Edition)	Proposals of the Committee on Unlawful Interference with the assistance of the Aviation Security Panel (AVSECP) and Council action in pursuance of Assembly Resolution A27-7	This amendment includes the introduction of important new provisions in relation to the comprehensive security screening of checked baggage, security control over cargo, courier and express parcels and mail, variations to procedures relating to security programmes, pre-flight checks of international aircraft, and measures relating to the incorporation of security consideration into airport design for the purpose of assisting States in the consistent and uniform implementation of such measures.	11 September 1992 16 December 1992 1 April 1993
9 (6th Edition)	Proposals of the Committee on Unlawful Interference with the assistance of the Aviation Security Panel (AVSECP) and Council action in pursuance of Assembly Resolution A31-4	This amendment includes the introduction of new provisions in relation to the pre-employment checks and capabilities of persons engaged in implementing security controls, baggage accountability and authorization, measures to be applied to catering supplies and operators' stores and supplies, tests for programme effectiveness, and need for notification to the State of known or presumed destination of aircraft under a seized condition.	12 November 1996 31 March 1997 1 August 1997
10 (7th Edition)	Proposals of the Aviation Security Panel (AVSECP) and Council action in pursuance of Assembly Resolution A33-1	This amendment includes the introduction of various definitions and new provisions in relation to the applicability of this Annex to domestic operations, international cooperation relating to threat information, appropriate authority, National Aviation Security Committee, national quality control, access control, passengers and their cabin and hold baggage, in-flight security personnel and protection of the cockpit, code-sharing/collaborative arrangements, Human Factors and management of response to acts of unlawful interference. The status of a number of specifications was changed to Standards.	7 December 2001 15 April 2002 1 July 2002
11 (8th Edition)	Proposals of the Committee on Unlawful Interference with the assistance of the Aviation Security Panel (AVSECP) and Council action in pursuance of Assembly Resolution A35-9	This amendment includes provisions to further clarify the wording of existing Standards and Recommended Practices (SARPs) to facilitate both their common interpretation by Contracting States and their ease of auditing under the ICAO Universal Security Audit Programme (USAP). The amendment addresses the following: applicability of Annex 17; reinforcement of national civil aviation security control programme provisions; in-flight security officers (IFSOs); general aviation and aerial work; one-stop security concept for passengers and baggage; risk assessment concept; security for all-cargo operations; and definitions.	30 November 2005 10 April 2006 1 July 2006

<i>Amendment</i>	<i>Source(s)</i>	<i>Subject(s)</i>	<i>Adopted Effective Applicable</i>
12 (9th Edition)	Proposals of the Committee on Unlawful Interference with the assistance of the Aviation Security Panel (AVSECP) and Council action in pursuance of Assembly Resolution A36-20	This amendment includes provisions to further strengthen Standards and Recommended Practices in order to address new and emerging threats to civil aviation. The amendment includes the following: deployment of security equipment; security of air traffic service providers; training programmes and instructor certification system; random and unpredictable security measures; supply chain security; security for all-cargo operations; cyber threats; and definitions.	17 November 2010 26 March 2011 1 July 2011
13	Proposals of the Committee on Unlawful Interference with the assistance of the Aviation Security Panel (AVSECP), the recommendations of the 2012 High-level Conference on Aviation Security, and Council action in pursuance of Assembly Resolution A37-17.	This amendment includes a revision to access control measures with respect to persons other than passengers. The amendment also introduces a definition of and security requirements for transfer cargo and high-risk cargo, and establishes common baseline measures for cargo carried on passenger and all-cargo aircraft.	13 November 2012 15 March 2013 15 July 2013

CHAPTER 1. DEFINITIONS

Acts of unlawful interference. These are acts or attempted acts such as to jeopardize the safety of civil aviation, including but not limited to:

- unlawful seizure of aircraft,
- destruction of an aircraft in service,
- hostage-taking on board aircraft or on aerodromes,
- forcible intrusion on board an aircraft, at an airport or on the premises of an aeronautical facility,
- introduction on board an aircraft or at an airport of a weapon or hazardous device or material intended for criminal purposes,
- use of an aircraft in service for the purpose of causing death, serious bodily injury, or serious damage to property or the environment,
- communication of false information such as to jeopardize the safety of an aircraft in flight or on the ground, of passengers, crew, ground personnel or the general public, at an airport or on the premises of a civil aviation facility.

Aerial work. An aircraft operation in which an aircraft is used for specialized services such as agriculture, construction, photography, surveying, observation and patrol, search and rescue, aerial advertisement, etc.

Aircraft security check. An inspection of the interior of an aircraft to which passengers may have had access and an inspection of the hold for the purposes of discovering suspicious objects, weapons, explosives or other dangerous devices, articles and substances.

Aircraft security search. A thorough inspection of the interior and exterior of the aircraft for the purpose of discovering suspicious objects, weapons, explosives or other dangerous devices, articles or substances.

Airside. The movement area of an airport, adjacent terrain and buildings or portions thereof, access to which is controlled.

Background check. A check of a person's identity and previous experience, including where legally permissible, any criminal history, as part of the assessment of an individual's suitability to implement a security control and/or for unescorted access to a security restricted area.

Cargo. Any property carried on an aircraft other than mail, stores and accompanied or mishandled baggage.

Certification. A formal evaluation and confirmation by or on behalf of the appropriate authority for aviation security that a person possesses the necessary competencies to perform assigned functions to an acceptable level as defined by the appropriate authority.

Commercial air transport operation. An aircraft operation involving the transport of passengers, cargo or mail for remuneration or hire.

Corporate aviation. The non-commercial operation or use of aircraft by a company for the carriage of passengers or goods as an aid to the conduct of company business, flown by a professional pilot employed to fly the aircraft. (Note that corporate aviation is a subset of general aviation.)

Disruptive passenger. A passenger who fails to respect the rules of conduct at an airport or on board an aircraft or to follow the instructions of the airport staff or crew members and thereby disturbs the good order and discipline at an airport or on board the aircraft.

General aviation operation. An aircraft operation other than a commercial air transport operation or an aerial work operation.

High-risk cargo or mail. Cargo or mail presented by an unknown entity or showing signs of tampering shall be considered high risk if, in addition, it meets one of the following criteria:

- a) specific intelligence indicates that the cargo or mail poses a threat to civil aviation; or
- b) the cargo or mail shows anomalies that give rise to suspicion; or
- c) the nature of the cargo or mail is such that baseline security measures alone are unlikely to detect prohibited items that could endanger the aircraft.

Regardless of whether the cargo or mail comes from a known or unknown entity, a State's specific intelligence about a consignment may render it as high risk.

Human Factors principles. Principles which apply to design, certification, training, operations and maintenance and which seek safe interface between the human and other system components by proper consideration to human performance.

Human performance. Human capabilities and limitations which have an impact on the safety, security and efficiency of aeronautical operations.

In-flight security officer. A person who is authorized by the government of the State of the Operator and the government of the State of Registration to be deployed on an aircraft with the purpose of protecting that aircraft and its occupants against acts of unlawful interference. This excludes persons employed to provide exclusive personal protection for one or more specific people travelling on the aircraft, such as personal bodyguards.

Known consignor. A consignor who originates cargo or mail for its own account and whose procedures meet common security rules and standards sufficient to allow the carriage of cargo or mail on any aircraft.

Regulated agent. An agent, freight forwarder or any other entity who conducts business with an operator and provides security controls that are accepted or required by the appropriate authority in respect of cargo or mail.

Screening. The application of technical or other means which are intended to identify and/or detect weapons, explosives or other dangerous devices, articles or substances which may be used to commit an act of unlawful interference.

Note.— Certain dangerous articles or substances are classified as dangerous goods by Annex 18 and the associated Technical Instructions for the Safe Transport of Dangerous Goods by Air (Doc 9284) and must be transported in accordance with those instructions. In addition, the Aviation Security Manual (Doc 8973 — Restricted) provides a list of prohibited items that must never be carried in the cabin of an aircraft.

Security. Safeguarding civil aviation against acts of unlawful interference. This objective is achieved by a combination of measures and human and material resources.

Security audit. An in-depth compliance examination of all aspects of the implementation of the national civil aviation security programme.

Security control. A means by which the introduction of weapons, explosives or other dangerous devices, articles or substances which may be used to commit an act of unlawful interference can be prevented.

Security inspection. An examination of the implementation of relevant national civil aviation security programme requirements by an airline, airport, or other entity involved in security.

Security restricted area. Those areas of the airside of an airport which are identified as priority risk areas where in addition to access control, other security controls are applied. Such areas will normally include, *inter alia*, all commercial aviation passenger departure areas between the screening checkpoint and the aircraft, the ramp, baggage make-up areas, including those where aircraft are being brought into service and screened baggage and cargo are present, cargo sheds, mail centres, airside catering and aircraft cleaning premises.

Security survey. An evaluation of security needs including the identification of vulnerabilities which could be exploited to carry out an act of unlawful interference, and the recommendation of corrective actions.

Security test. A covert or overt trial of an aviation security measure which simulates an attempt to commit an unlawful act.

Transfer cargo and mail. Cargo and mail departing on an aircraft other than that on which it arrived.

Unidentified baggage. Baggage at an airport, with or without a baggage tag, which is not picked up by or identified with a passenger.

CHAPTER 4. PREVENTIVE SECURITY MEASURES

4.1 Objective

4.1.1 Each Contracting State shall establish measures to prevent weapons, explosives or any other dangerous devices, articles or substances, which may be used to commit an act of unlawful interference, the carriage or bearing of which is not authorized, from being introduced, by any means whatsoever, on board an aircraft engaged in civil aviation.

4.1.2 **Recommendation.**— *Each Contracting State should promote the use of random and unpredictable security measures. Unpredictability could contribute to the deterrent effect of security measures.*

4.2 Measures relating to access control

4.2.1 Each Contracting State shall ensure that the access to airside areas at airports serving civil aviation is controlled in order to prevent unauthorized entry.

4.2.2 Each Contracting State shall ensure that security restricted areas are established at each airport serving civil aviation designated by the State based upon a security risk assessment carried out by the relevant national authorities.

4.2.3 Each Contracting State shall ensure that identification systems are established in respect of persons and vehicles in order to prevent unauthorized access to airside areas and security restricted areas. Identity shall be verified at designated checkpoints before access is allowed to airside areas and security restricted areas.

4.2.4 Each Contracting State shall ensure that background checks are conducted on persons other than passengers granted unescorted access to security restricted areas of the airport prior to granting access to security restricted areas.

4.2.5 Each Contracting State shall ensure that the movement of persons and vehicles to and from the aircraft is supervised in security restricted areas in order to prevent unauthorized access to aircraft.

4.2.6 Each Contracting State shall ensure that persons other than passengers, together with items carried, prior to entry into airport security restricted areas serving international civil aviation operations, are subject to screening and security controls.

4.2.7 Each Contracting State shall ensure that vehicles being granted access to security restricted areas, together with items contained within them, are subject to screening or other appropriate security controls in accordance with a risk assessment carried out by the relevant national authorities.

4.2.8 **Recommendation.**— *Each Contracting State should ensure that identity documents issued to aircraft crew members provide a harmonized and reliable international basis for recognition and validation of documentation to permit authorized access to airside and security restricted areas by conforming to the relevant specifications set forth in Doc 9303, Machine Readable Travel Documents.*

4.2.9 **Recommendation.**— *Each Contracting State should ensure that checks specified in 4.2.4 be reapplied on a regular basis to all persons granted unescorted access to security restricted areas.*

4.3 Measures relating to aircraft

4.3.1 Each Contracting State shall ensure that aircraft security checks of originating aircraft engaged in commercial air transport movements are performed or an aircraft security search is carried out. The determination of whether it is an aircraft security check or a search that is appropriate shall be based upon a security risk assessment carried out by the relevant national authorities.

4.3.2 Each Contracting State shall ensure that measures are taken to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of an aircraft engaged in commercial flights.

4.3.3 Each Contracting State shall require its commercial air transport operators to take measures as appropriate to ensure that during flight unauthorized persons are prevented from entering the flight crew compartment.

Note.— Provisions for security of the flight crew compartment of aircraft engaged in commercial air transportation are contained in Annex 6, Part I, Chapter 13, Section 13.2.

4.3.4 Each Contracting State shall ensure that an aircraft subject to 4.3.1 is protected from unauthorized interference from the time the aircraft search or check has commenced until the aircraft departs.

4.3.5 **Recommendation.**— *Each Contracting State should ensure that security controls are established to prevent acts of unlawful interference with aircraft when they are not in security restricted areas.*

4.4 Measures relating to passengers and their cabin baggage

4.4.1 Each Contracting State shall establish measures to ensure that originating passengers of commercial air transport operations and their cabin baggage are screened prior to boarding an aircraft departing from a security restricted area.

4.4.2 Each Contracting State shall ensure that transfer passengers of commercial air transport operations and their cabin baggage are screened prior to boarding an aircraft, unless it has established a validation process and continuously implements procedures, in collaboration with the other Contracting State where appropriate, to ensure that such passengers and their cabin baggage have been screened to an appropriate level at the point of origin and subsequently protected from unauthorized interference from the point of screening at the originating airport to the departing aircraft at the transfer airport.

Note.— Guidance material on this issue can be found in the Aviation Security Manual (Doc 8973 — Restricted).

4.4.3 Each Contracting State shall ensure that passengers and their cabin baggage which have been screened are protected from unauthorized interference from the point of screening until they board their aircraft. If mixing or contact does take place, the passengers concerned and their cabin baggage shall be re-screened before boarding an aircraft.

4.4.4 Each Contracting State shall establish at an airport measures for transit operations to protect transit passengers' cabin baggage from unauthorized interference and protect the integrity of the security of the airport of transit.

4.4.5 **Recommendation.**— *Each Contracting State should ensure that practices are established at airports and on board aircraft to assist in the identification and resolution of suspicious activity that may pose a threat to civil aviation.*

4.5 Measures relating to hold baggage

4.5.1 Each Contracting State shall establish measures to ensure that originating hold baggage is screened prior to being loaded onto an aircraft engaged in commercial air transport operations departing from a security restricted area.

4.5.2 Each Contracting State shall ensure that all hold baggage to be carried on a commercial aircraft is protected from unauthorized interference from the point it is screened or accepted into the care of the carrier, whichever is earlier, until departure of the aircraft on which it is to be carried. If the integrity of hold baggage is jeopardized, the hold baggage shall be re-screened before being placed on board an aircraft.

4.5.3 Each Contracting State shall ensure that commercial air transport operators do not transport the baggage of persons who are not on board the aircraft unless that baggage is identified as unaccompanied and subjected to appropriate screening.

4.5.4 Each Contracting State shall ensure that transfer hold baggage is screened prior to being loaded onto an aircraft engaged in commercial air transport operations, unless it has established a validation process and continuously implements procedures, in collaboration with the other Contracting State where appropriate, to ensure that such hold baggage has been screened at the point of origin and subsequently protected from unauthorized interference from the originating airport to the departing aircraft at the transfer airport.

Note.— Guidance material on this issue can be found in the Aviation Security Manual (Doc 8973 — Restricted).

4.5.5 Each Contracting State shall ensure that commercial air transport operators transport only items of hold baggage which have been individually identified as accompanied or unaccompanied, screened to the appropriate standard and accepted for carriage on that flight by the air carrier. All such baggage should be recorded as meeting these criteria and authorized for carriage on that flight.

4.5.6 **Recommendation.**— *Each Contracting State should establish procedures to deal with unidentified baggage in accordance with a security risk assessment carried out by the relevant national authorities.*

4.6 Measures relating to cargo, mail and other goods

4.6.1 Each Contracting State shall ensure that appropriate security controls, including screening where practicable, are applied to cargo and mail, prior to their being loaded onto an aircraft engaged in commercial air transport operations.

4.6.2 Each Contracting State shall establish a supply chain security process, which includes the approval of regulated agents and/or known consignors, if such entities are involved in implementing screening or other security controls of cargo and mail.

4.6.3 Each Contracting State shall ensure that cargo and mail to be carried on a commercial aircraft are protected from unauthorized interference from the point screening or other security controls are applied until departure of the aircraft.

4.6.3*bis* Each Contracting State shall ensure that enhanced security measures apply to high-risk cargo and mail to appropriately mitigate the threats associated with it.

4.6.4 Each Contracting State shall ensure that operators do not accept cargo or mail for carriage on an aircraft engaged in commercial air transport operations unless the application of screening or other security controls is confirmed and accounted for by a regulated agent, or an entity that is approved by an appropriate authority. Cargo and mail which cannot be confirmed and accounted for by a regulated agent or an entity that is approved by an appropriate authority shall be subjected to screening.

4.6.5 Each Contracting State shall ensure that catering, stores and supplies intended for carriage on passenger commercial flights are subjected to appropriate security controls and thereafter protected until loaded onto the aircraft.

4.6.6 Each Contracting State shall ensure that merchandise and supplies introduced into security restricted areas are subject to appropriate security controls, which may include screening.

4.6.7 Each Contracting State shall ensure that cargo and mail that has been confirmed and accounted for shall then be issued with a security status which shall accompany, either in an electronic format or in writing, the cargo and mail throughout the secure supply chain.

4.6.8 Each Contracting State shall ensure that transfer cargo and mail has been subjected to appropriate security controls prior to being loaded on an aircraft engaged in commercial air transport operations departing from its territory.

4.6.9 **Recommendation.**— *Each Contracting State should establish appropriate mechanisms to confirm that transfer cargo and mail entering its territory has been subjected to appropriate security controls.*

Note.— *Guidance material on this issue can be found in the Aviation Security Manual (Doc 8973 — Restricted).*

4.7 Measures relating to special categories of passengers

4.7.1 Each Contracting State shall develop requirements for air carriers for the carriage of potentially disruptive passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings.

Note.— *Guidance material on this issue can be found in the Aviation Security Manual (Doc 8973 — Restricted).*

4.7.2 Each Contracting State shall ensure that operators providing service from that State include in their security programmes, measures and procedures to ensure safety on board their aircraft when passengers are to be carried who are obliged to travel because they have been the subject of judicial or administrative proceedings.

4.7.3 Each Contracting State shall ensure that the aircraft operator and the pilot-in-command are informed when passengers are obliged to travel because they have been the subject of judicial or administrative proceedings, in order that appropriate security controls can be applied.

4.7.4 Each Contracting State shall ensure that the carriage of weapons on board aircraft, by law enforcement officers and other authorized persons, acting in the performance of their duties, requires special authorization in accordance with the laws of the States involved.

4.7.5 Each Contracting State shall consider requests by any other State to allow the travel of armed personnel, including in-flight security officers, on board aircraft of operators of the requesting State. Only after agreement by all States involved shall such travel be allowed.

4.7.6 Each Contracting State shall ensure that the carriage of weapons in other cases is allowed only when an authorized and duly qualified person has determined that they are not loaded, if applicable, and then only if stowed in a place inaccessible to any person during flight time.

4.7.7 Each Contracting State that decides to deploy in-flight security officers shall ensure that they are government personnel who are specially selected and trained, taking into account the safety and security aspects on board an aircraft and deployed according to the threat assessment of the competent authority. The deployment of such officers shall be coordinated with concerned States and kept strictly confidential.

4.7.8 Each Contracting State shall ensure that the pilot-in-command is notified as to the number of armed persons and their seat location.

4.8 Measures relating to the landside

Recommendation.— *Each Contracting State should ensure that security measures in landside areas are established to mitigate possible threats of acts of unlawful interference in accordance with a risk assessment carried out by the relevant authorities.*

4.9 Measures relating to cyber threats

Recommendation.— *Each Contracting State should develop measures in order to protect information and communication technology systems used for civil aviation purposes from interference that may jeopardize the safety of civil aviation.*
