International Civil Aviation Organization

WORKING PAPER

TECHNICAL ADVISORY GROUP ON MACHINE READABLE TRAVEL DOCUMENTS (TAG/MRTD)

TWENTY-SECOND MEETING

Montréal, 21 to 23 May 2014

Agenda Item 2: Activities of the NTWG

PROPOSED AMENDMENTS TO TRAVEL DOCUMENT RELATED *ANNEX 9 - FACILITATION* STANDARDS AND RECOMMENDED PRACTICES (SARPs)

(Presented by the New Technologies Working Group)

1. **INTRODUCTION**

1.1   At the 7th meeting of the Facilitation Panel (FAL Panel) held in Montreal from 22-26 October 2012, the FAL Panel discussed the future direction of the ICAO Facilitation Programme, and observed that there is a need to update existing Annex 9 SARPs.

1.2   Strong emphasis was placed on the potential benefits of a close collaboration between the FAL Panel and the TAG/MRTD in undertaking these activities and this was clearly reflected in the final report of the 7th meeting of the FAL Panel (October 2012).

2. **BACKGROUND**

2.1   At its 21st meeting the TAG/MRTD noted that ICAO has two key groups currently developing standards related to travel documents, the FAL Panel, and the TAG/MRTD and agreed that its working groups (NTWG and the Implementation and Capacity Building Working Group (ICBWG)), and the Public Key Directory (PKD) Board should work in closer collaboration with the FAL Panel to ensure that travel document specifications and SARPs are harmonized in order to assist ICAO in its on-going mission to foster a global civil aviation system that consistently and uniformly operates at peak efficiency and provides optimum safety, security and sustainability.

2.2   The TAG/MRTD agreed that the NTWG will work directly with the FAL Panel to carry out the following work:

a) review and update existing travel document related SARPs in Annex 9;

b) review current differences and the Universal Security Audit Programme results (ref. FALP/7-WP/21) to determine causes of non-compliance and make recommendations to improve the rate of compliance;

c) consider whether and how Convention Travel Documents (CTDs) and other machine readable travel documents should be included in Annex 9 SARPs; and

d) with the FALP working group, the NTWG would review and update relevant guidance material in *Doc 9957 — The Facilitation Manual*.

3.   **CURRENT STATUS**

3.1   The NTWG, in consultation with the ICBWG and the PKD Board, has completed work item a) review and update existing travel documents related SARPs in Annex 9, and has begun to look at work item c) consider whether and how Convention Travel Documents (CTDs) and other machine readable travel documents should be included in Annex 9 SARPs. As a result of this work the NTWG proposes to make the following recommendations to the next meeting of the ICAO Facilitation Panel to be held in November 2014:

- To enhance facilitation and security for all travellers, airlines, immigration and border control authorities, SARPs related to passports should apply to all identity documents used for international travel including passports, convention travel documents, certificates of identity etc. While many SARPs refer to 'travel documents' there are some that mention 'passports' only. The reason for this is not evident. As such, SARPs which refer to 'passports' should be amended, in the interest of facilitation and security, to apply also to travel documents in general. However as the review of each SARP concerned has not been completed it is proposed that a SARP pertaining to only Convention Travel Documents be included at this time. Convention Travel Documents are issued by Contracting States (to the 1951 and 1954 Conventions) in lieu of a passport.

  Proposed Text

  (New) All Convention Travel Documents for refugees and stateless persons issued by Contracting Sates shall be machine readable in accordance with the specifications of Doc 9303.

- To improve awkward sentence structure, "of visitors" is moved from the end of the sentence.

  Existing text
  3.5 No documents other than those provided for in this Chapter shall be required by Contracting States for the entry into and departure from their territories <u>of visitors</u>.

  Proposed text
  3.5 No documents other than those provided for in this Chapter shall be required <u>of visitors</u> by Contracting States for the entry into and departure from their territories.

- To encourage more active participation in the ICAO PKD by Contracting States, a more detailed recommended practice is proposed. For clarity the existing recommended practice which applied

to both travel document issuing authorities and border control has been divided into a recommended practice for each.

Existing text
3.9.1 **Recommended Practice.** — Contracting States (a) issuing or intending to issue ePassports; and/or (b) implementing at border controls automated checks on ePassports should join the ICAO Public Key Directory (PKD).

Proposed text
3.9.1 **Recommended Practice.** — *Contracting States issuing or intending to issue eMRTDs should join the ICAO Public Key Directory (PKD) and upload their certificates to the PKD.*

3.9.2 **Recommended Practice.** — *Contracting States implementing checks on eMRTDs at border controls should join the ICAO Public Key Directory (PKD) and use the information available from the PKD to validate eMRTDs at border controls.*

- By November 2015 all non-machine readable passports are to be out of circulation. Standard 3.10.1 refers to a date that will be past when these proposed amendments come into force, as such it is proposed that the existing 3.10.1 be deleted and replaced with new text.

Existing text
3.10.1 For passports issued after 24 November 2005 and which are not machine readable, Contracting States shall ensure the expiration date falls before 24 November 2015.

Proposed text
3.10.1 Contracting States shall ensure that non-machine readable passports are no longer in circulation.

- To keep the text of 3.14.1 consistent with 3.14 which refers to 'issuance, renewal or replacement...' the word 'replacement' should be added to the recommended practice.

Existing text
3.14.1 **Recommended Practice.** — If any fee is charged for the issue or renewal of a passport, the amount of such fee should not exceed the cost of the operation.

Proposed Text
3.14.1 **Recommended Practice.** — If any fee is charged for the issue, renewal or replacement of a passport, the amount of such fee should not exceed the cost of the operation.

- As per proposed 3.10.1 above, non-machine readable travel documents should not be in circulation, as such there is no need to specify what should be in the machine readable zone should the document not be machine readable. Accordingly, 3.12 should be deleted.

Existing Text
3.12 When issuing passports that are not machine readable, Contracting States shall ensure that the personal identification and document issuance data and the format of the data page conform to the specifications for the "visual zone" set forth in Doc 9303, Part 1, *Machine Readable Passports*. The "machine readable zone" area shall be filled with words such as "this passport is not machine readable" or other data to preclude fraudulent insertion of machine readable characters.

- To add clarity to the recommended practice add the word "immigration" to "multi-channel inspection system".

    Existing Text
    3.37 **Recommended Practice. —** *Contracting States that require inspection by the public authorities of the travel documents of departing passengers should, in cooperation with airport management, use applicable technology and adopt a multi-channel inspection system or other means of streaming passengers, in order to expedite such inspections.*

    Proposed Text
    3.37 **Recommended Practice. —** *Contracting States that require inspection by the public authorities of the travel documents of departing passengers should, in cooperation with airport management, use applicable technology and adopt a multi-channel <u>immigration</u> inspection system, or other means of streaming passengers, in order to expedite such inspections.*

- Many States benefit from checking travel documents, at border controls, against the INTERPOL SLTD. It would be increasingly beneficial if all states reported information pertaining to lost, stolen, revoked and suspended travel documents to the INTERPOL SLTD. The following standard requires this of ICAO Contracting States. Details about timing and which data elements must be included can be provided in the guidance material in the Facilitation Manual. On this issue, the Manual will refer to existing guidance as well as guidance on the treatment of lost, stolen and revoked travel documents currently being reviewed for inclusion in Doc 9303.

    Proposed Text
    (Standard) Contracting States shall promptly report accurate information about lost, stolen, revoked and suspended travel documents, issued by their State, to INTERPOL for inclusion on the SLTD database.

4.   ONGOING AND FUTURE WORK

4.1   The NTWG in collaboration with the ICBWG and the PKD Board will endeavour to move forward on the following outstanding work items, in conjunction with the FAL Panel working group:

- Review current differences and the Universal Security Audit Programme results (ref. FALP/7-WP/21) to determine causes of non-compliance (i.e. standard lacks clarity or capacity issue) and make recommendations to improve rate of compliance;

- Consider whether SARPs related only to 'passports' should apply also to other travel documents;

- In collaboration with the FALP Working Group, review and update relevant guidance material in Doc 9957, *The Facilitation Manual*.

5.   **ACTION BY THE TAG/MRTD**

5.1   The TAG/MRTD is invited to:

a) endorse the recommendations made by the NTWG as outlined in 3.1;

b) agree that the recommendations be presented to the Facilitation Panel on behalf of the TAG/MRTD; and

c) authorize the NTWG to continue work on outstanding items outlined above.

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