AIR TRANSPORT FACILITATION: SETTING THE STANDARDS

SINCE 70 YEARS!

Narjess Abdennebi
Chief Facilitation Section

Montreal, 25 June 2019
ICAO Standards and the UN Agenda for Counter Terrorism

Partners in the UNCT Travel Programme launched on 7 May 2019
Air transport Facilitation main actors

- **CUSTOMS**
- **LAW ENFORCEMENT**
- **AIRLINES**
- **TRAVEL DOCUMENTS**
- **HEALTH**
- **IMMIGRATION**

**Facilitation**

Efficient

BORDER CONTROL

PROCESSES

Expedite

Clearance of Passengers,

In order to

PREVENT

Unnecessary

MAINTAIN SECURITY & EFFICIENCY

DELAYS
Three Facilitation (FAL) Programmes foundation

Assembly Resolutions (A39-20): Consolidated statement of continuing policies and practices related to facilitation

Should be superseded in Oct. 2019 by A40-XX: Consolidated statement of continuing policies and practices related to facilitation

Assembly (every 3 years)

Council

Air Transport Committee

- ICAO TRIP Strategy
- ICAO PKD
- Annex 9 – Facilitation
- TAG/TRIP
- PKD Board
- FAL Panel
- NTWG
- ICBWG
- EB
- WGGM
- PNR-TF

ICAO PKD

ICBWG

ICAO TRIP

EB

FAL Panel

WGGM

NTWG

PNR-TF

AIR/2018-27
Annex 9 – Facilitation: setting the regulatory framework

Standards and Recommended Practices (SARPs)
Annex 9 SARPs behind the two other FAL Programmes

Ch. 1. Definitions and General Principles
Ch. 2. Entry and departure of aircraft
Ch. 3. Entry and departure of persons and their baggage
Ch. 4. Entry and departure of cargo and other articles
Ch. 5. Inadmissible persons and deportees
Ch. 6. International airports — facilities and services for traffic
Ch. 7. Landing elsewhere than at international airports
Ch. 8. Facilitation provisions covering specific subjects
Ch. 9. Passenger Data Exchange Systems
Annex 9 main Amendments milestones since 1949

1. **FAL Procedures**
   - Procedures
   - Terms of Reference
   - 1st Edition
   - Easing or passport & visa formalities

2. **NATFP & Committees**
   - Expeditious clearance of passengers

3. **MRTDs**

4. **Travel Disruptions**
   - Facilities & services at Intl airports

5. **INTERPOL SLTD database**
   - Inspection & issuance of Travel Documents
   - Amendt 26 API Std

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- **1950**: Easing of passport & visa formalities
- **1953**: Inspection & Issuance of Travel Documents
- **1957**: Inspection & Issuance of Travel Documents
- **1980**: Inspection & Issuance of Travel Documents
- **1982**: Inspection & Issuance of Travel Documents
- **2002**: Inspection & Issuance of Travel Documents
- **2005**: Inspection & Issuance of Travel Documents
- **2009**: Inspection & Issuance of Travel Documents
- **2011**: Inspection & Issuance of Travel Documents
- **2014**: Inspection & Issuance of Travel Documents
- **2016**: Inspection & Issuance of Travel Documents
- **2018**: Inspection & Issuance of Travel Documents
Filing of Differences: obligation from States

- **Article 38: Departures from int’l standards**
  - Requirements to notify ICAO of differences to standards

- **Assembly Resolution A35-14, Appendix D, Associated Practice No. 3**
  - Council to urge States to notify ICAO of differences from SARPs

- States are encouraged to submit their Compliances or Differences though the Electronic Filing of Differences (EFOD) system at [www.icao.int/usoap](http://www.icao.int/usoap)
From Non-MRPs to MRPs and ...to ePassports: ICAO Specifications

MRPs without 2D Barcode

MRPs with 2D Barcode

ePassports

Non-MRPs

Should be out of circulation since 24 November 2015

MRTDs: Specifications set up by Doc 9303
Changes endorsed by the TAG/TRIP and developed by TAG/TRIP and ISO experts
### ePassport status by region

<table>
<thead>
<tr>
<th>Region</th>
<th>Number of Member States</th>
<th>Number of Member States issuing ePassports</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asia and Pacific (APAC)*</td>
<td>39</td>
<td>21</td>
</tr>
<tr>
<td>Eastern and Southern African Office (ESAF)</td>
<td>24</td>
<td>16</td>
</tr>
<tr>
<td>European and North Atlantic (EUR/NAT)</td>
<td>56</td>
<td>55</td>
</tr>
<tr>
<td>Middle East (MID)</td>
<td>15</td>
<td>9</td>
</tr>
<tr>
<td>North American, Central American and Caribbean (NACC)</td>
<td>22</td>
<td>6</td>
</tr>
<tr>
<td>South American (SAM)</td>
<td>13</td>
<td>9</td>
</tr>
<tr>
<td>Western and Central African (WACAF)</td>
<td>24</td>
<td>19</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>193</strong></td>
<td><strong>135</strong></td>
</tr>
</tbody>
</table>

*Hong Kong (China) and Macao (China) are not counted as ICAO Member States, however they do issue ePassports

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Roadmap toward an ePassport Standard to be discussed in 2020 in the TAG/TRIP and the FALP meetings
The Traveller Identification Programme: ICAO TRIP Strategy

Regulatory Framework set up by Annex 9 – Facilitation
All TRIP elements are enhancing both Facilitation and Security

- Builds on ICAO Leadership in MRTD matters since more than 40 years
- Produces standardized and interoperable specifications
- Builds confidence in the reliability of travel documents issued.
- Establishes effective inspection and verification procedures
- Facilitates inspection formalities for 99% of travellers in a secure & streamlined way
TRIP guidance: the development and approval process

The New Technologies Working Group (NTWG)
Main task:
Research into travel document technologies

The Implementation and Capacity Building Working Group (ICBWG) Main Task:
Assistance to States in implementing all the TRIP Strategy elements
## Extract of the ICAO TRIP Roadmap

<table>
<thead>
<tr>
<th>ICAO TRIP element</th>
<th>Implementation Action</th>
<th>Timeframe &amp; Status</th>
<th>Corresponding Audited Annex 9 Standards</th>
</tr>
</thead>
<tbody>
<tr>
<td>All</td>
<td>Establish NATFP</td>
<td>2020 onwards</td>
<td>Standard 8.17</td>
</tr>
<tr>
<td>All</td>
<td>Establish Facilitation Committees</td>
<td>2020 onwards</td>
<td>Standard 8.19</td>
</tr>
<tr>
<td>MRTDs</td>
<td>Completion of MRPs implementation</td>
<td>Q4 2019</td>
<td>Standard 3.11</td>
</tr>
<tr>
<td>MRTDs</td>
<td>Implementation of machine readable CTDs</td>
<td>2020 onwards</td>
<td>Standard 3.12</td>
</tr>
<tr>
<td>Document issuance and control</td>
<td>Application of processes and protocols for document issuance and controls to prevent theft...</td>
<td>On-going</td>
<td>Standards 3.7; 3.8; 3.8.1</td>
</tr>
<tr>
<td>Interoperable applications</td>
<td>Use of globally interoperable applications linking MRTD holders to available databases</td>
<td>On-going</td>
<td>Standard 3.10</td>
</tr>
<tr>
<td>Interoperable applications</td>
<td>Ensure linkage of MRTDs to relevant data in the course of inspection operations such as API and PNR with watch lists, information sharing etc.</td>
<td>On-going</td>
<td>Standard 9.8</td>
</tr>
<tr>
<td>Interoperable applications</td>
<td>Implementation of API System</td>
<td>On-going</td>
<td>Stds 9.5, 9.6 and 9.8</td>
</tr>
</tbody>
</table>
11 Audited TRIP-related Standards

<table>
<thead>
<tr>
<th>Sub-Area</th>
<th>Annex 9 Standards</th>
<th>Results for the audited States</th>
</tr>
</thead>
</table>
| Programme and Coordination                    | 8.17 and 8.19     | 51% have NATFP based on the requirements  
|                                               |                   | 44% have established Airport /Facilitation Committees, or similar coordinating bodies.       |
| Security of Travel Documents                  | 3.7, 3.8 and 3.8.1| 84% have incorporated security features  
|                                               |                   | 86% have effective safeguards against theft of blank travel documents;  
|                                               |                   | 83% have established appropriate controls over the issuance processes.                      |
| Security of Travel Documents                  | 3.10              | 71% have reported stolen, lost, and revoked travel documents to INTERPOL for inclusion in the SLTD database. |
| Security of Travel Documents                  | 3.11 3.12         | 97% issue only machine readable passports  
|                                               |                   | 69% issue CTDs in machine readable form.                                                    |
| Entry Procedures and Responsibilities         | 9.5 (new API Std), 9.6 and 9.8 | 65% have introduced an API system  
|                                               |                   | 55% of them follow UN/EDIFACT PAXLST format.                                               |
International cooperation for each TRIP element: Signed MoUs and corresponding Action Plans are key for successful TRIP implementation.
WP 29: **PNR Standard(s) (United States)** linked to UNSCR 2396
WP 29: While recognizing that this matter is relevant to the AVSEC Panel, HLCAS suggested that FALP is currently the appropriate body to discuss the advancement of the use of PNR data. When doing so, due consideration should be given to the protection of fundamental rights of passengers in the collection, processing, analysis and sharing of personal data.

Recommendation: further consideration be given by ICAO to how passenger information can be better used to inform, assist, and support aviation security objectives, including the promulgation of ICAO Standard(s) regarding the collection, use and analysis of PNR data, in line with UNSCR 2396 (2017).
The UNSC resolutions behind the UNCTT Programme:

Resolutions 2178 (2014) for API and 2396 (2017) for PNR data

“Reaffirms that all States shall prevent the movement of terrorists or terrorist groups by effective border controls and controls on issuance of identity papers and travel documents, and through measures for preventing counterfeiting, forgery or fraudulent use of identity papers and travel documents,...”

“Calls upon Member States to require that airlines operating in their territories provide advance passenger information to the appropriate national authorities...”

“Decides that Member States shall develop the capability to collect, process and analyse, in furtherance of ICAO standards and recommended practices, passenger name record (PNR) data and to ensure PNR data is used by and shared with all their competent national authorities, with full respect for human rights and fundamental freedoms for the purpose of preventing, detecting and investigating terrorist offenses and related travel, further...” and also

Urges ICAO to work with its Member States to establish a standard for the collection, use, processing and protection of PNR data;
Status of API implementation: 67 Member States

Legend
- iAPI in force (total: 16)
- API in force (total: 51)

Source: IATA
Status of PNR implementation: 26 Member States

Legend
- PNR in force
- PNR Authorized not in force

Source: IATA
PNR and Conflict of Law

• UNSCR 2396 (2017) urges ICAO to establish a standard for the collection, use, processing and protection of PNR data.
• The Chicago Convention is the coherent, harmonized legal framework to regulate API & PNR data transfer (ICAO Annex 9 SARPs, PNR Guidelines and PNRGOV specifications).
• However, there is no harmonized legal framework to overcome the conflict of law as it relates to data privacy and the transfer of PNR data.
• General principles on PNR data protection are in Doc 9944

Next Steps:
The ICAO Air Transport Committee (ATC) tasked the Facilitation Panel with preparing proposals for Standards and Recommended Practices (SARPS) on the collection, use, processing and protection of passenger name records (PNR) in line with United Nations Security Council resolution 2396 (2017) and report to the Committee during the 218th Session in October 2019.
PNR-TF implementation milestones 2019

- Definition of the PNR-TF membership
- ToRs circulated to the FALP Members and Observers
- Nomination of A Rapporteur
- 1st Conference Call To initiate the work
- Oral Report on the Status to the ICAO Air Transport Committee
- Additional Conference Calls and meetings
- Final Report delivered to the Secretariat

- 22/03
- June
- July
- August
- September
- October

- 01/04
- 02/04
- 17/04
- 30/04

- The PNR-TF work continues
- Final Report presented to the ATC
## API and PNR: Overview

<table>
<thead>
<tr>
<th><strong>ADVANCE PASSENGER INFORMATION (API)</strong></th>
<th><strong>PASSENGER NAME RECORD (PNR) DATA</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FACILITATION &amp; SECURITY TOOL:</strong> importance to have Travel Documents compliant with Doc 9303</td>
<td><strong>FACILITATION &amp; SECURITY TOOL</strong></td>
</tr>
<tr>
<td>Serve legal requirement</td>
<td>Serve airlines’ marketing operations</td>
</tr>
<tr>
<td><strong>40</strong> possible data elements</td>
<td><strong>60</strong> possible data elements or fields (including API data)</td>
</tr>
<tr>
<td>Collection by airline: flight open for check-in</td>
<td>Collection in reservation systems: months/weeks</td>
</tr>
<tr>
<td><strong>Mandatory:</strong> ICAO Annex 9 Standard</td>
<td><strong>Not mandatory</strong> at present (Annex 9)</td>
</tr>
</tbody>
</table>

Both should be submitted through a single data entry point called: **Passenger Data Single Window Facility**
A facility that allows parties involved in passenger transport by air to lodge standardized passenger information through a single data entry point which will dispatch the information to all involved parties.
9.1. **Standard**: States **should** shall create a Passenger Data Single Window facility for each **or all data categories combined** that allows parties involved to lodge standardized information with a common data transmission entry point for each category to fulfil all related passenger and crew data requirements for that jurisdiction.

9.2 **Recommended Practice**: Contracting States (iAPI) and/or PNR data from aircraft operators should consider creating a Passenger Data Single Window facility for all data categories combined.

**Main Benefit**: A standard on a single window was deemed necessary to limit costs and human resources for Contracting States implementing these requirements.
Visa Facilitation role in the air transport growth

In Annex 9 Chapter 9, Electronic Travel System (ETS) is the automated process for the lodgement, acceptance and verification of a passenger’s authorization to travel to a State, in lieu of the standard counterfoil paper visa.

Objective: Modernization of visa regimes

53% of world population needs a visa before travelling and only 10% can obtain an electronic visa.

Source: UNWTO Visa openness report 2018
Electronic Travel Systems (ETS) Status

2011
6 States
- eVisa : 30
- ETA*: 5
- On-line application: 11

2018
46 States

RP: Contracting States seeking to establish an ETS should integrate the pre-travel verification system with an iAPI system.

* ETA: Electronic Travel Authorization
ICAO Training Course on control of Travel Documents

7 Deliveries in 2017-2018

(130 Trainees, 12 States)

• Moshi, Tanzania, Jul.- Aug. 2017 with IOM
• Zaria, Nigeria, 23-26 Oct. 2017
• Niamey, Niger, 9-12 April 2018 with trainees from Burkina Faso, Chad, Mauritania, Mali & Niger (AFI SEC/FAL Plan)

• New Delhi, India, 5-8 March 2018
• Quito, Ecuador, Jul. 2018, ICAO Funds
• Doha, Qatar, Nov. 2018, ICAO Funds

Available Arabic, Chinese, English, French, and Russian.
Importance of providing enough passports specimen
# ICAO Border Control Management Guide

<table>
<thead>
<tr>
<th>Inspection Systems and Tools</th>
<th>Interoperable Applications</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Visas and Electronic Travel Systems</td>
<td>H. Advance Passenger Information and</td>
</tr>
<tr>
<td>B. Document Readers</td>
<td>Interactive Advance Passenger Information</td>
</tr>
<tr>
<td>C. Biographic Identity Verification</td>
<td>I. Passenger Name Record</td>
</tr>
<tr>
<td>D. Biometric Identity Verification</td>
<td>J. Public Key Infrastructure and the ICAO Public Key Directory</td>
</tr>
<tr>
<td>E. National Watchlists</td>
<td>K. eMRTD Biometric Identity Verification</td>
</tr>
<tr>
<td>F. Entry and Departure Databases</td>
<td>L. INTERPOL’s Stolen and Lost Travel Documents Database</td>
</tr>
<tr>
<td>G. Automated Border Controls</td>
<td>M. International Watchlists</td>
</tr>
</tbody>
</table>

Developed with the support of an advisory group of experts

https://www.icao.int/Security/FAL/TRIP/Pages
Main challenge for Facilitation

About 2 Billion International passengers per year for whom border clearance need to be expedited.
Minimum of 10 seconds are needed by the first line Officer for each passenger clearance.

Substantial lack of resources to expedite clearance for all passengers.
Recommended Physical and Digital matching at borders

- Validation of ePassports with PKD
- Biometric matching to establish that the passenger is the rightful holder of the document
- Query INTERPOL’s Stolen and Lost Travel Documents (SLTD) database, as well as other border control records, to determine eligibility for border crossing
The way forward

• Importance to comply with ICAO Standards or to notify Differences when it is not possible
• States need to ensure that their travel documents are fully interoperable
• The international passenger numbers is expected to double in the next 20 years.
• Increased number of security threats.
• Focus on improving both Aviation Security and Travel Facilitation in order for passengers to have a secure and pleasant experience through a risk-based, efficient and cost-effective global border management process.
• Necessary move from bilateral programmes to a globally interoperable framework.
• Fully automated and built on verified biometric data.
• Effective collaboration among various government agencies
• Efficient Cooperation between international organizations.
• Challenges ahead:
  • harmonization of intelligence and data sharing;
  • shift to a secure digital process; and
  • ensure data privacy.
**SAVE THE DATES**

**UPCOMING ICAO TRIP EVENTS**

<table>
<thead>
<tr>
<th>Event</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>16th TRIP Symposium</td>
<td>March 31 – April 2, 2020</td>
</tr>
<tr>
<td>17th TRIP Symposium</td>
<td>May 25 – May 28, 2021</td>
</tr>
<tr>
<td>18th TRIP Symposium</td>
<td>March 29 – March 31, 2022</td>
</tr>
</tbody>
</table>

*Dates are subject to change*

For more info please contact [mcr@icao.int](mailto:mcr@icao.int)
THANK YOU!