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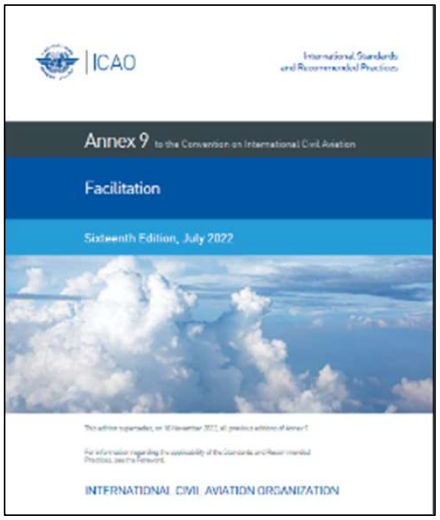
INTERNATIONAL CIVIL AVIATION ORGANIZATION
A UN SPECIALIZED AGENCY
Eleventh North American, Central American and Caribbean Directors of Civil Aviation Meeting (NACC/DCA/11)
P/4 Agenda Item 5
NAM/CAR Regional Aviation Security/Facilitation Implementation
Presented by the Secretariat

# Developments and Recent Updates in the Facilitation Programme

## Presentation Outline

- ❑ Developments in Annex 9
- ❑ Developments in ICAO Traveller Identification Programme Strategy
- ❑ Developments in ICAO Public Key Directory
- ❑ A41 Facilitation Key Outcomes

# THREE INTERRELATED FACILITATION PROGRAMMES



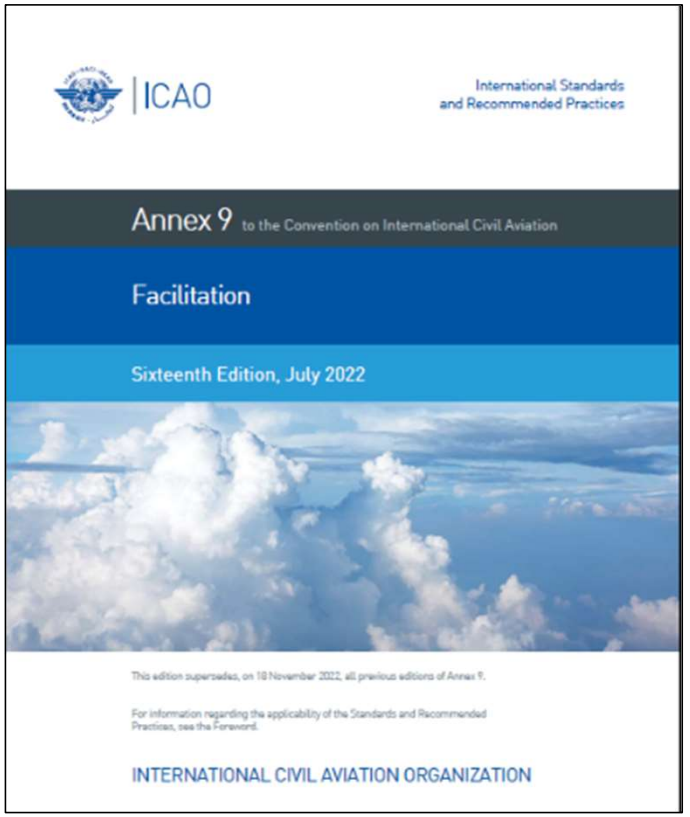
# Annex 9 – Facilitation Policy Framework



## AMENDMENT 29 TO ANNEX 9 - *FACILITATION*

Contains new and revised Standards and Recommended Practices related to public health emergencies, security of travel and health proofs, relief and repatriation flights, air transport facilitation of persons with disabilities, assistance to aircraft accident victims and their families, trafficking in persons

Amendment 29 became effective 18 July 2022 and applicable on 18 November 2022



# Amendment 29 Main Changes

- **Chapter 1**
  - New Definitions
  - Standard 1.2 and Recommended Practice 1.6 amended
- **Chapter 2**
  - Disinsection and Disinfection: New and revised Standards and Recommended Practices
- **Chapter 3**
  - Security of Travel Documents: Recommended Practice 3.9 upgraded to a Standard
- **Chapter 5**
  - Deportees: Revised Standard 5.19
- **Chapter 6**
  - International Airports – Facilities and Services for Traffic: New and revised Standards 6.35, 6.40, 6.41, 6.42 and Recommended Practices 6.2, 6.36, 6.37
- **Chapter 8**
  - Relief flights and Repatriation flights - New and revised Standards and Recommended Practices
  - Facilitation of the Transport of persons with disabilities – Recommended Practices 8.22, 8.29, 8.30, 8.32, 8.40 elevated to Standards 8.23, 8.30, 8.31, 8.33 and 8.41.1, respectively
  - Assistance to Aircraft Victims and their Families - Recommended Practice 8.46 elevated to Standard 8.47 and new RP 8.48
  - Wildlife Trafficking – New Recommended Practice
- **Chapter 10 - Establishment of a new chapter on Public Health**
  - International health regulations and related matters
  - Inspection of health-related documentation
  - Prevention and mitigation of communicable diseases

# Annex 9 – Facilitation Policy Framework

**FALP/12 - Established Working Group on Annex 9**

**Reviewing Annex 9 SARPs for consistency of wording and structure**

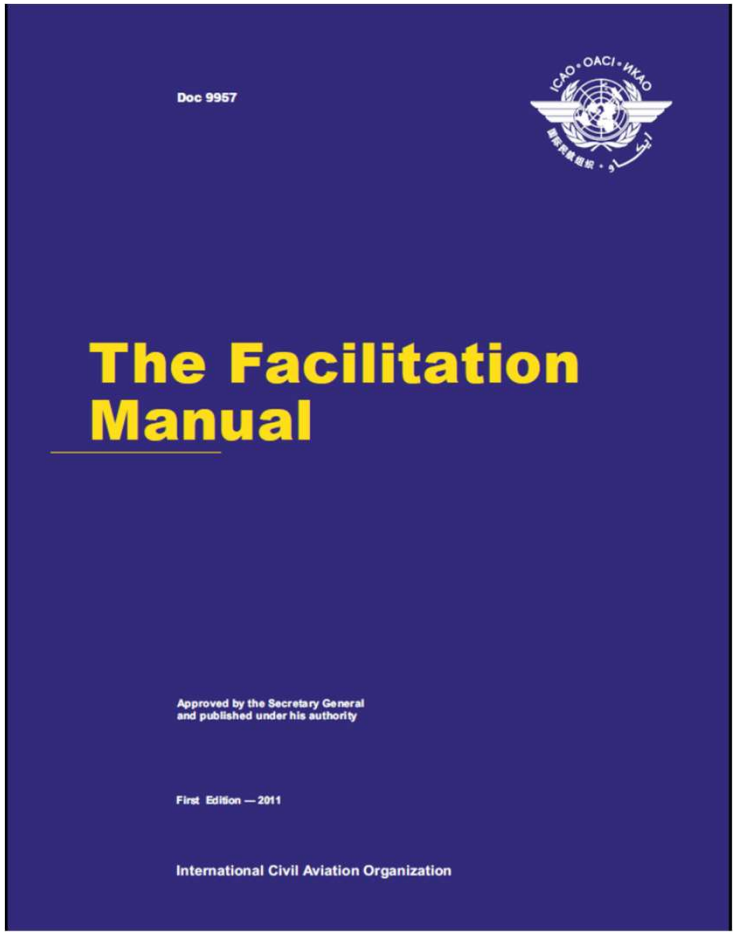
**SARPs are commensurate with current and foreseeable global aviation environment for civil aviation**

**Developing proposals to relocate existing health-related SARPs to Chapter 10**

# Facilitation Guidance Material

- Development of guidance material associated with health-related SARPs of Annex 9 for inclusion in the Second Edition of FAL Manual (Doc 9957)

- Ongoing collaboration between CAPSCA, WHO and the TF-HIOA



# FAL Implementation support

Recruited a Consultant Expert on Air Transport Facilitation (HLCC FAL Stream recommendations)

Recruited a Consultant Expert on Assistance to Aircraft Accident Victims and their Families

FAL Regional Implementation Seminars

Webinar on States implementation of HLCC recommendations

Establishing new FALP expert Working Groups on Accessibility in Aviation and Assistance to Aircraft Accident Victims and their Families

Establishing a web-based questionnaire that will allow States to voluntarily report on their level of implementation of the HLCC FAL Stream recommendations

# FAL Capacity Building - Training Courses

**ICAO Annex 9 - Facilitation**

The ICAO Annex 9 – Facilitation is virtual classroom course that develops competencies relevant to staff from Civil Aviation Authorities (CAA) and border control authorities to deal collectively, in an inter-agency manner, with Annex 9's facilitation provisions.

**Assistance to Aircraft Accident Victims and their Families**

This course will provide CAA representatives, other government officials, aircraft and airport operators and non-governmental organization with the competencies to effectively support aircraft accident victims and their family assistance efforts, in accordance with ICAO Policy.

**Visible Digital Seals for Travel-Related Public Health Proofs**

This course provides State authorities with the competencies required to implement a national Visible Digital Seal for Non-Constrained Environments (VDS-NC) solution for travel health proof, in accordance with ICAO Doc 9303, Machine Readable Travel Documents, Parts 9-13.

**Traveler Identification Programme (TRIP) Strategy**

The course provides to the target audience the competencies to implement the five key elements of the ICAO TRIP strategy, ensuring interoperability and internal cooperation, in accordance with Annex 9.

**Managing Air Transport Facilitation Course**

In progress, the development of Managing Air Transport Facilitation Training Course. The course provides the target audience with the competencies required to develop a management system whereby the Coordinating Authority (ies) designated by the State is (are) able to coordinate the required national policy framework, coordinate Facilitation matters with relevant government agencies and other stakeholders and to assess the implementation of Annex 9 SARPs and create a national evaluation framework

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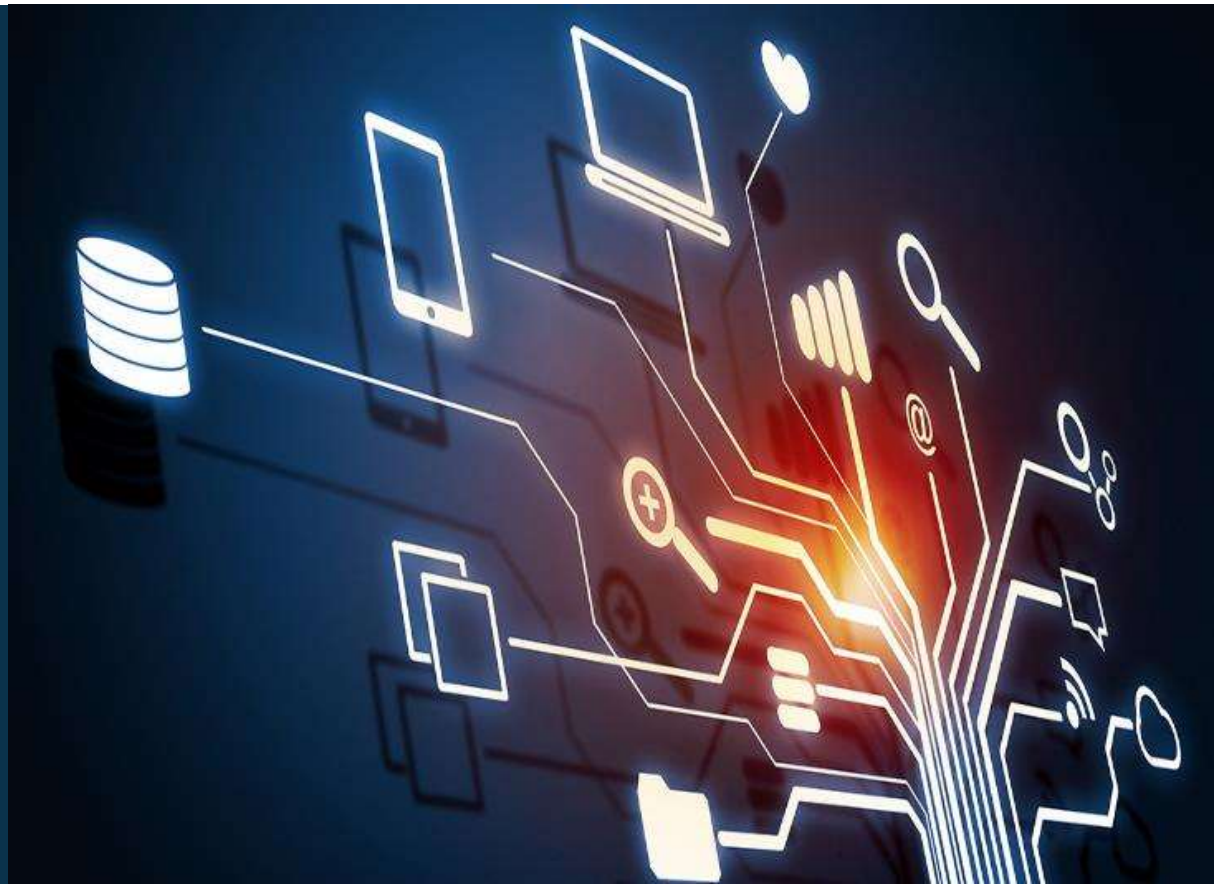
# TRIP



# Key Concepts - ICAO TRIP Strategy

Globally interoperable applications that provide for timely, secure and reliable linkage of MRTDs and their holders to relevant data in the course of inspection operations, e.g. API, PNR, SLTD

Credible evidence of identity, involving the tracing, linkage and verification of identity

Manufacture of standardized MRTDs, that comply with ICAO specifications (Doc 9303)

Processes for document issuance by appropriate authorities, and controls to prevent theft and loss

For the efficient and secure reading and verification of MRTDs, e.g. ABC, PKD

**Objective**: All Member States can uniquely identify individuals

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# Amendments 27, 28 and 29 to Annex 9: Key developments in relation to TRIP

***Amdt 27:*** **new and revised SARPs on Crew Identity Cards, the transport of minors by air and Passenger Data Exchange System.**

**Applicable: 21 February 2020**

***Amdt 28:*** **new and revised SARPs on Passenger Name Record (PNR) data and ICAO Public Key Directory (PKD).**

**Applicable: 28 February 2021**

***Amdt 29:*** **new and revised SARPs on Public Health Emergencies, Security of Travel and Health-proofs Documents and Passenger Name Record (PNR) Data.**

**Effective: 18 July 2022**

**Applicable: 18 November 2022**

# Auditing of some PNR Standards under USAP-CMA

**AMENDMENT 28**

**6 New PNR Standards to be audited under the Universal Security Audit Programme**

**Std 9.24:** Appropriate legal and administrative framework for the collection, use, processing and protection of PNR data.

**Std 9.25:** Identification of the PNR data to be used in State's operations, including the purposes for which PNR data may be used.

**Std 9.26:** Penalties for misuse, unauthorized access & unauthorized disclosure of PNR data, including mechanisms to prevent such acts.

**Std 9.28:** Automated processing of PNR data based on criteria that effectively indicate the existence of a risk, without leading to unlawful differentiation.

**Std 9.29:** Designation of entity(ies) responsible for the independent oversight of PNR data protection.

**Std 9.31:** Mechanisms related to the retention of PNR data.

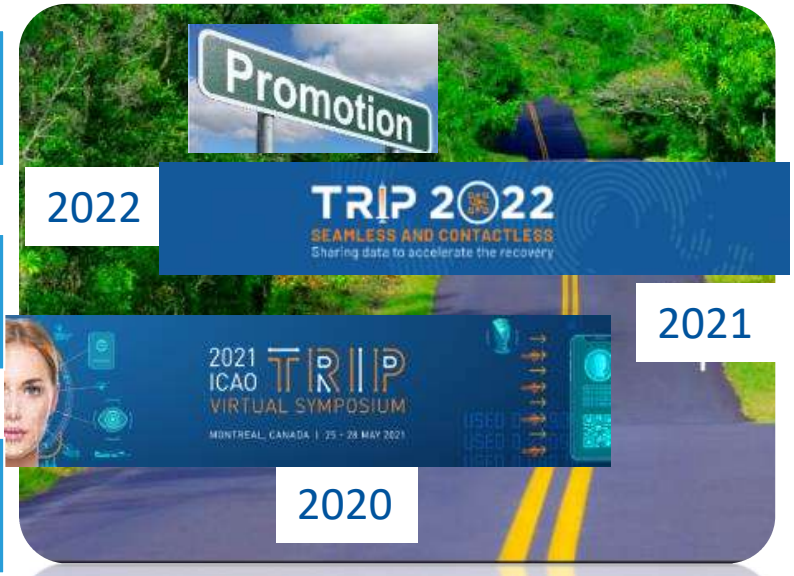
# Developments in ICAO TRIP Strategy

**Health QR code**: ***Visible Digital Seal for non-constrained environments (VDS-NC).***

**Virtual forms of traveler identification**:
***Digital Travel Credential (DTC 1) parameters***

**Guidance material**:
***Publication of 8th Edition of Doc 9303, MRTD***

**Assistance to States**:
***Support API/PNR implementation (UNOCT) & ABC deployment***




Update of the
***TRIP Implementation Roadmap*** in line
with related Annex 9 SARPs

# Requirements for health proof certificates

**Integrity** — Could the data have been altered after issuance?

**Authenticity** — Can issuance by a trusted authority be confirmed?

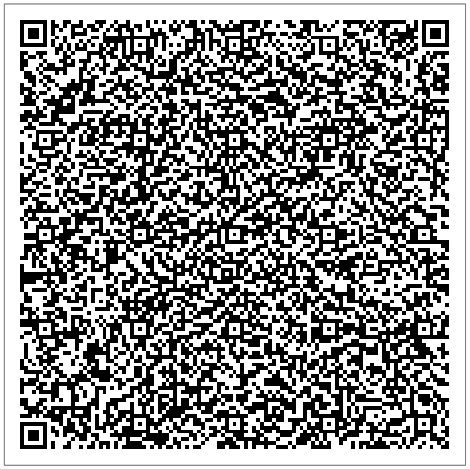
**Trustworthy/Verifiable** — Are my systems capable of verifying integrity and authenticity?

**Convenient to use** — Will the certificate be efficiently read within existing processes and infrastructure?

**Data protection** — Compliant with legislation in State of use and State of nationality of the traveller

**Interoperability** — Will cross-border verification be possible?

# ICAO Visible Digital Seal for Non-Constrained Environments (VDS-NC)



- Encodes minimum dataset for tests, vaccinations and recovery certificates
- Machine readable using standard barcode scanners (e.g. at check-in, bag drop, boarding gates)
- Digitally signed (optional for testing certificates), using the same infrastructure as used by more than 145 States issuing ePassports

**Technical Report published**

https://www.icao.int/Security/FAL/TRIP/PublishingImages/Pages/Publications/Visible%20Digital%20Seal%20for%20non-constrained%20environments.pdf

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# ICAO Traveller Identification Programme (TRIP) Strategy

## PRIORITIES AND OUTCOMES FOR 2023-2025

**ALL TRIP ELEMENTS:**

- Follow-up the level of implementation of the ICAO TRIP Roadmap : Compliance to Annex 9 SARPs
- Enhanced recognition of ICAO leadership on the ICAO TRIP Strategy
- Promotion and communication to States of the five elements of the ICAO TRIP Strategy
- TRIP-related Universal Security Audit Programme (USAP) audit questions

# PRIORITIES AND OUTCOMES PER TRIP ELEMENT FOR 2023-2025

**Passenger Data exchange: Advance Passenger Information (API) and Passenger Name Record (PNR) data**

**Development of Best Practices and Guidance Material from Credible evidence of identity**

**- Innovation: VDS and DTC**
**- update of MRTDs specifications, & guidance material**
**- ePassport Standard Roadmap**

**- ICAO Doc 9303 Compliance Programme**
**- Guidance on DTC for integrated border operations**

**Development of technological solutions aimed at enhancing security and facilitation of border controls while improving clearance procedures**

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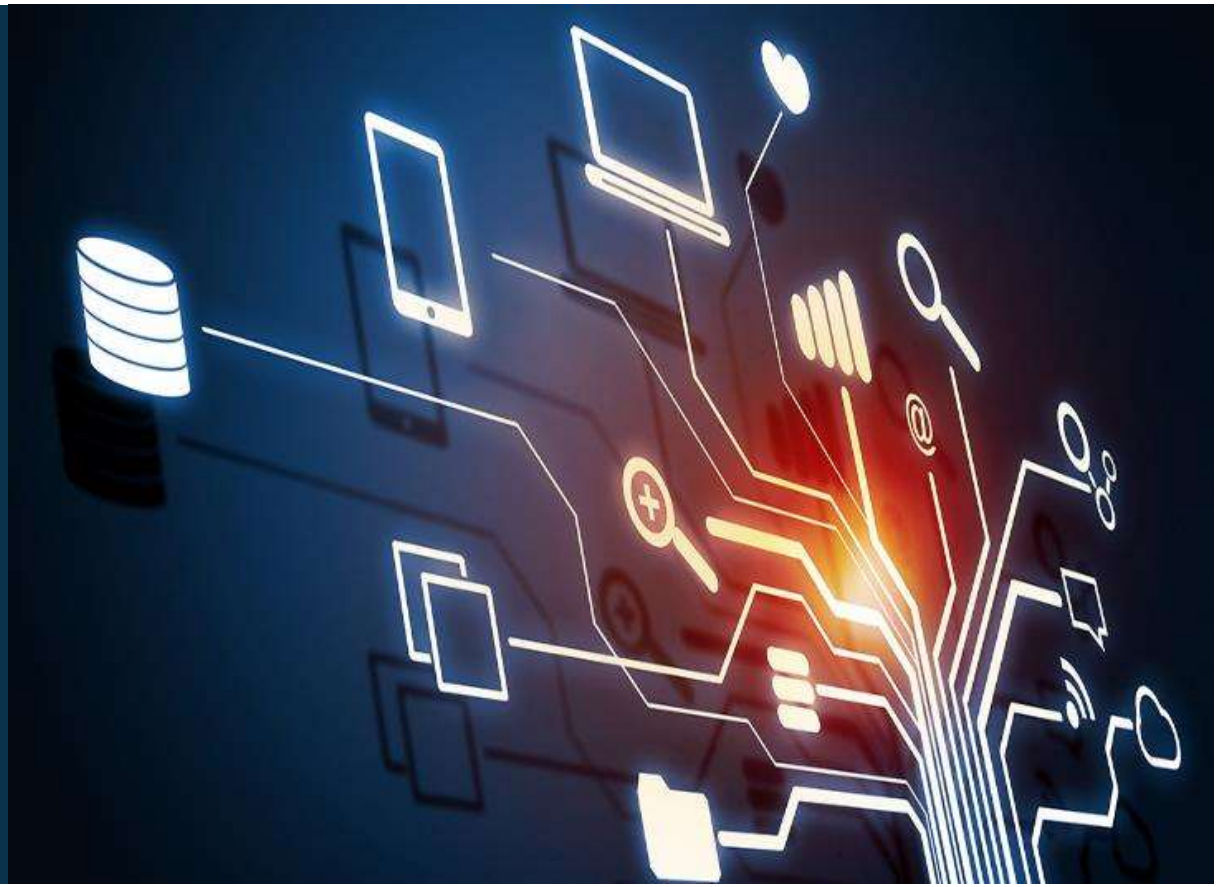
# ICAO PKD Updates

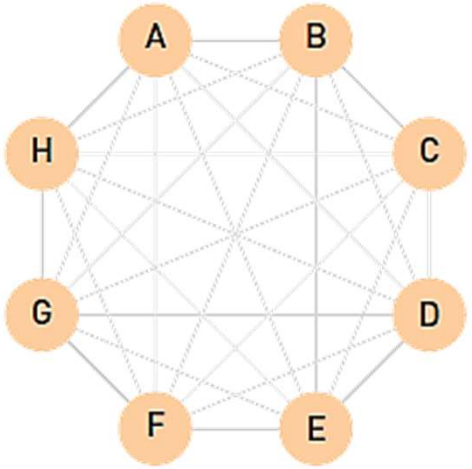


# Public Keys are Needed to Electronically Verify eMRTDs

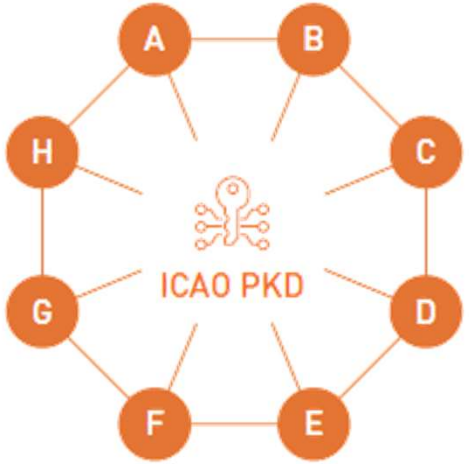
=> The document is digitally signed

Verifying the cryptographic signature with the key verifies authenticity and integrity

# The ICAO Public Key Directory (PKD) makes it easier to share public keys internationally

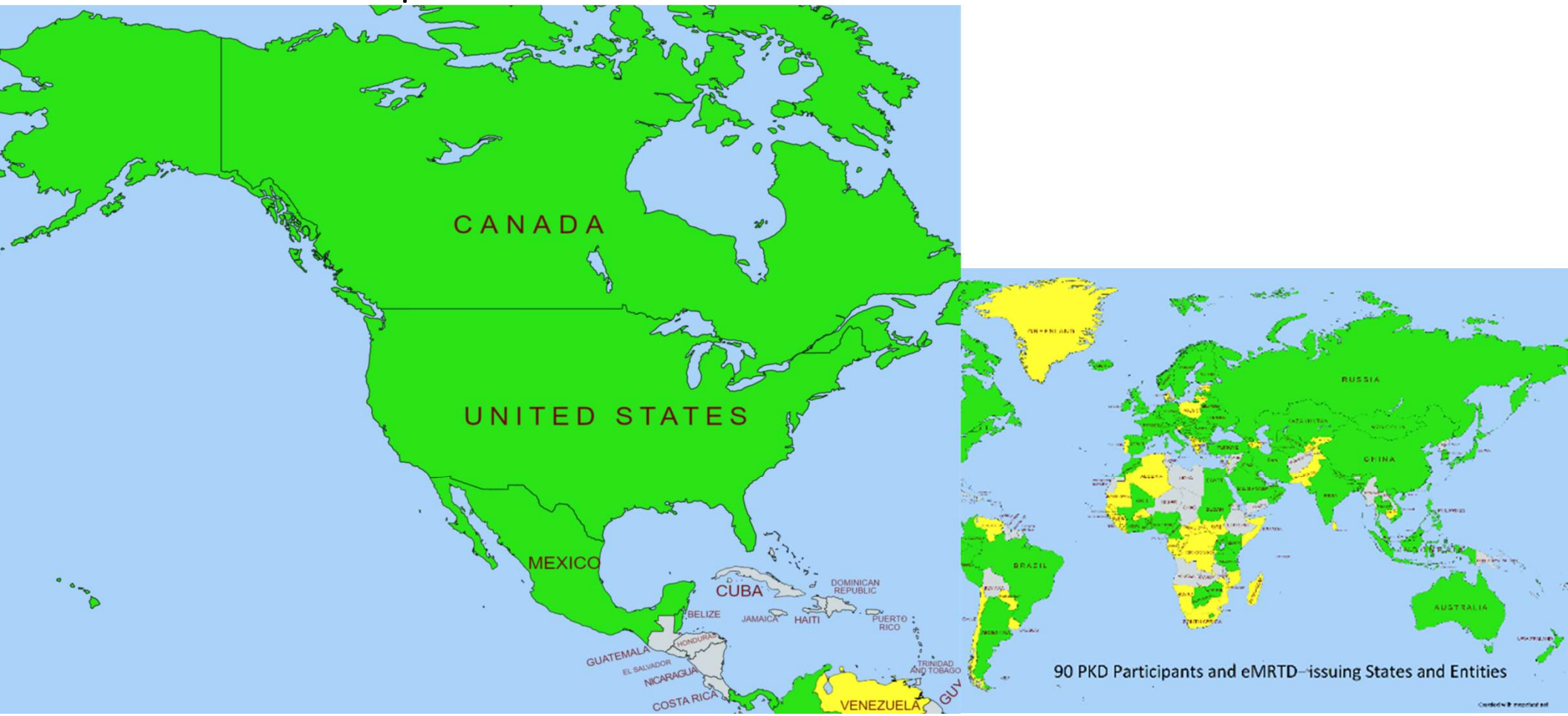



Without the PKD




With the PKD

# PKD Participation



# Regulatory Updates

Assembly Resolution A41-17 – Consolidated statement on continuing ICAO policies related to facilitation:

"*The Assembly…urges* all Member States to join the ICAO PKD, upload relevant information from their own State to the PKD, and to use the information available from all States in the ICAO PKD to authenticate eMRTDs at border control"

Annex 9 Standard 3.9.2 (Amendment 28):

"*Contracting States that participate in the ICAO PKD shall upload the public key data necessary for authentication of all electronic passports that they issue to the PKD.*"

# An increasingly compelling case to participate

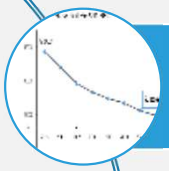
## More need for PKD capabilities

More electronic documents – ePassport, DTC, VDS etc.

More demand for seamless/contactless travel

More need for agility in capabilities (robustness to pandemics etc.)

## More value being provided at lower cost



Reduced fees

More data content, e.g. the ICAO Master List

Enhanced services and community sharing, e.g. the PKD Data Quality Coach initiative

# New PKD Services

Continuous improvement

- Updated content: A new Master List providing better sharing of root of trust certificates
- Updated content: A new Health Master List facilitating health proof verification globally
- Capacity building: New Data Quality Coach – Mentoring from experienced States, funded by the PKD
- Capacity building: Extended workshops and outreach amongst the community and from the community

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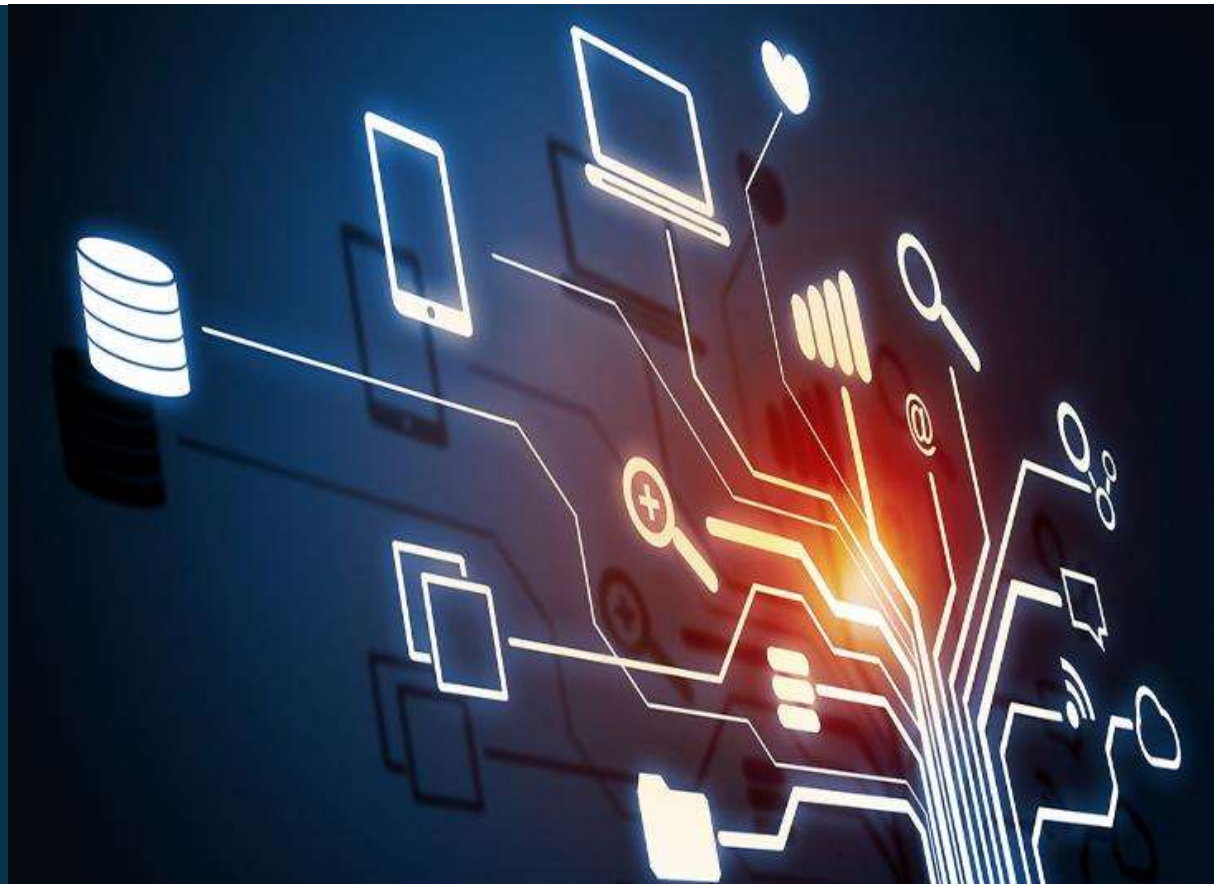
# A41 Facilitation Key Outcomes

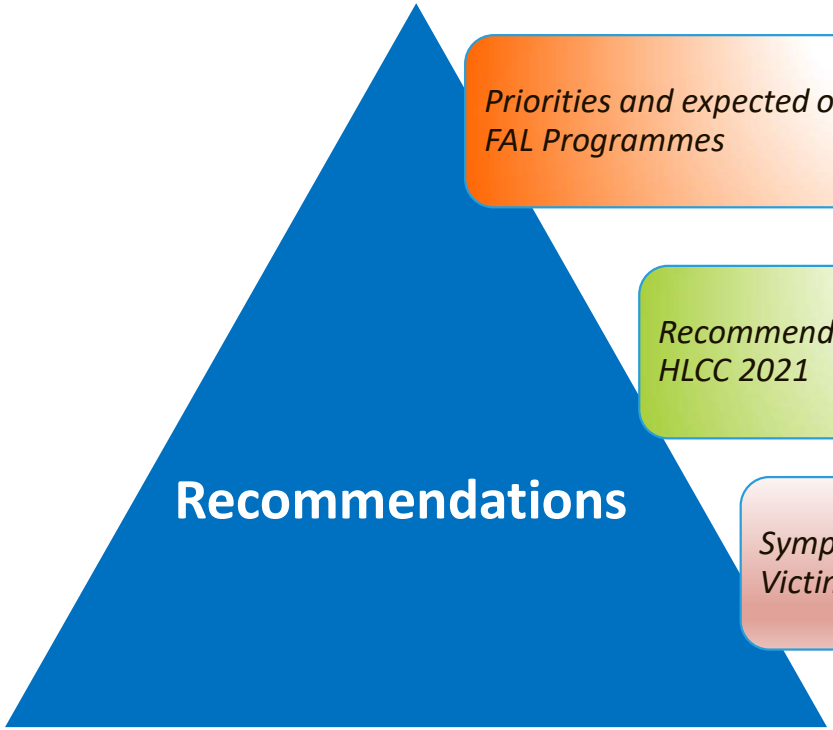


# A41 Facilitation Key Outcomes

## Resolutions

- New Resolution: A41-11
- New Resolution: A41 -15
- Revised Resolution: A41-12
- Revised Resolution: A41-13
- Revised Resolution: A41-14
- Revised Resolution: A41-16
- Revised Resolution: A41-17

# Key Outcomes




*Priorities and expected outcomes for the 2023-2025 triennium for the FAL Programmes*

*Recommendations of the Facilitation Stream of HLCC 2021*

*Symposium on Assistance to Aircraft Accident Victims and their Families*

# PRIORITIES AND OUTCOMES FOR 2023-2025 TRIENNIUM

- STREAMLINING ANNEX 9 SARPS
- MONITORING IMPLEMENTATION OF ANNEX 9 SARPS
- ASSISTANCE AND CAPACITY BUILDING
- RESPONSE TO NEW AND EMERGING ISSUES
- INNOVATION IN TECHNOLOGIES

# Curaçao

## Save the Date

PKD Board meeting and workshop
Week of 6-10 November 2023

# Thank You!

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