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## **ASSEMBLY — 40TH SESSION**

### **REPORT OF THE EXECUTIVE COMMITTEE ON AGENDA ITEM 14**

(Presented by the Chairperson of the Executive Committee)

The attached report on Agenda Item 14 has been approved by the Executive Committee. Resolutions 14/1, 14/2 and 14/3 are recommended for adoption by the Plenary.

*Note.— After removal of this covering sheet, this paper should be inserted in the appropriate place in the Report Folder.*

(18 pages)

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**Agenda Item 14: Facilitation Programmes**

14.1 At its sixth meeting, the Executive Committee considered developments in the areas of the Public Key Directory (PKD), the ICAO Traveller Identification Programme (TRIP) Strategy and the Annex 9 — *Facilitation* as well as the Consolidated statement of continuing ICAO policies related to facilitation, on the basis of reports by the Council presented in WPs/5, 6, 8, 60 and 61 respectively. In addition, 11 papers were submitted by States and Observers: WPs/127, 134, 284, 297, 301, 305, 322, 346, 389, 399, and 471. The following Information Papers were also presented under this agenda item: WPs/7, 462, 509, 524, 530, 533 and 550.

14.2 The Executive Committee considered Working Papers under this agenda item under the topics that follow.

*ICAO Public Key Directory*

14.3 The Council, in WP/6, described developments pertaining to the ICAO Public Key Directory (PKD) and its use since the 39th Session of the ICAO Assembly, and proposed priorities for the ICAO PKD work programme and the expected outcome of its work during the next triennium.

14.4 The Committee complimented the work of ICAO in developing the PKD as reported and overwhelmingly endorsed the work programme for the ICAO PKD as set out in the working paper. It urged all Member States to join and implement use of the ICAO PKD to validate and authenticate ePassports. One delegation indicated in particular the importance of improving the PKD exchange process in the context of the ICAO TRIP strategy.

*ICAO Traveller Identification Programme (TRIP) Strategy*

14.5 In WP/8, the Council, in highlighting the mandate and current priorities of the ICAO TRIP Strategy, reported on developments in the Programme since the last Assembly. It concluded by proposing priorities for the ICAO TRIP Strategy and outlined the expected outcomes of its work during the next triennium.

14.6 With regards to paragraph 2.6 of WP/8 that addressed the development of an ePassport Standard roadmap, some delegations expressed the view that the introduction of an ePassport might not be economically viable for some small States and the ATC will consider these concerns as part of its work on the development of the roadmap. A technical correction was made in Appendix B of WP/8. The Committee was asked to take note of the information contained in WP/550, a United States information paper, reporting the value of Passenger Name Record (PNR) in security and facilitation. Following the discussions, the Committee endorsed the proposed priorities for the ICAO TRIP Strategy and expected outcomes for the 2020-2022 triennium, as presented in Appendix A of WP/8.

14.7 In WP/301, the International Air Transport Association (IATA) and Airports Council International (ACI), reported on their joint One ID project which aims to achieve the vision of a paperless travel experience where passengers can fly safely and securely only using their biometric data.

14.8 With regard to the proposal set out in WP/301, the Committee endorsed the IATA One ID project which highlights the benefits of biometric recognition to secure and facilitate the passenger clearance process and some delegations stressed the importance of implementing robust data protection policies. One delegation drew attention to the information presented in WP/533 on the bi-national cooperation between Canada and the Netherlands on the World Economic Forum (WEF) project called the Known Traveller Digital Identity (KTDI).

*Annex 9 — Facilitation*

14.9 The Council, in WP/5, reported on progress made, since the 39th Session of the Assembly, on ICAO's work with the World Health Organization (WHO) on developing guidance on preventing the spread of disease caused by mosquitos and other vectors through international aviation, and on the implementation of Resolution A39-28. The Committee noted that WP/5, *Report on Aircraft Disinsection and Vector Control Measures*, presented under Agenda Items 14 and 26, would be taken up under Agenda Item 14.

14.10 Following a discussion on the matter, the Committee, noting the work being undertaken in this regard, especially the ongoing cooperation between ICAO and the WHO, agreed to submit, for adoption by the Plenary, the following resolution, which should supersede Resolution A39-28:

**Resolution 14/1: Mitigation of the spread of disease through, inter alia, aircraft disinsection and vector control methods, and the importance of CAPSCA (Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation) for implementation**

*Whereas* Article 14 of the International Convention on Civil Aviation requires Member States to take effective measures to prevent the spread of communicable diseases by means of air navigation;

*Whereas* Annex 9 — *Facilitation* contains provisions on communicable disease outbreak national aviation plans, aircraft disinsection, implementation of international health regulations and facilities required for implementation of public health measures, and *The Facilitation Manual* (Doc 9957) provides guidance on aircraft disinsection, public health measures and facilitation programmes;

*Whereas* the most recent outbreaks of vector-borne diseases have resulted in Contracting States imposing chemical disinsection requirements;

*Whereas* the World Health Organization has not issued recommendations regarding non-chemical disinsection methods;

*Whereas* there is strong evidence that chemicals are becoming increasingly ineffective in combatting vector-borne diseases as insect resistance to chemicals increases;

*Whereas* the lack of World Health Organization-recommended non-chemical disinsection methods leads to Contracting States continuing to require only chemical disinsection methods;

*Whereas* despite past Assemblies having encouraged development of performance-based criteria for disinsection requirements, in collaboration with the World Health Organization, insufficient progress has been made in this regard;

*Whereas* there is an increased risk in the global transmission of communicable diseases;

*Whereas* a need for cross-sector information sharing and collaboration in the prevention and management of public health emergencies has been identified at various international meetings and conferences;

The Assembly:

1. Directs that the Council continue to engage with the World Health Organization to develop:
  - a) performance-based criteria to evaluate all disinsection methods, including non-chemical means of disinsection;
  - b) recommendations regarding non-chemical disinsection methods; and
  - c) guidance on the components of a scientifically-based risk assessment model for Contracting States to use in determining whether to employ vector control measures that include but are not limited to aircraft disinsection;
2. Urges Contracting States to:
  - a) become members of The Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation (CAPSCA) programme;
  - b) become involved in the CAPSCA Programme and any other related programmes that ICAO might introduce in future;
  - c) support ICAO and WHO in implementing this Assembly Resolution by considering the recommendations included in ICAO, WHO and CAPSCA publications and guidance material;
  - d) require pest management control programmes around airports and related facilities, which would mitigate the need to impose aircraft disinsection requirements;
  - e) encourage airport reporting to the ICAO Airport Vector Control Registry and to keep the information current;
3. Requests the Council to report on the implementation of this resolution at the next Assembly; and
4. Declares that this resolution supersedes Resolution A39-28.

14.11 The Council, in WP/60, presented a report on developments in Annex 9 — *Facilitation* since the last Assembly and the current priorities of the Facilitation (FAL) Programme's work on Annex 9. It concluded by proposing work priorities for Annex 9, and expected outcomes, for the next triennium.

14.12 The Committee endorsed the proposed priorities for the FAL Programme related to Annex 9 – *Facilitation* and expected outcomes for the 2020-2022 triennium, as set out in Appendix A of WP/60, with one delegate expressing reservations on the possible inclusion of Annex 9 SARPs *vis-à-vis* the FAL-related aspect of Remotely Piloted Aircraft Systems (RPAS).

14.13 ACI, in WP/399, in providing information on areas in which the aviation industry is working on innovative technologies, such as automation and biometric recognition, and drawing attention to areas where significant opportunities exist within the control of national authorities to encourage such innovation, suggested that progress could be made by breaking down silos between aviation security (covered under Annex 17) and border management (covered under Annex 9).

14.14 The Committee did not support the proposals set out in WP/399 and one State mentioned notably that the security elements of passports and border procedures cannot be separated from the overall border and passport features as regulated in Annex 9. In commenting on information papers submitted, one delegation noted that WP/462 contained a number of proposals and that the subject should be considered in the ICAO work programme; some delegations drew attention to the work being undertaken by the European Union (EU) on PNR, as reflected in WP/530; and, another delegation drew attention to WP/509 that presented views on issues relating to Annex 9's SARPs on "unaccompanied minors".

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

14.15 In WP/127, Spain on behalf of the European Union and its Member States, the other Member States of the European Civil Aviation Conference (ECAC) and EUROCONTROL, pointed out that it was highly desirable to achieve a greater implementation of plans for the assistance of aircraft accident victims, and progress towards the harmonisation of the practices of States in this matter.

14.16 In WP/297, the Air Crash Victims' Families' Federation International (ACVFFI), noted that since ICAO began issuing, in 2001, guidance material on Assistance to Aircraft Accidents Victims and their Families, the treatment to civil air accidents victims and their families has not been reflected in the data recognized in the Universal Safety Oversight and Audit Programme (USOAP).

14.17 In endorsing the proposals set out in WPs/127 and 297, the Committee's overwhelming majority agreed that: a) States should be reminded of Assembly Resolution A39-27 and be urged to take the appropriate measures to implement as soon as possible ICAO Annex 9 — *Facilitation* provisions on assistance to victims of aircraft accidents, as well as to give due consideration to Docs 9998 and Doc 9973, in their implementation of such provisions; b) States be urged, when adopting such measures, to include adequate and specialized psychosocial training for aircraft and airport operators, and all those involved in the assistance to victims and their families; c) the Council should be requested to consider upgrading Annex 9 Recommended Practice 8.46 into an international Standard, as well as to consider introducing a new Annex 9 Recommended Practice, addressed to aircraft and airport operators on the development of appropriate plans to provide timely and effective assistance to aircraft accident victims and their families and to communicate them to ICAO. To emphasize the importance of this upgrade of RP 8.46, one delegation mentioned the side event held during the thirteenth Air Navigation Conference that showed a high degree of consensus among States for ICAO to move forward in everything that helps its global implementation, while another State pointed out that such International Standard would underline the international community's commitment to those affected. Regarding information paper WP/297, following an oral

request by ACVFFI, the Committee also agreed that the Council should designate a particular day of the year (e.g., 20 February) as The International Day of Air Crash Victims and their Families.

14.17.1 While supporting WP/127, one delegation commented that paragraph 4.1 b), ICAO should urge States to develop comprehensive programs, and not single out psychological training, for addressing the fundamental concerns of victims and their families as well as how agencies and organizations can work collaboratively to meet those concerns. It was also mentioned that there should be initial and recurrent training. Another delegation noted that the issue crossed over several Annexes and should be discussed in a separate group. An international organization, in supporting this last intervention, invited the Assembly to take note of existing ACI guidance on the subject, and that airports are already required to develop Emergency Response Plans, which include provisions regarding assistance to victims.

#### *Human Trafficking in Aviation*

14.18 The United States, in WP/305, pointed out that aviation personnel and the travelling public can play an important role in intercepting and stopping human trafficking when equipped with the ability to recognize indicators of human trafficking and information on how to report suspected instances of such trafficking to the proper authorities. Accordingly, the Assembly was invited to support a Resolution, found in Appendix A to the paper, underscoring aviation's role in combatting human trafficking and encouraging the continuation of ICAO's efforts to assist States in their initiatives to combat human trafficking.

14.19 The Committee agreed to submit, for adoption by the Plenary, the following resolution:

#### **Resolution 14/2: Development and implementation of facilitation provisions — combatting human trafficking**

*Whereas* the Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime, adopted in November 2000 by the United Nations General Assembly and entered into force on 28 January 2004, provides an international framework and enjoys ratification by a majority of countries;

*Whereas* the joint ICAO and United Nations Human Rights Office of the High Commissioner Circular 352 on Guidelines for Training Cabin Crew on Identifying and Responding to Trafficking in Persons released in May 2018 underscores the important role of international aviation in combatting human trafficking;

*Whereas* training customer-facing employees and other aviation personnel to identify and respond to suspected instances of human trafficking can help stop this crime;

*Whereas* Recommended Practice 8.47 in Annex 9 — *Facilitation* encourages Contracting states to take measures to ensure that procedures are in place to combat trafficking in persons, including clear reporting systems and relevant competent authorities' points of contact for airport and aircraft operators;

*Whereas* Recommended Practice 8.48 in Annex 9 encourages Contracting States to take measures to ensure that airport and aircraft operators' personnel in direct contact with the traveling public are provided with awareness training on trafficking in persons;

*Whereas* conducting awareness campaigns among aviation personnel and the traveling public can help to

increase recognition and reporting of suspected instances of human trafficking; and

*Whereas* ICAO should foster the development of clear human trafficking guidelines for each State to implement, including model reporting protocols and a victim-centered and trauma-informed law enforcement response;

*The Assembly:*

1. *Urges* Member States to give attention to adopting and promptly implementing Annex 9's Recommended Practices 8.47 and 8.48;
2. *Calls on* Member States to give due regard to Circular 352, *Guidelines for Training Cabin Crew on Identifying and Responding to Trafficking in Persons*, in their implementation of the relevant provisions of Annex 9; and
3. *Requests* that the Council ensure that relevant guidance material related to the issue of combatting human trafficking is current and responsive to the needs of Member States.

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14.20 In WP/134, ACI and IATA, reporting on their work to support their members assist in the fight against human trafficking, noted that suspicions of trafficking should be communicated to competent authorities in time for them to take action. States should ensure that clear reporting systems are in place and to communicate points of contact within competent authorities to airport and aircraft operators. One delegation mentioned the outstanding work of ACI and IATA on incorporating awareness training in the operational training programmes.

14.21 The Committee, in noting the work undertaken by these organizations on the matter of human trafficking, endorsed the proposal that States should be encouraged to implement Recommended Practice 8.47 of Annex 9 – *Facilitation* at the earliest opportunity.

*Persons with Disabilities/Accessibility in Aviation*

14.22 The Dominican Republic, in WP/389, in reporting on progress made by the State in the implementation of the continuing ICAO policies in the area of air transport facilitation and the provisions related to facilitation in matters such as accessibility to and universal design of its air terminals, invited the Assembly to urge ICAO to take into account the recommendations from Doc 9984, *Manual on Access to Air Transport by Persons with Disabilities*, and from Chapter 8, Section H of Annex 9 — *Facilitation*, and to convert them into Standards.

14.23 The Dominican Republic also presented WP/471, that provided information on several initiatives undertaken by the State relating to accessibility and universal design, towards the implementation of Resolution A39-20 and concomitant compliance with Doc 9984, and, as well, invited the Assembly to: a) urge ICAO to conduct studies and compile background information to be used by States for analysing the usefulness of updating Doc 9984; and, b) urge ICAO to incorporate a portion of the content of Doc 9984 into Annex 9 as Standards or Recommended Practices.

14.24 In its consideration of WPs/389 and 471, the Committee agreed that the Council should be requested to consider undertaking a study to update Doc 9984. The Committee's view with regard to the recommendation to incorporate elements of the document into Annex 9 — *Facilitation*, as Standards or Recommended Practices was that it was premature to determine whether anything further is required in terms of SARPs, and that only after a case-by-case approach, and after a discussion among experts, should proposals to convert relevant Recommended Practices in Annex 9 to Standards be made.

14.25 Canada, on behalf of Australia, ACI and IATA, noted, in WP/284, that medical advances and new assistive and other technologies are making it more feasible for people with disabilities to travel, including by air and that barrier-free air services play an important role in allowing persons with disabilities to live with independence and dignity. In order that such barriers to air travel are reduced, the Assembly was invited to: a) recognize the importance of increasing awareness and continuing to collaborate to advance accessibility in aviation; and b) encourage Member States to provide information to ICAO to support the development of a compendium of regulation, statutes, and policies relating to accessibility in aviation.

14.26 The Committee, in recognizing the importance of increasing awareness and continuing to collaborate to advance accessibility in aviation, endorsed the proposal that Member States should be encouraged to provide information to ICAO to support the development of a compendium of regulation, statutes, and policies relating to accessibility in aviation.

14.27 Brazil, on behalf of a group of LACAC Member States, shared, in WP/322, the Brazilian Standard Procedures Manual for Persons with Reduced Mobility Assistance (SPM-PDRM), based on experiences of Rio 2016 Paralympic Games at the main Brazilian airports.

14.28 The Committee, in noting the information provided by Brazil regarding its experience on implementing accessibility measures based on Doc 9984, agreed with the proposals that: a) Member States should be encouraged to submit to the FAL Panel their procedures relating to accessibility, for subsequent publication; and, (b) the Council be requested to promote, as appropriate, the exchange of experiences and best practices for the application of Doc 9984.

14.29 In WP/346, IATA, informed that the aviation industry is experiencing a steady increase in national/regional disability policies that are either not harmonized or are in direct conflict with each other, in spite of Annex 9's provisions on the matter and that IATA has developed a set of core principles (set out in Appendix A to the paper), which support the harmonized implementation of legislation and policies on disability.

14.30 In its consideration of WP/346, the Committee recognizing that a harmonised approach to the work on accessibility in aviation is a contributor to the achievement of the UN Sustainable Development Goals (SDGs), agreed that where appropriate, Member States should be invited to consider the IATA core principles on passengers with disabilities when developing and implementing regulations in this area. The Committee supported the global objectives set out in WP/346.

14.31 Completing its work on this agenda item, the Committee considered the proposed revisions to the *Consolidated statement of continuing ICAO policies and practices related to Facilitation* as presented in WP/61, which contained a revised version of a draft resolution for adoption by the Assembly (Resolution 14/2).

14.32 Having reviewed the revised version of the draft resolution, and having amended Appendix D, the Committee agreed to recommend to the Plenary to adopt the following resolution which should supersede Resolution A39-20:

**Resolution 14/3: Consolidated statement of continuing ICAO policies related to facilitation**

*Whereas* Annex 9 — *Facilitation*, was developed as a means of articulating the obligations of Member States under Articles 22, 23 and 24 of the Convention and standardizing procedures for meeting the legal requirements referred to in Articles 10, 13, 14, 29 and 35;

*Whereas* implementation of the Standards and Recommended Practices in Annex 9 is essential to facilitate the clearance of aircraft, passengers and their baggage, cargo and mail and manage challenges in border controls and airport processes so as to maintain the efficiency of air transport operations;

*Whereas* it is essential that Member States continue to pursue the objective of maximizing efficiency and security in such clearance operations; and

*Whereas* United Nations Security Council resolutions stress the continuing importance of ICAO's work on border control management and security of travel documents in the fight against terrorism.

*The Assembly:*

1. *Resolves* that the Appendices attached to this resolution and listed below constitute the consolidated statement of continuing ICAO policies related to facilitation, as these policies exist at the close of the 40th Session of the Assembly:

Appendix A — Development and implementation of facilitation provisions

Appendix B — National and international action in ensuring the security and integrity of traveller identification and border controls

Appendix C — National and international action and cooperation on facilitation matters

Appendix D — Passenger Data Exchange Systems

2. *Requests* the Council to keep the consolidated statement related to facilitation under review and advise the Assembly as appropriate when changes are needed to the statement; and

3. *Declares* that this resolution supersedes Resolution A39-20: Consolidated statement of continuing policies related to facilitation.

**APPENDIX A**

**Development and implementation of facilitation provisions**

*Whereas* the *Convention on the Rights of Persons with Disabilities* and its Optional Protocol, that had been adopted in December 2006 by the United Nations General Assembly, entered into force on 3 May 2008;

*Whereas* the development of specifications for machine readable travel documents by the Organization has proved effective in the development of systems that expedite the movement of international passengers and crew members through clearance control at airports while enhancing immigration and other border control authorities compliance programmes;

*Whereas* the development of a set of standard signs to facilitate the efficient use of airport terminals by travellers and other users has proved effective and beneficial;

*Whereas* making air travel accessible for all passengers is a key contributor to the achievement of the UN Sustainable Development Goals (SDGs);

*Whereas* Machine Readable Travel Documents strengthen the border control management process and enhance security by improving the integrity of documents which verify the identity of travellers and air crew;

*Whereas* the 38th Session of the ICAO Assembly in 2013 resolved that Members States should be encouraged to use the Electronic Filing of Differences (EFOD) System that was developed to address the need for a more efficient means of reporting and researching differences to Standards and Recommended Practices and for replacing the existing paper-based mechanism;

*Mindful* of the Annex 9 — *Facilitation* components that support both border management and border security objectives which are audited under the ICAO Universal Security Audit Programme (USAP); and

*Recalling* the Communique of the High-Level Conference on Aviation Security held in Montréal in November 2018, and the conference's conclusions and recommendations related to border control management.

*The Assembly:*

1. *Urges* Member States to give special attention to increasing their efforts to implement Annex 9 Standards and Recommended Practices;
2. *Urges* Member States to give due regard to Doc 9984, *Manual on Access to Air Transport by Persons with Disabilities*, in their implementation of the relevant provisions of Annex 9;
3. *Requests* the Council to develop a work programme on accessibility for passengers with disability in order to reach for a disability-inclusive air transport system;
4. *Requests* the Council to ensure that Annex 9 — *Facilitation*, is current and addresses the contemporary requirements of Member States as well as their appropriate obligations towards the United Nations Security Council resolutions with respect to border control management and security of travel documents, in addition to Member States' requirements relating to the administration of cargo and passengers; and advances in technologies related to such administration; cargo facilitation; the handling of and responses to health-related and other disruptive events to aviation; and unaccompanied minors;
5. *Requests* the Council to ensure that relevant guidance material is current and responsive to the requirements of Member States;
6. *Requests* the Council to ensure that the provisions of Annex 9 — *Facilitation* relating to border control management, and Annex 17 — *Security*, are compatible with and complementary to each other;

7. *Urges* Member States to give due regard to existing guidance material and best practices on wayfinding and signage, including Doc 9636, *International Signs to Provide Guidance to Persons at Airports and Marine Terminals*, to the extent it remains applicable;
8. *Urges* Member States to ensure that all relevant agencies and departments that have a role in the implementation of Annex 9 – *Facilitation*, including but not limited to, civil aviation administrations, immigration, customs, health, quarantine, travel document-issuing authorities, air traffic control, law enforcement, postal authorities, border police, and foreign affairs, collaborate and coordinate their efforts through the national air transport facilitation committee or similar arrangements, , in order that the Annex 9 Compliance Checklist is comprehensively completed in the Electronic Filing of Differences (EFOD) System;
9. *Reaffirms* that the Facilitation Programmes must continue to be treated as a matter of highest priority and appropriate resources should be made available by ICAO and its Member States;
10. *Urges* all Member States to continue to financially support the Organization’s facilitation activities with voluntary contributions in the form of human and financial resources beyond those budgeted for under the regular programme; and
11. *Recognizing* the leadership role of ICAO in the area of facilitation activities, requests the Council and the Secretary General to ensure the long term sustainability of the Organization’s facilitation programmes, by taking measures to incorporate the funding requirements within the Regular Programme Budget as soon as possible and to the extent practicable.

## **APPENDIX B**

### **National and international action in ensuring the integrity of traveller identification and border controls and enhancing security**

*Whereas* Member States recognize the relevance of traveller identification and border control management to the ICAO Strategic Objective of aviation security and facilitation;

*Whereas* Member States recognize that the ability to uniquely identify individuals requires a holistic and coordinated approach, which links the following five interdependent elements of traveller identification and border control management into a coherent framework:

- a) Foundational documents, tools and processes required to ensure authentic evidence of identity;
- b) The design and manufacture of standardized Machine Readable Travel Documents (MRTDs), especially ePassports, that comply with ICAO specifications defined in Doc 9303, *Machine Readable Travel Documents*;
- c) Processes and protocols for document issuance by appropriate authorities to authorized holders, and controls to combat theft, tampering and loss;
- d) Inspection systems and tools for the efficient and secure reading and verification of MRTDs at borders, including use of the ICAO Public Key Directory (PKD); and

- e) Interoperable applications that provide for timely, secure and reliable linkage of MRTDs and their holders to available and relevant data in the course of inspection operations;

*Whereas* Member States require capacity to uniquely identify individuals and require tools and mechanisms available to establish and confirm the identity of travellers;

*Whereas* the ICAO Traveller Identification Programme (ICAO TRIP) Strategy provides the global framework for achieving the maximum benefits of travel documents and border controls by bringing together the elements of the traveller identification management;

*Whereas* Member States of the United Nations have resolved, under resolution 70/1 adopted on 25 September 2015 to adopt a 2030 Agenda for Sustainable Development that includes a set of 17 Sustainable Development Goals (SDGs) supported by 169 targets, the target 16.9 being to provide legal identity for all, including birth registration by 2030;

*Whereas* the United Nations Security Council, in resolutions 1373 (2001), 2178 (2014) and 2396 (2017) decided that all Member 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;

*Whereas* the veracity and validity of machine readable travel documents (MRTDs) depends on the readability and protection of these documents, physical securities contributing to them, and electronic securities guaranteeing them;

*Whereas* the limitation of the number of possible civil status for a person depends on the documentation used to establish identity, confirm citizenship or nationality and assess entitlement of the passport applicant (i.e. breeder documentation);

*Whereas* the passport is the main official travel document that denotes a person's identity and citizenship and is intended to inform the State of transit or destination that the bearer can return to the State which issued the passport;

*Whereas* international confidence in the integrity of the passport is essential to the functioning of the international travel system;

*Whereas* the use of stolen blank passports, by those attempting to enter a country under a false identity, is increasing worldwide;

*Whereas* reporting promptly accurate information about stolen, lost or revoked travel documents issued by each Member State to the International Criminal Police Organization (INTERPOL) Stolen and Lost Travel Documents (SLTD) database is an Annex 9 – *Facilitation* Standard;

*Whereas* the security of traveller identification and border controls depends on a robust identification management system and the integrity of the travel document issuance process;

*Whereas* high-level cooperation among Member States is required in order to strengthen resistance to passport fraud, including the forgery or counterfeiting of passports, the use of forged or counterfeit

passports, the use of valid passports by impostors, the use of expired or revoked passports, and the use of fraudulently obtained passports;

*Whereas* Member States of the United Nations have resolved, under the Global Counter-Terrorism Strategy adopted on 8 September 2006, to step up efforts and cooperation at every level, as appropriate, to improve the security of manufacturing and issuing identity and travel documents and to prevent and detect their alteration or fraudulent use;

*Whereas* enhanced and intensified cooperation among Member States is required in order to combat and prevent identification and travel document fraud;

*Whereas* the criminal focus worldwide has been increasingly shifting from travel document fraud to identity fraud;

*Whereas* Convention Travel Documents (CTDs) are travel documents that States Parties to the 1951 Convention Relating to the Status of Refugees (“the 1951 Convention”) and the 1954 Convention Relating to the Status of Stateless Persons (“the 1954 Convention”) shall issue to refugees or stateless persons lawfully staying on their territory (see respective Article 28 of both Conventions), and as such are travel documents foreseen in two international treaties for persons benefitting from an internationally recognized status;

*Whereas* ICAO has set up the Public Key Directory (PKD) to verify, validate and authenticate biometrically-enhanced Machine Readable Passports (MRPs) also known as ePassports, thereby strengthening their security and the integrity of border controls;

*Whereas* Member States request from ICAO Programmes technical assistance and capacity-building support in strengthening their traveller identification and border control management; and

*Whereas* cooperation on human trafficking matters amongst Member States and with the various national, regional, international parties and other stakeholders interested in this area has brought benefits to procedures to combat trafficking in persons.

*The Assembly:*

1. *Urges* Member States, through their travel document and border control management, to uniquely identify individuals to maximize facilitation and aviation security benefits, including preventing acts of unlawful interference and other threats to civil aviation;
2. *Urges* Member States to implement rigorous processes and tools to safeguard the integrity and security of breeder documentation by notably applying evidence of identity principles such as ensuring that identity exists and is living through the verification against two different data sources, the applicant links to identity and is unique to the system through the provision of confidence of the applicant’s “social footprint” meaning how a person interacts with society’s stakeholders during the life cycle and the check against agency record or by associating the record with one or more biometrics;
3. *Urges* Member States to intensify their efforts in developing and implementing a robust identification management system and safeguard the security and integrity of the travel document issuance process;

4. *Urges* Member States to intensify their efforts in establishing and implementing a solid verification system of the integrity of electronic passports, in particular by reading their electronic signatures and verifying their validity;
5. *Requests* the Council to direct the Secretary General to maintain up to date the roadmap for the implementation of the ICAO TRIP Strategy to assist Member States to uniquely identify individuals, and to enhance the security and integrity of their travel documents and border controls;
6. *Requests* Member States to intensify their efforts to safeguard the security and integrity of traveller identification and border controls, and to assist one another in these matters;
7. *Urges* those Member States that have not already done so, to issue machine readable passports in accordance with the specifications of Doc 9303;
8. *Reminds* Member States to ensure that non-machine readable passports are withdrawn from circulation;
9. *Urges* Member States to ensure that when issuing travel documents for refugees and stateless persons (“Convention Travel Documents (CTDs)”), these CTDs are machine readable, in accordance with the specifications of Doc 9303;
10. *Reminds* Member States to establish controls to safeguard against the theft of blank travel documents and the misappropriation of newly issued travel documents;
11. *Urges* those Member States requiring assistance in building effective and efficient traveller identification and border control systems to contact ICAO without delay;
12. *Requests* the Council to ensure that specifications and guidance material contained in Doc 9303, *Machine Readable Travel Documents*, remain up to date in the light of technological advances;
13. *Urges* Member States to reinforce their border control management processes as also required by the relevant United Nations Security Council resolutions, by implementing the related Annex 9 — *Facilitation Standards*.
14. *Calls* upon Member States to implement technological solutions aimed at enhancing security and facilitation of border controls while improving clearance procedures, such as the joint use of Automated Border Control (ABC) gates and the ICAO Public Key Directory when checking ePassports;
15. *Requests* the Secretary General to continue to explore technological solutions aimed at enhancing security and facilitation of border controls while improving clearance procedures;
16. *Requests* the Council to continue the work on further strengthening the integrity of traveller identification and border controls management and enhancing security, and developing guidance material to assist Member States to further those objectives;

17. *Urges* the Council to explore ways of intensifying assistance and capacity-building support to Member States in the traveller identification and border control areas, including a proactive leadership role for ICAO in facilitating and coordinating such assistance in the international community;
18. *Urges* all Member States to join the ICAO PKD and to use the information available from the ICAO PKD to validate eMRTDs at border controls;
19. *Urges* those Member States that are not already doing so to promptly report accurate information about stolen, lost, and revoked travel documents issued by their State, to INTERPOL for inclusion in their Stolen and Lost Travel Document (SLTD) Database;
20. *Calls* upon those Member States that are not already doing so to query, at entry and departure border control points, the travel documents of individuals travelling internationally against the INTERPOL Stolen and Lost Travel Documents (SLTD) database;
21. *Urges* Member States to establish efficient and effective mechanisms in order to implement submissions to and queries of, the SLTD database.
22. *Urges* Member States to establish between all involved stakeholders an efficient information sharing and collaboration system in the prevention of human trafficking; and
23. *Requests* the Secretary General to ensure the development of relevant guidance material on procedures to implement to combat trafficking in persons in order to support Member States in their implementation of the provisions of Annex 9 – *Facilitation* related to trafficking in persons.

## APPENDIX C

### **National and international action and cooperation on facilitation matters**

*Whereas* there is a need for continuing action by Member States to improve the effectiveness and efficiency of clearance control formalities;

*Whereas* the establishment and active operation of national air transport facilitation programmes and facilitation committees is a proven means of effecting needed improvements;

*Whereas* cooperation on facilitation matters amongst Member States and with the various national, regional and international parties interested in facilitation matters has brought benefits to all concerned;

*Whereas* such cooperation has become vital in the light of the proliferation of non-uniform passenger data exchange systems that adversely affect the viability of the air transport industry, and the increasing requests by border control authorities for exchange of passenger data;

*Whereas* the threat of worldwide transmission of communicable diseases by means of air transport has increased in past years; and

*Whereas* Annex 9 provides for the facilitation of assistance to aircraft accident victims and their families;

*The Assembly:*

1. *Urges* Member States to establish and utilize national air transport facilitation programmes and facilitation committees and adopt policies of cooperation on a regional basis among neighbouring States;
2. *Urges* Member States to participate in regional and subregional air transport facilitation programmes of other intergovernmental aviation organizations;
3. *Urges* Member States to take all necessary steps, through national air transport facilitation programmes and facilitation committees or other appropriate means, for:
  - a) regularly calling the attention of all interested departments of their governments to the need for:
    - i. making the national regulations and practices conform to the provisions and intent of Annex 9; and
    - ii. working out satisfactory solutions for day-to-day problems in the facilitation field;
  - b) taking the initiative in any follow-up action required; and
  - c) ensuring that the appropriate coordination is in place for the effective implementation of the ICAO TRIP Strategy.
4. *Urges* Member States to encourage the study of facilitation problems by their national and other facilitation programmes and committees and to coordinate the findings of their committees on facilitation problems with those of other Member States with which they have air links;
5. *Urges* neighbouring and bordering Member States to consult one another about common problems that they may have in the facilitation field whenever it appears that these consultations may lead to a uniform solution of such problems;
6. *Urges* Member States, aircraft operators and airport operators to continue to cooperate intensively as regards:
  - a) identification and solution of facilitation problems; and
  - b) developing cooperative arrangements for the prevention of illicit narcotics trafficking, illegal immigration, the spread of communicable diseases and other threats to national interests;
7. *Urges* Member States to call upon aircraft and airport operators and their associations to participate in electronic data interchange systems in order to achieve maximum efficiency levels in the processing of cargo traffic at international terminals;
8. *Urges* Member States to implement the provisions of Annex 9 to facilitate assistance to aircraft accident victims and their families;

9. *Requests* the Council to consider upgrading Annex 9 Recommended Practice 8.46 into an international Standard, as well as to consider introducing a new Annex 9 Recommended Practice, addressed to aircraft and airport operators on the development of appropriate plans to provide timely and effective assistance to aircraft accident victims and their families and to communicate them to ICAO;
10. *Urges* Member States and aircraft and airport operators, in cooperation with interested international organizations, to make all possible efforts to speed up the handling and clearance of air cargo, while ensuring the security of the international supply chain;
11. *Urges* Member States to undertake dialogue and cooperation between national, regional and international, border control and security-related bodies regarding their obligations towards Annex 9 - *Facilitation* and relevant United Nations Security Council resolutions; and
12. *Requests* the Secretary General to ensure ICAO continues its work on border control management and security of travel documents in the fight against terrorism, and to strengthen its cooperation and collaboration with relevant United Nations (UN) agencies, such as UN Office of Counter Terrorism (UNOCT) and UN Office on Drugs and Crime (UNODC).

## APPENDIX D

### Passenger Data Exchange Systems

*Whereas* there is a need for continuing action by Member States to improve the effectiveness and efficiency of clearance control formalities;

*Whereas* UN Security Council, in resolution 2396 (2017), in welcoming ICAO's decision to establish a standard under Annex 9 — *Facilitation*, regarding the use of Advance Passenger Information (API) systems by its Member States, and recognizing that many ICAO Member States have yet to implement this standard, has decided, in paragraph 11, that in furtherance of paragraph 9 of resolution 2178 (2014) and the ICAO standard, its Member States are, inter alia, to establish API systems and shall require airlines operating in their territories to provide API to the appropriate national authorities.

*Whereas* UN Security Council, also in resolution 2396, at paragraph 12, has decided that Member States shall develop the capability to collect, process and analyse, in furtherance of ICAO standards and recommended practices, 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 calls upon Member States, the UN, and other international, regional, and subregional entities to provide technical assistance, resources and capacity building to Member States in order to implement such capabilities, and, where appropriate, encourages Member States to share PNR data with relevant or concerned Member States to detect foreign terrorist fighters returning to their countries of origin or nationality, or traveling or relocating to a third country, with particular regard for all individuals designated by the Committee established pursuant to resolutions 1267 (1999), 1989 (2011), and 2253 (2015), and also urges ICAO to work with its Member States to establish a standard for the collection, use, processing and protection of PNR data.

*Whereas* the UN Security Council, in resolution 2482 (2019), has called upon Member States to implement obligations to collect and analyze API and develop the ability to collect, process and analyse, in furtherance

of International Civil Aviation Organization (ICAO) standards recommended practices, PNR data and to ensure PNR data is used by and shared with competent national authorities, with full respect for human rights and fundamental freedoms, which will help security officials make connections between individuals associated to organized crime, whether domestic or transnational, and terrorists, to stop terrorist travel and prosecute terrorism and organized crime, whether domestic or transnational, including by making use of capacity building programmes; and

*Whereas* the use of both API and PNR data as mentioned in the ICAO TRIP Strategy can also be employed for security purposes, adding an important layer to the international civil aviation system, in order to detect terrorists and prevent acts of unlawful interference well before the aircraft boarding process;

*The Assembly:*

1. *Urges* Member States to call upon aircraft operators offering international air transport services to participate in electronic data interchange systems by providing advance passenger information in order to achieve maximum efficiency levels in the processing of passenger traffic at international airports;
2. *Urges* Member States, in the use of electronic passenger data exchange systems, to ensure that the passenger data requirements conform to international standards adopted by relevant United Nations agencies for this purpose, and to ensure the security, fair processing and safeguarding of such data with full respect for human rights;
3. *Urges* Member States to assist and share best practices, as appropriate, with other Member States in the establishment of passenger data exchange systems; and
4. *Requests* Member States that have not already done so, to develop the capability to collect, process and analyse PNR data and to ensure that PNR data is used by and shared with their competent national authorities, with full respect for human rights and fundamental freedoms for the purpose of preventing, detecting and investigating terrorist offences and related travel.

— END —