



ICAO

## INTERNATIONAL CIVIL AVIATION ORGANIZATION

### SIX MEETING OF DIRECTORS-GENERAL OF CIVIL AVIATION (DGCA/6) (Brazzaville, Congo, 2 – 4 November 2016)

#### Agenda Item 5: Global and regional developments related to Aviation Security and Facilitation

#### DEVELOPMENTS IN THE ICAO FACILITATION PROGRAMME

*(Presented by the  
Secretariat)*

SUMMARY
This paper presents recent developments in the ICAO Facilitation Programme, i.e. Annex 9 — <i>Facilitation</i> , the Traveller Identification Programme (TRIP) Strategy and the Public Key Directory (PKD).
<b>REFERENCES:</b> Annex 9 — <i>Facilitation</i> Doc 9303, <i>Machine Readable Travel Documents</i> A39-WP/19, <i>Developments Pertaining to the ICAO Public Key Directory (PKD)</i> A39-WP/40, <i>Developments Pertaining to the ICAO Traveller Identification Programme (TRIP) Strategy</i> A39-WP/41, <i>Consolidated Statement on Continuing ICAO Policies Related to Facilitation</i> A39-WP/42, <i>Developments Pertaining to Annex 9 — Facilitation</i> A39-WP/499, <i>Report of the Executive Committee on Agenda Item 19</i>
<b>Related ICAO Strategic Objective:</b> C— <i>Security and Facilitation.</i>

#### 1. INTRODUCTION

1.1 In the area of aviation security and facilitation, the 39th ICAO Assembly confirmed ICAO's emphasis on achieving greater balance between effective control measures and system-wide efficiency. Thus, key principles such as risk management-based prioritization and mutual recognition of equivalent security

measures will continue to serve as foundational components to Security and Facilitation discussions in ICAO. The Strategic Objective “Security and Facilitation” continues to reflect the need for ICAO's leadership in aviation security, facilitation and related border security matters.

## 2. DISCUSSION

### *Developments in Annex 9*

2.1 The ninth meeting of the Facilitation Panel (FALP/9) was held at ICAO Headquarters, Montréal, from 4 to 7 April 2016. The final report and other documentation of the meeting can be found on the FALP/9 website at: <http://www.icao.int/Meetings/FALP/Pages/FALP9-2016.aspx>. The Panel's recommendations for amendments to Annex 9 — *Facilitation*, to be submitted to the Air Transport Committee on 19 October 2016 for initial review, and subsequent dissemination to Member States for comments, before they are submitted to the Council in early 2017 for consideration, comprise of a variety of conclusions, some of them with a high relevance for Aviation Security.

2.2 The Panel's recommendations include proposals for:

- a) a new Standard obliging each Contracting State to establish an Advance Passenger Information (API) system in light, inter alia, of UN Security Council Resolution 2178 (2014) and of the increasing use of API for border security and counter-terrorism;
- b) enhanced Passenger Name Record (PNR)-related provisions, in response to the growth in PNR programmes and in order to support adherence to content, format and transmission standards to mitigate non-compliant PNR data requests;
- c) new Recommended Practices on Electronic Travel Systems (ETS), in response to increasing requirements by Governments to require passengers to apply for a travel authorization or to register online prior to boarding a flight for travel, so that ETS-related terminology is standardized and this technology is included within the Annex 9 policy and regulatory framework and guidance provided to governments planning implementation of an electronic version of visa issuance or travel authority;
- d) including the nationality of passengers in Appendix 2 to Annex 9, Passenger Manifest, in order to improve the accuracy and speed of information that can be provided to families of aircraft accident victims;
- e) new Standards and Recommended Practices on the transport of minors, in light of increasing international awareness on the foreign fighters phenomenon and on child trafficking, and the limited availability of international guidance on the treatment of minors travelling by air, in order to help harmonize the policies and procedures followed by Contracting States and aircraft operators on the handling and safety of minors; and
- f) augmented provisions on Automated Border Control (ABC) systems, as a result of

the increasing use of such systems.

2.3 The 39th Session of the Assembly endorsed priorities for the FAL Programme and expected outcomes for the 2017-2019 triennium. These are set out in A39-WP/42, available on the ICAO A39 website at <http://www.icao.int/Meetings/a39/Pages/default.aspx>.

### ***Developments pertaining to ICAO TRIP***

2.4 The ICAO Traveller Identification Programme (ICAO TRIP) Strategy provides the framework for achieving significant enhancements in aviation security and facilitation by bringing together the elements of identification management, namely, Evidence of Identity, Machine Readable Travel Documents (MRTDs), Document issuance and Control, Inspection Systems and Tools and Interoperable Applications.

2.5 The first Meeting of the Technical Advisory Group on the Traveller Identification Programme (TAG/TRIP/1) (formerly known as the TAG/Machine Readable Travel Documents), was held in Montréal from 30 March to 1 April 2016. The TAG/TRIP undertakes the tasks required for the implementation of the ICAO TRIP Strategy and the provision of related capacity building assistance. The activities of the TAG/TRIP are supported by two working groups, the New Technologies Working Group (NTWG) and the Implementation and Capacity Building Working Group (ICBWG).

2.6 The primary on-going activities of the TAG/TRIP include:

- a) development of the Logical Data Structure, Version 2.0 (LDS2);
- b) development of a “Roadmap for Implementation of New Specifications” to support the introduction of new travel document and inspection systems;
- c) development of specifications for digital seals for non-electronic documents;
- d) updating of test specifications for eMRTDs and associated inspection systems;
- e) amendments to acceptable date formats for use in the visual inspection zone (VIZ) of MRTDs;
- f) creation of guidelines for Optical Machine Authentication to support document processing while preserving the security design of MRTDs;
- g) monitoring of the status of States in relation to non-compliant machine readable passports (MRPs) and electronic MRPs (eMRPs);
- h) contribution of expertise to ICAO TRIP capacity building, gap assessment, regional seminars and symposia;
- i) establishment of a scheme to enable authorities to validate compliance of MRTDs and eMRTDs with the specifications of Doc 9303; and,
- j) development of guidance on evidence of identity.

2.7 The future work programmes of the NTWG and the ICBWG includes:

- a) development of a comprehensive approach to the policy and process issues that arise from the use of advanced technologies in MRTDs and eMRTDs;
- b) development of guidance material to promote the use of eMRTDs beyond border control to the wider community involved in identity verification activities;
- c) development of guidance material to promote the real time secure validation of travel document data, among States and their respective agencies;
- d) monitoring and responding to the evolution of technology to provide a secure infrastructure for eMRTDs and data validation;
- e) exploration of the use of mobile credentials as globally enabled travel documents;
- f) establishment of a sub-group of the ICBWG to focus on issues faced by small States (i.e. States which have population of less than half a million inhabitants); and,
- g) reviewing on a regular basis the content of existing guidance to ensure it remains current.

2.8 The 39th Assembly also endorsed the priorities for the ICAO Traveller Identification Programme (TRIP) Strategy and expected outcomes for the next triennium. These are set out in A39-WP/40, available on the ICAO A39 website.

#### ***Developments pertaining to the ICAO Public Key Directory (PKD)***

2.9 The ICAO PKD was established to support Member States in gaining access to public key information stored in the chip to validate and authenticate ePassports. The validation of ePassports through the use of the ICAO PKD is an essential element in capitalizing on the investment made by States in developing such travel documents, contributing to improved border security and facilitation, combating terrorism and crime, and promoting secure and efficient air travel globally.

2.10 The PKD currently has 54 members. However, there remains a significant gap between the number of States issuing e-Passports, the number of States participating in the PKD and those States using the PKD in day-to-day border control operations. Therefore, with a view to encouraging participation in the ICAO PKD, Amendment 25 to Annex 9 – *Facilitation*, presented a revision to the PKD Recommended Practice 3.9.1. The Recommended Practice is now divided into two Recommended Practices: one aimed at document issuers and one for border control authorities. ICAO strongly recommends PKD participation, and the revision of Annex 9 reinforces this position.

2.11 Member States are urged to join the PKD because of the importance of enhancing cross-border security and air transport facilitation. States benefit from joining the ICAO PKD because citizens holding ePassports can take advantage of the facilitation benefits of ePassports. For instance, some States only allow access to their Automated Border Control (ABC) gates for ePassport holders for whom a reliable source of digital certificates from their States (such as PKD) is available. Border control authorities also have an interest in joining

the ICAO PKD to gain access to timely and reliable sources of information to assist in validating ePassports. Checking the authenticity and validity of ePassports contributes to secure and efficient traveller facilitation as it helps to expedite the border crossing of legitimate travellers.

### **3. ACTION BY THE MEETING**

3.1 The meeting is invited to take note of the information presented in this paper highlighting developments in all ICAO's Facilitation Programmes, including the status of the implementation of the ICAO Traveller Identification Programme (TRIP) strategy. At the same time, Member States are urged to join the PKD because of the importance of enhancing cross-border security and air transport facilitation.

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