



Assessing Security of Handling and Issuance of Travel Documents: How to Use the ICAO Guide

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Presentation Overview

1. Context

- Chicago Convention
- SARPs
- Annex 9

2. The Guide

- Purpose
- What is the Guide
- Parts 1 and 2

3. Assessments

- Self-Assessment or Independent?
- Self-Assessment
- Points to Remember

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CONTEXT

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Chicago Convention

CONVENTION
ON
INTERNATIONAL
CIVIL AVIATION
DONE
AT CHICAGO
ON THE
7TH DAY OF DECEMBER
1944

- **Article 22:** Facilitation of Formalities
- **Article 37:** Adoption of International Standards and Procedures



SARPs

**Standard
("shall"):**
Uniform
observance;
contracting states
must notify the
Council of non-
compliance

**Recommended
Practice
("should"):**
No obligation to
comply;
contracting states
will endeavour to
conform



Annex 9

- **3.8** Contracting States **shall** establish controls to safeguard against the theft of their blank travel documents and the misappropriation of newly issued travel documents
- **3.8.1** Contracting States **shall** establish appropriate controls over the entire travel document application, adjudication and issuance processes to ensure a high level of integrity and security

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THE GUIDE

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Purpose

For use by:

- passport issuing authorities to self-assess
- qualified assessors to carry out assessments

Created in response to lack of:

- *Awareness of potential vulnerabilities*
- *Guidance material*
- *Practical tools/framework assessments*

Benefits:

- *Identify and address gaps*
- *Ongoing program improvement*



What is the Guide?

Part 1:

Best Practices

Recommended best practices to mitigate security threats to the travel document issuance process

Part 2:

Assessment Guide

Evaluation checklists to assess security of each component of the issuance process and identify gaps relative to recommended best practices



P1: Best Practices

1. Travel Document Issuing Authority Structure
2. Application Process
3. Entitlement Process
4. Treatment of Materials and Blank Books
5. Personalization and Delivery
6. Document Security
7. Facility Security
8. Information Technology Security
9. Protecting and Promoting Personnel and Agency Integrity
10. Lost and Stolen Travel Documents
11. Overseas Issuance
12. National and International Stakeholders



P2: Assessment Guide

Completed by assessors

Automatically generated

No.	Section	Question	% Compliance	Remarks on Gaps and Mitigation Measures	Risk H/M/L	Risk Score
Chapter 1 - Travel Document Issuing Authority - Organizational Structure, Internal Security and General						
1.2 Organizational Structure						
101	1.2.1	Is the Travel Document Issuing Authority (TDIA) an independent governmental organization (or section) focusing only on the issuance of travel document (and other governmental ID documents)?	Column 4	Column 5	Column 6	
102	1.2.1	Is there only one TDIA responsible for all travel documents issued?				



P2: Assessment Guide

% Compliance	Scale of 0-100
Remarks on Gaps and Mitigation Measures	If <100% compliance, description of how non-compliant and any related mitigation measures
Risk H/M/L	Drop-down menu: High, Medium, Low

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ASSESSMENTS

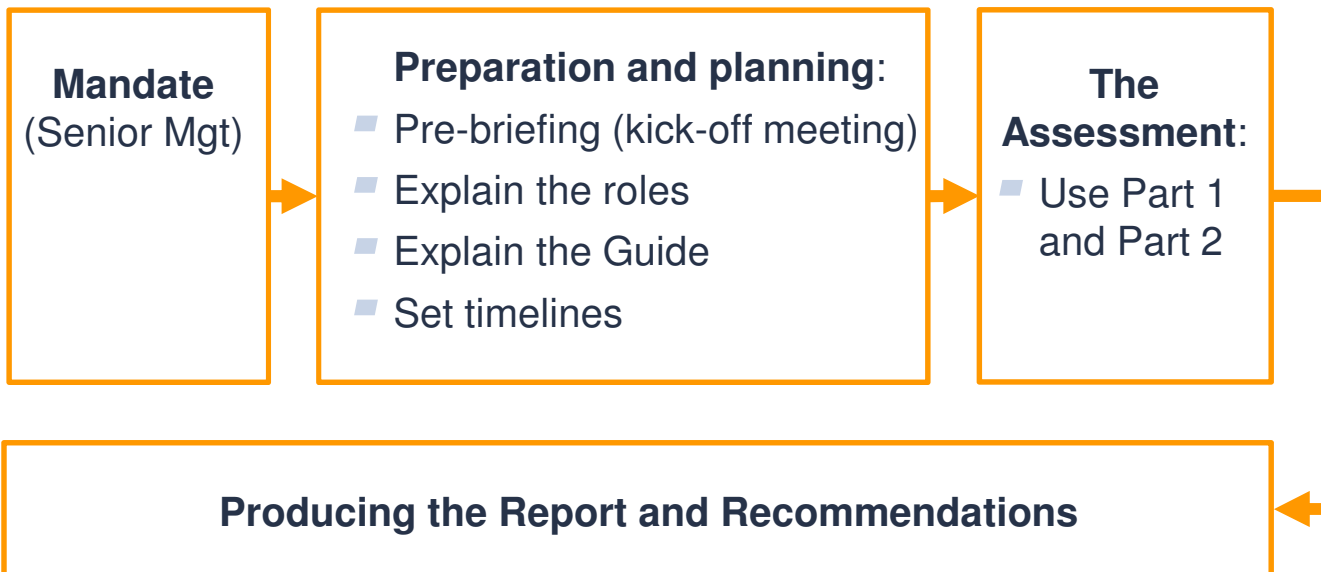


Self-Assessment or Independent?

- Degree of assessor's experience
- Bias
- Resources available



Self-Assessments





Points to Remember

- Assessment is not a test
- Do not focus on the score
- Preparation and planning is essential
- Assessment must include recommendations
- Do it again



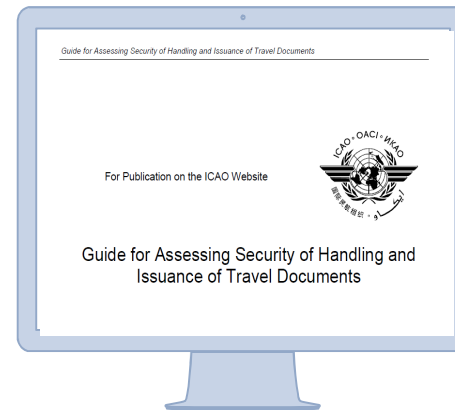
Resources

Where to find the Guide

<https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>

ICBWG

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THANK YOU!

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