



WORKING PAPER

ASSEMBLY — 40TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 14: Facilitation Programmes

**DEVELOPMENTS PERTAINING TO THE ICAO TRAVELLER IDENTIFICATION
PROGRAMME (ICAO TRIP) STRATEGY**

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

In 2016, the 39th Session of the Assembly endorsed the priorities and outcomes for the ICAO Traveller Identification Programme (ICAO TRIP) Strategy for the 2017-2019 triennium.

Based on the 2016 revised Terms of Reference (ToRs) of the Technical Advisory Group on the TRIP (TAG/TRIP), the ToRs of the two TAG/TRIP working groups, namely, the ICAO New Technology Working Group (NTWG) and the ICAO Implementation and Capacity Building Working Group (ICBWG), have been revised accordingly. The revised roadmap for the implementation by States of the ICAO TRIP Strategy was endorsed in January 2019 by the Air Transport Committee (ATC) which also approved the revised ICBWG and NTWG ToRs.

This paper highlights the status of implementation of the ICAO TRIP Strategy and reports on developments of the Programme since the last Assembly. It concludes by proposing priorities for the ICAO TRIP Strategy and expected outcomes of its work for the next triennium.

Action: The Assembly is invited to endorse the proposed priorities for the ICAO TRIP Strategy and expected outcomes for the 2020-2022 triennium, as presented in Appendix A.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective — <i>Security and Facilitation</i> .
<i>Financial implications:</i>	The activities referred to in this working paper will be undertaken subject to the resources available in the 2020–2022 Regular Programme Budget and/or from extra-budgetary contributions.
<i>References:</i>	Doc 10075, <i>Assembly Resolutions in Force</i> (as of 6 October 2016) Annex 9 – <i>Facilitation</i> (15th Edition) Doc 9303, <i>Machine Readable Travel Documents</i> A40-WP/6, Developments Pertaining to the ICAO Public Key Directory (PKD)

1. INTRODUCTION

1.1 The ICAO Traveller Identification Programme (ICAO TRIP) Strategy establishes a comprehensive framework for Member States to establish a robust traveler identification process and is composed of five elements related to identification management, namely: Evidence of Identity (EoI); Machine Readable Travel Documents (MRTDs); Document Issuance and Control (DIC); Inspection Systems and Tools (IST), including the ICAO Public Key Directory (PKD); and Interoperable Applications (IA), such as Advance Passenger Information (API) and Passenger Name Record (PNR). The progress made in the implementation of these elements during 2017-2019 triennium is described in the following paragraphs.

2. KEY ACTIVITIES CONDUCTED FOR EACH ELEMENT

2.1 **ICAO TRIP elements.** The ICAO TRIP roadmap was developed by the Secretariat and approved by the Air Transport Committee (ATC) during the 210th Session of the Council in January 2017 (AT-SD 210/1, refers), with the understanding that the roadmap should impose no obligation on States beyond the Standards and Recommended Practices (SARPs) related to the ICAO TRIP Strategy of the Annex 9 — *Facilitation to the Convention on International Civil Aviation*. This roadmap was sent to all Member States in August 2017 with the objective to guide them in their efforts to implement this strategy and comply with the related Annex 9 SARPs as well as with the international specifications for MRTDs contained in Doc 9303, *Machine Readable Travel Documents*. In January 2019, the revised roadmap was endorsed by the ATC (AT-SD 216/1 refers) incorporating notably 16 new and/or revised provisions of the Annex 9 (15th Edition) related to the ICAO TRIP Strategy (Appendix B). One of the most important identified risks is linked to the first element of the TRIP Strategy, EoI, aiming at ensuring credible evidence of identity, involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity. This element, which is under the umbrella of Civil Registries Agencies, cannot be monitored as it is out of the scope covered by Annex 9 provisions.

2.2 At the international level, ICAO's leadership and activities in travel documentation policy and operational matters are recognized by the United Nations Security Council (UNSC), to have made a significant contribution to enhancing aviation security and facilitation, notably through progressive travel document standards and specifications, and traveller identification tools used to secure the borders. In that context, ICAO actively supports UNSC resolutions 2178 (2014), 2309 (2016), 2368 (2017) and 2396 (2017) as well as the newly created United Nations Global Counter-Terrorism Coordination Compact (replacing the former Counter-Terrorism Implementation Task Force (CTITF)) notably through its active participation to the 2018 update of the Madrid Guiding Principle designed by the Counter-Terrorism Committee (CTC) as a practical tool to assist States in stemming the flow of foreign terrorist fighters and to the finalization of the Biometric Guide of the United Nations Counter-Terrorism Executive Directorate (CTED). The relevant UNSC resolutions urged Member States to require airlines to provide API, which is an Annex 9 Standard, mandatory since 23 February 2018, as well as an integral component of the ICAO TRIP Strategy. ICAO also participated actively with the CTED in joint assistance missions focusing on Passenger Data Exchange matters.

2.3 ICAO provided assistance to its Member States in 2017 and 2018, through regional seminars, workshops and technical assessment missions thanks to a donor-funded programme, funded by the Government of Canada. This project "Strengthening Border Control Management in the Caribbean Region" (Appendix C) also consisted of developing a guide on Border Control Management (BCM) which has been finalized and made available to all ICAO Member States in April 2018 (<https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>).

2.4 In order to raise awareness of stakeholders on the traveller identification management concept, several events as listed in Appendix D, were organized in 2017, 2018 and 2019 to promote best practices for traveller identification. In October 2017, the first edition of the ICAO TRIP Strategy Compendium was published and provided States with a comprehensive overview of traveller identification management

<http://www.unitingaviation.com/tripcompendium/>. The *TRIP* magazine continues to be published by ICAO to serve the TRIP community. At the same time, a significant body of ICAO guidance material already exists for many of the elements of the TRIP Strategy as listed in Appendix E.

2.5 **EoI.** The *Guide on Evidence of Identity* was published in 2018. The guide also includes case studies and tools to aid States and agencies in their EoI processes.

2.6 **MRTDs.** In accordance with Annex 9 — *Facilitation*, Standard 3.11 which requires all non-Machine Readable Passports (MRPs) to be out of circulation by 24 November 2015, State letter EC 6/3–12/70 dated 31 December 2012, was disseminated to raise awareness about the deadline. The responses received to date reflect that 156 Member States complied with the deadline, while seven States indicated that non-MRPs would only expire later, in some cases not before 2022. Taking into account the status of non-MRPs and the challenges faced by States in ensuring that travel documents are issued based on proper verification of identity, the ATC will consider the possibility of developing a roadmap for an ePassport Standard (AT-SD/212-1 refers), following ad-hoc recommendations from the Facilitation Panel (FALP) which is planned to meet in 2020. Already 135 Member States are issuing ePassports (Appendix F).

2.7 As part of the support provided to States, the seventh edition of Doc 9303, *Machine Readable Travel Documents*, composed of twelve parts, including eleven supplements previously released in 2015, were updated and published on the ICAO public site (<https://www.icao.int/publications/pages/publication.aspx?docnum=9303>) in all ICAO languages in 2018.

2.8 With regards to the Machine Readable Convention Travel Documents (MRCTD), the joint guidelines developed by ICAO and the UN High Commissioner for Refugees (UNHCR) were updated and a revised version was published in February 2017 <https://www.refworld.org/docid/52b166a34.html>.

2.9 In the context of the ICAO Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA), the Annex 9 - *Facilitation* provisions that support both border management and security objectives are audited providing an indication of their effective implementation (Appendix G). The USAP-CMA Protocol Questions (PQ) related to Facilitation (FAL) audit area have been revised to reflect Amendment 26 to Annex 9. Two new audited Standards have been added, namely 9.5 and 9.6 related to API system implementation and its regulatory framework. Only Annex 9 Standard 3.48 that is being audited became 9.8.

2.10 **DIC.** The scope of the conformity tests of the Doc 9303 compliance scheme has been defined, namely: testing the compliance of the Security Features, the Visual Inspection Zone (VIZ) and the Machine Readable Zone corresponding to ICAO Doc 9303 Parts 2, 3, 4, 5 or 6 and testing the Radio frequency; and protocol testing against the specifications defined in ICAO Doc 9303 Parts 9-12. There is a need to translate the specifications for physical features into test specifications and as the International Organization for Standardization (ISO) SC17/WG 3/Task Force 4 maintains the test specifications for Doc 9303 compliance, the Technical Advisory Group on TRIP (TAG/TRIP) has tasked them to develop these test specifications. As endorsed by the first TAG/TRIP meeting (TAG/TRIP/1), the Secretariat will maintain a list of government and ISO accredited test laboratories and review ICAO legal liability regarding the outsourcing of these tests to the laboratories identified in the list. This process involving a list of certified laboratories for States is thoroughly reviewed by the ICAO Legal Affairs and External Relations Bureau. It is expected that the States' test results are shared with ICAO. The whole process is planned to take two years in order to be reviewed by TAG/TRIP/3 scheduled for 2020. In the meantime, a sub-group of the TAG/TRIP Implementation and Capacity Building Working Group (ICBWG) monitors the Doc 9303 compliance of certain MRTDs that are provided to the Secretariat. Based on their analysis conducted on several MRTD specimens, individual letters indicating the compliance issues to be corrected were sent to 43 States since 2011, 18 were sent in 2018 and the responses indicated that the concerned States are working towards rectifying the issues.

2.11 **IST.** Adopted on 16 June 2017, the 26th Amendment incorporated in Annex 9 – *Facilitation* new Recommended Practices (RPs) 3.34.4 and 3.34.5, encouraging States to expand the use of Automated Border Control (ABC) gates for the inspection of travellers' documents, together with the use of the PKD. The development of a Cost Benefit Analysis (CBA) template to support the implementation of both ABCs and PKD in conjunction with ePassports can only be achieved if some States are ready to share their data with ICAO. A global evaluation methodology was developed based on the measurement of key performance indicators (KPIs), such as: the number of ePassports controlled at the borders; the international passengers traffic; the number of ABC gates installed in each State's airport; and the rate of PKD use. Questionnaires were sent to seven States issuing ePassports, using ABC gates and being PKD participants, requesting them to share data in order to help build the CBA template. Regarding specifications for Inspection Systems and Tools, best practices guidelines for Optical Machine Authentication have been included in the revised Doc 9303 with the objective of providing a set of recommendations and methods for improving the design of security documents with respect to optical machine-assisted authentication.

2.12 A dedicated Border Management sub-group of the ICBWG was created in order to improve the participation of border management officials in the activities of the TAG/TRIP and to ensure that there is coordination between the development efforts of travel document issuing authorities and border control agencies. Improved coordination is expected to result in ISTs that fully leverage the identity information that has been effectively vetted and stored in MRTDs.

2.13 **IA.** ICAO participated in several data exchange seminars organized by the Organization for Security and Cooperation in Europe (OSCE) in different States aiming to implement API or PNR. As of June 2019, 66 Member States have implemented an API system while only 26 States have implemented a PNR data system (Appendix H). Furthermore, State letter EC 6/3-17/92 dated 24 July 2017, invited States to submit data to the Interpol Stolen and Lost Travel Document (SLTD) database (Standard 3.10) and to comply, as practicable, with RP 3.10.1 by using the database for checking passports at border. Responses indicated that 53 States are using the SLTD database to check passports at the borders.

3. **RECENT DEVELOPMENTS**

3.1 Taking into account the various stakeholders involved in the ICAO TRIP Strategy, other than the Civil Aviation Authorities (CAA), State letter EC 6/1-16/106, dated 14 December 2016, requested the nomination of a CAA National focal point for FAL matters who will be in charge of dispatching the information to all relevant agencies involved in traveller identification matters. As of June 2019, the Secretariat received nominations from 164 States.

3.2 In 2017 a Memorandum of Understanding (MoU) was signed with the UN Office of Drugs and Crime (UNODC) with the aim of consolidating, developing and detailing their cooperation and effectiveness to achieve the common objectives in the area of security in international air transport and trade. In 2018, an arrangement on cooperation with the UN Office of Counter-Terrorism (UNOCT) was signed agreeing to enhancing cooperation in the field of aviation security and facilitation, identity and border control management, with a view to contributing to the sustainable development of civil aviation, to the prevention and countering of terrorist threats, and to the suppression of acts of unlawful interference against civil aviation.

4. **PRIORITIES AND OUTCOMES FOR 2020-2022**

4.1 The expected outcomes of the ICAO TRIP Strategy will be monitored by the corresponding on-line Compliance Checklist (CC) in the Electronic Filing Of Differences (EFOD) of Annex 9-related SARPs. The table in Appendix A summarizes the proposed priorities and expected outcomes for the work on the ICAO TRIP Strategy for the 2020-2022 triennium.

APPENDIX A

**ICAO TRAVELLER IDENTIFICATION PROGRAMME (ICAO TRIP) STRATEGY:
PRIORITIES AND OUTCOMES FOR 2020-2022**

ICAO TRIP element	Priority/Key Activity	Outcomes	KPI and/or milestone
ALL	Follow-up the level of implementation of the ICAO TRIP Roadmap	Monitoring the status of the ICAO TRIP Strategy by analysing the corresponding online Compliance Checklist (CC) in the Electronic Filing of Differences (EFOD) of TRIP-related SARPs in Annex 9	Annual
ALL	Enhanced recognition of ICAO leadership on the ICAO TRIP Strategy	Improved service delivery to States through international and regional coordination and cooperation on TRIP-related activities	1 MoU signed per year
ALL	Development of capacity building and assistance (through the ICAO Resource Mobilization Strategy)	Identification of potential donors and development of specific projects for voluntary funds and/or grants for the provision of technical assistance for the States and management of the assistance projects	Review of project plan in Q1 each year
ALL	Promotion and communication to States of the five elements of the ICAO TRIP Strategy by ensuring their increased visibility and wider distribution of the guidance material	Symposia and regional seminars; Development of a 'compendium' of all TAG/TRIP activities and outputs through a single document	1 symposium and 2 regional seminars per year; Publication of an updated version
ALL	Development of training material in close cooperation with Global Aviation Training (GAT)	The training will cover both Annex 9 related matters and the ICAO TRIP Strategy	2 Training packages by Q1 2021
Machine Readable Travel Documents (MRTDs)	Assistance to States for the completion of Machine Readable Passports (MRP) implementation with the support of the Regional Officers	Identification of issues encountered by some States in implementing MRPs and determination of type of assistance to be provided to these States.	All non-MRPs expire by Q4 2022

ICAO TRIP element	Priority/Key Activity	Outcomes	KPI and/or milestone
MRTDs	ePassport Standard Roadmap	Development of an ePassport Standard Roadmap based on discussions with experts TAG-TRIP/3 and FALP/11	To be conducted in 2020
MRTDs	Development and update of travel document specifications, as well as guidance material on MRTDs	Amendments to travel document specifications (Doc 9303) and the publication of Doc 9303 revisions as required.	Doc 9303, 8th edition to be published in Q4 2020
MRTDs	Machine Readable Convention Travel Documents (MRCTDs)	Send a State letter to remind States of Standard 3.12	Increase the number of States issuing MRCTDs
MRTDs	MRTD-related Universal Security Audit Programme (USAP) audit questions	Evaluation and adjustment of audit questions as and if required	Revision every two years in line with Annex 9 amendments
Document Issuance and Control	Development of the Doc 9303 Compliance Scheme	In parallel of the test specifications to be developed by the International Organization for Standardization (ISO), a list of government and ISO accredited test laboratories will be established and ICAO legal liability will be assessed regarding the outsourcing of these tests	Five or more user tests conducted by Q2 2021
Inspection Systems and Tools	Cost benefit analysis (CBA) template for ABC gates in coordination with ePassports and the ICAO Public Key Directory (PKD)	Assessment tool for States willing to implement ABC gate implementation	CBA template ready for Q1 2021
Inspection Systems and Tools	Development of specifications for Inspection Systems and Tools	Improve the involvement of border officials in the work of the TAG/TRIP on border management	Promotion of global interoperability during the annual PKD Border Days
Interoperable Applications	Passenger Data exchange: Advance Passenger Information (API) and Passenger Name Record (PNR) data	Increased outreach to States on API and PNR data programmes through collaboration with the World Customs Organization (WCO), International Air Transport Association (IATA), United Nations Office of Counter-Terrorism (UNOCT), Counter-Terrorism Executive Directorate (CTED) and other partners	Five workshops per year

APPENDIX B

REVISED* ICAO TRAVELLER IDENTIFICATION PROGRAMME (ICAO TRIP) STRATEGY
IMPLEMENTATION ROADMAP FOR MEMBER STATES

* Deletions are shown in track change mode and new additions are highlighted in grey.

ICAO TRIP element	Implementation Action	Agencies Responsible	References	Supporting Resources	Timeframe & Status (if available)	Corresponding Annex 9 Provisions (Fifteenth Edition, October 2017)
All	Nominate a national focal point for facilitation	Civil aviation authority	State letter EC 6/1-16/106	Secretariat	On-going 164 States nominated focal points	Nil
All	Establish National Air Transport Facilitation Programme (NATFP)	Civil aviation authority	Annex 9 and Doc 10042 – <i>Model National Air Transport Facilitation Programme</i>	Secretariat	2020 onwards	Standard 8.17 Audited
All	Establish National Air Transport Facilitation Committee (NATFC)	Civil aviation authority	Annex 9 and Doc 10042	Secretariat	2020 onwards	Standard 8.19 Audited
All	Complete online Compliance Checklist (CC) to ascertain level of compliance with the TRIP-related Standards	Civil aviation authority	State letter EC 6/3-15/90	Secretariat	On-going Amendment 26 Since October 2017	Nil
Evidence of Identity	Implementation of a national strategy or framework related to evidence of identity to ensure the authenticity of identity	National civil registration or identity management authorities, interior affairs, and/or other agencies or departments	ICAO Guide on evidence of identity	TAG/TRIP and relevant regional and international organizations (e.g. ID4 Africa, the World Bank, OSCE)	2022 onwards	Nil
Evidence of Identity	Application of evidence of identity principles	National civil registration or identity management authorities, interior affairs, and/or other agencies	ICAO Guide on evidence of identity	Secretariat, TAG/TRIP and relevant organizations, e.g. International Organization for Migration	2022 onwards	Nil
Evidence of Identity	Verification of applicant against birth and death registries during travel document issuance process	National civil registration or identity management authorities, interior affairs, and/or other agencies	ICAO Guide on evidence of identity	Secretariat, TAG/TRIP and relevant regional and international organizations	2022 onwards	Nil
Evidence of Identity	Application of security features to breeder documents, such as birth certificates	National civil registration or identity management authorities, interior affairs, and others	ICAO Guide on evidence of identity	Secretariat, TAG/TRIP and relevant regional and international organizations	2022 onwards	Nil

ICAO TRIP element	Implementation Action	Agencies Responsible	References	Supporting Resources	Timeframe & Status (if available)	Corresponding Annex 9 Provisions (Fifteenth Edition, October 2017)
Machine Readable Travel Documents (MRTDs)	Completion of Machine Readable Passports implementation	Travel document issuing authority; civil aviation authority	Annex 9 and Doc 9303	Secretariat and TAG/TRIP	Q4 2019	Standard 3.11 Audited
MRTDs	Implementation of ePassports, when a State chooses to do so	Travel document issuing authority	Annex 9 and Doc 9303	Secretariat and TAG/TRIP	On-going	RP 3.9
MRTDs	Assessment of compliance with travel document Standards and specifications	Civil aviation authority; travel document issuing authority	Doc 9303	Secretariat and TAG/TRIP	On-going	Nil
MRTDs	Implementation of machine readable Convention Travel Documents (CTDs)	Travel document issuing authority; civil aviation authority	Annex 9, Doc 9303, ICAO/UNHCR Guide for Issuing MRCTDs for refugees	Secretariat and United Nations High Commissariat for Refugees (UNHCR)	2020 onwards	Standard 3.12 Audited
MRTDs	Implementation of Logical Data Structure Version 2.0 (LDS2) when a State chooses to do so	Travel document issuing authority	Doc 9303 and associated guidance	Secretariat and TAG/TRIP	2019 2025 onwards	Nil
Document issuance and control	Application of processes and protocols for document issuance and controls to prevent theft...	Travel document issuing authority	Annex 9 and Guide for Assessing Security of Handling and Issuance of TDs	Secretariat and TAG/TRIP	On-going	Standards 3.7; 3.8; 3.8.1 Audited
Document issuance and control	Use of biometrics for travel document entitlement adjudication	Travel document issuing authority	Guide for Assessing Security of Handling and Issuance of Travel Documents	Secretariat and TAG/TRIP	On-going	Nil
Document issuance and control	Determine vulnerabilities in issuance processes and identify measures to rectify such deficiencies.	Travel document issuing authority	ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents	Secretariat and TAG/TRIP	On-going	Nil
Document issuance and control	Issuance of Emergency Travel Documents (ETDs)	Travel document issuing authority and other agencies	Annex 9 , ICAO Guidance on Emergency Travel Documents	Secretariat and TAG/TRIP	On-going	Standards 5.28 and 8.44
Inspection systems and tools	Use of inspection systems and tools for the secure verification of MRTDs	Border control authorities	Doc 9303 and related guidance materials	Secretariat and TAG/TRIP	On-going	Nil
Inspection systems and tools	Participate in the ICAO Public Key Directory (PKD)	Border control authorities Travel document issuing authorities	Annex 9, Doc 9303, SL EC 16/70 ICAO PKD and related guidance materials	Secretariat, PKD Board and TAG/TRIP	On-going	RP 3.9.1; RP 3.9.2

ICAO TRIP element	Implementation Action	Agencies Responsible	References	Supporting Resources	Timeframe & Status (if available)	Corresponding Annex 9 Provisions (Fifteenth Edition, October 2017)
Inspection systems and tools	Use PKD to validate ePassports at border control	Border Control Authorities Travel document issuing authorities	Annex 9, Doc 9303 and related guidance materials	Secretariat, PKD Board and TAG/TRIP	On-going	RP 3.9.2; RP 3.34.5
Inspection systems and tools	Use of facial recognition comparison capability of ePassports	Border control authorities	Annex 9, Doc 9303 and related guidance materials	Secretariat and TAG/TRIP	On-going	RP 3.34.5
Inspection systems and tools	Implementation of travel document inspection using Automated Border Controls (ABCs)	Border control authorities	Annex 9 and Doc 9303 and Cost benefit analysis template for ABC gates in coordination with ePassports and the ICAO Public Key Directory (PKD)	Secretariat, TAG/TRIP IATA	2020 onwards cost-benefit analysis template to be developed	RP 3.34.4; RP 3.34.5; RP 3.34.6
Interoperable applications	Use of globally interoperable applications and protocols linking MRTD holders to available watch lists and databases	Border control authorities and airlines	Annex 9, Doc 9303 and related guidance materials	Secretariat, TAG/TRIP, IATA, World Customs Organization (WCO), INTERPOL	On-going	Standard 3.10; Audited RP 3.10.1; RP3.34.5
Interoperable applications	Check passports against the INTERPOL Stolen and Lost Travel documents (SLTD) database	Border control authorities and/or other agencies or departments	Annex 9, Doc 9303, <u>SL 17/92</u> and related guidance material	Secretariat and INTERPOL	On-going	Standard 3.10; RP 3.10.1; RP 3.34.5
Interoperable applications	Ensure linkage of MRTDs and their holders to relevant data in the course of travel and inspection operations such as Advance Passenger Information (API) and Passenger Name Record (PNR) with watch lists, information sharing etc.	Border control authorities, airlines and/or other agencies or departments	Annex 9, Doc 9303 and related guidance materials such as Guidelines on API, Doc 9944, and Guidelines on PNR Data	Secretariat, TAG/TRIP and relevant regional and international organizations, e.g. IATA, WCO, etc.	On-going	Standard 9.8; Audited Standard 9.22
Interoperable applications	Implementation of Advance Passenger Information (API) System	Border control authorities, airlines and/or other agencies or departments	Annex 9, Doc 9303 and related guidance materials such as Guidelines on API	Secretariat, TAG/TRIP and relevant regional and international organizations, e.g. IATA, WCO, etc.	On-going	Standards: 9.5, 9.6 and 9.8 Audited Stds: 9.9; 9.11; 9.13 RPs: 9.1; 9.2; 9.3; 9.4; 9.7; 9.10; 9.12; 9.14; 9.15; 9.16

APPENDIX C

SUMMARY OF THE ACTIVITIES CONDUCTED UNDER THE PROJECT “STRENGTHENING BORDER CONTROL MANAGEMENT IN THE CARIBBEAN REGION”

The project “Strengthening Border Control Management in the Caribbean Region” was implemented in 2016, in cooperation with the United Nations Counter-Terrorism Committee Executive Directorate (CTED) and with the support of two Regional Organizations, the Caribbean Community (CARICOM) and the Organization of Eastern Caribbean States (OECS). The 13 participating States were: Antigua and Barbuda, Bahamas, Barbados, Belize, Cuba, Dominican Republic, Grenada, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines and Trinidad and Tobago.

This project aimed to assist Member States in the Caribbean Region in implementing the ICAO TRIP Strategy by enhancing their border control management (BCM) and in complying with their international obligations contained in ICAO Annex 9 – *Facilitation* as well with United Nations Security Council (UNSC) resolutions relating to countering terrorism, was completed in the first quarter of 2018. The project was funded by the Government of Canada.

During the project implementation, four technical assessment missions were carried out in Jamaica (March 2017), jointly with the UN Counter-Terrorism Executive Directorate (CTED), in the Dominican Republic (August 2017), in Barbados and Saint Lucia (September 2017), the latter conducted jointly with the International Organization for Migration (IOM). These missions provided immediate neutral expert advice on the concerns of the representatives of national agencies met, and resulted in a confidential report for the use of State officials containing recommendations for improving the processes and the technology related to border controls.

Workshops were also conducted in Jamaica and Antigua and Barbuda in collaboration with internationally-renowned Subject Matter Experts (SMEs), focused on five technical topics related to BCM: 1) Public Key Infrastructure; 2) Travel Document Authentication; 3) MRTDs-Related Technologies; 4) Electronic Travel Systems; and 5) Border Control Systems; resulting in the development of an ICAO TRIP Guide on Border Control Management (BCM). The Guide intends to help senior, middle and operational level management for different purposes: strategy and policy development, budgetary planning, legislative reform initiatives, Information and Communications Technology (ICT) systems change, operational planning, identification of training needs and application of best practices. The BCM Guide is available on the TRIP Publications webpage:
<https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>.

APPENDIX D

PROMOTION OF TRAVELLER IDENTIFICATION MANAGEMENT

1. The Thirteenth Symposium and Exhibition on the ICAO Traveller Identification Programme (ICAO TRIP) Strategy was held in Montréal from 24 to 26 October 2017 and was attended by more than 600 participants from Member States, industry and other interested shareholders and similarly the Fourteenth edition was held in Montréal from 23 to 25 October 2018. The Fifteenth edition was held in Montréal from 25 to 28 June 2019 and attracted more than 550 participants. The three events explored all five elements of the ICAO TRIP Strategy recognizing the need for a holistic and integrated approach to traveller identification management, and related border security issues. In line with UN Security Council resolutions 2178 (2014), 2309 (2016) and 2396 (2017) that re-affirmed the importance of border controls to combat terrorism, the Symposia also addressed inter alia, how to secure border integrity through border control management processes and implementation of an Advance Passenger Information (API) system. The Symposia promoted how to manage secure passport issuance and border control systems and emphasized the importance of both issuing Doc 9303-compliant MRTDs and participation in the ICAO PKD. They also underscored how to secure border integrity through notably the implementation of API systems and provided opportunities to enhance international cooperation and collaboration to address the threats faced by international civil aviation by promoting the global regulatory framework established by Annex 9 – *Facilitation to the Convention on International Civil Aviation*.
2. Four ICAO TRIP Regional Seminars were held during 2017 and 2018; St Johns, Antigua and Barbuda (31 January-2 February 2017); Hong Kong, China (11-13 July 2017); Montego Bay, Jamaica (28-30 November 2017); Brasilia, Brazil (5-7 June 2018) and Cotonou, Benin (12-14 February 2019). These seminars attracted a high number of participants and provided opportunities to explore the ICAO TRIP Strategy with aviation and border control experts from within Member States and regions. The Regional Seminars held in Antigua and Barbuda and Jamaica included workshops aimed at providing direct assistance to Member States and their relevant border control authorities in implementing the ICAO TRIP Strategy. These Regional Seminars also provided a unique opportunity to exchange information and enhance expertise to the benefit of passport issuing offices, aviation security authorities, civil registries, immigration, border control and law enforcement authorities, as well as to the air carriers and airport authorities.
3. Three ICAO TRIP Magazines were published, Volume 12, number 1 and 2 (2017), and Volume 13, number 1 (2018). The Magazines aimed at informing government administrators, document issuing authorities, border control authorities, industry experts and subject matter experts on activities and issues related to, inter alia, the five elements of the ICAO TRIP Strategy, technological advances in the field of traveller identification and border control issues. The Magazines are available on the publications website: <https://www.icao.int/publications/Pages/default.aspx>

APPENDIX E

ICAO DOCUMENTS AND GUIDANCE MATERIAL FOR THE ICAO TRIP STRATEGY

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

All ICAO TRIP elements:

- ICAO TRIP Strategy Compendium
- ICAO TRIP Implementation Roadmap for Member States

Evidence of Identity:

- ICAO Guide on Evidence of Identity (New)

Machine Readable Travel Documents (MRTDs):

- Doc 9303: Machine Readable Travel Documents (New update)
- ICAO Guide for Collection of Best Practices For Acquisition of MRTD Goods and Services
- ICAO Guide for Circulating Specimen Travel Documents
- ICAO Guide for Roadmap for Implementation of New Specifications
- Guidance on Migrating CSCAs (New)

Document Issuance and Control:

- ICAO - UNHCR Guide for Issuing Machine Readable Convention Travel Documents for Refugees and Stateless Persons (English - French - Spanish - Russian - Portuguese)
- ICAO Guide for Assessing Security of Handling and Issuance of Travel Document
 - English - Executive Overview
 - Part 1: Best Practices
 - Part 2: Assessment Guide
 - Part 3: A Guide for Experts
 - Français - Résumé
 - Partie 1: Pratiques exemplaires
 - Partie 2: Guide d'évaluation
 - Español - Resumen ejecutivo
 - Parte 1: Buenas prácticas
 - Parte 2: Guía para la evaluación
- ICAO Guide for Emergency Travel Documents

Inspection Systems and Tools:

- ICAO TRIP Guide on Border Control Management (BCM)
 - Part 1: Guidance
 - Part 2: Assessment Tool
 - Presentation on the Guide
- ICAO Guide for Best Practice Guidelines for Optical Machine Authentication (New)

Interoperable Applications:

- The Implementation Steps of Advance Passenger (API) System (New)
- Passenger Name Record (PNR) information (New)
- API Guidelines & PNR Reporting Standards
- ICAO Public Key Directory (PKD)
- INTERPOL Stolen and Lost Travel Documents database

Technical Reports:

- Logical Data Structure (LDS) for Storage of Data in the Contactless IC Doc 9303-10 LDS 2 – New Applications
 - LDS2 – Protocols and PKI
 - Portrait Quality
 - Visible Digital Seals for Non-Electronic Documents
 - RF and Protocol Testing Part 3
 - RF and Protocol Testing Part 4
 - RF and Protocol Testing Part 5 – tests for PKI objects
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APPENDIX F

**LIST OF MEMBER STATES AND OTHER ENTITIES ISSUING ePASSPORTS or eMRTDs
(As of June 2019)**

Region	Member States
Asia and Pacific Office (APAC): 21 out of 39	Australia, Brunei, Cambodia, China, Democratic People's Republic of Korea, India, Indonesia, Japan, Lao People's Democratic Republic, Malaysia, Maldives, Mongolia (Diplomatic), New Zealand, Pakistan, Philippines, Republic of Korea, Singapore, Solomon Islands, Sri Lanka, Thailand, Timor-Leste.
Eastern and Southern African Office (ESAF): 14 out of 24	Botswana, Burundi, Comoros, Djibouti (Diplomatic), Kenya, Lesotho, Madagascar, Mozambique, Namibia, Somalia, South Sudan, Uganda, United Republic of Tanzania, Zimbabwe.
European and North Atlantic Office (EUR/NAT): 55 out of 56	Albania, Algeria, Andorra, Armenia, Austria, Azerbaijan, Belarus, Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, Cyprus, Czechia, Denmark, Estonia, Finland, France, Georgia, Germany, Greece, Hungary, Iceland, Ireland, Israel, Italy, Kazakhstan, Kyrgyzstan, Latvia, Lithuania, Luxembourg, Malta, Monaco, Montenegro, Morocco, Netherlands, Norway, Poland, Portugal, Republic of Moldova, Romania, Russian Federation, San Marino, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Tajikistan, North Macedonia, Turkey, Turkmenistan, Ukraine, United Kingdom, Uzbekistan.
Middle East Office (MID): 9 out of 15	Egypt, Iran (Islamic Republic of), Iraq, Kuwait, Lebanon, Oman, Qatar, Sudan, United Arab Emirates.
North American, Central American and Caribbean Office (NACC): 7 out of 22	Bahamas, Barbados, Canada, Grenada, Saint Kitts and Nevis, Saint Vincent and the Grenadines, United States.
South American Office (SAM): 9 out of 13	Argentina, Brazil, Chile, Colombia, Panama, Paraguay (Diplomatic), Peru, Uruguay, Venezuela.
Western and Central African Office (WACAF): 21 out of 24	Benin, Burkina Faso, Cabo Verde, Cameroon, Central African Republic, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Equatorial Guinea, Gabon, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Mauritania, Nigeria, Senegal, Sierra Leone, Togo.
Total	135 out of 193
Other entities: 12 (Bermuda (UK), Cayman Islands (UK), Gibraltar (UK), Liechtenstein, Taiwan (Province of China), Turks and Caicos Islands (UK), Hong Kong (China SAR), Macau (China SAR), Holy See (the), (United Nations, ECOWAS and INTERPOL, Laissez-Passer)	

APPENDIX G

RESULTS FOR THE ELEVEN TRIP-RELATED AUDITED STANDARDS

Sub-Area	Annex 9 Standards	Results for the audited States
Programme and Coordination	8.17 and 8.19	1) 50.93 per cent have approved National Air Transport Facilitation Programme (NATFP) based on the requirements of Annex 9; and 2) 43.52 per cent have an established and functioning NATF Committee and/or Airport Facilitation Committees, or similar coordinating bodies.
Security of Travel Documents	3.7, 3.8 and 3.8.1	1) 84.26 per cent have incorporated security features in current travel documents that are regularly updated; 2) 86.11 per cent have effective safeguards against theft of blank travel documents; and 3) 83.33 per cent have established appropriate controls over the entire travel document application, adjudication and issuance processes.
Security of Travel Documents <i>Based on USAP-CMA results only (61 States)</i>	3.10	1) 75 per cent have: <ul style="list-style-type: none"> • established a policy to report to INTERPOL (79.73 %); • designated a responsible office or entity (82.43 %); and • developed guidelines for reporting information about stolen, lost, and revoked travel documents to INTERPOL (63.51 %); and 2) 71.21 per cent have reported stolen, lost, and revoked travel documents to INTERPOL for inclusion in the SLTD database.
Security of Travel Documents	1) 3.11 2) 3.12	1) 97.22 per cent issue only machine readable passports; and 2) 68.81 per cent (<i>based on USAP-CMA results only</i>) issue Convention Travel Documents (“CTDs”) for refugees and stateless persons in machine readable form.
Entry Procedures and Responsibilities	9.5 9.6 and 9.8	1) 64.62 per cent have introduced an Advance Passenger Information (API) system; and 2) 54.9 per cent implementing API follow UN/EDIFACT PAXLST format.

APPENDIX H

REGIONAL STATUS OF API IMPLEMENTATION BY ICAO MEMBER STATES

As of June 2019

Regions	API In Force (iAPI)
APAC	10 (5)
ESAF	(1)
EUR/NAT	21 (2)
MID	7 (6)
NACC	19 (2)
SAM	9
WACAF	0
Total	<u>66 (16)</u>

REGIONAL STATUS OF PNR IMPLEMENTATION BY ICAO MEMBER STATES

As of June 2019

Regions	PNR in force
APAC	7
ESAF	0
EUR/NAT	10
MID	4
NACC	3
SAM	2
WACAF	0
Total	<u>26</u>

— END —