



WORKING PAPER

ASSEMBLY — 41ST SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Facilitation Programmes

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

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

In 2019, the 40th Session of the Assembly endorsed the priorities and outcomes for the ICAO Traveller Identification Programme (ICAO TRIP) Strategy for the 2020–2022 triennium. This paper presents developments pertaining to ICAO TRIP Strategy since the last Assembly. It concludes by proposing priorities for the ICAO TRIP Strategy and outlines the expected outcomes of its work during the next triennium.

Action: The Assembly is invited to:

- a) acknowledge the work accomplished by ICAO in paragraphs 2 and 3;
- b) endorse the Organization's work programme and priorities for the 2023–2025 triennium as presented in paragraph 4 and detailed in Appendix A; and
- c) consider the information contained in this paper for the update of Assembly Resolution A40-16, Consolidated statement of continuing ICAO policies related to facilitation.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objectives — <i>Security and Facilitation</i> .
<i>Financial implications:</i>	The ICAO activities referred to in this paper are expected to be undertaken within the resources available in the 2023–2025 Regular Budget and/or from extra-budgetary contributions as guided by the ICAO Business Plan 2023–2025, including the AVSEC/FAL Fund.
<i>References:</i>	Doc 10140, <i>Assembly Resolutions in Force (as of 4 October 2019)</i> Annex 9 — <i>Facilitation</i> , 15th Edition Doc 9303, <i>Machine Readable Travel Documents</i> , 8th Edition Doc 9944, <i>Guidelines on Passenger Name Record (PNR) Data</i> ICAO Council Aviation Recovery Task Force (CART) Report https://www.icao.int/covid/cart/Pages/default.aspx Doc 10160, <i>High-level Conference on COVID-19 (Montréal, 12 to 22 October 2021). Report</i> A41-WP/9, <i>Developments pertaining to the ICAO Public Key Directory (PKD)</i> A41-WP/18, <i>Consolidated statement of continuing ICAO Policies related to facilitation</i> A41-WP/19, <i>Developments pertaining to Annex 9 — Facilitation</i> A41-WP/20, <i>Outcome of the Facilitation Stream of the High-level Conference on COVID-19</i> ICAO Business Plan 2023–2025

1. INTRODUCTION

1.1 The ICAO Traveller Identification Programme (ICAO TRIP) Strategy establishes a comprehensive framework for Member States to build a robust traveller 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) data. The progress made in the work related to the TRIP elements during the 2020–2022 triennium is described in paragraphs 2 and 3 while the proposed work programme for the 2023–2025 triennium is detailed in Appendix A.

2. WORK ACCOMPLISHED BY ICAO

2.1 *Annex 9 — Facilitation provisions and the ICAO TRIP roadmap.* This roadmap was endorsed by the 40th Session of the ICAO Assembly in 2019, with the understanding that it should impose no obligation on States beyond the TRIP-related provisions of Annex 9. With Amendments 28 and 29 to Annex 9, the revised Roadmap¹ was published on the ICAO public site. It incorporates new and revised Annex 9 Standards and Recommended Practices (SARPs) related to the ICAO TRIP Strategy with the objective to guide Member States 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*.

2.2 *ICAO TRIP elements.* These elements highlight the ICAO TRIP work programme actions taken and innovation implemented to support States in the safe restart of air transport operations. The new and updated ICAO TRIP guidance materials² are available and cover all the elements of the ICAO TRIP Strategy detailed below:

- a) **EoI.** A review of the Guide on Evidence of Identity published in 2018 which included case studies and tools to aid States and agencies in the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity was postponed in order to be aligned with the initiation of a work item on the feasibility of an electronic passport (ePassport) Standard Roadmap.
- b) **MRTDs.** In terms of innovative developments, the Technical Advisory Group on TRIP (TAG/TRIP) endorsed the recently published, “Guiding Core Principles for the Development of Digital Travel Credentials (DTC)”. The DTC specifications enable an ICAO compliant passport to be extended to a passenger’s mobile device, allowing a seamless traveller’s journey with less passenger touchpoints at airports, resulting in a healthier and safer travel experience. The DTC can facilitate the use of facial recognition, especially when the content of the digitized eMRTD is validated before it is enrolled in passenger facilitation schemes. The 12th Facilitation Panel (FALP/12) considered the development of an ePassport Standard Roadmap. It was noted that while it was premature to develop said Roadmap, there was broad consensus on the need to strengthen a credible evidence of identity as it represents the primary step towards the integrity of an ePassport issuance and ensures compliance with Doc 9303 as stepping stones towards mandatory issuance of ePassports. While 150 Member States are reporting their issuance of ePassports (Appendix B refers), it seems that not all of them are compliant with Doc 9303 specifications. This may introduce a false sense of security in ePassports, widely considered as the most secure form of travel document. It is noteworthy that the 8th edition of Doc 9303 was published on the ICAO public site in all ICAO languages in 2021³. The newly added 13th part specifies a “visible digital seal” to ensure the authenticity and integrity of non-electronic documents in a comparatively inexpensive, but highly secure manner. The information on the non-electronic document is cryptographically signed, and the signature is encoded as a two-dimensional bar code and printed on the document itself.

¹ <https://www.icao.int/Security/FAL/TRIP/PublishingImages/Pages/Publications/ICAO%20TRIP%20Implementation%20Roadmap.pdf>

² <https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>

³ <https://www.icao.int/publications/pages/publication.aspx?docnum=9303>

- c) **DIC.** Progress has been made towards the establishment of a programme to validate a passport's compliance with the specifications of Doc 9303. The overall objective of the ICAO Doc 9303 Compliance scheme is to ensure global interoperability of a State's ePassport. This would enhance trust that States have issued their ePassports fully in line with Doc 9303 specifications, thereby making a substantial improvement to the integrity and efficiency of border management and paving the way for increased automation of air transport facilitation processes.
- d) **IST.** Relevant developments in the ICAO Public Key Directory (PKD) include the introduction of the new Standard 3.9.2 in Annex 9 and the introduction of the ICAO Master List, as reported in A41-WP/9, *Developments pertaining to the ICAO Public Key Directory (PKD)*.
- e) **IA.** The significant package of SARPs on PNR data, as per Amendment 28 to Annex 9 effective since 28 October 2020, marked an important step towards establishing a global framework for the collection, use, processing and protection of PNR data in line with United Nations Security Council (UNSC) resolution 2396 (2017) and ICAO Doc 9944, *Guidelines on Passenger Name Record (PNR) Data*.

2.3 *TRIP response to COVID-19.* In response to the challenges imposed by COVID 19 on the traveller's journey, and following the recommendations set by the ICAO Council Aviation Recovery Task Force (CART), the Secretariat, the New Technologies Working Group (NTWG) of the TAG/TRIP and the experts from the International Organization for Standardization (ISO), actively contributed in developing the technical specifications of Visible Digital Seals for Non-Constrained environments (VDS-NC), a globally interoperable framework for the validation of vaccination, testing and recovery certificates. The use of the VDS-NC was considered the most suitable to present reliable and secure COVID-19 health proofs at border crossings. This trust framework for health proofs is aligned with the existing MRTDs specifications, inspected accordingly by nearly every Member State, making it both suitable for rapid rollout with no substantial additional costs for a State and relevant in the context of the *No Country Left Behind* (NCLB) initiative. A41-WP/20, *Outcome of the Facilitation Stream of the High-level Conference on COVID-19* describes the endorsed Recommendation 8/1 "Enhancing digital data sharing to facilitate seamless and contactless processes during and beyond the COVID-19 Pandemic".

2.4 *Assistance in capacity building.* As described in A41-WP/19, *Developments pertaining to Annex 9 — Facilitation*, a dedicated course developed for the implementation of a National Air Transport Facilitation Programme (NATFP) and a corresponding National Air Transport Facilitation Committee (NATFC) as well as a course targeting each TRIP element the implementation will continue to assist Member States in their implementation of the ICAO TRIP Strategy. Furthermore, in addition to their newly issued corresponding guidance material, DTC demonstrators and VDS-NC webinars have been organized and reached most ICAO Member States while a VDS-NC Implementation Package (iPack) to support the fast roll-out implementation of the VDS-NC specifications for both issuance and inspection is expected to be available in Q3 2022.

2.5 In parallel, ICAO developed a Cost Benefit Analysis tool for Automated Border Control gates (ABCs), thanks to a project funded by the Government of Canada for the Central American and Caribbean region. This project is detailed in Appendix C.

2.6 Awareness raising was also provided in 2020–2022 through virtual and in person symposia, seminars and workshops. Due to COVID-19 constraints, some of the key activities were postponed. The 16th ICAO TRIP Symposium (TRIP 2021) initially planned in 2020 was held virtually from 25 to 26 May 2021, under the theme "*Game-changing Technologies Driving Seamless Border Management*" and was followed by the first joint ICAO/International Criminal Police Organization (INTERPOL) Passenger Data Exchange Forum from 27 to 28 May 2021⁴.

⁴ <https://www.icao.int/Meetings/TRIP-Symposium-2021/Pages/default.aspx>

3. INTERNATIONAL COOPERATION AND CAPACITY BUILDING

3.1 ICAO's leadership and activities in travel documentation policy and operational matters are recognized by the UNSC to have made a significant contribution to enhancing air transport facilitation and aviation security, 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), 2396 (2017) and 2482 (2019) as well as the UN Global Counter-Terrorism Coordination Compact through its active participation to the UN Office of Counter-Terrorism (UNOCT) and by becoming a core partner of the UN Countering Terrorist Travel Programme (UN CT Travel Programme). The CT Travel Programme aims to support States in building their capacities to prevent, detect, investigate and prosecute terrorist offences and other serious crimes, including their related travel, by collecting and analysing both API and PNR.

3.2 In that regard, ICAO participated actively in the UN CT Travel Programme with the UN Counter-Terrorism Executive Directorate (CTED) in joint deep dive missions focusing on Passenger Data Exchange matters, thereby providing expertise in several data exchange seminars aimed at implementing API and PNR. As of today 93 Member States have implemented an API system, an increase of 40 per cent since 2019, while 60 Member States have implemented PNR data programmes, compared to 26 Member States in 2019, an increase of more than 130 per cent (Appendix D refers).

3.3 Through the signature of relevant Memoranda of Understanding (MoUs), ICAO works closely with many leading international organizations that have a key role to play in traveller identification, such as the European Border and Coast Guard Agency (Frontex) which is expected to be signed in 2022. In addition, ICAO is currently working on updating the ICAO/ISO working framework. The partnership with ISO is a pillar of ICAO's innovation efforts, allowing for the development of internationally-recognized technical specifications that build upon up-to-date private sector expertise.

4. PRIORITIES AND OUTCOMES FOR 2023–2025

4.1 Considering the aforementioned ongoing work, and as described in the ICAO Business Plan 2023–2025, future work in the area of TRIP with the Output SECF 2 – *Enhanced capabilities of States to facilitate the movement of people and goods by air, and uniquely identify individuals, including through implementation of innovations, leading to improved efficiency in border management operations and increased resilience to future challenges*. Focus and priorities will be placed, inter alia, on:

- a) developing and updating policies and guidance for all TRIP elements including the use case of health certificates in the travel context by using the VDS-NC specifications;
- b) raising awareness and promoting the TRIP strategy;
- c) promoting coordination and cooperation among States, regional and international organizations and the private sector for the provision of the appropriate level of expertise in TRIP-related matters; and
- d) providing assistance to States, as required, through global and regional webinars, workshops and training to enhance their TRIP-capacity building, under the NCLB initiative.

4.2 The expected outcomes of the ICAO TRIP Strategy will be monitored by the corresponding online Compliance Checklist (CC) in the Electronic Filing of Differences (EFOD) of Annex 9-related SARPs. The table in Appendix A summarizes the proposed priorities, expected outcomes and key performance indicators (KPIs) for the work on the ICAO TRIP Strategy for the 2023–2025 triennium.

APPENDIX A

**ICAO TRAVELLER IDENTIFICATION PROGRAMME (ICAO TRIP) STRATEGY:
PRIORITIES AND OUTCOMES FOR 2023–2025**

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 implementation 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.	Number of States having developed NATFP and implemented NATFC
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	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 5 online technical TRIP articles per year
ALL	TRIP-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
EOI	Development of Best Practices and Guidance Material	– Revision of the EOI Guide with additional references to the recently agreed ISO standard for Identity Proofing. – The guide for biometrics progressing including a straw-person for chapter outlines.	Q1 2024 Q3 2024
MRTDs	ePassport Standard Roadmap	Development of an ePassport Standard Roadmap based on discussions with experts .	Q3 2024 (following TAG-TRIP/4 and FALP/13 to be held in Q4 2023)
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.	Q3 2025 Revision every 5 years.

ICAO TRIP element	Priority/Key Activity	Outcomes	KPI and/or milestone
MRTDs	Machine Readable Convention Travel Documents (MRCTDs)	Follow up on State letter to remind States of Annex 9 Standard 3.12.	Number of States issuing MRCTDs
MRTDs	ICAO VDS-NC	Update relevant interoperability guidance of the VDS-NC with relevant global initiatives.	Publication of an annual Technical Report
MRTDs	ICAO DTC	Development of DTC Type 3 specifications.	Q2 2024
Document Issuance and Control	Development of the Doc 9303 Compliance Scheme	Progress work on the ICAO Doc 9303 Compliance Programme.	Number of testing centres accredited to the ICAO Network of Testing Centres Q3 2024
Document Issuance and Control	ICAO DTC	Guidance on how Digital Travel Credentials (DTC) can be used, and how the technology fits into integrated border operations.	Q3 2023
Inspection Systems and Tools	Development of specifications for Inspection Systems and Tools	Development of a joint Border Engagement Strategy in the work of the TAG/TRIP on border management.	Publication of related communication products Q2 2023
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), INTERPOL and other partners.	Number of States having implemented API and PNR systems

APPENDIX B

**LIST OF MEMBER STATES AND OTHER ENTITIES ISSUING ePASSPORTS OR eMRTDS
(as of February 2022)**

Region	Member States
Asia and Pacific Office (APAC): 24 out of 39	Australia, Bangladesh, Brunei, Cambodia, China, Democratic People's Republic of Korea, India (diplomatic), Indonesia, Japan, Lao People's Democratic Republic, Malaysia, Maldives, Mongolia, Nepal, New Zealand, Pakistan, Philippines, Republic of Korea, Singapore, Solomon Islands, Sri Lanka, Thailand, Timor-Leste, Viet Nam.
Eastern and Southern African Office (ESAF): 17 out of 24	Angola, Botswana, Burundi, Comoros, Djibouti (Diplomatic), Kenya, Lesotho, Madagascar, Malawi, Mozambique, Namibia, Rwanda, Somalia, South Sudan, Uganda, United Republic of Tanzania, Zimbabwe.
European and North Atlantic Office (EUR/NAT): 54 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, 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, Türkiye, Turkmenistan, Ukraine, United Kingdom, Uzbekistan.
Middle East Office (MID): 10 out of 15	Egypt, Iran (Islamic Republic of), Iraq, Kuwait, Lebanon, Oman, Qatar, Saudi Arabia, Sudan, United Arab Emirates.
North American, Central American and Caribbean Office (NACC): 11 out of 22	Antigua, Bahamas, Barbados, Canada, Costa Rica, Dominica, Grenada, Mexico, Saint Kitts and Nevis, Saint Vincent and the Grenadines, United States.
South American Office (SAM): 10 out of 13	Argentina, Bolivia, Brazil, Chile, Colombia, Panama, Paraguay (Diplomatic), Peru, Uruguay, Venezuela.
Western and Central African Office (WACAF): 22 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, Niger, Nigeria, Sao Tome and Principe, Senegal, Sierra Leone, Togo.
Total	148 out of 193
Other entities: 13 (Bermuda (UK), Cayman Islands (UK), Gibraltar (UK), Holy See (the), Hong Kong (China SAR), Liechtenstein, Macau (China SAR), Taiwan (Province of China), Turks and Caicos Islands (UK), (United Nations, ECOWAS, EU and INTERPOL, Laissez-Passer))	

APPENDIX C

SUMMARY OF THE ACTIVITIES CONDUCTED UNDER THE PROJECT “DEVELOPING A COST-BENEFIT ANALYSIS TOOL TO FACILITATE MIGRATION THROUGH BORDER INFRASTRUCTURE, MANAGEMENT AND CONTROL IN THE CARIBBEAN REGION”

Project funded by the Government of Canada

1- Virtual Seminar on Travel Document and Border Management Technologies for the Central America and Caribbean region, 1-3 December 2021.

Objectives:

The principle objective of this seminar was to demonstrate how existing travel document and border management technologies could be leveraged to help Caribbean and Central American states address irregular migration threats, while also minimizing the risks of COVID-19 transmission related to traveller screening practices. By including technical presentations on specific technologies and overviews of previous State implementations and describing ICAO’s SARPs, infrastructure and capacity building capabilities, the goal was to increase the knowledge of State experts and provide foundations for implementation work moving forward. Organization of the seminar was kindly supported by the Government of Canada.

Participants:

The event brought together technical experts, operational officers and management from States across the Central America and Caribbean region. Over 140 attendees from more than 20 States had the opportunity to discuss their challenges and consider solutions with international experts from the Americas, Europe, Asia and Australia.

Achievements:

The event allowed for dissemination of important information related to technologies that can enhance border management while emphasizing expectations towards States in terms of implementation based on ICAO SARPs. At the same time, it passed insight regarding how States can build their capabilities and pointed them towards sources of support. States in the region, based on the knowledge accrued and networks established, are now better positioned to advance their border management capabilities using technology. This should help them recover more quickly from the COVID pandemic and gain more advantage from connectivity provided through aviation.

2- The ABC4CAC tool – an Automated Border Control System Cost-Benefit Analysis for the Central American and Caribbean region

Objectives:

This project sought to develop a cost-benefit analysis tool for Automated Border Control Systems tailored to the Central American and Caribbean region. The tool is intended to allow States to undertake an honest assessment of whether implementation of automation at their borders can bring added value, and if so, how they must advance their infrastructure and capabilities and obtain the systems in order to maximize that value. By applying the tool, inputting data and information specific to their own circumstances, States should be able to make more informed choices and build enhanced business cases for investment in border management solutions. The project was funded by the Government of Canada.

Achievements:

The tool was developed with input from States in the region and applied to two countries, ensuring applicability to the region and usability for all in the longer term. It has been made widely available, allowing States to use it to analyse their current circumstances and advance in a sensible way. Although its initial development was tailored to the Central American and Caribbean region, its general applicability means that it is also useful to States globally who are interested in undertaking similar analyses.

APPENDIX D

REGIONAL STATUS OF API IMPLEMENTATION BY ICAO MEMBER STATES

As of May 2022

Regions	API In Force (iAPI)
APAC	16 (10)
ESAF	3 (1)
EUR/NAT	34 (3)
MID	9 (6)
NACC	20 (2)
SAM	10
WACAF	1
<u>Total</u>	<u>93 (22)</u>

REGIONAL STATUS OF PNR IMPLEMENTATION BY ICAO MEMBER STATES

As of May 2022

Regions	PNR in force
APAC	12
ESAF	0
EUR/NAT	33
MID	5
NACC	4
SAM	5
WACAF	1
<u>Total</u>	<u>60</u>

— END —