INTERNATIONAL CIVIL AVIATION ORGANIZATION

SECOND AFRICA-INDIAN OCEAN (AFI) AVIATION SECURITY AND FACILITATION SYMPOSIUM

(Wednesday, 24 May 2017, Gaborone, Botswana)

Agenda Item 3: ICAO TRIP Strategy: benefits and implementation with specific attention to MRTDs and PKD

(Presented by ICAO Secretariat)

1. BACKGROUND

1.1 ICAO forecasts that scheduled passenger traffic around the world will almost double from an estimated of 3.5 billion in 2015 to 6 billion by 2030, and the number of flights will increase from about 30 million to 60 million. Considering that the presentation and inspection of travel documents is a routine aspect of international air travel requiring State programmes, specialized infrastructure and personnel, as well as a processing time for the travel incurred, the scale of future aviation activity brings into sharp focus the need for travel documents and related systems that are up to the task of tomorrow's efficiency facilitation and security challenges.

1.2 The importance of robust travel documents to international security cannot be overstated. The ability of terrorists and criminals to operate with anonymity across borders – beyond the knowledge of or suspicion on the part of a State and international authorities regarding their true identity and movements – is a powerful enabler for persons to advance unlawful and illegitimate activities.

1.3 Travel documents are, therefore, a matter of strategic importance for international civil aviation under the ICAO's Council-approved Strategic Objective C — Security and Facilitation and Strategic Objective D — Economic Development of Air Transport. As such, ICAO's activities on facilitation matters are positioned to provide the necessary focus, orientation and support for increased air transport connectivity.

1.4 ICAO's leadership and activities in travel documentation policy and operational matters have made a significant contribution to enhancing aviation security and facilitation, notably through uniform and progressive travel document standards and specifications, assistance to States in implementing effective and efficient travel document systems, oversight activities within the scope of the Universal Security Audit Programme (USAP), and, by means of the ICAO Public Key Directory (PKD), the provision to States of a single automated ePassport validation service on a cost-recovery basis, thereby helping to further secure and streamline border clearance processes.

2. ANNEX 9

2.1 It is recalled that Annex 9 - Facilitation sets out the international framework of Standards and Recommended Practices (SARPs), and technical specifications incorporated by reference, in travel document matters. The General Principles of Annex 9 require Contracting States to take the necessary measures to minimize the time required for the accomplishment of border controls, minimize the inconvenience caused by the application of administrative and control requirements, foster and promote the exchange of relevant information between Contracting States, and develop effective information technology to increase the efficiency and effectiveness of their procedures at airports. Annex 9 also establishes that no documents other than those provided for in Annex 9, Chapter 3, shall be required by Contracting States of visitors for entry into and departure from their territories.

2.2 Travel documents, comprising passports and other identity documents accepted for border integrity purposes, underpin the ideals of international civil aviation, cooperation and trust because they are used to readily and reliably confirm the identity of persons, and thereby enable seamless and secure international travel. Travel documents are, however, only as satisfactory as the identification-related systems behind their production, issuance, control and inspection. In consideration of this, the travel document field is rapidly evolving into the broader sphere of identification management.

2.3 Machine Readable Travel Documents (MRTDs), of course, serve the broad transport sector by assuring border integrity and efficiency in maritime and land transport settings as well. These important benefits extend the contribution of ICAO travel document-related activities beyond border integrity at airports.

2.4 These challenges and opportunities are the setting for a global traveller identification management strategy that are the framework for multidimensional integrated efforts and synergies, under ICAO’s leadership, to support ICAO’s Strategic Objectives in the current triennium and beyond.

2.5 In that context, the ICAO Traveller Identification Programme (TRIP) Strategy was endorsed by the 38th Session of the Assembly (A38). It emphasizes a holistic approach to identification management in order to maximize both aviation security and facilitation, and is expected to increase the capacity of States to uniquely identify individuals by providing authorities with effective identification tools and guidance. The ICAO mission for the TRIP Strategy implementation is to contribute to the capacity of Member States to uniquely identify individuals by providing appropriate authorities worldwide with the relevant supporting mechanisms to establish and confirm the identity of travellers.

2.6 The 39th Session of the Assembly endorsed the priorities for the ICAO TRIP Strategy and expected outcomes for the 2017-2019 triennium. Assembly Resolution A39-20, Consolidated statement of continuing ICAO policies related to facilitation, identified national and international action in ensuring the security and integrity of traveller identification and border controls. Specifically, the Assembly urged Member States, through their travel document and border control programmes, to uniquely identify individuals to maximize security and facilitation benefits, including preventing acts of unlawful interference and other

threats to civil aviation. Furthermore, the Assembly endorsed the development of a roadmap for the implementation of the ICAO TRIP Strategy.

3. ICAO TRIP STRATEGY

3.1 At the centre of the ICAO TRIP Strategy is the key proposition for States, ICAO and all stakeholders to address, individually and collectively: that a holistic, coherent, coordinated approach to the interdependent elements of traveller identification management is essential, encompassing the following elements:

a) Evidence of identity – credible evidence of identity, involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity;
b) MRTDs – the design and manufacture of standardized MRTDs, including ePassports, that comply with ICAO specifications;
c) Document issuance and control – processes and protocols for document issuance by appropriate authorities to authorized holders, and controls to prevent theft, tampering and loss;
d) Inspection systems and tools – inspection systems and tools for the efficient and secure reading and verification of MRTDs, including use of the ICAO PKD; and
e) Interoperable applications – globally interoperable applications and protocols that provide for timely, secure and reliable linkage of MRTDs and their holders to available and relevant data in the course of inspection operations.

3.2 In consideration of the scope of activities involved, traveller identification management necessarily engages a broad collection of mandates and interests at the global and State levels that directly or indirectly contribute to its effectiveness and efficiency, and travel document systems. Appendix A presents a visual representation of holistic traveller identification management and the stakeholders whose contributions support this integrated approach.

3.3 For ICAO and its Member States, the vision in traveller identification management is to reach the target of: ‘’all Member States can uniquely identify individuals’’. When the elements of identification management are optimally achieved, States will be in a position to identify individuals by their travel document with the highest possible degree of certainty, security and efficiency.

4. ICAO TRIP STRATEGY AND THE UNITED NATIONS AGENDA

4.1 As part of the coordination with the UN Security Council Global Strategy, ICAO actively supports UN Security Council Resolutions 1373 (2001), 1624 (2005), 2178 (2014) and 2309 (2016) as well as the Counter-Terrorism Implementation Task Force (CTITF). By doing so, ICAO makes contributions consistent with its own mandate in relation to aviation security and facilitation, including the ICAO TRIP Strategy.

4.2 The use of false identities and fraudulent travel documents, in addition to systemic weak-points in the identification management framework of many Member States, remain major vulnerabilities which continue to be exploited by criminal and terrorist networks. The UN Security Council urged Member States to require airlines to provide passenger lists, referred to as Advanced Passenger Information (API) in Annex 9 — *Facilitation*. API is an integral component of the fifth element of the ICAO TRIP Strategy, Interoperable Applications.

4.3 On 25 September 2015, the UN Member States adopted a set of goals for a new sustainable development agenda for the 2030 horizon. It is noteworthy that when assisting ICAO Member States in implementing some Annex 9 SARPs and related Specifications, it directly supports the achievement of 6 of 17 UN Sustainable Development Goals (SDGs). A specific target to be reached under Goal 16, is "by 2030, to provide legal identity for all, including birth registration", which is directly linked to the first element of the ICAO TRIP Strategy, Evidence of Identity

5. ISSUANCE STATUS OF MACHINE READABLE PASSPORTS (MRP)

5.1 According to information collected by ICAO, almost all ICAO African Member States currently implemented Standard 3.11.

5.2 In accordance with Annex 9 - Facilitation, Standard 3.11 requires that all non-MRPs should be out of circulation by 24 November 2015. A communication plan has been implemented in order to both encourage the compliance of States with this deadline and to minimize possible inconvenience it may cause to the travelling public. As part of this plan, State Letter EC6/3-12/70 was sent on 31 December 2012 in order to raise Member States' awareness about the deadline and the status for African States, as of May 2016, is shown in Appendix C.

5.3 Additionally guidance material on Standard 3.11 (Standard 3.10.1 in the 13th Edition of Annex 9) implementation challenges and practices has been placed online, on the MRTD webpage, http://www.icao.int/Security/mrtd/Pages/24-NOV-2015.aspx and articles on the subject were published in different editions of the MRTD Report http://www.icao.int/publications/Pages/MRTD-Report.aspx?year=2016 and the ICAO Journal http://www.icao.int/publications/journalsreports/2015/7002_en.pdf.

6. INTEROPERABLE APPLICATIONS

6.1 As part of the fifth element of the ICAO TRIP Strategy, Interoperable Applications, it is worth mentioning the use of the Advance Passenger Information (API) which enables the efficient and expedited clearance of low-risk persons and the INTERPOL Stolen and Lost Travel Document (SLTD) database.

6.2 Advance Passenger Information (API) involves the capture of a passenger's biographic da ta and flight details by the carrier during the check-in process. This information is electronically transmitted to the border control agencies at the destination. These agencies

can then screen details of passengers against their database(s), identifying those travelers requiring more detailed examination upon arrival. It also enables the efficient and expedited clearance of low-risk persons.

6.3 For aviation security purposes, identification could potentially be greatly enhanced by "Interactive API (iAPI) " programmes that allow destination States to prevent potentially high-risk persons from boarding flights at the place of departure. iAPI provides for passenger-by-passenger online interchange of electronic messaging between the aircraft operator and the border control agency in the State of destination (as opposed to one API message for all passengers on a flight).

6.4 Among the topics of the Amendment 25 to Annex 9 as approved by the Council in 2015 and which is applicable since 25 February 2016, there is one specific item related to the SLTD database with a new Standard and a new Recommended Practice which have been introduced, namely:

a) Standard 3.10 mentioning that "Contracting States shall promptly report accurate information about stolen, lost, and revoked travel documents, issued by their State, to INTERPOL for inclusion in the Stolen and Lost Travel Documents (SLTD) database"; and
b) Recommended Practice 3.10.1 mentioning that "Each Contracting State should, as far as practicable, 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".

7. INCREASE THE LEVEL OF PARTICIPATION IN THE PUBLIC KEY DIRECTORY (PKD)

7.1 As an ePassport is only as good as the information contained in its chip, it requires an inspection tool, the ICAO PKD which acts as a central broker, managing the multilateral exchange of certificates and certificate revocation lists used to validate the digital signature on the chip. Through the PKD, any attempt to alter the chip's data is immediately detected when checks are made. The PKD is recognized as a valuable instrument for implementing the specifications contained in Doc 9303.

7.2 The ICAO Public Key Directory (PKD) was created in March 2007 under the aegis of ICAO to facilitate the sharing of public key information between States. The ICAO PKD is a central repository of certificates that simplifies and facilitates the multilateral exchange of the information required to validate the digital signatures on ePassports. The ICAO PKD plays a critical role as a central broker, as it ensures interoperability while minimizing the volume of digital information being exchanged.

7.3 As of May 2016, the ICAO PKD had grown to 58 participants with only 5 African States as PKD participants. However, there remains a significant gap between the number of States issuing ePassports, the number of PKD participants and those States using the PKD in day-to-day border control operations. Therefore, the existing PKD Recommended Practice (13th Edition of Annex 9) has been divided in the 14th edition of Annex 9, into a Recommended Practice for document issuers and one for border control authorities. As a

result, it is recommended that document issuers (3.9.1) should join the PKD and upload information, while border control authorities (3.9.2) should join the PKD and use the information from the PKD to validate e-MRTDs at border controls.

8. ASSISTANCE ACTIVITIES

8.1 In the current triennium, ICAO continued to assist Member States on all matters related to the ICAO TRIP, including capacity-building activities funded by donors. In 2014, ICAO TRIP implementation began in the African Region where assistance projects have been developed in close coordination with several Regional Economic Communities of the African Union. Among those initiatives, the implementation of a technical assistance project funded by Canada has been achieved in April 2016. The project "Strengthening Travel Document Security and Identification Management in the Sahel region" thereon included activities such as Regional seminars, the development and delivery of a training course and four technical assessment missions to identify capacity gaps on the TRIP agenda.

8.2 A similar project that started in 2016 and is funded by Canada, Strengthen Border control management in the Caribbean region aims at assisting those states in the region in implementing ICAO TRIP strategy by enhancing their air travel border control management and the underlying matters of identification management and travel document security while complying with their international obligations contained in Annex 9 and in the resolution of the UN Security Council. The prominent activity of the project is the development of the ICAO TRIP Guide for assessing air travel Border control management. Other activity will include two workshops and four Technical assessment missions.

8.3 As requests for MRP technical assistance have increased considerably, additional resources in terms of expertise and funding are needed. Therefore, ICAO has been consolidating its working partnerships with several United Nations agencies, other international and regional organizations and the donor community to explore more effective ways in providing assistance to Member States.

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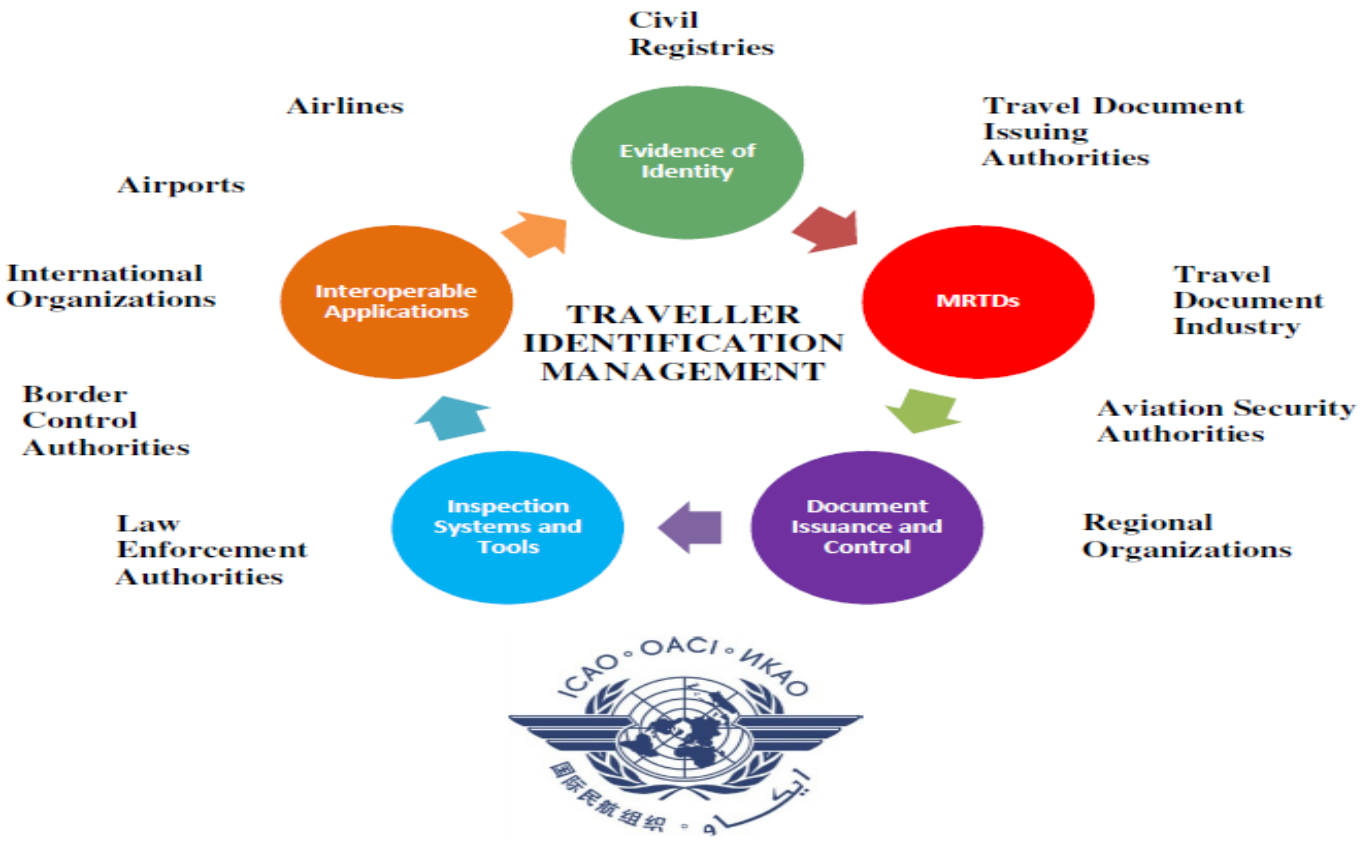
APPENDIX A

HOLISTIC TRAVELLER IDENTIFICATION MANAGEMENT



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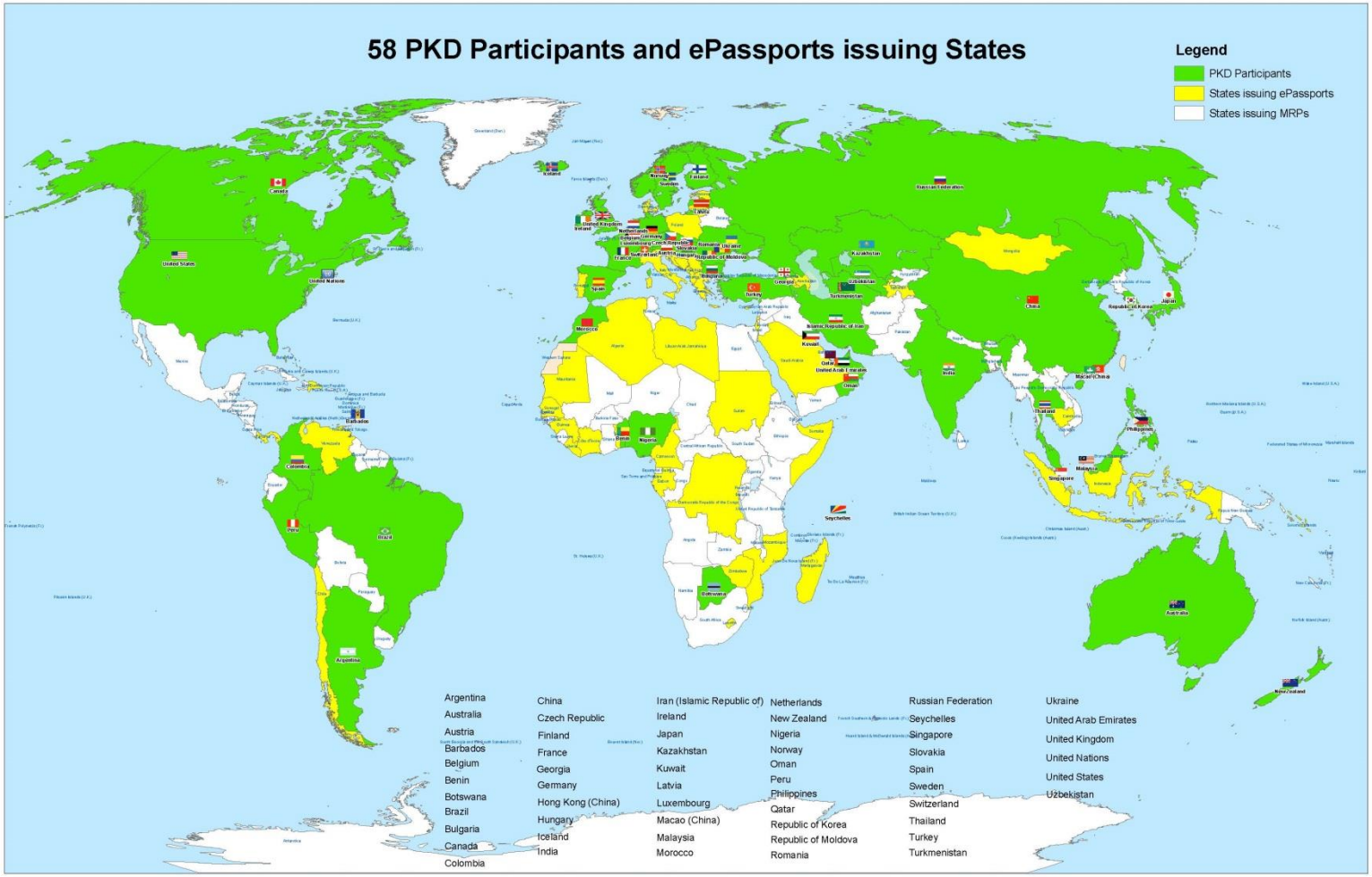
APPENDIX B



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