



INTERNATIONAL CIVIL AVIATION ORGANIZATION

AFI COMPREHENSIVE REGIONAL IMPLEMENTATION PLAN FOR AVIATION SECURITY AND FACILITATION IN AFRICA (AFI SECFAL PLAN)

12TH AFI SECFAL STEERING COMMITTEE MEETING

AIR TRANSPORT FACILITATION RECENT DEVELOPMENTS

(Presented by the AFI SECFAL Plan Secretariat)

EXECUTIVE SUMMARY

The ICAO Facilitation Programme addresses three inter-related programmes, Annex 9 — *Facilitation*, the ICAO Traveller Identification Programme (TRIP) Strategy and the ICAO Public Key Directory (PKD). The programme's core mandate is to develop new and revised Standards and Recommended Practices (SARPs) on the facilitation of international air transport as maintained in Annex 9 to the *Convention on International Civil Aviation*, designed to help States achieve maximum efficiency in their border clearance operations, and providing technical assistance to Member States in implementing Annex 9 SARPs.

This working paper presents recent developments in the ICAO Facilitation Programme, notably recent developments pertaining to Annex 9, the ICAO PKD and the ICAO TRIP Strategy.

Action by the Steering Committee is proposed under **Paragraph 3**.

<i>Strategic Objectives</i>	Aviation Security and Facilitation
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1 INTRODUCTION

1.1 Annex 9 — *Facilitation* is based on 10 articles of the *Convention on International Civil Aviation* (Chicago Convention), which require Member States to comply with laws governing the inspection of aircraft, cargo and passengers by authorities concerned with customs, immigration, agriculture and public health to minimize operational delays. To carry out this mandate, the ICAO Facilitation Programme builds on Standards and Recommended Practices (SARPs) as maintained in Annex 9, designed to help States achieve maximum efficiency in their border clearance operations.

1.2 This paper contains recent developments in Annex 9, the Public Key Directory (PKD) and the Traveller Identification Programme (TRIP) Strategy.

2. DISCUSSION

2.1 The Twelfth Meeting of the Facilitation Panel (FALP/12), held from 13 to 22 July 2021, considered proposals developed by the ICAO Air Transport Committee's (ATC) Task Force on Health Issues Outbreaks in Aviation (TF-HIOA), for new and revised health-related SARPs; as well as other topics such as: air transport facilitation of persons with disabilities; assistance to aircraft accident victims and their families; and trafficking in persons for inclusion in Amendment 29 to Annex 9. FALP also considered and agreed on revised guidance material, including guidance for health-related SARPs for inclusion in Doc 9957, *The Facilitation Manual* and Doc 10171, *Manual on a Comprehensive Strategy for Combating Human Trafficking* in the Aviation Sector. Documents pertaining to FALP/12 can be found on the ICAO Public website.¹

2.2 Additionally, the Panel established a dedicated Working Group on Annex 9 (WGA9), endorsed by the ATC in September 2021. WGA9 is comprised of experts from the Member States and relevant international organizations and industry, supported by the ICAO Secretariat with a mandate to, inter alia, ensure that the measures contained in Annex 9 are commensurate with the current and foreseeable global aviation facilitation environment for civil aviation.

2.3 On 9 March 2022, the Council of ICAO adopted Amendment 29 to Annex 9, which became applicable on 18 November 2022. This amendment includes new and/or revised provisions on public-health emergencies, security of travel and health proofs documents, relief and repatriation flights, air transport facilitation of persons with disabilities, assistance to aircraft accident victims and their families, and trafficking in persons.

2.4 To assist Member States in implementing Annex 9 provisions, ICAO developed a Facilitation Implementation Package (iPack) on Strengthening National Air Transport Facilitation Committees for the Restart and the Resilience of Civil Aviation, which has been deployed in 14 States in Africa; 7 have been successfully completed and 7 are ongoing. ICAO has developed 3 training courses entitled *Annex 9 — Facilitation*, *ICAO Traveller Identification Programme (TRIP) Strategy*, and *Assistance to Aircraft Accident Victims and their Families*, for delivery in both virtual and classroom formats. The Annex 9 Course has benefitted 50 States in Africa, while the ICAO TRIP Strategy has benefitted 8 States in Africa. Additionally, 2 iPacks are under development — *Management of National Facilitation Programmes* and *Implementation of the ICAO TRIP Strategy Roadmap* — as well as a training course entitled *Managing Air Transport Facilitation*.

2.5 The 41st Session of the ICAO Assembly endorsed 79 recommendations emanating from the Facilitation Stream of the High-level Conference on COVID-19 (HLCC)² and 30 recommendations emanating from the First Symposium on Assistance to Aircraft Accident Victims and their Families (AAAVF 2021). Additionally, the Assembly endorsed resolutions covering these important areas, notably, Resolution A41-14: *Assistance to victims of aviation accidents and their families*, Resolution A41-15: *Accessibility in International Civil Aviation*, and Resolution A41-17: *Consolidated statement of continuing ICAO policies related to facilitation* (Doc 10184 refers).

2.6 To assist States in implementing the recommendations of the HLCC Facilitation Stream, ICAO hosted a webinar on States' Implementation of HLCC Recommendations addressed to States on 29 June 2023. Additionally, ICAO has issued State Letter EC 6/7–23/40 on 5 June 2023, requesting Member States to implement the Facilitation Stream recommendations addressed to them, to grant access to the Electronic Filing of Difference (EFOD) System to the Civil Aviation Authority (CAA) department responsible for facilitation and relevant national experts from agencies that have a role in the implementation of Annex 9, and to register for the *ICAO Webinar on States' Implementation of the HLCC 2021 Facilitation Stream recommendations*.

¹ <https://www.icao.int/Meetings/FALP/Pages/FALP12-2021.aspx>

² 62 recommendations were addressed to States and 17 were addressed to ICAO

2.7 Further, regarding the HLCC Facilitation Stream recommendations relating to Accessibility in Aviation and Assistance to Aircraft Accident Victims and their Families, to advance its work on these important areas, the Facilitation Panel during its intersessional activities, supported establishing a dedicated Working Group on Assistance to Aircraft Accident Victims and their Families, and formalizing the Working Group on Accessibility in Aviation. Additionally, ICAO will convene the Second Symposium on Assistance to Aircraft Victims and their Families, and in this regard, has issued State Letter EC 6/3–23/8 on 8 February 2023, inviting States to notify ICAO of their interest to host the Symposium in 2024.

2.8 ICAO PKD is an integral component of international infrastructure supporting the use of electronic Machine Readable Travel Documents (eMRTDs). As a central point for trusted dissemination of the public keys that eMRTD issuers must share to allow for electronic verification of their documents, PKD facilitates cost-effective eMRTD issuance, improves global document authentication capabilities and enhances aviation security and facilitation by enriching the international travel document ecosystem.

2.9 ICAO PKD services have expanded in recent years with new data types being made available. A Master List of certificates has been made available that facilitates sharing of the root of trust public key certificates held by ICAO in a trustworthy manner. An additional health Master List was introduced in 2022 for sharing of public keys associated with electronic health proofs (i.e. certificates of vaccination, health tests etc.). Inclusion of certificates on this Master List is free of charge for all issuers. These developments bring value to more Member States at lower cost than ever before. As participation grows, more data is shared while fees decrease due to the cost sharing principles applied. In 2023, 7 Member States, namely Bahrain, Belize, Cameroon, Iraq, Kenya, Saudi Arabia, Vanuatu, and Zimbabwe, joined PKD, bringing the total number of PKD participants to 90.

2.10 A pilot of private sector use of PKD data was launched in 2022. This pilot project is intended to assess the merit of companies using PKD data to support document authentication in airport processes as part of multi-stakeholder private-public cooperation foreseen with future digital identity processes. As of May 2023, 28 companies are participating. An expansion of this program should reduce financial demands on States moving forward while increasing the importance of State participation and use to assure that PKD is a reliable and complete source of public key data for the ICAO eMRTD ecosystem.

2.11 The ICAO TRIP Strategy establishes a comprehensive framework for Member States to build a robust traveller identification process. It 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 PKD; and Interoperable Applications (IA), such as Advance Passenger Information (API) and Passenger Name Record (PNR) data.

2.12 The ICAO TRIP Roadmap was developed by the Secretariat and was ATC approved during the 210th Session of the Council in January 2017. It was then revised and endorsed by the 40th Session of the ICAO Assembly in 2019, with the understanding that the roadmap should impose no obligation on States beyond the Annex 9 SARPs related to the ICAO TRIP Strategy. With Amendment 28 to Annex 9, the revised Roadmap was agreed and published on the ICAO public site.³ It incorporates new and/or revised Annex 9 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*.

2.13 In terms of innovative developments, the Technical Advisory Group on TRIP (TAG/TRIP) endorsed, inter alia, the ICAO *Guiding Core Principles for the Development of Digital Travel Credentials (DTC)*, as well as the technical specifications of Visible Digital Seal for Non-

³ https://www.icao.int/Security/FAL/TRIP/PublishingImages/Pages/Publications/ICAO_TRIP_Implementation_Roadmap.pdf

Constrained environments (VDS-NC). The DTC specifications will enable an ICAO compliant passport to be extended to a passenger’s mobile device, allowing a more seamless traveller journey with less passenger touchpoints at the airports, resulting in a healthier and safer travel experience. Presentations on DTC and VDS-NC webinars have been organized and reached most ICAO Member States. Guidance material on how States might create and use vaccine certificates for the travel context, using the VDS-NC specifications, is being developed and a dedicated VDS-NC iPack is available since the second quarter of 2022. The objectives and proposed contents of the VDS-NC iPack is to support the fast roll-out implementation of the specifications of the VDS-NC for both issuance and inspection either under the existing eMRTD Public Key Infrastructure (PKI) or under any newly-established health PKI as decided by States.

2.14 ICAO 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), 2396 (2017) and 2482 (2019) as well as the United Nations (UN) Global Counter-Terrorism Coordination Compact through its active participation to the UN Office of Counter-Terrorism (UN OCT) 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 analyzing both API and PNR.

2.15 To assist Member States in implementing the ICAO TRIP Strategy and Annex 9 SARPs, ICAO developed a dedicated training course entitled ICAO Traveller Identification Programme (TRIP) Strategy course. The aim is to, inter alia, enable civil aviation authorities and all relevant border stakeholders to deal collectively with the provisions of Annex 9 and support the implementation of the five elements of the ICAO TRIP Strategy. The course builds upon the base of documents and guidance material pertaining to the ICAO TRIP Strategy already available on the ICAO public website.⁴ In addition, as part of the support provided to States, the Eighth Edition of Doc 9303, composed of 13 parts, was published on the ICAO public site.⁵

2.16 ICAO continues to provide assistance to its Member States. In 2023, the 18th ICAO TRIP Symposium (TRIP2023) will be held from 12 to 14 September, under the theme “Enhancing Traveller Mobility through Technology and Innovation” and will be followed by the Joint ICAO/International Criminal Police Organization (INTERPOL) Biometric Forum on 14 September. In addition, ICAO will conduct a Regional TRIP Symposium on traveller identification management from 6 to 8 December 2023 in Almaty, Kazakhstan.

3. ACTION BY THE STEERING COMMITTEE

- 3.1 The Steering Committee is invited to:
- a) note the information contained in the paper;
 - b) urge States to implement the provisions of Annex 9;
 - c) encourage States to consider deployment of the iPacks, and participate in the facilitation-related training courses;
 - d) encourage States to join ICAO PKD; and
 - e) encourage States to consider implementing the recommendations of the Facilitation Stream of HLCC 2021.

— END —

⁴ <https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>

⁵ <https://www.icao.int/publications/pages/publication.aspx?docnum=9303> in all ICAO languages in 2021

