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

THIRD AFI SECFAL PLAN STEERING COMMITTEE MEETING
Malabo, Equatorial Guinea, 1 July 2016

Agenda Item 1: **ICAO Traveller Identification Programme (TRIP) Strategy**

(Presented by AFI SECFAL Plan Secretariat)

EXECUTIVE SUMMARY

This paper presents the ICAO Traveller Identification Programme (ICAO TRIP) Strategy, which provides a framework for achieving significant enhancements in aviation security and facilitation in the future by bringing together the elements of identification management and building on ICAO leadership in matters related to Machine Readable Travel Documents (MRTD).

Action: The Steering Committee is invited to:

a) endorse the recommendations in paragraph 13; and
b) update accordingly the AFI SECFAL Plan.

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1. **INTRODUCTION**

1.1   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.

1.2   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.   BACKGROUND

2.1   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.

2.2   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.

2.3   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.

2.4   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.

2.5   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.

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

2.7   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.

2.8   This working paper describes this ICAO strategy which has the objectives to establish the goal and objectives of traveller identification management, to lead and reinforce a global approach, and to provide direction for action by ICAO, States and the many international, regional and industry partners in identification management.

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.   PILLARS OF THE IMPLEMENTATION OF THE ICAO TRIP STRATEGY

4.1   Recognizing the benefits of traveller identification management to aviation security and facilitation, and the vision that all Member States can uniquely identify individuals, ICAO's mission 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.

4.2   Under the ICAO TRIP Strategy, the following pillars are fundamental for its successful implementation:

a) Compliance with Chapter 3 of Annex 9 Standards and Recommended Practices (SARPs) and specifications of Doc. 9303, *MRTDs*;
b) Full implementation of Machine Readable Passports as per Standard 3.11 of Annex 9 (14th Edition)
c) Assessment of compliance with the international framework of MRTDs, with emphasis on cost-effective methods to produce recommendations to address deficiencies;
d) Participation to the ICAO PKD;
b) Planning for defining a roadmap for an ePassport issuance;
c) Establishing interoperable applications such as linking Advance Passenger Information (API) systems to watch lists; and
d) Capacity building for the benefit of States' programmes, with focus on developing assistance partnerships to recruit and mobilize financial and in-kind resources.

4.3   The proposed ICAO TRIP Strategy for Africa provides a plan to achieve implementation of the ICAO TRIP Strategy and is detailed in Appendix B.

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 INTERPOL Stolen and Lost Travel Document (SLTD) database and the Advance Passenger Information (API) which enables the efficient and expedited clearance of low-risk persons. More details on API can be found in the Working Paper "Advance Passenger Information (API) and its role in aviation Security and Facilitation".

6.2   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.   **ASSESSMENT THROUGH DOC 9303 COMPLIANCE SCHEME**

7.1   The Implementation and Capacity Building Working Group (ICBWG) of the ICAO Technical Advisory Group on TRIP (TAG/TRIP) monitors the progress made by Member States in their issuance of Doc 9303-compliant travel documents. However, there is a view among MRTD experts that some Member States may not be issuing MRTDs that are fully compliant with the specifications in Doc 9303. Therefore, the Secretariat decided to consider the establishment of objective means to verify such compliance. A proposed systemic process for evaluating passport compliance with Doc 9303 specifications, the Doc 9303 Compliance Programme is currently being finalized with the concept of operation and respective roles and responsibilities already identified.

8.   **ROADMAP FOR EPASSPORT IMPLEMENTATION AND EXPANSION OF AUTOMATED BORDER CONTROL (ABC) USE**

8.1   According to the latest open-source statistics concerning ePassport issuance, over 100 States issue ePassports and an estimated 636 million e-Passports are in circulation. As ePassport implementation expands, the possibility of a Standard requiring ePassports

arises, following the example of Standards that have assisted with the move from handwritten to machine-readable passports. The Council is of the view that ambitious leadership by ICAO in travel document matters, including ePassport, is essential. Work will progress on an ePassport roadmap which identifies the challenges and conditions that must be met by Member States when implementing ePassport systems and for ICAO over the long-term in considering the possibility of an ePassport Standard.

8.2   ABCs are effectively an additional functionality of biometric passports as it is related to traveller inspection using travel documents identification to assess admissibility into a country.

8.3   According to industry reports, the expansion of ABCs, used for the inspection of travellers documents, increased between August 2014 and November 2015 from availability in 134 airports in 40 States to 179 airports in 60 Member States. On these States, only 38 of them currently use an ABC system with the ePassport as the required token.

8.4   Further development of an ABC-related regulatory framework, such as the Recommended Practices proposed for introduction during the Ninth Meeting of the Facilitation Panel (FALP/9, April 2016), will encourage Member States to expand the use of ABCs.

8.5   The ICAO TRIP strategy is broad, spanning travel documents and borders, hence there is a need for greater border control involvement, specifically as it relates to validation of identity. Therefore, it is critical to make border authorities aware that they are responsible and accountable for undertaking work in the border area. Getting border agencies involved is a key focus for the ICAO TRIP Strategy.

8.6   In Africa, it is estimated that about 20 States are issuing ePassports while the implementation of ABCs is anecdotal. The development of the implementation of an ePassport roadmap at the level of each State is recommended along a parallel process to implement ABCs.

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

9.1   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.

9.2   As of May 2016, the ICAO PKD had grown to 52 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.

10.   ASSISTANCE ACTIVITIES

10.1   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.

10.2   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.

11.   ICAO TRIP STRATEGY AND THE UNITED NATIONS AGENDA

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

11.2   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.

11.3   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.

12.   **CONCLUSIONS**

12.1   The ICAO TRIP Strategy is establishing a comprehensive framework to lead Member States, ICAO and traveller identification partners into the future. At appropriate intervals, monitoring, reporting and review of implementation progress, and fine-tuning, as appropriate, will ensure that the Strategy remains up-to-date.

12.2   With renewed focus and in conjunction with identification management partners, and building on progress to date, ICAO will continue to produce and provide globally endorsed measures, tools, services and other means to:

   a) mitigate risks to aviation security and broader national security through robust methods of identification management and border control;
   b) assist in the detection and prevention of terrorism and crime through the prevention of the fraudulent use of identification documents;
   c) facilitate genuine travellers through the airport process by automated clearance processes to increase throughput;
   d) reduce staff and training costs by standardizing and simplifying document verification processes;
   e) enable interoperability and the use of standard technologies for identification management for both States and industry, leading to efficient operations and cost reduction;
   f) increase States' confidence in their ability to verify that documents have been appropriately issued and have not been altered; and
   g) provide for cost-effective deployment of security and border control personnel and resources on a risk-management basis.

12.3   A structured action plan for the implementation of the TRIP Strategy has to be developed by each State in cooperation with ICAO, articulating notably results and targets, estimated resources and activities required to achieve the strategic outcomes and attribution of responsibilities for all steps.

13.   **ACTION REQUIRED BY THE MEETING**

13.1   The AFI SECFAL Steering Committee is invited to :

   a) Urge African States to implement the ICAO TRIP Strategy in order to achieve enhanced aviation security and to prevent illegal migration and the movement of potentially inadmissible persons;

   b) Recommend to African States to commit to computerize civil registration systems and strengthen the authentication of vital records, including birth certificates;

   c) Advise African States to endeavour to join the ICAO PKD as a means to authenticate travel documents and to prevent fraud in order to neutralize the activities and other forms of cross-border criminality;

d) Recommend to African States to   be compliant with the Standard of Annex 9 requiring them to 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;

e) Urge African **States** to equip the land borders with equipment to read the identification data and to promote single stop at borders;

f) Appeal to African States to participate in the activities of the Technical Advisory Group on ICAO Traveller Identification Programme (TAG/TRIP); and

g) Implore African States on the need to strengthen their capacity on implementation of the ICAO TRIP strategy, especially at branch level responsible for the management of civil registries, issuance and security of travel and identity documents, border control, particularly in the fight against terrorism and transnational crime.

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APPENDIX A

HOLISTIC TRAVELLER IDENTIFICATION MANAGEMENT

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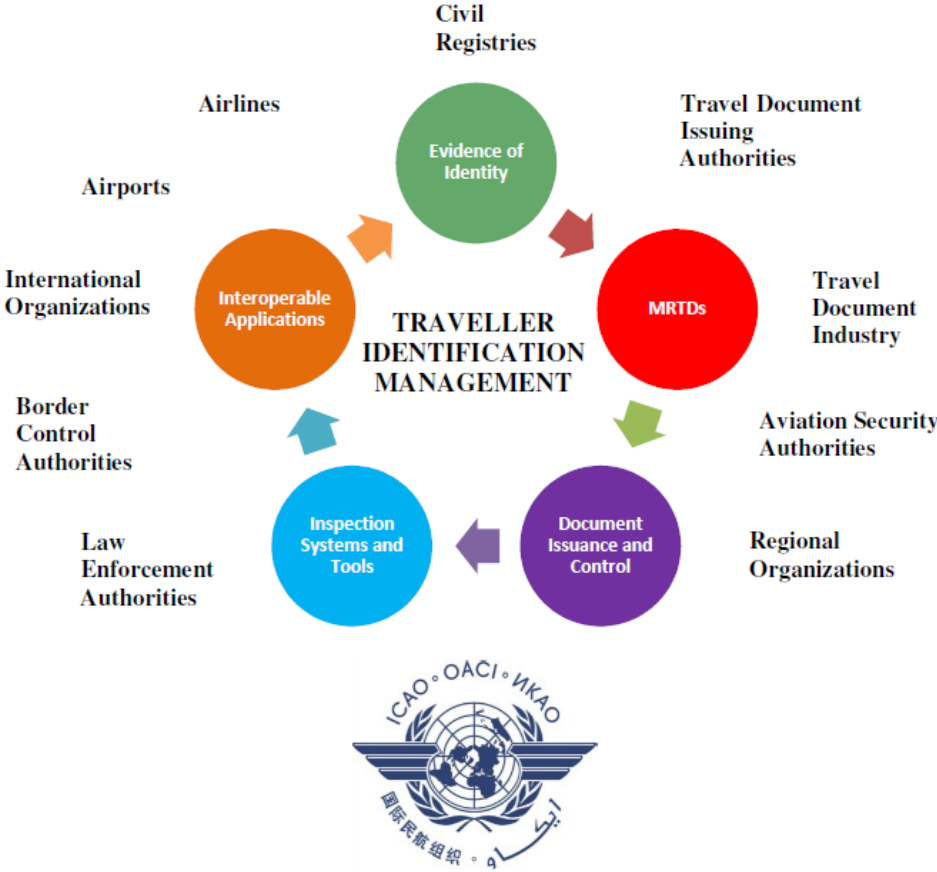
APPENDIX B

IMPLEMENTATION OF ICAO TRIP IN AFRICA

<u>**Vision:**</u> **All African Member States can uniquely identify individuals**
<u>**Mission:**</u>**To contribute to the capacity of African Member States to uniquely identify individuals by providing appropriate authorities worldwide with the relevant supporting mechanisms to establish and confirm the identity of travellers.**

OUTCOME	TRAVELLER IDENTIFICATION ELEMENTS	2016	SHORT-TERM MILESTONES 2017-2019
Holistic identification management	All	Planning for implementation of the ICAO TRIP Strategy	Identification management is a best practice
Completion of Machine Readable Passports (MRPs) implementation	Document issuance and control	All African States have begun issuing MRPs	Only MRPs are issued
Compliance with travel document Standards and specifications (Annex 9 and Doc 9303)	All	Complete the Annex 9 – Facilitation online compliance checklist	Increase the number of request for compliance assessments
Implementation of ePassports	Document issuance and control, interoperable applications	Approximately 30 ePassport issuers in Africa	Development of a roadmap for each State for ePassport implementation
Travel document inspection using Automated Border controls (ABCs)	Inspection systems and tools	Develop a roadmap for ABC implementation	Expand the implementation of ABCs
Security of Travel Documents	Interoperable Applications	Establish a reporting mechanism for stolen, lost, and revoked travel documents, to the SLTD	Reporting mechanism is widely implemented and develop a process to query the travel documents of individuals travelling internationally against the INTERPOL SLTD database.
Travel document inspection and security of travel document through the use of the ICAO PKD	Inspection systems and tools	Recommended Practice on joining the ICAO PKD	Increase the number of African States in the PKD Programme

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APPENDIX C

Q1 —	All non-MRPs have expired or are due to expire before 24 November 2015: YES/NO	Q2 —	If Q1 is "NO": a) Number of non-MRPs in circulation beyond 24 November 2015; b) (Date) All non-MRPs due to expire
	Response to questionnaire yet to be received from these States		

State	Responses to EC6/3-12/70		
	Q1: YES	Q2(a)	Q2(b)
Angola	X		
Benin	X		
Botswana	X		
Burkina Faso	X		
Burundi	X		
Cameroon	X		
Cape Verde	X		
Central African Republic	X		
Chad	X		
Comoros	X		
Congo	—	984500	2020
Côte d'Ivoire	X		
Democratic Republic of the Congo	X		
Djibouti	X		
Equatorial Guinea	X		
Eritrea	X		
Ethiopia			
Gabon	X		
Gambia	X		
Ghana	X		
Guinea	X		
Guinea-Bissau	—	—	31 Dec 2015
Kenya	X		
Lesotho			
Liberia	X		
Madagascar	X		
Malawi	X		
Mali	X		
Mauritania	X		
Mauritius	X		
Mozambique	—	5000	30/11/2015
Namibia	X		
Niger	—	1000-1500	June 2016
Nigeria	X		
Rwanda	X		
Sao Tome and Principe	—	10,000	In 7 years

			(2022)
Seychelles	**X**		
Senegal	**X**		
Sierra Leone	**X**		
Somalia			
South Africa	**X**		
South Sudan	**X**		
Swaziland	**X**		
Togo	**X**		
Uganda	**X**		
United Republic of Tanzania	**X**		
Zambia	**X**		
Zimbabwe	**X**		

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