



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

SIXTH AFI SECFAL PLAN STEERING COMMITTEE MEETING

(8 December 2017 Montréal, Canada)

Agenda Item 3: Aviation Security and Facilitation Programs Reports

(Presented by the ICAO Secretariat)

EXECUTIVE SUMMARY

This paper highlights recent developments in all ICAO Facilitation programmes namely, the Annex 9 – *Facilitation* related programme, the ICAO Traveller Identification Programme (TRIP) strategy and the ICAO Public Key Directory (PKD). Advance Passenger Information (API) is also addressed.

Action: The action by the meeting is detailed in paragraph 5.

1. INTRODUCTION

1.1 In the area of aviation security and facilitation, the 39th Session of the ICAO Assembly (A39) confirmed ICAO's emphasis on achieving greater balance between effective control measures and system-wide connectivity and efficiency. Thus, key principles such as risk management-based prioritization and mutual recognition of equivalent security measures continue to serve as foundational components to Security and Facilitation discussions in ICAO. Highlighting the importance of putting travel facilitation on equal footing with aviation security, the Strategic Objective – *Security and Facilitation* reflects the need for ICAO's leadership in aviation security, facilitation and related border security matters.

1.2 A39 endorsed the work plan of the Facilitation programmes and their 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 Traveller Identification Programme (ICAO TRIP) Strategy.

2. ANNEX 9 DEVELOPMENTS

2.1 The ninth meeting of the Facilitation Panel (FALP/9), held at ICAO Headquarters, Montréal, from 4 to 7 April 2016, resulted in recommendations (some with a high relevance for Aviation Security) for substantive amendments to Annex 9 — *Facilitation*. The final report and other documentation of the meeting can be found on the FALP/9 website at: <http://www.icao.int/Meetings/FALP/Pages/FALP9-2016.aspx>.

2.2 The Panel's recommendations were submitted to the Air Transport Committee (ATC) in October 2016 for initial review, subsequently disseminated to Member States for comments and finally considered by the ICAO Council on 16 June 2017.

2.3 The Council adopted the following provisions, inter alia, for incorporation into Annex 9. They became effective on 23 October 2017 and are applicable from 23 February 2018:

- a) a new Standard obliging each Member State to establish an Advance Passenger Information (API) system in light, inter alia, of UN Security Council Resolution 2178 (2014) and of the increasing use of API for border security and counter terrorism;
- b) enhanced Passenger Name Record (PNR)-related provisions, in response to the growth in PNR programmes and in order to support adherence to content, format and transmission standards to mitigate non-compliant PNR data requests;
- c) new Recommended Practices on Electronic Travel Systems (ETS), in response to increasing requirements by Governments to require passengers to apply for a travel authorization or to register online prior to boarding a flight for travel, so that ETS-related terminology is standardized and this technology is included within the Annex 9 policy and regulatory framework and guidance provided to governments planning implementation of an electronic version of visa issuance or travel authority;
- d) the inclusion of the nationality of passengers in Appendix 2 to Annex 9, Passenger Manifest, in order to improve the accuracy and speed of information that can be provided to families of aircraft accident victims;
- e) new Standards and Recommended Practices on the transport of minors, in light of increasing international awareness on the foreign fighters phenomenon and on child trafficking, and the limited availability of international guidance on the treatment of minors travelling by air, in order to help harmonize the policies and procedures followed by Member States and aircraft operators on the handling and safety of minors; and
- f) augmented provisions on Automated Border Control (ABC) systems, as a result of the increasing use of such systems, including a new Recommended Practice for States to use the PKD when validating eMRTDs.

3. IMPLEMENTATION OF THE ICAO TRIP STRATEGY

3.1 The ICAO TRIP Strategy (**Appendix A**) establishes a comprehensive framework for Member States, ICAO and traveller identification partners to guide and support future developments. **Appendix B** presents a visual representation of holistic traveller identification management and the stakeholders whose contributions support this integrated approach. At appropriate intervals, monitoring, reporting and review of implementation progress, and fine tuning, as appropriate, will ensure that the Strategy remains up-to-date.

3.2 **Appendix C** details the ICAO TRIP-related Annex 9 provisions.

3.3 At the regional level, ICAO provided assistance to Member States in the 2013-2016 triennium in the area of Annex 9 – *Facilitation*, Doc 9303, Machine Readable Travel Documents, and implementation of the ICAO TRIP Strategy, through regional seminars and donor-funded assistance programmes such as the Sahel Project, funded by the Government of Canada.

3.4 At the international level, in addition to the existing ICAO mechanisms such as the Facilitation Panel (FALP), the Technical Advisory Group on the Traveller Identification Programme (TAG/TRIP) and its working groups and the ICAO Public Key Directory (PKD) Board, the ICAO Secretariat is developing and consolidating its working arrangements with a number of international organizations that have a key role to play in the implementation of the TRIP Strategy. This is being done through the establishment of new or updated Memoranda of Understanding with organizations such as the International Organization for Standardization (ISO), the International Organization for Migration (IOM) and the International Criminal Police Organization (INTERPOL). Other key stakeholder organizations include the International Air Transport Association (IATA), the World Customs Organization (WCO), the World Bank Group, the Organization for Security and Cooperation in Europe (OSCE), and relevant UN entities such as the Counter-Terrorism Committee Executive Directorate (CTED), the Office of the United Nations High Commissioner for Refugees (UNHCR) and the World Tourism Organization (UNWTO).

3.5 Annex 9 (Fifteenth Edition), Standard 3.11.1 requires that all non-machine readable passports (MRPs) be out of circulation by 24 November 2015. The status for AFI States, as of November 2017, is shown in **Appendix D**.

3.6 With renewed focus and in conjunction with identification management partners, and building on progress to date, ICAO will, amongst other things, 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 the confidence of States 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.

3.7 A structured action plan for the implementation of the TRIP Strategy has to be developed by each State in cooperation with ICAO, articulating notably the results and targets, estimated resources and activities required to achieve the strategic outcomes and attribution of responsibilities for all steps. Such an action plan, the Roadmap for the ICAO Traveller Identification Programme (TRIP) Strategy, has been developed by the ICAO Secretariat and reviewed by the ATC during its 210th Session in January 2017. A State Letter EC 6/8 – 17/96, sent on 11 August 2017, describes the roadmap (**Appendix E**) which is designed to assist Member States with the task of implementing the ICAO TRIP Strategy.

3.8 Guidance material is available for States regarding most of the TRIP Strategy elements at <http://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>. **Appendix F** lists the guidance available for each element. This material, along with the specifications in Doc 9303, is being updated and enhanced on a regular basis by the experts of the TAG/TRIP and its two working groups.

3.9 The Thirteenth ICAO TRIP Symposium and Exhibition on ICAO TRIP took place from 24 to 26 October 2017 at ICAO Headquarters in Montréal, Canada. The Symposium addressed the five elements of the ICAO TRIP Strategy, including machine readable travel documents (MRTDs) specifications and best practices for document issuance, identification management and related border security issues. In line with UN Security Council Resolutions 2178 (2014) and 2309 (2016) that re-affirmed the importance of border controls to combat terrorism, the Symposium provided an opportunity to enhance international cooperation and collaboration to address the threats faced by international civil aviation. This was accomplished by promoting the global framework established by Annex 9 – *Facilitation* to the Convention on International Civil Aviation. Accordingly, the theme of the 2017 Symposium highlighted how to secure border integrity through border control management processes, including the implementation of an Advance Passenger Information (API) system. An exhibition complemented the Symposium, showcasing a broad range of products and services related notably to travel document security applications, border inspection and automated border control systems, and identity management (<https://www.icao.int/Meetings/TRIP-Symposium-2017/Pages/default.aspx>). Two workshops were also provided to help States with the implementation of PKD and API requirements.

3.10 With the support from various donors such as the Government of Canada and in the context of an assistance project implemented in the Sahel region, ICAO introduced in July 2016 the ICAO Training Package (ITP), “Control of the Authenticity and Validity of Travel documents at Airport Borders – Level 1” aimed at consolidating the competencies of front-line inspection officers from immigration and border control authorities to examine travel documents effectively, allowing them to expedite the movement of legitimate travelers while identifying high-risk individuals.

3.11 Furthermore, the 75,000.00 (US Dollars) voluntary funds received from the Government of Saudi Arabia, towards implementation of the ICAO Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL PLAN) has provided for the funding of two training courses in 2017 and will cover another one planned in 2018 in Africa.

3.12 In the context of the recently signed Memorandum of Understanding (MoU) with the International Organization for Migration (IOM) aiming at achieving sustainable improvements in the field of travel facilitation and security of travel documents, a joint training course on travel document examination was organized by ICAO and IOM and conducted from 31 July to 4 August 2017, at the IOM African Capacity Building Centre (ACBC) located in Moshi, Tanzania. The training, consisted of two parts: the ICAO Training Package entitled “Control of the authenticity and validity of travel document at airport borders – Level 1” and the IOM modules pertaining to the Second Edition of the Passport Examination Procedure Manual (PEPM) on biometrics which were also published in 2016. As a result, 19 front-line inspection officers from Kenya, Tanzania and Uganda have benefitted from these new courses and best practice guidance.

3.13 In Abuja, from 23 to 26 October 2017, 18 front-line officers from Ghana and Nigeria had the opportunity to successfully participate in the ICAO ITP on documents and fraud detection at the Nigerian College of Aviation Technology (NCAT).

3.14 Another training activity is planned in early 2018 in Niamey, Niger allowing for some additional identified instructors to achieve their on-the-job training. The future training courses will also be used to identify national experts that could become qualified ICAO instructors able to deliver this training in the future.

3.15 In order to provide access to this ICAO ITP for front-line officers from different backgrounds, the ITP has been made available in four languages: Arabic, English, French and Spanish. The cooperation with IOM has helped to identify two Sudanese instructors able to deliver the training in the Arabic language.

3.16 Besides training activities, and taking into account the various stakeholders outside the Civil Aviation Authorities involved in the ICAO TRIP strategy, a State Letter EC 6/1 – 16/106, Nomination of a National Focal Point for Facilitation, dated 14 December 2016, requested Member States to nominate a National focal point for Facilitation matters who will be in charge of dispatching the information to all relevant agencies involved in traveller identification matters. The detailed responses are provided in **Appendix H**.

3.17 Finally, a State letter EC 6/3 – 17/92, Annex 9 — *Facilitation*: provisions on the Stolen and Lost Travel Documents (SLTD) database of INTERPOL, 24 July 2017, requested Member States to complete a short questionnaire regarding their compliance with the Annex 9 Standards and Recommended Practices (SARPs) relating to the SLTD database. The latest summary of responses by AFI States is provided in **Appendix I**.

4. ICAO PUBLIC KEY DIRECTORY (PKD) MEMBERSHIP AND BENEFITS

4.1 As an ePassport (eMRTD) is only as good as the information contained on its chip, it requires an inspection tool, the ICAO PKD, which acts as a central broker by 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.

4.2 As of November 2017, the ICAO PKD had grown to 60 participants with four States from the AFI Region as PKD participants (**Appendix G**). 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 – *Facilitation*) was 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 eMRTDs at border controls.

5. ACTION BY THE SIXTH STEERING COMMITTEE MEETING OF THE AFI SECFAL PLAN

5.1 The Committee is invited to take note of this paper highlighting developments in all of ICAO's Facilitation Programmes, including the importance of implementing the ICAO Traveller Identification Programme (TRIP) strategy which aims at enhancing both cross-border security and air transport facilitation.

5.2 The Committee is also invited to reaffirm that:

- a) AFI States should 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) AFI States should commit to computerize civil registration systems and strengthen the authentication of vital records, including birth certificates;

- c) AFI States should endeavour to join the ICAO PKD as a means to authenticate travel documents and to prevent fraud in order to neutralize the activities of cross-border criminality;
- d) AFI States should comply 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) AFI States should commit to equipping their borders with the technologies required to read the identification data contained in MRTDs and eMRTDs to enhance security and facilitation;
- f) AFI States should commit to participate in the activities of the ICAO Technical Advisory Group on the Traveller Identification Programme (TAG/TRIP) and its working groups;
- g) AFI States should strengthen their capacity to implement all five elements of the ICAO TRIP strategy in line with the new TRIP implementation roadmap for Member States;
- h) AFI States should commit to establish a National Air Transport Facilitation Programme and associated committees in accordance with the Standards 8.17, 8.18 and 8.19 of Annex 9 – *Facilitation*; and
- i) AFI States which have not yet done so should nominate a National Focal Point for Facilitation matters.

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APPENDIX A

ICAO TRIP STRATEGY

1. BACKGROUND

1.1 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.

1.2 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.

1.3 For ICAO and its Member States, the vision in traveller identification management is to reach the target that: “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.

2. PILLARS OF THE IMPLEMENTATION OF THE ICAO TRIP STRATEGY

2.1 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.

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

- a) Compliance with relevant Standards and Recommended Practices (SARPs) of Annex 9 and the specifications of Doc 9303, MRTDs;
- b) Establishment of a National Air Transport Facilitation Programme and associated committees;
- c) Full implementation of Machine Readable Passports as per Standard 3.11 of Annex 9 (15th Edition);
- d) Assessment of compliance with the international framework of MRTDs, with emphasis on cost-effective methods to produce recommendations to address deficiencies;
- e) Participation in the ICAO PKD;
- f) Planning for the definition of a roadmap for the issuance of ePassports;

- g) Establishing interoperable applications such as Advance Passenger Information (API) systems and linking these to watch lists; and
- h) Engaging in capacity building for the benefit of States' programmes, with focus on developing assistance partnerships to recruit and mobilize financial and in-kind resources.

3. INTEROPERABLE APPLICATIONS

3.1 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 Advance Passenger Information (API), the latter which enables the efficient and expedited clearance of low-risk persons.

3.2 New SARPs on the SLTD database were introduced in Annex 9 in October 2015, in the 14th Edition:

- a) Standard 3.10 states 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 states 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".

4. ASSESSMENT THROUGH DOC 9303 COMPLIANCE SCHEME

4.1 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 developed with the concept of operation and respective roles and responsibilities already identified.

5. ROADMAP FOR ePASSPORT IMPLEMENTATION AND EXPANSION OF AUTOMATED BORDER CONTROL (ABC) USE

5.1 According to the latest open-source statistics concerning ePassport issuance, more than 120 States issue ePassports and an estimated 667 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 ICAO 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.

5.2 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.

5.3 According to industry reports, the expansion of ABCs, used for the inspection of travel documents, increased between August 2014 and November 2015 from availability in 134 airports in 40 States to 173 airports in 56 Member States. Of these States, only 38 of them currently use an ABC system with the ePassport as the required token.

5.3 Further development of an ABC-related regulatory framework, as adopted by the ICAO Council in June 2017, will encourage Member States to expand the use of ABCs.

5.4 The ICAO TRIP strategy is broad, spanning travel documents and borders, hence there is a need for greater border control authority involvement, including in the area of validation of identity. The TAG/TRIP working groups are developing initiatives to enhance the engagement of border control authorities in the implementation of all aspects of the ICAO TRIP Strategy.

5.6 At the national level, implementation of the ePassport roadmap will require coordinated action between many government and industry entities, such as passport issuing offices, aviation security authorities, civil registries, border control and law enforcement agencies, airlines, airport authorities, the travel document industry, immigration authorities and other interested parties. The mechanisms and requirements for such coordination on matters relating to facilitation already exist in Annex 9 through national air transport facilitation programmes and their related committees. In the AFI region, seven States have reported to ICAO that they are issuing ePassports (responses to SL EC 6/8 – 16/04, ICAO TRIP Strategy Implementation and Assistance) while 10 States in the AFI Region have reported to ICAO that they use ABCs (responses to SL EC 6/8 – 16/04). Any roadmap for the implementation of ePassports at the national level, must consider in parallel the implementation of ABCs if security and facilitation objectives are to be fully realized.

6. ASSISTANCE ACTIVITIES

6.1 In the last triennium, ICAO continued to assist Member States on all matters related to the ICAO TRIP, including capacity-building activities funded by donors. The project Strengthening Travel Document Security and Identification Management in the Sahel region included activities such as regional seminars, the development and delivery of the ICAO Training Package “Control of the authenticity and validity of travel documents at airport border – Level 1” and four technical assessment missions (TAMs) to identify best practices and areas to be enhanced relating to the implementation of the TRIP agenda in the States concerned. A similar Canada-funded project, strengthening border control management in the Caribbean Region, is being implemented until March 2018. The main objective is to develop the “ICAO TRIP Guide on Border Control Management”, through the conduct of four TAMs and two regional workshops. The project is implemented in partnership with the UN Counter-Terrorism Executive Directorate and with the support of the Caribbean Community (CARICOM) and the Organization of Eastern Caribbean States (OECS).

6.2 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 of providing assistance to Member States.

7. ICAO TRIP STRATEGY AND THE UNITED NATIONS AGENDA

7.1 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.

7.2 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.

7.3 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.

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APPENDIX B HOLISTIC TRAVELLER IDENTIFICATION MANAGEMENT



APPENDIX C

ICAO Traveller Identification Programme (TRIP) Strategy Elements: Related Annex 9 SARPs (Total: 64 SARPs) (Amendment 26, 15th Edition, October 2017)

1. **Evidence of Identity:** “credible evidence of identity, involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity.”

Related Annex 9 SARPs:

Total: Nil

It should be noted that A39–20 provides a framework for “evidence of identity”.

2. **MRTDs:** “the design and manufacture of standardized MRTDs, including ePassports, that comply with ICAO [Doc 9303] specifications.”

Related Annex 9 SARPs: Standards 3.4, 3.11, 3.12, 3.63;

Recommended Practices 3.9, 3.13, 3.26, 3.64

Total: 8

3. **Document Issuance and Control:** “processes and protocols for document issuance by appropriate authorities to authorized holders, and controls to prevent theft, tampering and loss.”

Related Annex 9 SARPs: Standards 3.3, 3.7, 3.8, 3.8.1, 3.11.1, 3.15, 3.16, 3.23, 3.25, 3.62,
3.65, 5.26, 5.27, 5.28, 5.29, 8.43, 8.44;

Recommended Practices 3.14, 3.15.1, 3.17, 3.24, 3.63.1, 3.64.1,
3.69, 8.43;

Total: 24

4. **Inspection Systems and Tools:** “inspection systems and tools for the efficient and secure reading and verification of MRTDs, including use of the ICAO PKD.”

Related Annex 9 SARPs: Recommended Practices 3.9.1, 3.9.2, 3.27

Total: 3

5. **Interoperable Applications** (including API and PNR): “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.”

Related Annex 9 SARPs: Standards 3.10, 9.5, 9.6, 9.8, 9.9, 9.11, 9.13, 9.22, 9.22.1;

Recommended Practices 3.10.1, 3.34.4, 3.34.5, 3.34.6, 9.1, 9.2, 9.3,
9.4, 9.7, 9.10, 9.12, 9.14, 9.15, 9.16, 9.17, 9.18, 9.19, 9.20, 9.21,
9.23;

Total: 29

APPENDIX D

STATUS OF COMPLIANCE WITH MRTD REQUIREMENTS IN AFI REGION

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	
State	Responses to EC6/3-12/70		
	Q1: YES	Q2(a)	Q2(b)
Algeria	X		
Angola	X		
Benin	X		
Botswana	X		
Burkina Faso	X		
Burundi	X		
Cameroon	X		
Cabo Verde	X		
Central African Republic	X		
Chad	X		
Comoros	X		
Congo	No	984500	2020
Côte d’Ivoire	X		
Democratic Republic of the Congo	X		
Djibouti	X		
Egypt	X		
Equatorial Guinea	X		
Eritrea	X		
Ethiopia	No reply		
Gabon	X		
Gambia	X		
Ghana	X		
Guinea	X		
Guinea-Bissau	No	—	31 Dec 2015
Kenya	X		
Lesotho	X		
Liberia	X		
Libya	No	600000	31 Dec 2016
Madagascar	X		
Malawi	X		
Mali	X		
Mauritania	X		
Mauritius	X		
Morocco	X		
Mozambique	No	5000	30 Nov 2015
Namibia	X		
Niger	X		
Nigeria	X		
Rwanda	X		
Sao Tome and Principe	No	200	June 2018
Seychelles	X		

Senegal	X		
Sierra Leone	X		
Somalia	No reply		
South Africa	X		
South Sudan	X		
Sudan	X		
Swaziland	X		
Togo	X		
Tunisia	No reply		
Uganda	X		
United Republic of Tanzania	X		
Zambia	X		
Zimbabwe	X		

APPENDIX E

ICAO TRIP IMPLEMENTATION ROADMAP FOR MEMBER STATES

ICAO TRIP element	Implementation Action	Organizations Responsible	References	Supporting Resources	Timeframe
All	Nominate a national focal point for facilitation	Civil aviation authority	State letter EC 6/1-16/106	Secretariat	Q2 2017
All	Obtain access to the ICAO TRIP Platform for resources and support specific to the ICAO TRIP Strategy	Civil aviation authority (national focal point for facilitation)	Launch communication on ICAO TRIP Platform	Secretariat	Q3 2017
All	Establish National Air Transport Facilitation Committee (NATFC)	Civil aviation authority	Annex 9 and Doc 10042	Secretariat	2020 onwards
All	Establish National Air Transport Facilitation Programme (NATFP)	Civil aviation authority	Annex 9 and Doc 10042	Secretariat	2020 onwards
All	Complete online Compliance Checklist (CC) to ascertain level of compliance with all SARPs relating to the ICAO TRIP elements	Civil aviation authority	State letter EC 6/3 – 15/90	Secretariat	Q4 2017
Evidence of Identity	Implementation of a national strategy or framework related to evidence of identity involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity	National civil registration or identity management authorities, interior affairs, and/or other agencies or departments	ICAO guidance on identification management / evidence of identity	Secretariat, Technical Advisory Group on Traveller Identification Programme (TAG/TRIP) and relevant regional and international organizations (e.g. the World Bank, the Organization for Security and Cooperation in Europe (OSCE) etc.)	2020 onwards
Evidence of Identity	Application of evidence of identity principles: identity exists, identity is living, applicant links to identity, applicant is the sole claimant, applicant uses the identity in the community (linkage between Birth and Death registers)	National civil registration or identity management authorities, interior affairs, and/or other agencies or departments	ICAO guidance on identification management / evidence of identity	Secretariat, TAG/TRIP and relevant regional and international organizations, e.g. International Organization for Migration (IOM), etc.	2020 onwards
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 other agencies	ICAO guidance on identification management / evidence of identity	Secretariat, TAG/TRIP and relevant regional and international organizations	2020 onwards

ICAO TRIP element	Implementation Action	Organizations Responsible	References	Supporting Resources	Timeframe
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 guidance on identification management / evidence of identity	Secretariat, TAG/TRIP and relevant regional and international organizations	2020 onwards
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
MRTDs	Implementation of ePassports, when a State chooses to do so	Travel document issuing authority	Annex 9 and Doc 9303 Future ePassport roadmap	Secretariat and TAG/TRIP	On-going
MRTDs	Assessment of compliance with travel document Standards and specifications	Civil aviation authority; travel document issuing authority	Annex 9 and Doc 9303 Future Compliance Programme	Secretariat	On-going 2018
MRTDs	Implementation of machine readable Convention Travel Documents	Travel document issuing authority; civil aviation authority	Annex 9, Doc 9303, ICAO/UNHCR Guide for Issuing Machine Readable Convention TDs for Refugees and Stateless Persons	Secretariat and United Nations High Commissariat for Refugees (UNHCR)	2020 onwards
MRTDs	Implementation of Logical Data Structure Version 2.0 (LDS2), to allow notably the digitization of visas and travel stamps	Travel document issuing authority	Doc 9303 and associated guidance	Secretariat and TAG/TRIP	2019 onwards
Document issuance and control	Application of processes and protocols for document issuance and controls to prevent theft, tampering and loss	Travel document issuing authority	Annex 9 and Guide for Assessing Security of Handling and Issuance of Travel Documents (TDs)	Secretariat and TAG/TRIP	On-going

ICAO TRIP element	Implementation Action	Organizations Responsible	References	Supporting Resources	Timeframe
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
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
Document issuance and control	Issuance of Emergency Travel Documents (ETDs)	Travel document issuing authority and other agencies or departments	ICAO Guidance on Emergency Travel Documents	Secretariat and TAG/TRIP	On-going
Inspection systems and tools	Use of inspection systems and tools for the secure reading and verification of MRTDs	Border control authorities	Annex 9, Doc 9303 and related guidance materials	Secretariat and TAG/TRIP	On-going
Inspection systems and tools	Participate in the ICAO Public Key Directory (PKD)	Border control authorities	Annex 9, Doc 9303 and related guidance materials	Secretariat and TAG/TRIP	On-going
Inspection systems and tools	Use PKD to validate ePassports at border control	Border control authorities	Annex 9, Doc 9303 and related guidance materials	Secretariat and TAG/TRIP	On-going
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
Inspection systems and tools	Implementation of travel document inspection using Automated Border Controls (ABCs)	Border control authorities	Annex 9, Doc 9303 and cost-benefit analysis template for ABC gates in coordination with ePassports and the PKD	Secretariat, TAG/TRIP, IATA	2020 onwards

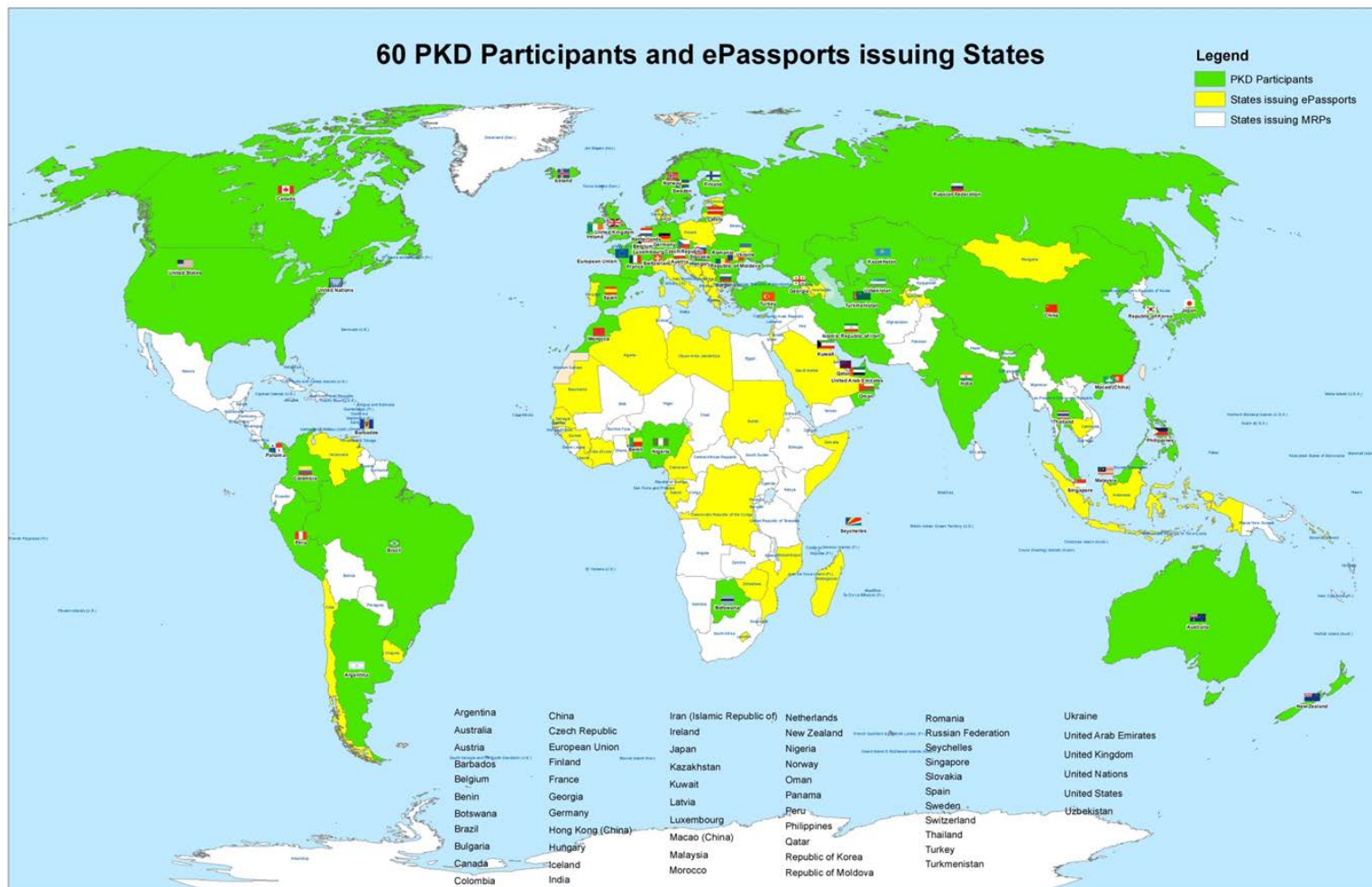
ICAO TRIP element	Implementation Action	Organizations Responsible	References	Supporting Resources	Timeframe
Interoperable applications	Use of globally interoperable applications and protocols linking MRTD holders to available watch lists and databases	Border control authorities and airlines	Annex 9, Doc 9303 and related guidance materials	Secretariat, TAG/TRIP, IATA, World Customs Organization (WCO), INTERPOL etc.	On-going
Interoperable applications	Report of lost and stolen TDs to the INTERPOL Stolen and Lost Travel Documents (SLTD) database	Travel document issuing authority and other agencies or departments	Annex 9, Doc 9303 and related guidance materials	Secretariat and INTERPOL	On-going
Interoperable applications	Check passports against the INTERPOL SLTD database	Border control authorities and/or other agencies or departments	Annex 9, Doc 9303 and related guidance materials	Secretariat and INTERPOL	On-going
Interoperable applications	Ensure linkage of MRTDs and their holders to relevant data in the course of travel and inspection operations such as API, PNR, 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 API/PNR guidelines	Secretariat, TAG/TRIP and relevant regional and international organizations, e.g. IATA, WCO, etc.	On-going

APPENDIX F

Existing ICAO documentation available for each element of the ICAO TRIP Strategy

- i) Annex 9 – *Facilitation*, Fifteenth Edition, October 2017
 - ii) Doc 9957, *The Facilitation Manual*, First Edition, 2011
 - iii) Doc 10042, *Model National Air Transport Facilitation Programme*, First Edition, 2015
 - iv) ICAO Traveller Identification Programme (TRIP) Implementation Roadmap for Member States, Version 1, July 2017
 - v) ICAO TRIP Strategy Compendium, First Edition, 2017
1. **Evidence of Identity:** “credible evidence of identity, involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity.”
 - a. Towards Better Practice in National Identification Management, Version 3, April 2013
 2. **MRTDs:** “the design and manufacture of standardized MRTDs, including ePassports, that comply with ICAO Doc 9303 specifications.”
 - a. Doc 9303, Machine Readable Travel Documents, Seventh Edition, 2015
 - b. Doc 9957, The Facilitation Manual, First Edition, 2011
 - c. ICAO Guide for MRTD Photo Guidelines
 - d. Collection of Best Practices for Acquisition of Machine Readable Travel Document Goods and Services, Version 1, March 2016
 - e. Guide for Issuing Machine Readable Convention Travel Documents for Refugees and Stateless Persons, ICAO and UNHCR, February 2017
 - f. Guidance on Emergency Travel Documents, Version 1, May 2016
 - g. Roadmap for Implementation of New Specifications for MRTDs, Version 1, April 2016
 3. **Document Issuance and Control:** “processes and protocols for document issuance by appropriate authorities to authorized holders, and controls to prevent theft, tampering and loss.”
 - a. ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents, 2010 onwards
 - b. Guidance for Circulating Specimen Travel Documents, Version 1, March 2016
 4. **Inspection Systems and Tools:** “inspection systems and tools for the efficient and secure reading and verification of MRTDs, including use of the ICAO PKD.”
 - a. Best Practice Guidelines for Optical Machine Authentication, Part 1, Version 1, April 2016
 5. **Interoperable Applications** (including API and PNR): “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.”
 - a. Doc 9944, Guidelines on Passenger Name Record (PNR) Data, First Edition, 2010
 - b. Guidelines on Advance Passenger Information (API), WCO/IATA/ICAO, 2013
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APPENDIX G STATUS OF PKD PARTICIPATION



APPENDIX H

AFI RESPONSES WITH RESPECT TO STATE LETTER EC 6/1 – 16/106, NOMINATION OF A NATIONAL FOCAL POINT FOR FACILITATION, DATED 14 DECEMBER 2016

EASTERN & SOUTHERN AFRICAN REGION	WESTERN & CENTRAL AFRICAN REGION	EUROPEAN AND NORTH ATLANTIC	MIDDLE EAST
Botswana Comoros Eritrea Kenya Lesotho Madagascar Malawi Mauritius Mozambique Namibia Rwanda South Africa South Sudan Swaziland Uganda United Rep. of Tanzania Zambia Zimbabwe	Benin Burkina Faso Cabo Verde Cameroon Central African Republic Chad Congo Côte d'Ivoire Dem. Rep. of the Congo Gabon Gambia Ghana Guinea Guinea-Bissau Mali Mauritania Niger Nigeria Sao Tome and Principe Senegal Togo	Algeria	Egypt Libya Sudan
18 out of 24 ESAF States	21 out of 24 WACAF States	1 out of 3 AFI States in EUR/NAT	3 out of 3 AFI States in MID

APPENDIX I

AFI RESPONSES WITH RESPECT TO EC 6/3 – 17/92, ANNEX 9 — FACILITATION: PROVISIONS ON THE STOLEN AND LOST TRAVEL DOCUMENTS (SLTD) DATABASE OF INTERPOL, DATED 24 JULY 2017

EASTERN & SOUTHERN AFRICAN REGION	DATE OF REPLY	QUESTION 1	QUESTION 2
Botswana	12-Oct-17	YES	YES
Madagascar	29-Sep-17	YES	YES
Mauritius	06-Sep-17	YES	YES
Swaziland	14-Sep-17	NO	NO
Zambia	18-Aug-17	YES	YES
WESTERN & CENTRAL AFRICAN REGION			
Benin	21-Sep-17	YES	YES
Mali	28-Aug-17	YES	YES
Niger	02-Oct-17	YES	YES
Togo	02-Aug-17	YES	YES
MIDDLE EAST			
Sudan	11-Sep-2017	YES	YES

TOTAL Responses (as of 25 October 2017)

ESAF 5 States (out of 24 States), WACAF 4 States (out of 24 States), MID 1 State (out of 3 AFI States in MID), EUR/NAT no responses (for the 3 AFI States in EUR/NAT)

QUESTION 1

Does your State promptly report accurate information about stolen, lost, and revoked travel documents, issued by your State, to INTERPOL for inclusion in the Stolen and Lost Travel Documents (SLTD) database?

QUESTION 2

Does your State 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?