



INFORMATION PAPER

FACILITATION PANEL (FALP)

FIFTH MEETING

Montréal, 31 March to 4 April 2008

Agenda Item 1: Recent facilitation developments in ICAO

**UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)
INCLUSION OF RELEVANT SECURITY-RELATED PROVISIONS OF
ANNEX 9 — *FACILITATION***

(Presented by the Secretary)

1. INTRODUCTION

1.1 Attached as information for FALP/5 participants is a listing of relevant security-related provisions of Annex 9 — *Facilitation* that are now being audited under the USAP, further to direction given by the Council and the Assembly, and in consultation with States through members of the Aviation Security Panel (AVSECP) as focal points.

2. BACKGROUND

2.1 The 36th Session of the Assembly (18 to 28 September 2007), in Resolution A36-20, Appendix E, requested the continuation of the USAP following completion of the initial cycle of audits at the end of 2007. The Assembly further directed that audits in the second cycle be expanded to include relevant security-related provisions of Annex 9 — *Facilitation*.

2.2 Following earlier Council deliberations on this subject, the Secretariat forwarded to States for comment on 11 June 2007 the provisions of Annex 9 which were proposed to be included in the second cycle of audits, as reflected in the Appendix. States were also invited to provide comments on draft protocol questions for each provision and the related existing guidance material.

3. ACTION BY THE FAL PANEL

3.1 The FAL Panel is invited to note the contents of the Appendix.

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APPENDIX

ANNEX 9 – SECURITY-RELATED PROVISIONS BEING AUDITED UNDER THE AVIATION SECURITY AUDIT PROGRAMME

Number of provisions: 15 [11 Standards; 4 Recommended Practices]

Standard 3.7:

Contracting States shall regularly update security features in new versions of their travel documents, to guard against their misuse and to facilitate detection of cases where such documents have been unlawfully altered, replicated or issued.

Standard 3.8:

Contracting States shall establish controls on the creation and issuance of travel documents in order to safeguard against the theft of their stocks and the misappropriation of newly issued travel documents.

Recommended Practice 3.9:

Contracting States should incorporate biometric data in their machine readable passports, visas and other official travel documents, using one or more optional data storage technologies to supplement the machine readable zone, as specified in Doc 9303, *Machine Readable Travel Documents*. The required data stored on the integrated circuit chip is the same as that printed on the data page, that is, the data contained in the machine-readable zone plus the digitized photographic image. Fingerprint image(s) and/or iris image(s) are optional biometrics for Contracting States wishing to supplement the facial image with another biometric in the passport. Contracting States incorporating biometric data in their Machine Readable Passports are to store the data in a contactless integrated circuit chip complying with ISO/IEC 14443 and programmed according to the Logical Data Structure as specified by ICAO.

Standard 3.10:

Contracting States shall begin issuing only Machine Readable Passports in accordance with the specifications of Doc 9303, Part 1, no later than 1 April 2010.

Note.—This provision does not intend to preclude the issuance of non-machine readable passports or temporary travel documents of limited validity in cases of emergency.

Recommended Practice 3.11:

When issuing identity documents or visas accepted for travel purposes, Contracting States should issue these in machine readable form, as specified in Doc 9303 (series), *Machine Readable Travel Documents*.

Standard 3.31:

Contracting States shall assist aircraft operators in the evaluation of travel documents presented by passengers, in order to deter fraud and abuse.

Standard 3.33:

Aircraft operators shall take necessary precautions at the point of embarkation to ensure that passengers are in possession of the documents prescribed by the States of transit and destination for control purposes as described in this chapter.

Standard 3.46:

The public authorities of each Contracting State shall seize fraudulent, falsified or counterfeit travel documents. The public authorities shall also seize the travel documents of a person impersonating the rightful holder of the travel document. Such documents shall be removed from circulation immediately and returned to the appropriate authorities of the State named as issuer or to the resident Diplomatic Mission of that State.

Recommended Practice 3.47:

Where appropriate, Contracting States should introduce a system of advance passenger information which involves the capture of certain passport or visa details prior to departure, the transmission of the details by electronic means to their public authorities, and the analysis of such data for risk management purposes prior to arrival in order to expedite clearance. To minimize handling time during check-in, document reading devices should be used to capture the information in machine readable travel documents.

Standard 3.70:

Adequate controls shall be placed on the issuance of CMCs and other official crew identity documents to prevent fraud, for example, a background check and certification of employment status of an applicant prior to issuance, controls on blank card stock, and accountability requirements for issuing personnel.

Standard 4.6:

Where practicable, in order to improve efficiency, modern screening or examination techniques shall be used to facilitate the physical examination of goods to be imported or exported.

Standard 4.41:

Contracting States shall grant prompt release or clearance, upon completion of simplified documentary procedures by the aircraft operator or his authorized agent, of ground and security equipment and their replacement parts, instructional material and training aids imported or exported by an aircraft operator of another Contracting State.

Standard 5.19:

Contracting States, when making arrangements with an aircraft operator for the removal of a deportee, shall make available the following information as soon as possible, but in any case not later than 24 hours before the scheduled time of departure of the flight:

- a) a copy of the deportation order, if legislation of the Contracting State allows for it;
- b) a risk assessment by the State and/or any other pertinent information that would help the aircraft operator assess the risk to the security of the flight; and
- c) the names and nationalities of any escorts.

Note.— In order to ensure coordination of facilitation and security standards, attention is drawn to the applicable provisions of Annex 17, Chapter 4.

Standard 8.17:

Each Contracting State shall establish a national air transport facilitation programme based on the facilitation requirements of the Convention and of Annex 9 thereto.

Recommended Practice 8.20:

Contracting States should endeavour to establish close coordination, adapted to circumstances, between civil aviation security and facilitation programmes. To this end, certain members of Facilitation Committees should also be members of Security Committees.