



**WORKING PAPER**

**FACILITATION PANEL (FALP)**

**EIGHTH MEETING**

**Montréal, 24-28 November 2014**

**Agenda Item 2: Amendments to Annex 9**

**PROPOSED AMENDMENTS TO TRAVEL DOCUMENT RELATED  
SARPS**

(Presented by Canada on behalf of the ICAO Technical Advisory Group  
on Machine Readable Travel Documents (TAG/MRTD))

**SUMMARY**

In addition to two minor amendments, this paper proposes a new recommended practice to encourage Contracting States to participate more actively in the ICAO Public Key Directory, as well as a standard requiring States to upload accurate information on lost, stolen and revoked travel documents to the INTERPOL Stolen and Lost Travel Documents (SLTD) database.

**Action by the FAL Panel:**

The FAL Panel is invited to consider the proposal described in this paper and agree that Annex 9 be amended, as set out in the Appendix.

**1. INTRODUCTION**

1.1 At the seventh meeting of the Facilitation Panel in Montreal 22-26 October 2012, under agenda item 6, the Panel observed that there may be a need to focus as intensely on updating existing Annex 9 Standards and Recommended Practices (SARPs) as on the development of new provisions. Also discussed were the benefits of increased collaboration between the FAL Panel and other technical bodies such as the Aviation Security Panel and the Technical Advisory Group on Machine Readable Travel Documents (TAG/MRTD).

1.2 Following this meeting, the TAG/MRTD and its sub-groups, the New Technologies Working Group and the Implementation and Capacity Building Working Group worked in cooperation with the ICAO Public Key Directory (PKD) Board to review existing SARPs related to travel documents, and considered the need for new SARPs.

1.3 The proposals in this paper reflect the results of this work and the recommendations of the TAG/MRTD as recorded in the final report of its 22<sup>nd</sup> Meeting (May 21-23, 2014). The final report can be read at: <http://www.icao.int/Security/mrtd/Pages/DocumentationofTAGMRTDmeetings.aspx>.

1.4 One additional proposal, approved by the TAG/MRTD, is being presented by the United Nations High Commissioner for Refugees (UNHCR) in a separate working paper.

## 2. DISCUSSION

2.1 To improve awkward sentence structure, it is proposed that Standard 3.5 be amended by moving ‘of visitors’ from the end of the sentence, so the standard will read:

3.5 No documents other than those provided for in this Chapter shall be required of visitors by Contracting States for the entry into and departure from their territories.

2.2 Existing Recommended Practice 3.9.1 encourages States issuing ePassports or checking ePassports at border controls to join the ICAO Public Key Directory (PKD). Revisions to this recommended practice are being proposed to encourage more active participation and use of the PKD, in addition to joining the PKD. For clarity the recommended practice has been divided into a recommended practice for document issuers and one for border control authorities. As a result it is recommended that document issuers should join the PKD and upload information. The nature of the information is sufficiently described in the definition of the ICAO PKD and does not warrant repeating in the recommended practice. Furthermore, the Facilitation Manual, currently being revised, will provide additional and practical details. The recommended practice for border control authorities recommends that they join the PKD and use the information from the PKD to validate eMRTDs at border controls. The proposed recommended practices read:

**3.9.1 Recommended Practice.**— *Contracting States issuing or intending to issue eMRTDs should join the ICAO Public Key Directory (PKD) and upload their information to the PKD.*

**3.9.2 Recommended Practice.**— *Contracting States implementing checks on eMRTDs at border controls should join the ICAO Public Key Directory (PKD) and use the information available from the PKD to validate eMRTDs at border controls.*

2.3 An amendment to Recommended Practice 3.14.1 should be made to align the text with Standard 3.14 which refers to ‘issuance, renewal or replacement’. Recommended Practice 3.14.1 did not include ‘replacement’ and this term should be added. Furthermore in an attempt to make Annex 9 SARPs applicable to all travel documents and not only passports consideration should be given to replacing ‘passport’ with ‘travel documents’ as SARPs are updated and introduced. As such, in the case of Recommended Practice 3.14.1 the term ‘passport’ should be replaced by ‘travel document’. The revised recommended practice would read:

**3.14.1 Recommended Practice.**— *If any fee is charged for the issue, renewal or replacement of a travel document, the amount of such fee should not exceed the cost of the operation.*

2.4 Many States benefit from checking travel documents, at border controls, against the INTERPOL SLTD database. This check would be increasingly beneficial if all States reported timely, standardized, and accurate information pertaining to stolen, lost, and revoked travel documents to the INTERPOL SLTD database. The proposed standard would require ICAO Member States to provide this

information. Details about timing and which data elements must be included can be provided in the guidance material in the Facilitation Manual. The proposed standard would read:

Contracting States shall promptly report accurate information on stolen, lost, and revoked travel documents, issued by their State, to INTERPOL for inclusion in the SLTD database.

### 3. **RECOMMENDATIONS**

3.1 The Facilitation Panel is invited to consider the proposals set forth in the Appendix to this paper, and to agree to recommend their inclusion in Chapter 3 of Annex 9.

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**APPENDIX**

*Amend* Annex 9 as follows:

3.5 No documents other than those provided for in this Chapter shall be required of visitors by Contracting States for the entry into and departure from their territories of visitors.

**3.9.1 Recommended Practice.**— *Contracting States ~~(a)~~ issuing or intending to issue eMRTDs ePassports; and/or (b) implementing at border controls automated checks on ePassports should join the ICAO Public Key Directory (PKD); and upload their information to the PKD.*

**3.9.2 Recommended Practice.**— *Contracting States implementing checks on eMRTDs at border controls should join the ICAO Public Key Directory (PKD) and use the information available from the PKD to validate eMRTDs at border controls.*

**3.14.1 Recommended Practice.**— *If any fee is charged for the issue, ~~or~~ renewal or replacement of a ~~passport~~ travel document, the amount of such fee should not exceed the cost of the operation.*

**3.XX** Contracting States shall promptly report accurate information about stolen, lost, and revoked travel documents, issued by their State, to INTERPOL for inclusion in the SLTD database.

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