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The Facilitation Programmes

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Antigua & Barbuda ICAO TRIP Regional Seminar

31 January 2017



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1 – ICAO and the global agenda

2 – Regulatory framework of Facilitation

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ICAO: a UN specialized agency



The United Nations System

UN Principal Organs

General Assembly

Security Council

Economic and Social Council

Secretariat

International Court of Justice

Trusteeship Council²

Subsidiary Bodies

Main and other sessional committees
Disarmament Commission
Human Rights Council
International Law Commission
Standing committees and ad hoc bodies

Subsidiary Bodies

Counter-terrorism committees
International Criminal Tribunal for Rwanda (ICTR)
International Criminal Tribunal for the former Yugoslavia (ICTY)

Programmes and Funds

UNCTAD United Nations Conference on Trade and Development
• **ITC** International Trade Centre (UNCTAD/WTO)
UNDP United Nations Development Programme
• **UNCDF** United Nations Capital Development Fund
• **UNV** United Nations Volunteers
UNEP United Nations Environment Programme
UNFPA United Nations Population Fund

Research

UNICRI United Nations Institute for Crime and Justice Research
UNIDIR United Nations Institute for Disarmament Research

Advisory Subsidiary

UN Peacebuilding Commission

Other Bodies

Committee for Development
Committee of Experts on Administration
Committee on Non-Governmental Organizations
Permanent Forum on Indigenous Issues
United Nations Group of Experts on Geographical Names
Other sessional and standing committees and expert, ad hoc and related bodies

UN-HABITAT United Nations Human Settlements Programme
UNHCR Office of the United Nations High Commissioner for Refugees
UNICEF United Nations Children's Fund
UNODC United Nations Office on Drugs and Crime
UNRWA¹ United Nations Relief and Works Agency for Palestine Refugees in the Near East
UN-Women United Nations Entity for Gender Equality and the Empo

UNITAR United Nations Institute for Training and Research
UNRISD United Nations Research Institute for Social Development
UNSSC United Nations System Staff College
UNU United Nations University

Other Entities

UNAIDS Joint United Nations Programme on HIV/AIDS

Specialized Agencies⁴

ILO International Labour Organization
FAO Food and Agriculture Organization of the United Nations
UNESCO United Nations Educational, Scientific and Cultural Organization
WHO World Health Organization
World Bank Group
• **IBRD** International Bank for Reconstruction and Development
• **IDA** International Development Association
• **IFC** International Finance Corporation
• **MIGA** Multilateral Investment Guarantee Agency
• **ICSID** International Centre for Settlement of Investment Disputes

IMF International Monetary Fund

ICAO International Civil Aviation Organization
IMO International Maritime Organization
ITU International Telecommunication Union
UPU Universal Postal Union
WMO World Meteorological Organization
WIPO World Intellectual Property Organization
IFAD International Fund for Agricultural Development
UNIDO United Nations Industrial Development Organization
UNWTO World Tourism Organization

NOTES:

- ¹ UNRWA and UNIDIR report only to the General Assembly.
- ² IAEA reports to the Security Council and the General Assembly.
- ³ WTO has no reporting obligation to the General Assembly (GA), but contributes on an ad-hoc basis to GA and ECOSOC, work inter alia on finance and developmental issues.



UN 17 Sustainable Development Goals (SDGs)

<p>1 NO POVERTY</p>	<p>2 ZERO HUNGER</p>	<p>3 GOOD HEALTH AND WELL-BEING</p>	<p>4 QUALITY EDUCATION</p>	<p>5 GENDER EQUALITY</p>	<p>6 CLEAN WATER AND SANITATION</p>
<p>7 AFFORDABLE AND CLEAN ENERGY</p>	<p>8 DECENT WORK AND ECONOMIC GROWTH</p>	<p>9 INDUSTRY, INNOVATION AND INFRASTRUCTURE</p>	<p>10 REDUCED INEQUALITIES</p>	<p>11 SUSTAINABLE CITIES AND COMMUNITIES</p>	<p>12 RESPONSIBLE CONSUMPTION AND PRODUCTION</p>
<p>13 CLIMATE ACTION</p>	<p>14 LIFE BELOW WATER</p>	<p>15 LIFE ON LAND</p>	<p>16 PEACE, JUSTICE AND STRONG INSTITUTIONS</p>	<p>17 PARTNERSHIPS FOR THE GOALS</p>	



Mainstreaming Aviation Security and Facilitation in the global agenda



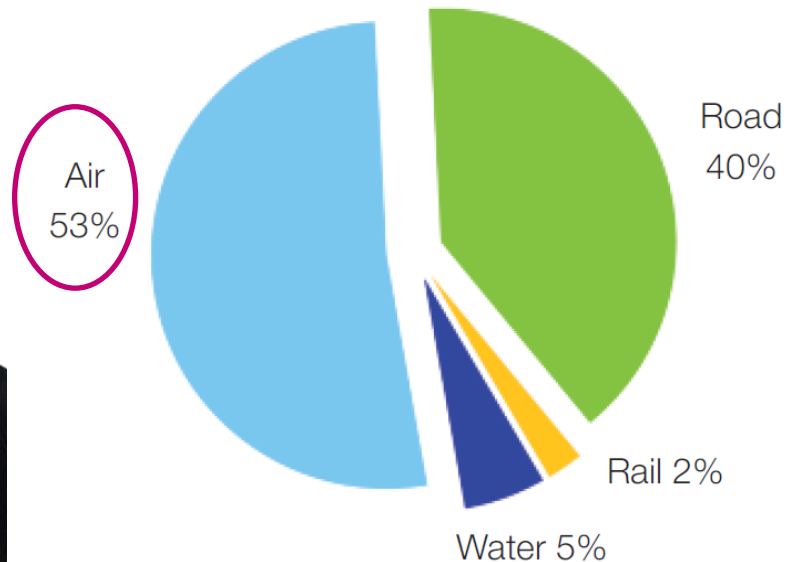


International cooperation: key for successful implementation





More than half of International tourists arrive by air



Inbound tourism by mode of transport

- Tourism expansion relies heavily on air transport.
- Harmonious sectorial policies on air transport and tourism will facilitate the development of travel and tourism

Source: World Tourism Organization (UNWTO)



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GTAC Statement on Facilitation

WE CALL FOR:

- a) Policies which facilitate international Travel & Tourism and thus export growth which generate economic and social benefits globally.
- b) The expansion of transparent visa processes, visa waiver programmes, regional visa agreements and trusted traveller programmes, as well as seamless travel procedures at borders.
- c) The use of new technologies to make travel more accessible, convenient, and more efficient while enhancing security.



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Source: Global Travel Association Coalition (GTAC)



Joint Communiqué of G7 Foreign Ministers' Meeting

(April 10-11, 2016 Hiroshima, Japan)

“...We are committed to achieving improved global aviation security and will continue to work closely with partners and through international organizations towards that goal.

...We acknowledge the useful efforts by the G7 Roma-Lyon Group in promoting cooperation among the G7 countries, including by **considering actions to bolster the use of Passenger Name Records (PNR) and Advance Passenger Information (API)** systems consistent with UN Security Council resolution 2178

...In that regard, **we express support for International Civil Aviation Organization (ICAO)'s Traveler Identification Program (TRIP)** and efforts to deter the use of fraudulent travel documents,...”

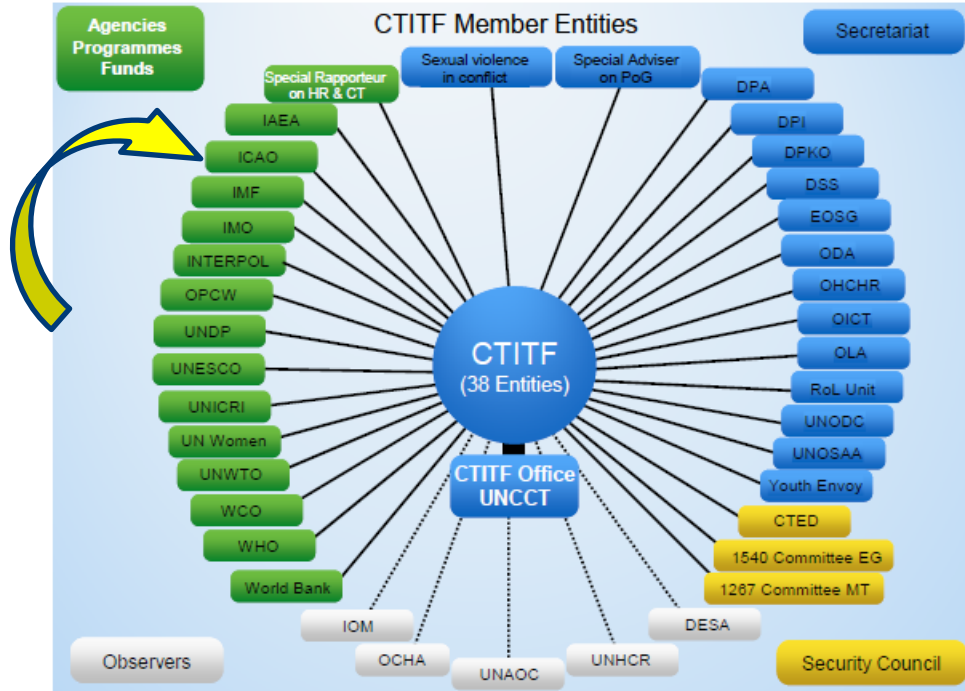


UNSC resolutions 2178 (2014) and 2309 (2016)

- “Reaffirms that all States shall prevent the movement of terrorists or terrorist groups by effective border controls and controls on issuance of identity papers and travel documents, and through measures for preventing counterfeiting, forgery or fraudulent use of identity papers and travel documents...”
- “9. *Calls upon* Member States to require that airlines operating in their territories **provide advance passenger information (API)** to the appropriate national authorities in order to detect the departure from their territories, or attempted entry into or transit through their territories, by means of civil aircraft, of individuals designated by the Committee established pursuant to resolutions 1267 (1999) and 1989 (2011)...”
- “*Noting* that **Annex 9 —Facilitation** to the Convention on International Civil Aviation, done at Chicago on December 7, 1944 (the “Chicago Convention”) contains **standards and recommended practices** relevant to the **detection and prevention of terrorist threats involving civil aviation** ”
- “*Further calls upon* all States to require that **airlines operating in their territories provide advance passenger information** to the appropriate national authorities in order to detect the departure from their territories, or attempted entry into or transit through their territories, by means of civil aircraft, of individuals designated by the Committee pursuant to resolutions 1267 (1999), 1989 (2011) and 2253 (2015);”



ICAO and the United Nations Global Counter-Terrorism Strategy



Counter-Terrorism Implementation Task Force (CTITF) established by the UN Secretary-General in 2005.

Mandate: strengthen coordination and coherence of counter-terrorism efforts of the UN system to avoid duplication of efforts, and improve accountability.

CTITF consists of 38 international entities including ICAO, each of them contributing to the multilateral counter-terrorism efforts consistently with its own mandate.



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ICAO mandate for Facilitation programmes

A 39 endorsed the future work programme (2017-2019) for the 3 Facilitation programmes:

Resolution A39-20 Appendices:

- Annex 9 – Facilitation:
 - Global Aviation Facilitation Plan (GAFP)
- ICAO Traveller Identification Programme (TRIP) Strategy:
 - TRIP Roadmap
- ICAO Public Key Directory (PKD)
 - Join and actively use the PKD

A : Development and implementation of facilitation provisions

B : National and international action in ensuring the security and integrity of traveller identification and border controls

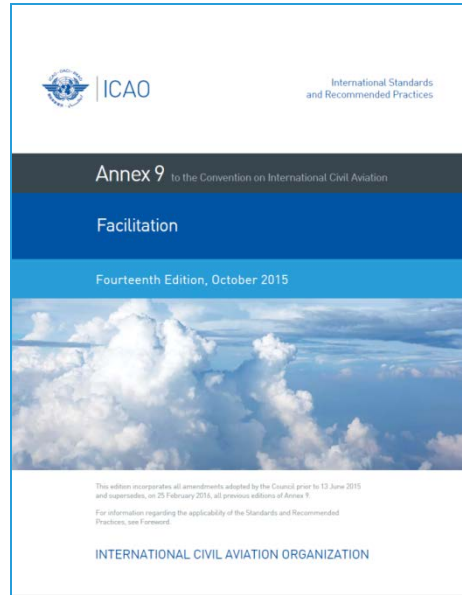
C : National and international action and cooperation on facilitation matters

D : Passenger data exchange





Annex 9 - Facilitation



Implementation of the Annex 9 Standards and Recommended Practices (SARPs) are essential:

- To facilitate the clearance of
 - ✓ aircraft
 - ✓ passengers and their baggage,
 - ✓ cargo and mail and
- To manage challenges in border controls and airport processes so as to maintain both the Security and the efficiency of air transport operations

- Integrates function of agencies related to border control:

Travel documents, immigration, customs, quarantine, law enforcement, transport operators

- Requires inter-agency and cross-border cooperation to implement Annex 9 obligations



Annex 9 overview

Ch. 1. Definitions and General Principles

Ch. 2. Entry and departure of aircraft

Ch. 3. Entry and departure of persons and their baggage

Ch. 4. Entry and departure of cargo and other articles

Ch. 5. Inadmissible persons and deportees

Ch. 6. International airports – facilities and services for traffic

Ch. 7. Landing elsewhere than at international airports

Ch. 8. Other facilitation provisions

Appendix 1-13

Chapter 3 of Annex 9: Entry and departure of persons and their baggage

Main SARPs related to the ICAO TRIP Strategy



Standards and Recommended Practices (SARPs)

Standard

Uniform application is recognized as **necessary** for the safety or regularity of international air navigation.
Requires notification of differences

Recommended Practice

Uniform application is recognized as **desirable** in the interests of safety, regularity or efficiency of international air navigation. Contracting States should endeavor to conform

Differences to Standards

States obliged to report to ICAO if they cannot implement a Standard



Completion of online compliance checklist for Annex 9

Importance of the Electronic Filing of Differences(EFOD) System

Background for the Filing of Differences

- ✓ **Article 38 of Chicago Convention** for filing of differences from Standards
- ✓ **Assembly Resolution 37-15** for filing of differences from Recommended Practices

Council Decision in 2011

- ✓ Invite States to use EFOD as an alternative means for filing differences to Annexes



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National Air Transport Facilitation Programmes (NATFP)

Reason: ► Means of coordinating activities between departments or agencies of the State concerned with or responsible for various aspects of facilitation of national civil aviation ◀





Agencies involved in an NATFP

COORDINATION, COOPERATION BETWEEN/AMONG:

- | | |
|---|--------------------------------------|
| 1. <u>CIVIL AVIATION AUTHORITY</u> | 2. CUSTOMS |
| 3. IMMIGRATION | 4. HEALTH |
| 5. QUARANTINE | 6. POLICE/LAW-ENFORCEMENT |
| 7. FOREIGN AFFAIRS | 8. PASSPORT/VISA-ISSUING AUTHORITIES |
| 9. AGRICULTURE/HORTICULTURE | 10. AVIATION SECURITY |
| 11. NARCOTICS CONTROL | 12. TOURISM AUTHORITIES |
| 13. SPORTS AUTHORITIES | 14. DISABILITY-RELATED AGENCIES |
| 15. | |



Articles of the Chicago Convention basis of the NATFP

Article 10: Landing at **customs** airport [**CAA↔CUSTOMS**]

Article 13: Entry and clearance regulations [**↔all BORDER CONTROLS**]

Article 14: Prevention of spread of disease [**↔HEALTH**]

Article 22: Facilitation of formalities [**↔I, Q, C, CLEARANCE**]

Article 23: Customs and immigration procedures [**↔C, I**]

Article 24: Customs duty [**↔CUSTOMS**]

Article 29: Documents carried in aircraft [**↔C, I**]

Article 35: Cargo restrictions [**↔C, OTHER**]



Annex 9 SARPs related to NATFP

Annex 9: Establishment of National FAL Programmes

- ▶ Standard 8.17: Each State to establish a NATFP
→ FAL requirements of Conv. & Annex 9
- ▶ Standard 8.18: Objective of NATFP
- ▶ RP 8.18.1: Use guidance of Appendix 12
- ▶ Standard 8.19: NATF Committee to coordinate FAL activities
- ▶ RP8.20: Coordination between FAL & AVSEC Programmes
- ▶ RP8.21: Guidance material in Appendices 11 & 12 for NATF & Airport Committees





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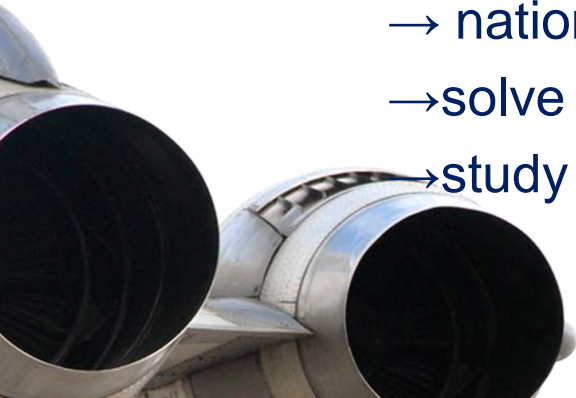
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Corresponding mandate

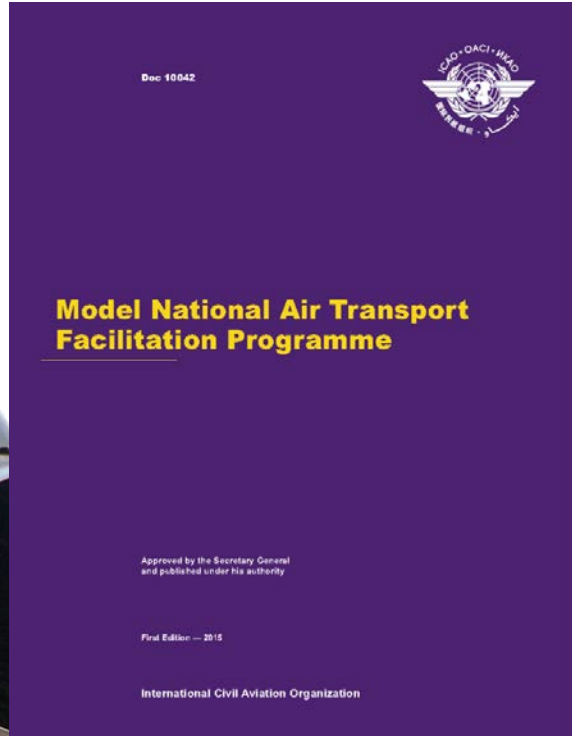
A39-20 Appendix C: National cooperation on facilitation matters

- improve the effectiveness and efficiency of clearance control formalities
- establish national FAL committees
- national regulations & practices conform to Annex 9 SARPs
- solve day-to-day FAL problems
- study FAL problems & coordinate with other States





Guidance material: Doc 10042 Model NATFP



- Objectives of the NATFP
- Legislation
- Organization and management of NATFP
- Roles, functions and responsibilities of agencies involved in air transport facilitation
- Agencies responsible for implementation of the security related provisions of Annex 9
- National Air Transport Facilitation Committee (Rules of Procedure)



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Main highlights of Amendment 25 to Annex 9: effective since 25 October 2015

Amendments to Chapter 3

Amendments to Chapter 4

- RPs: “Authorised Economic Operator (AEO)” and “Single Window”

Amendment to Chapter 8

- Contracting States should establish legislation, regulations and/or policies in support of assistance to aircraft accident victims and their families.





Amendments to Chapter 3

1. States should join the PKD (**2 RPs**)
 - Issuing or intending to issue eMRTDs [3.9.1]
 - Checking eMRTDs at borders [3.9.2]
2. INTERPOL's Stolen and Lost Travel Documents (SLTD) database
 - Standard: Information on stolen, lost, revoked TDs [3.10]
 - RP: At departure, entry points: query database [3.10.1]
3. **Standard:** "Convention TDs" are machine readable (Doc 9303) [refugees & stateless persons] **[3.12]**



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Facilitation Panel (FALP/9): 4 – 7 April 2016

- 113 participants
- 43 Member States
- 7 International Organizations

Amendment Proposals: Areas covered

- Machine Readable Travel Documents (MRTDs)
- Automated Border Controls (ABCs)
- Unaccompanied Minors (UMs)
- Passenger Data Exchange Systems
- Appendix 2: Passenger Manifest



Machine Readable Travel Documents (MRTDs)

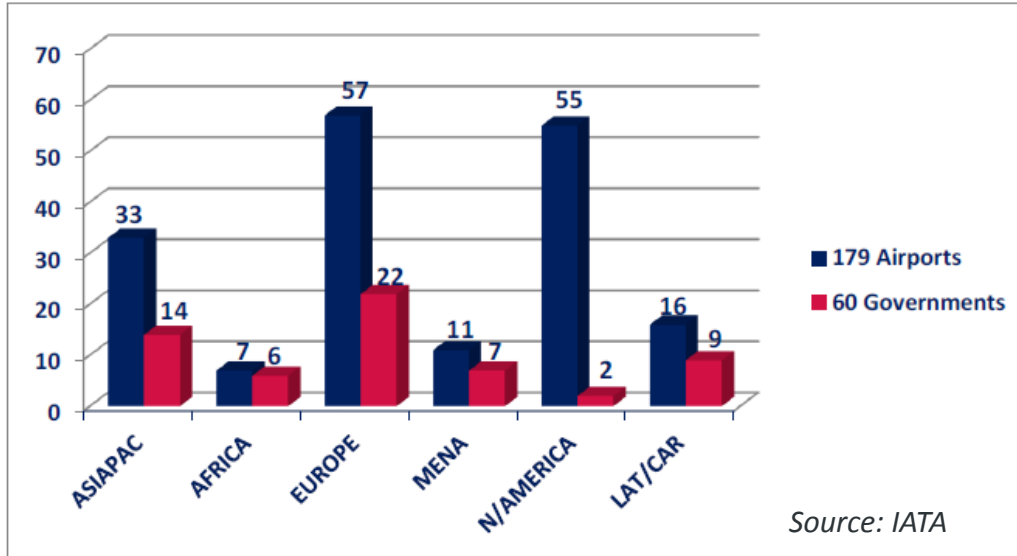
- Chapter 3 and Appendices
- RP 3.9: Incorporation of biometric data in MRTDs
- Replacement of word “passport” with “travel document:” some SARPs & Appendices 9 & 12
- Standard 3.35.1: Seizure of documents



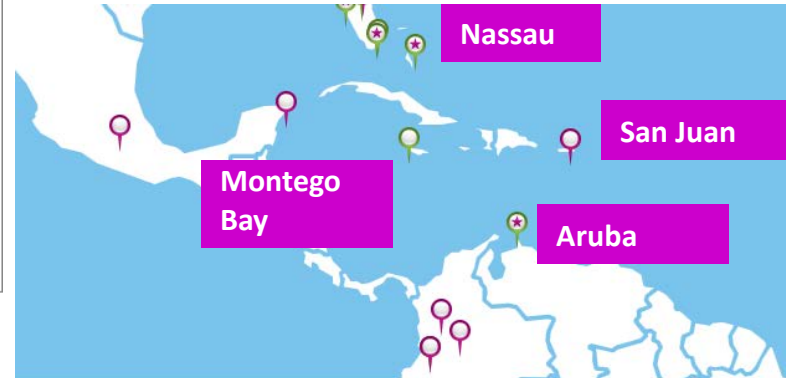


Use of Automated Border Controls (ABCs) gates

Automated Border Control deployed per Region (Status end of November 2015)



ICAO will continue to encourage the expansion of the use of ABCs, as a means of verifying and authenticating ePassports and enhancing security in cross-border movement and to facilitate the clearance of passengers.



According to IATA, availability of ABCs for the inspection of travel documents increased between August 2014 and November 2015 from **134 airports in 40 States** to **179 airports in 60 States**



Automated Border Control (ABCs) systems

- RP (new): States to consider introduction of ABC systems
- RP (new): States using ABCs
 - Use PKD to validate eMRTDs
 - Biometric matching against holder of document
 - Query INTERPOL's SLTD database





Unaccompanied Minors **[ALL NEW]**

- **Definitions:** Accompanying person, Minor, UM
- **RPs:** Training re. welfare of minors
 - Relevant public authority + Aircraft operators
- **RP:** Care of UM by public authority
 - Significant concerns re. welfare of minor
- **Std:** No travel of minors under 5 unless accompanied
- **Std:** Aircraft operators to establish UM programme
- [+ appropriate amendments to Chapter 5]





Passenger Data Exchange Systems **[NEW CH. 9]** (1)

- **3.48 to 3.49.2** → (proposed) New Chapter 9
 - A. General
 - B. Advance Passenger Information (API)
 - C. Electronic Travel Systems (ETS)
 - D. Passenger Name Record (PNR) data



Passenger Data Exchange Systems [NEW CH. 9] (2)

A. General

- RP: Passenger data single window [+ new Definition in Chapter 1]

B. API

- **New Standard: Each Contracting State shall establish an Advance Passenger Information (API) system.**
- The API system of each Contracting State shall:
 - be supported by appropriate legal authority (such as legislation, regulation or decree)
 - be consistent with internationally recognized standards for API. (new)
- New RP: API legislation (aligned regulations for all agencies; common set of API data; single agency)
- New RP: Each Contracting State should consider the introduction of an iAPI system

C. ETS

- New RPs for: ETS definition, ETS should be integrated with iAPI, 5 Criteria for ETS implementation, and Information to passengers at time of booking

D. PNR

- 2 existing RPs on PNR: proposed upgrading to Standards
- (new) RP on data privacy impact of PNR transfer



Passenger Manifest

PASSENGER MANIFEST

Operator

Marks of Nationality and Registration* Flight No. Date

Point of embarkation Point of disembarkation

(Place) (Place)

Surname and initials	Nationality	For use by operator only	For official use only
.....
.....
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Size of document to be 210 mm 297 mm (or 8 1/4 11 3/4 inches).

* To be completed only when required by the State.

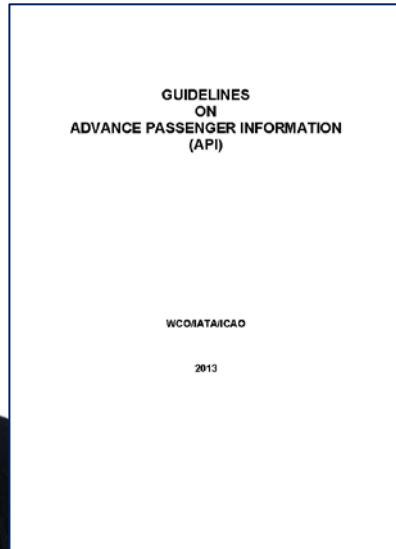
← 210 mm (or 8 1/4 inches) →

210 mm (or 8 1/4 inches)





ICAO Publications of interest (Annex 9 related)





Contents

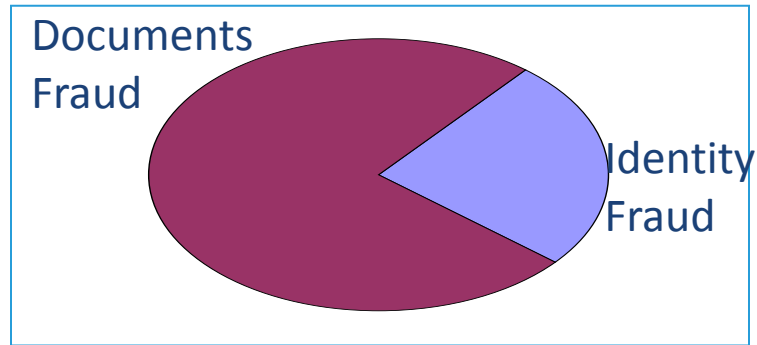
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From MRTDs to ICAO TRIP Strategy: Changes in Fraudulent methods

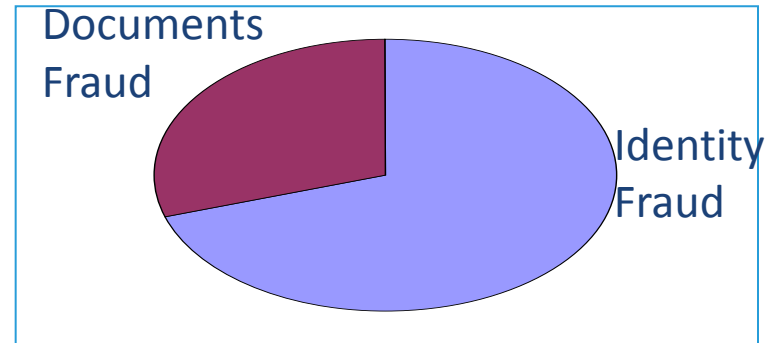
- Identity Fraud= 31%
- Document Fraud= 54%
- Others = 15%* **2006**



*Intergraph Study, 2010

- Identity Fraud = 71%
- Document Fraud = 29%

2009



Current threat: Identity fraud



ICAO TRIP Strategy

Globally interoperable applications that provide for timely, secure and reliable linkage of MRTDs and their holders to relevant data in the course of inspection operations: API/PNR, watch lists, information sharing...

For the efficient and secure reading and verification of MRTDs (PKD, forensic travel Doc examination, etc..)

Objective: All Member States can uniquely identify individuals



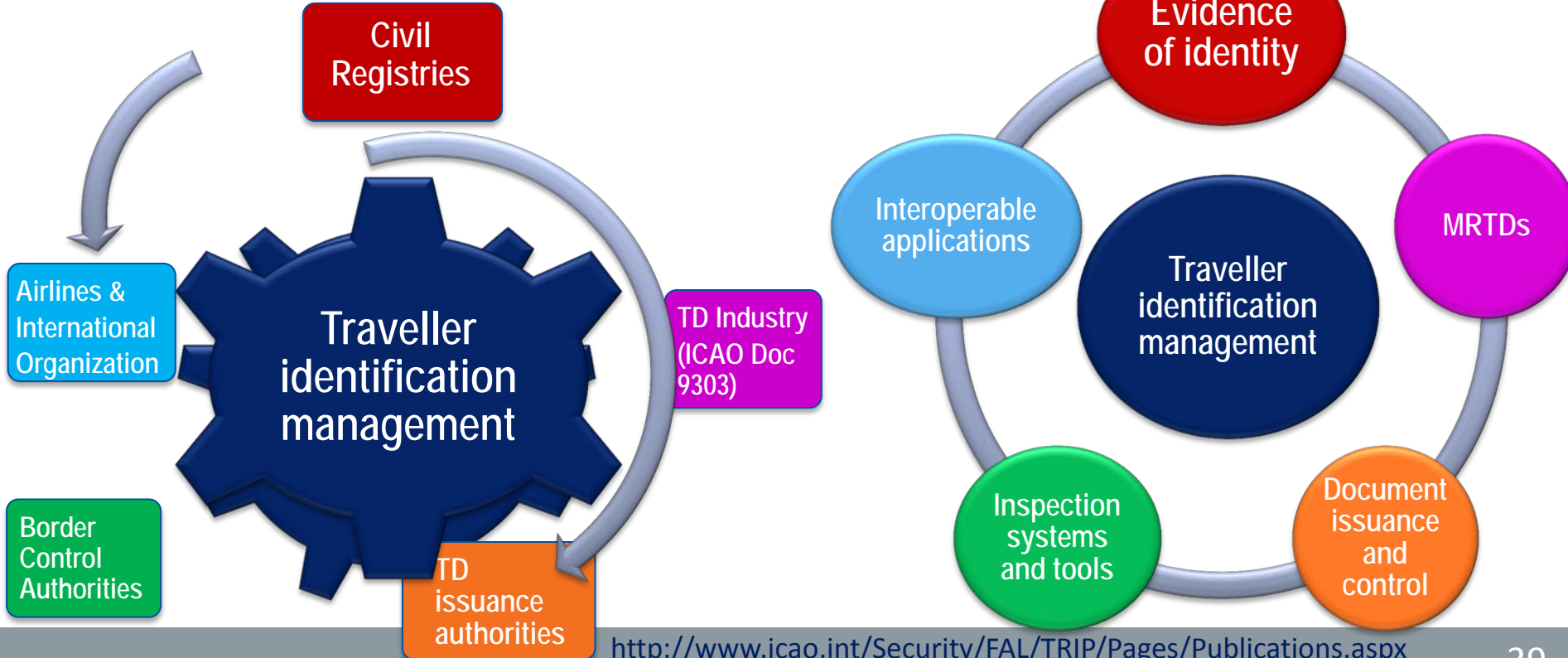
Credible evidence of identity, involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity

Manufacture of standardized MRTDs, that comply with ICAO specifications (Doc 9303)

Processes for document issuance by appropriate authorities, and controls to prevent theft, tampering and loss



ICAO TRIP Strategy: elements and actors





24 November 2015 deadline

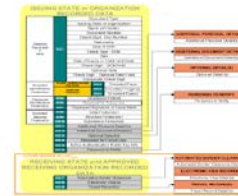
- 1) As of **today**, a total of 156 Member States had responded to the questionnaire of SL EC6/3-12/70.
 - 139 Member States (and 1 non-Member State) will comply with the Standard, i.e. their non-MRPs have expired or are due to expire by 24 November 2015; and
 - 17 Member States will not comply with the Standard, i.e. their non-MRPs will not expire by the deadline.
- 2) Possible reasons for non-compliance with Standard 3.11.1 include **lack of capacity, insufficient training and costs of implementation in consular missions abroad.**
- 3) While the worst case scenario is that citizens of a State not having MRPs will be denied entry into other States (e.g. South Africa, Colombia, India) , the acceptance or refusal to accept non-MRPs is a State matter.



ePassports: the trust imperative

MRP

ePASSPORT



0111001001010

Machine Readable
Passport (MRP)

CHIP

IMAGE
FACE

Logical
Data
Structure
(LDS)

PKI DIGITAL
SIGNATURE
Public Key
Directory
(PKD)

ePassports are Machine Readable Passports (MRPs) with a chip

- Enhance security of the document
- Biometrics to confirm identity



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ePassport: Current status

- There are more than 110 countries issuing chip-based passports
- There are over 600 million ePassports in circulation
- The deadline of 24 November 2015 is of current concern for some States
- The inspection of these documents lags far behind the issuance programs





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ICAO Training Package

Control of the Authenticity and Validity of Travel documents at Airport Borders – Level I

Purpose of this four-day course:

Examine travel documents effectively, allowing border officers to expedite the movement of legitimate travellers while identifying high-risk individuals.



2016: Available in
English and French
Available in other
ICAO Languages in
2017

For more information: <http://www.icao.int/Training/Pages/TDexam.aspx>



ICAO TRIP Guide on Border Control Management

Canada-funded project *Strengthening border controls in the Caribbean Region*

Objective: Assist Member States in the Caribbean Region in implementing the ICAO TRIP Strategy and in complying with their international obligations contained in the resolutions of the UN Security Council.

Deliverables: development of a guide (building on the existing CTITF air travel cycle)

Part 1: Risk-Based Model – Modern border management standards and best practices

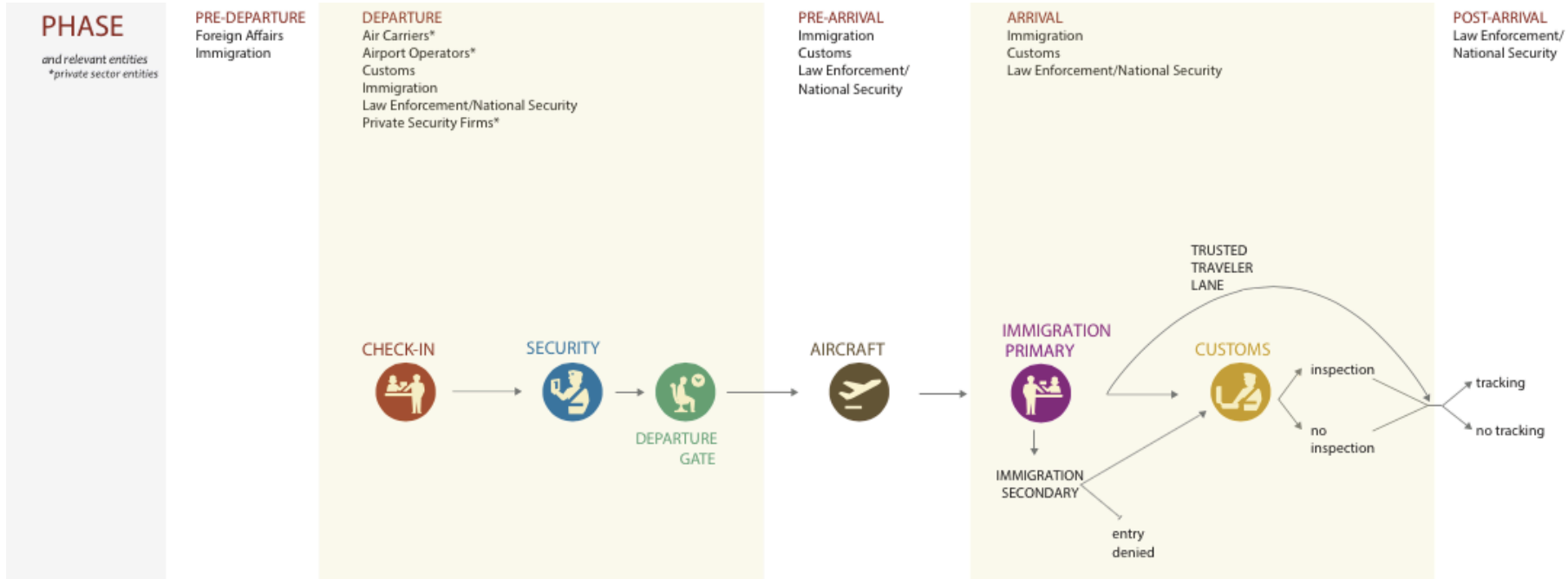
Part 2: Assessment Methodology – Self-assessment checklist or for external impartial assessment

Expected outcome:

- The model would guide Member States in applying those different tools including API, PNR, Electronic Travel Systems (ETS) and cross-border intelligence sharing
- The assessment methodology, based on the model, will guide self-assessment to formulate recommendations for corrective action and further capacity building



Five Phases of the Air Passenger Travel Cycle*



*An Initiative of the CTITF Working Group on Border Management Relating to Counter-Terrorism



Traveller identification management compendium



NEW PUBLICATION FROM THE TRAVELLER IDENTIFICATION PROGRAMME



Forthcoming Event

13th TRIP (ex-MRTD) Symposium 2017 (24 – 26 October 2017)



The Symposium is a world-class forum for the exchange of information on all aspects of traveller identification management, and the ICAO Traveller Identification Programme (TRIP) Strategy providing decision makers and technical experts with valuable insight on key current and emerging issues.



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