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ICAO TRIP: USING TRAVELLER ID FOR STREAMLINED BORDER CONTROLS

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Chief Facilitation Section (FAL)



Montréal, 23 October 2018



The Three Facilitation Programmes

Annex 9-

Facilitation

Chapters 3 & 9: main

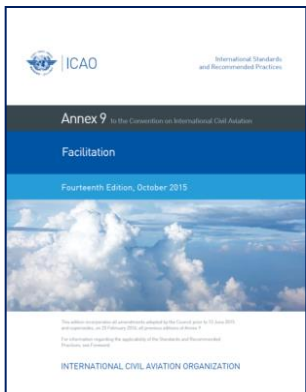
SARPs related to the TRIP & PKD



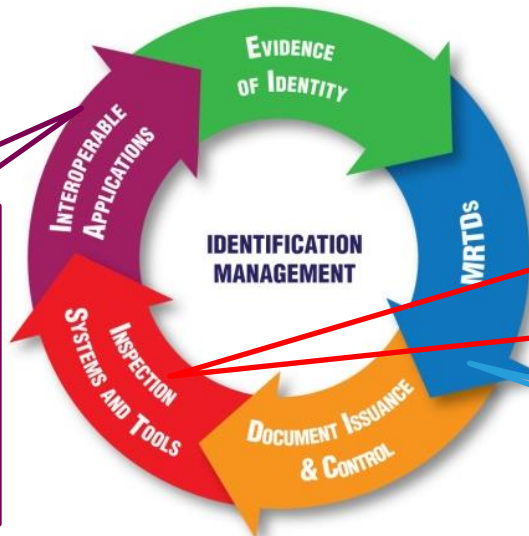
ICAO TRIP Strategy



ICAO PKD



API & PNR:
provide for timely, secure and reliable linkage of MRTDs and their holders to relevant data



Means to enhance security in cross-border movement.
Inspection Tool for ePassports verification, validation and authentication of the digital signatures and content of the chip

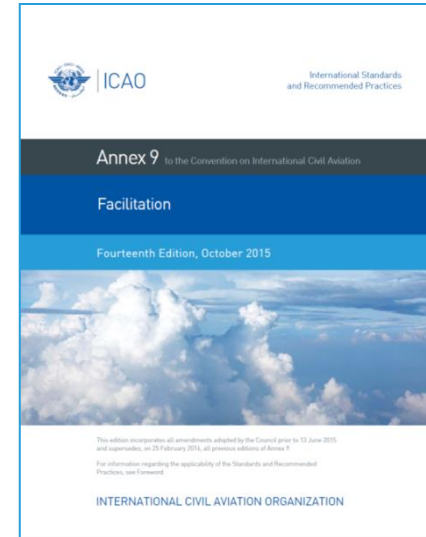
Manufacture of standardized MRTDs, that comply with ICAO specifications (Doc 9303)

Assembly Resolution (A39-20):
Consolidated statement of continuing policies and practices related to facilitation



Annex 9 – *Facilitation*: the regulatory framework

- Integrates functions of agencies related to border controls – **travel documents, immigration, customs, quarantine, law enforcement, transport operators, etc.**
- Requires inter-agency (and cross-border) cooperation to implement Annex 9 obligations



Facilitation is the efficient management of border control processes to expedite clearance (of aircraft, passengers/crew, baggage, cargo) and prevent unnecessary delays so as to maintain both the Security and the efficiency of air transport operations



Examples of Amendments to Annex 9: since FALP/1, 1997

— Assistance to Aircraft accident Victims: Chapter 8 (FAL/12; FALP/8)

Advances in technology (examples)

- Machine Readable Travel Documents
[including the ICAO Public Key Directory (PKD)]
- Advance Passenger Information (API)
- interactive API (iAPI)
- Automated Border Control (ABC) Systems
- Electronic Travel Systems (ETS)

General Streamlining/Updating Annex

- Chapter 4 (new): Cargo & other articles
- Chapter 6 (revised): Services & facilities at int'l airports
- Chapter 8: Transport of persons with disabilities
- Chapter 9 (new): Passenger Data Exchange Systems

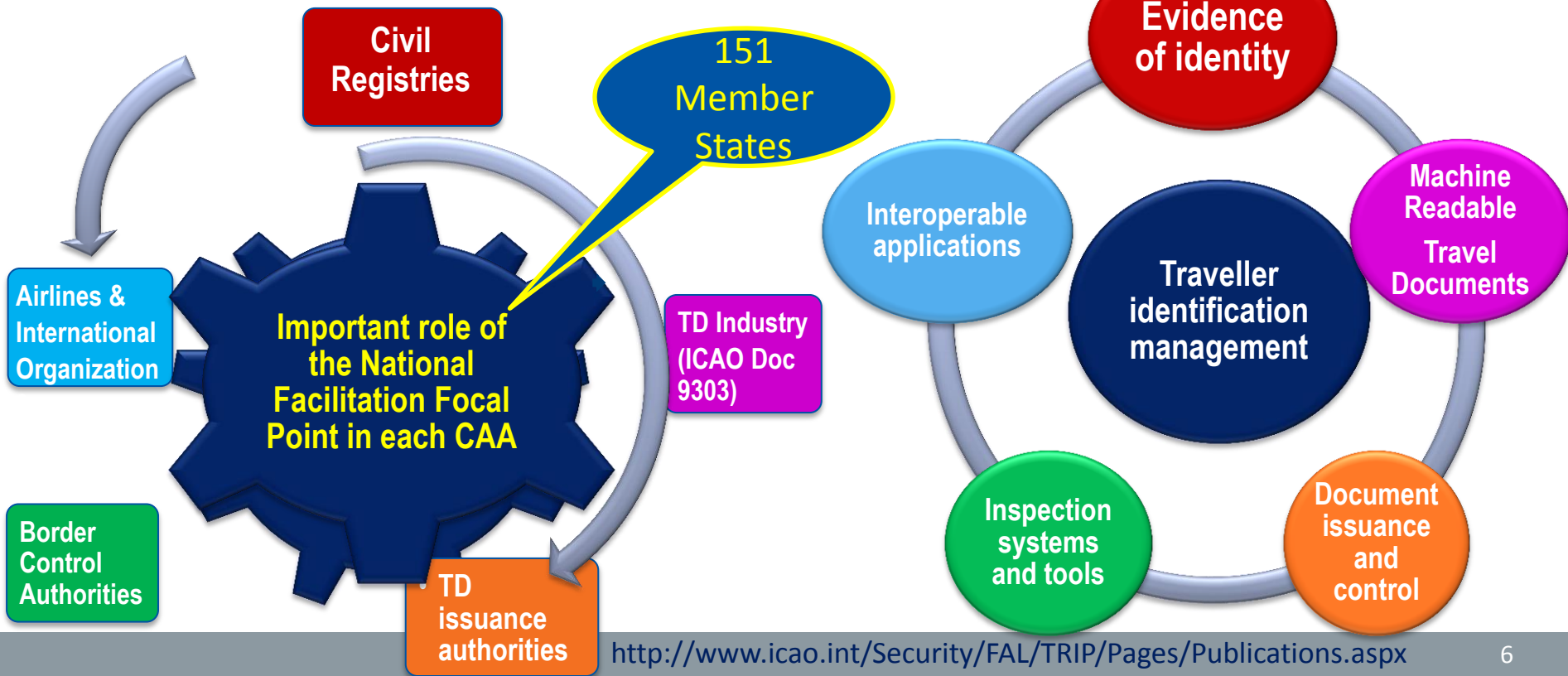


Traveller Identification Programme : ICAO TRIP Strategy





Main challenges: different actors involved





The main Annex 9 SARPs related to the ICAO TRIP strategy

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

Ch. 9. Passenger Data Exchange Systems

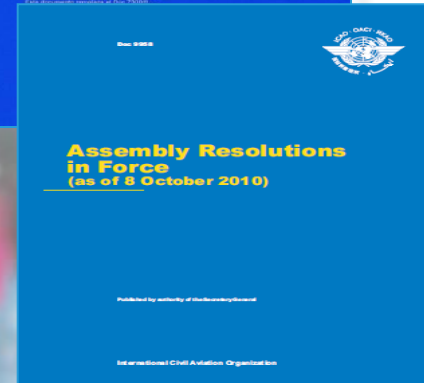
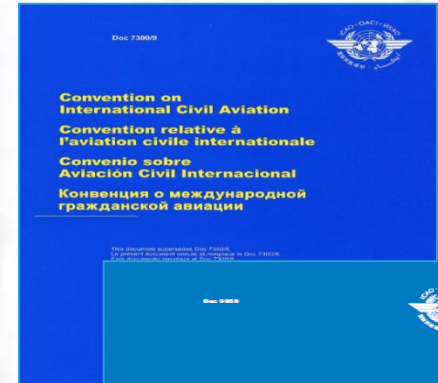
Chapters 3 and 9 of Annex 9: Entry and departure of persons and their baggage
& Passenger Data Exchange Systems and some SARPs of Chapter 8



Obligation under the Convention

□ 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 as well





Key Functionalities of the Electronic Filing of Differences (EFOD)

States

- ✓ Indicate compliance with and/or difference to SARP's with details
- ✓ Kill two birds with one stone to meet obligations under **CMA MOU** and **Convention Art. 38**

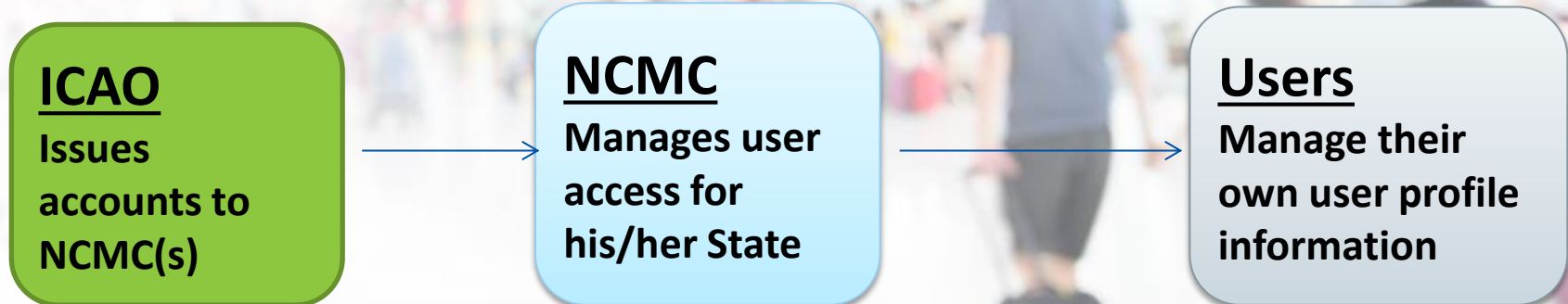
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- ✓ Review/monitor the level of global implementation
- ✓ Generate e-Supplement



Access Control

1. State nominates National Continuous Monitoring Coordinator (NCMC)
2. ICAO grants user account(s) to NCMC(s)
3. NCMC(s) manage user accounts for their State including issuing of additional user accounts and deactivating of invalid user accounts.
4. FAL access to EFOD through NCMC



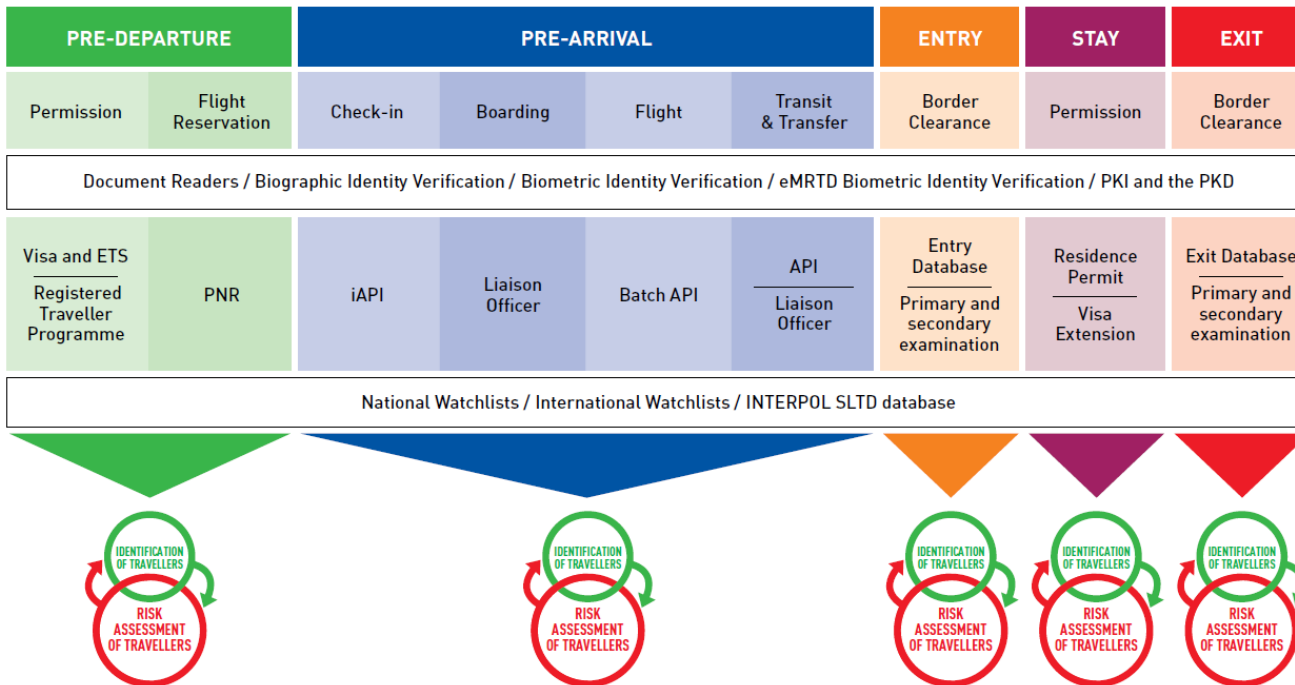


Traveller journey from the perspective of the receiving/destination State

Before

- Issuance of a birth Certificate
- Issuance of an MRTD

Phases

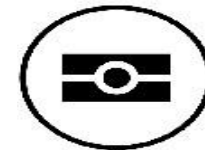


Systems, Tools, Applications and Processes



ePassport: Current status

e-Passport
symbol



Member States issuing ePassports

Asia and Pacific (APAC) :18 out of 39

Eastern and Southern African Office (ESAF) : 9 out of 24

European and North Atlantic (EUR/NAT) : 53 out of 56

Middle East (MID) : 7 out of 15

North American, Central American and Caribbean (NACC) : 4 out of 21

South American (SAM) : 8 out of 13

Western and Central African (WACAF) : 15 out of 24

Total: 114 (out of 192) + 12 other entities

Source: States and Industry

- 114 **Member States claim** issuing chip-based passports
- Over **800 million ePassports** in circulation
- The inspection of these documents lags far behind the issuance programs

Issuance of ePassport is not an Annex 9 Standard



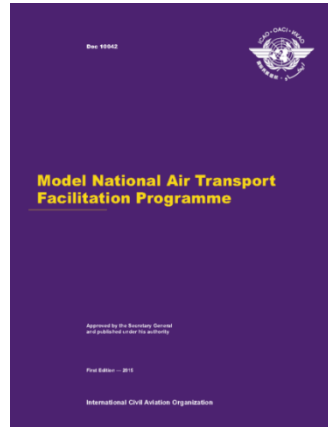
International cooperation: key for successful implementation





National coordination: essential step

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 ◀



Mandate: Stds 8.17 & 8.19 and 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

NATFP: essential step for ICAO TRIP Strategy implementation



NATFP: Example of the Dominican Republic

El presidente de la JAC destacó la importancia de implementar las medidas recomendadas por la Organización de la Aviación Civil Internacional (OACI),



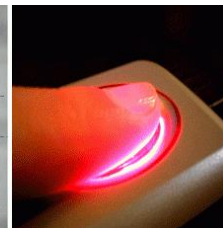
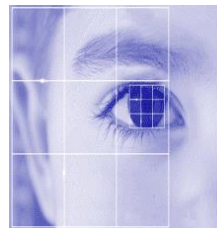
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SANTO DOMINGO. El Comité Nacional de Facilitación, cuyo propósito es coordinar e implementar los procedimientos para ofrecer mayor facilidad, eficiencia y seguridad al transporte aéreo, se reunió la mañana del jueves con la presencia de sus miembros titulares.



PKD: a useful tool to be used in the 4th TRIP element



ePassport



Advance Passenger Information (API) Standard



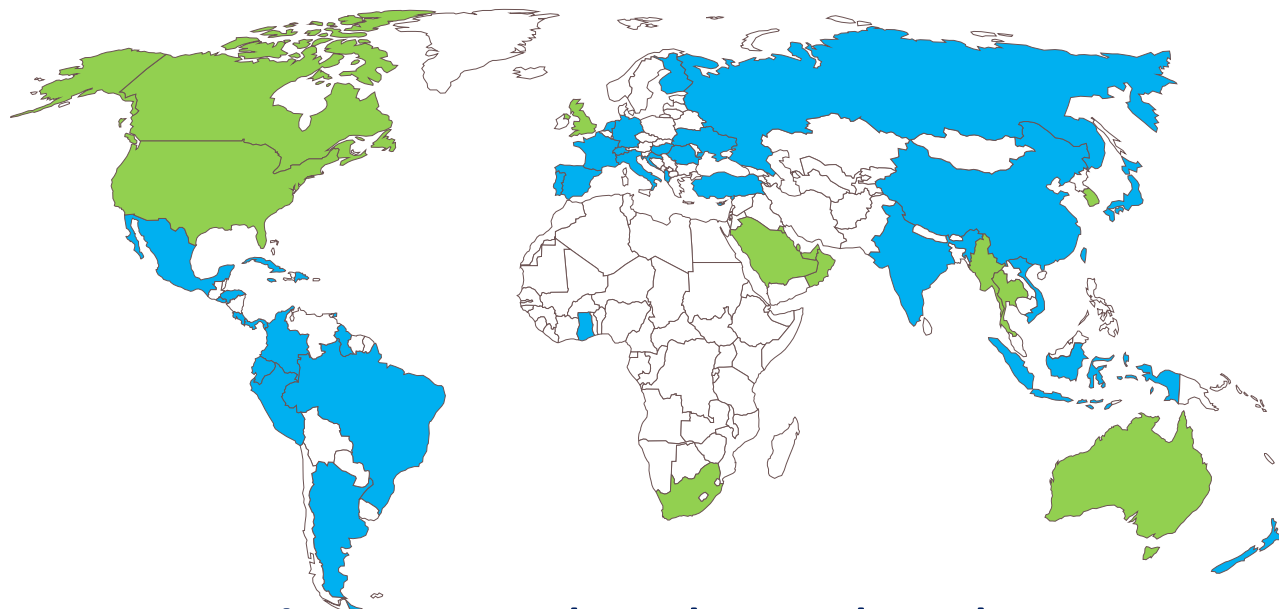


ICAO's work in travel facilitation and the UN agenda: UNSC resolutions 2178 (2014), 2309 (2016), 2368 & 2396 (2017)

- “Reaffirms that all States shall prevent the movement of terrorists ...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)** ...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 ...to resolutions 1267 (1999) & 1989 (2011)...”
- “*Noting* that **Annex 9 —Facilitation** to ...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** ...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 Committeeresolutions 1267 (1999), 1989 (2011) and 2253 (2015);”



Status of API / iAPI programmes: 64 States



Legend

- iAPI in force (total: 15)
- API in force (total: 49)

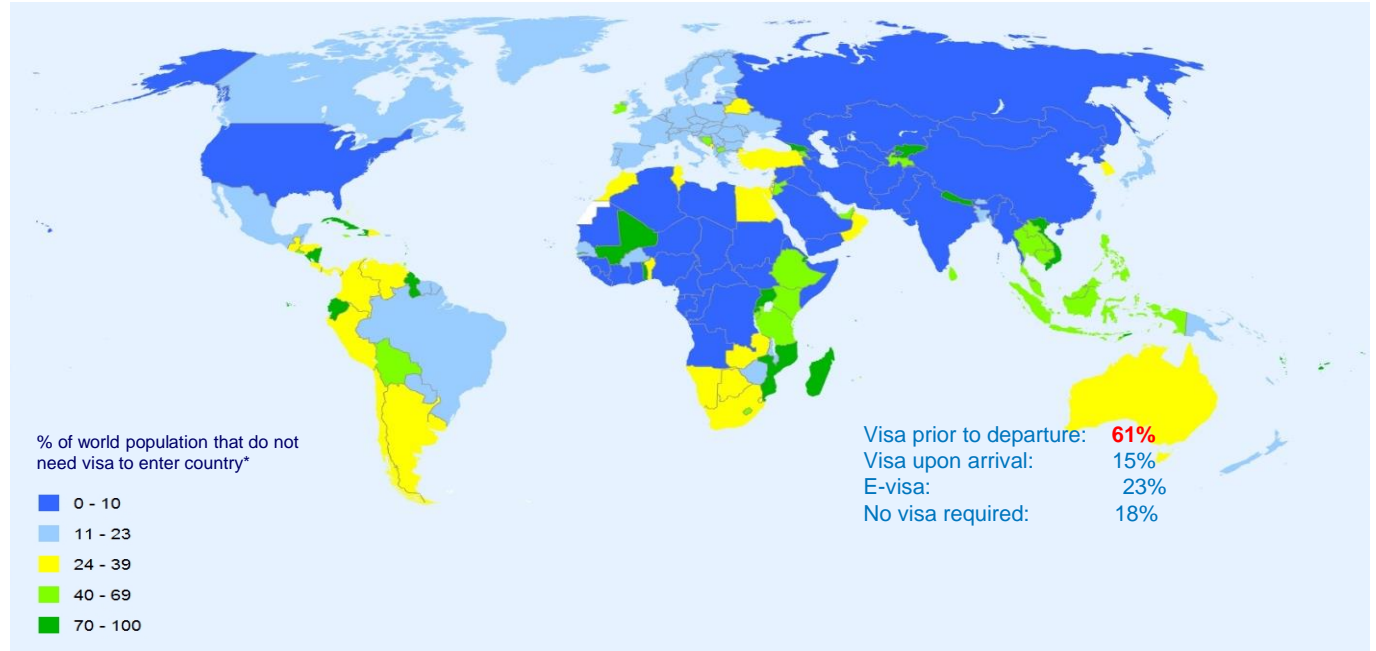
UNSC Resolutions 2178 (2014), 2309 (2016), 2368 & 2396 (2017)

Source: IATA



Role of visa facilitation in air transport growth

Objective:
Modernization
of visa regimes
and link E-visa
to iAPI as
recommended
in Annex 9



Source: UNWTO Visa openness report 2015



Status of Visas delivered in electronic format

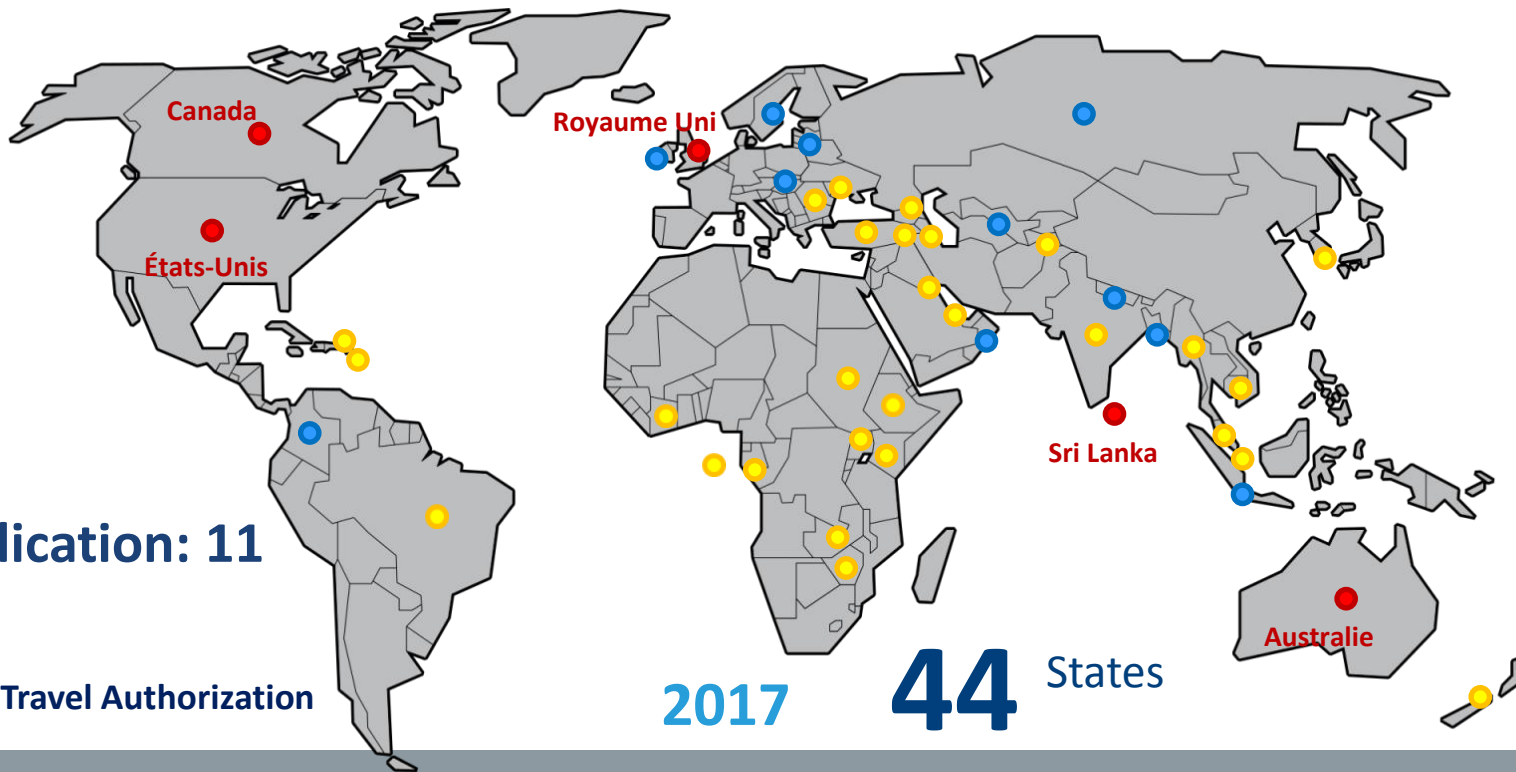
2011
6 States

● eVisa : 28

● ETA: 5

● On-line application: 11

ETA: Electronic Travel Authorization





Overview of the ICAO TRIP Roadmap

- ICAO TRIP roadmap objective is to provide target milestones for the implementation by States of each element of the ICAO TRIP Strategy.
- At the national level, coordinated action would be required between many government and industry entities:

Preliminary step: Establish a National Air Transport Facilitation Programme and Committees (Stds 8.17 & 8.19)

- In the international context, the aim is to systematically collaborate with all interested stakeholders to implement each element of the TRIP.



<https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>



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Technical assistance projects

The Government of Canada - First to fund technical projects to assist States in implementing the ICAO TRIP Strategy:

- Strengthening Travel Document Security and Border Control in Central America (2011-2014)
- Strengthening Travel Document Security and Identification Management in the Sahel and neighbouring States (2014-2016)
- Strengthening Border Control Management in the Caribbean Region (2016-2018)
- **Assistance activities:**
 - Regional seminars and workshops
 - Technical assessment missions in-country performed by experts
 - Development of the ICAO Training Package “Control of the Authenticity and Validity of Travel Documents at Airport Borders – Level 1”
 - Development of a Border Control Management Guide

Funded by the
Government
of Canada

Canada

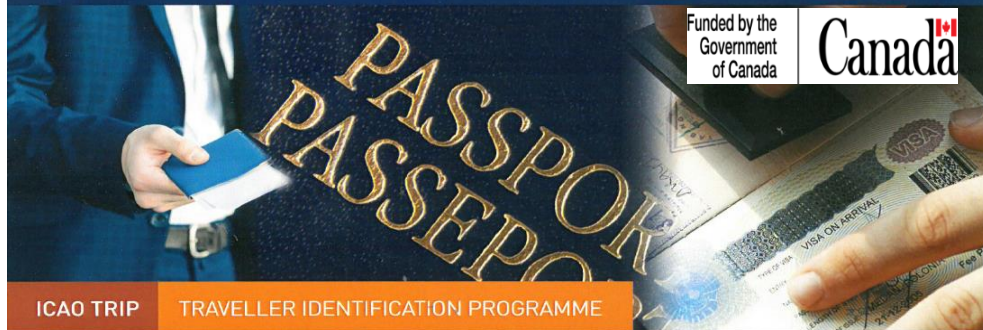


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ICAO TRIP TRAVELLER IDENTIFICATION PROGRAMME

CONTROL OF THE AUTHENTICITY AND VALIDITY OF TRAVEL DOCUMENTS
AT AIRPORT BORDERS – LEVEL 1

ICAO Training Package 4 Deliveries in 2017-2018

(69 trainees, 10 States)

3 deliveries in Africa funded by
Saudi Arabia under AFI SEC/FAL Plan



- Moshi, **Tanzania**, July-Aug 2017 with IOM in the African Capacity Building Centre
- Zaria, **Nigeria**, 23-26 Oct 2017
- Niamey, **Niger**, 9-12 April 2018
- New Delhi, **India**, 5-8 March 2018

Available in
Arabic
English
French
Spanish





Importance of Provision of passports specimen





ICAO TRIP Guide on Border Control Management: both a guidance material and an assessment tool

Inspection Systems and Tools	Interoperable Applications
A. Visas and Electronic Travel Systems	H. Advance Passenger Information and Interactive Advance Passenger Information
B. Document Readers	I. Passenger Name Record
C. Biographic Identity Verification	J. Public Key Infrastructure and the ICAO Public Key Directory
D. Biometric Identity Verification	K. eMRTD Biometric Identity Verification
E. National Watchlists	L. INTERPOL's Stolen and Lost Travel Documents Database
F. Entry and Departure Databases	M. International Watchlists
G. Automated Border Controls	

Developed with the support of an advisory group of experts from several organizations (including the TAG/TRIP)



<https://www.icao.int/Security/FAL/TRIP/Pages>



Some common recommendations of technical assessment missions

Border control management

- States issuing ePassports should become a member of the **ICAO PKD**
- Any implementation of **API/PNR** systems should be done in accordance with ICAO Standards, specifications, and guidance
- **INTERPOL databases**, including the SLTD, should be integrated into the border management system
- Appropriate **training** should be provided to front-line officers who perform the inspection and control of travel documents and their holders



The way forward

- The international passenger numbers is expected to double in the next 20 years.
- Focus on improving both Aviation Security and Travel Facilitation with the objective of a secure and pleasant passenger experience through a risk-based and efficient global process.
- Necessary to move from bilateral programmes to a globally interoperable one.
- Compliance with ICAO Annex 9 SARPs; Filling the EFOD CC
 - API Standard (Implementation)
 - Effective collaboration and cooperation among various government agencies and international organizations.
- Challenges ahead:
 - ❖ harmonization of intelligence and data sharing;
 - ❖ shift to a secure digital process (i.e ICAO work on Digital Travel Credential); and
 - ❖ Work towards ensuring data privacy notably for PNR data.



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Forthcoming TRIP Events in 2019

15th ICAO TRIP Symposium and Exhibition (TRIP 2019)

25-28 June 2019

Regional TRIP Seminar (Cotonou, Benin, 12-14 February 2019)

Mark your calendar!



These events are a world-class forum for the exchange of information on all aspects of traveller identification management, providing decision makers and technical experts with valuable insight on key current and emerging issues.



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THANK YOU!



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