Practical Steps for Using the ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents

David Philp
General Manager Identity and Passport Services New Zealand
Kish Island, Islamic Republic of Iran
May 2016

Annex 9 – Facilitation

SARPs related to clearance of aircraft, people and goods through the formalities required at international borders including those that pertain to travel documents.
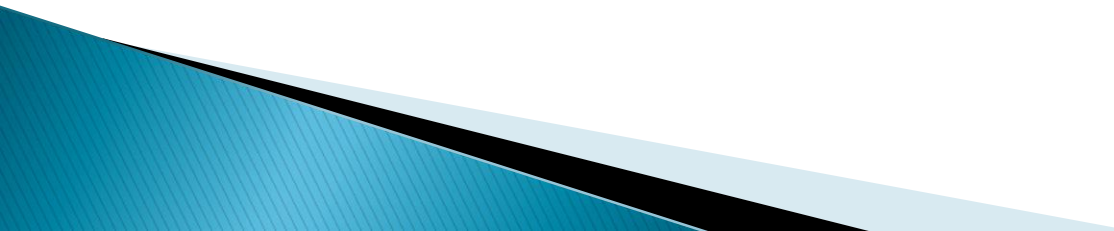
ICAO Universal Security Audit Program (USAP)

▸ Annex 17 – Security
  ◦ Continuous Monitoring

▸ Annex 9 – Facilitation
  ◦ (Security related SARPs)

Annex 9 – Facilitation

- 3.8 Contracting States shall establish controls to safeguard against the theft of their blank travel documents and the misappropriation of newly issued travel documents.

- 3.8.1 Contracting States shall establish appropriate controls over the entire travel document application, adjudication and issuance processes to ensure a high level of integrity and security.

What is the Guide?

Part 1: Best Practices on Secure Issuance of Travel Documents

Recommends best practices to mitigate security threats to the travel document issuance process

Part 2: Assessment Guide

Evaluation checklists to assess security of each component of the issuance process and identify gaps relative to the recommended best practice
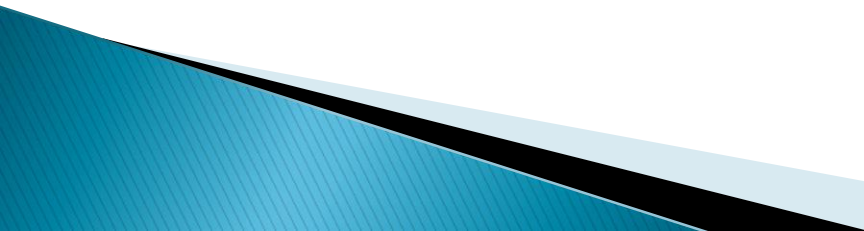
What does the Guide cover?

Travel Document Issuing Authority Structure	Facility Security
Application Process	Information Technology Security
Entitlement Process	Protecting and Promoting Personnel and Agency Integrity
Treatment of Materials and Blank Books	Lost and Stolen Travel Documents
Personalization and Delivery	Overseas Issuance
Document Security	National and International Stakeholders

Part 2 –

No.	Section	Question	% Compliance	Remarks on Gaps and Mitigation Measures	Risk H/M/L	Risk Score
Chapter 3 - Entitlement Processes						
3.1 Summary						
301	3.1	Are all entitlement decisions made by appropriately trained TDIA staff?				
3.2 Treatment of First Applications versus Renewals						
302	3.2	Are first time applicants given special attention and treatment for identity confirmation and entitlement validation?				
303	3.2	Is the application data submitted in support of a renewal application compared to details of travel documents previously issued to that individual?				
304	3.2	Are there special reviews and scrutiny practices carried out for renewal applications submitted a long time (> two years) after expiry of the previous travel document?				

Why do you do an Assessment?

- Meet ICAO Annex 9 standards
- Gain awareness of possible issuance problems
- Ensure integrity of issuance system before issuing an ePassport (or new series/version)
- Respond to external bodies (Auditor General)
- Demonstrate security to external partners
- Substantiate requests for funding
- Ensure continuous evaluation and controls

Why is it important to focus on the issuance process?

- ICAO-compliant MRTDs increasingly secure
- Declining travel document fraud
- Criminal focus on exploiting new weaknesses
- Increasing switch to identity fraud
- Impostors --- Fraudulent Evidence of Identity --- exploiting weaknesses in the issuance process
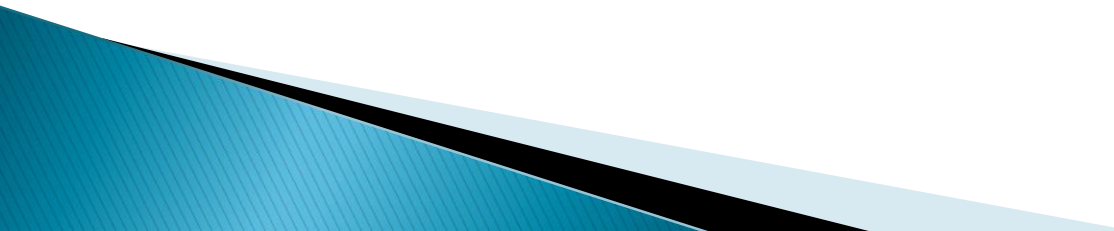
Why was the Guide created?
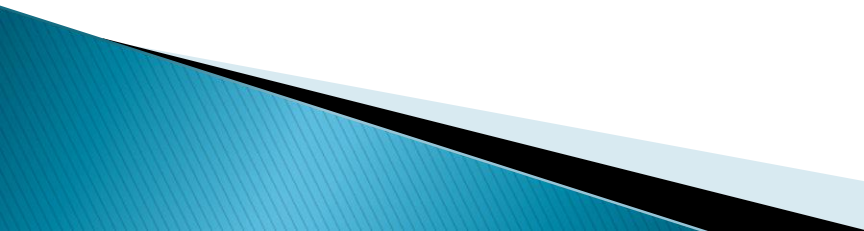
- For passport issuing authorities to self-assess and for use by qualified assessors in evaluating a country's passport issuance system.
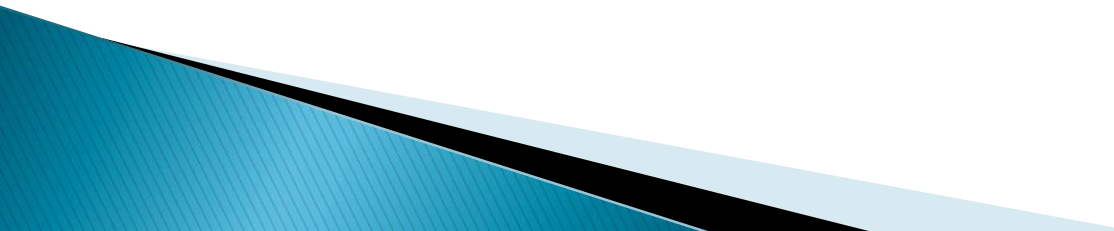
More on why the Guide was created

- Lack of awareness among issuing agencies

- Lack of guidance material – not covered in depth in Doc 9303

- Lack of practical tools and framework for an assessment.

Who created the Guide?

- ICAO MRTD ICBWG

- Produced the Assessment Guide in 2010

- Free and public

- Available in English, French and Spanish (Russian pending)

Self-assessment or independent?
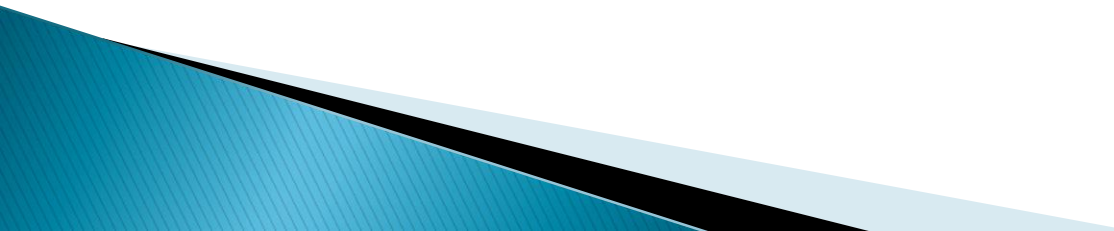
- Degree of assessor's experience

- Bias

- Resources available

The Self-Assessment

- The leader

- The team
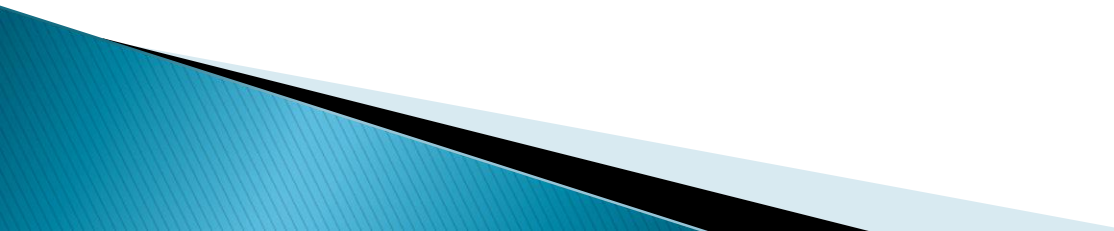
Self-Assessment: the Process

- Mandate – Senior Management
- Preparation and planning:
  - Pre-briefing (kick-off meeting)
  - Explain the roles
  - Explain the Guide
  - Set timelines
- The Assessment:
  - Use Part 1 and Part 2
- Producing the Report and Recommendations

Part 2 –

No.	Section	Question	% Compliance	Remarks on Gaps and Mitigation Measures	Risk H/M/L	Risk Score
		Chapter 3 - Entitlement Processes				
3.1 Summary						
301	3.1	Are all entitlement decisions made by appropriately trained TDIA staff?				
3.2 Treatment of First Applications versus Renewals						
302	3.2	Are first time applicants given special attention and treatment for identity confirmation and entitlement validation?				
303	3.2	Is the application data submitted in support of a renewal application compared to details of travel documents previously issued to that individual?				
304	3.2	Are there special reviews and scrutiny practices carried out for renewal applications submitted a long time (> two years) after expiry of the previous travel document?				

Points to remember

▸ Assessment is not a test

▸ Do not focus on the number or the score

▸ Preparation and planning are essential

▸ Assessment must include Recommendations

▸ Do it again

Where do you find the Guide?

http://www.icao.int/Security/mrtd/Pages/Guides.aspx

Final Thoughts...

- Questions?
- New ideas?
- New content?

- Share the information.

- Comments?

Thank you

Contact

ICAO Implementation and Capacity Building
   Working Group –

ICBWG@icao.int