**Regional Seminar on MRTDs, Biometrics
and Identification Management
12 to 14 November 2013, Ouagadougou, Burkina Faso**

ICAO Global Leadership in Setting MRTD Standards and Regulatory Framework

Mauricio Siciliano, ICAO MRTD Officer

Overview

1. How do we got here?

2. What have we become?

3. What do we do?
   - Standards & Specifications
   - Assistance

4. What else do we do?

5. Conclusions

ICAO MRTD Regional Seminar, Burkina Faso

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Chicago Convention Goals

- Establishes principles and arrangements so that international <u>civil aviation</u> may be developed in a <u>safe and orderly manner</u>.

- International civil aviation helps <u>create and preserve friendship and understanding</u> among the nations and <u>peoples of the world.</u>

- Recognizes that <u>its abuse can become a threat</u> to the general security.

- <u>Avoid friction</u> and to <u>promote that co-operation between nations and peoples</u> upon which the <u>peace of the world</u> depends.

- Établit principes et arrangements, afin que <u>l'aviation civile</u> internationale puisse se développer d'une manière <u>sûre et ordonnée.</u>

- L'aviation civile aviation internationale peut grandement aider <u>créer et a préserver entre les nations et les peuples du monde l'amitié et la compréhension</u>.

- <u>Tout abus qui en serait fait peut devenir une menace</u> pour la sécurité générale.

- Il est désirable d'<u>éviter toute mésentente entre les nations et les peuples et de promouvoir entre eux la la paix du monde</u>.

HOW DO WE GOT HERE

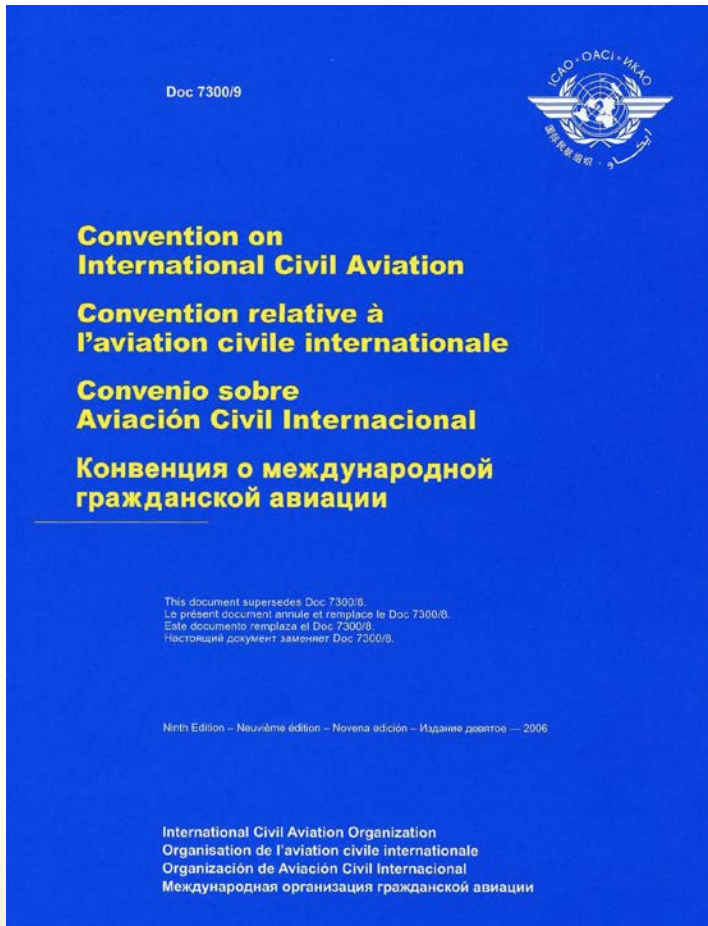**ICAO's mandate for standards development:**

The Convention on International Civil Aviation

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Vision and Mission

The International Civil Aviation Organization is the global forum for civil aviation. ICAO works to achieve its vision of safe, secure and sustainable development of civil aviation through the cooperation of its Member States.
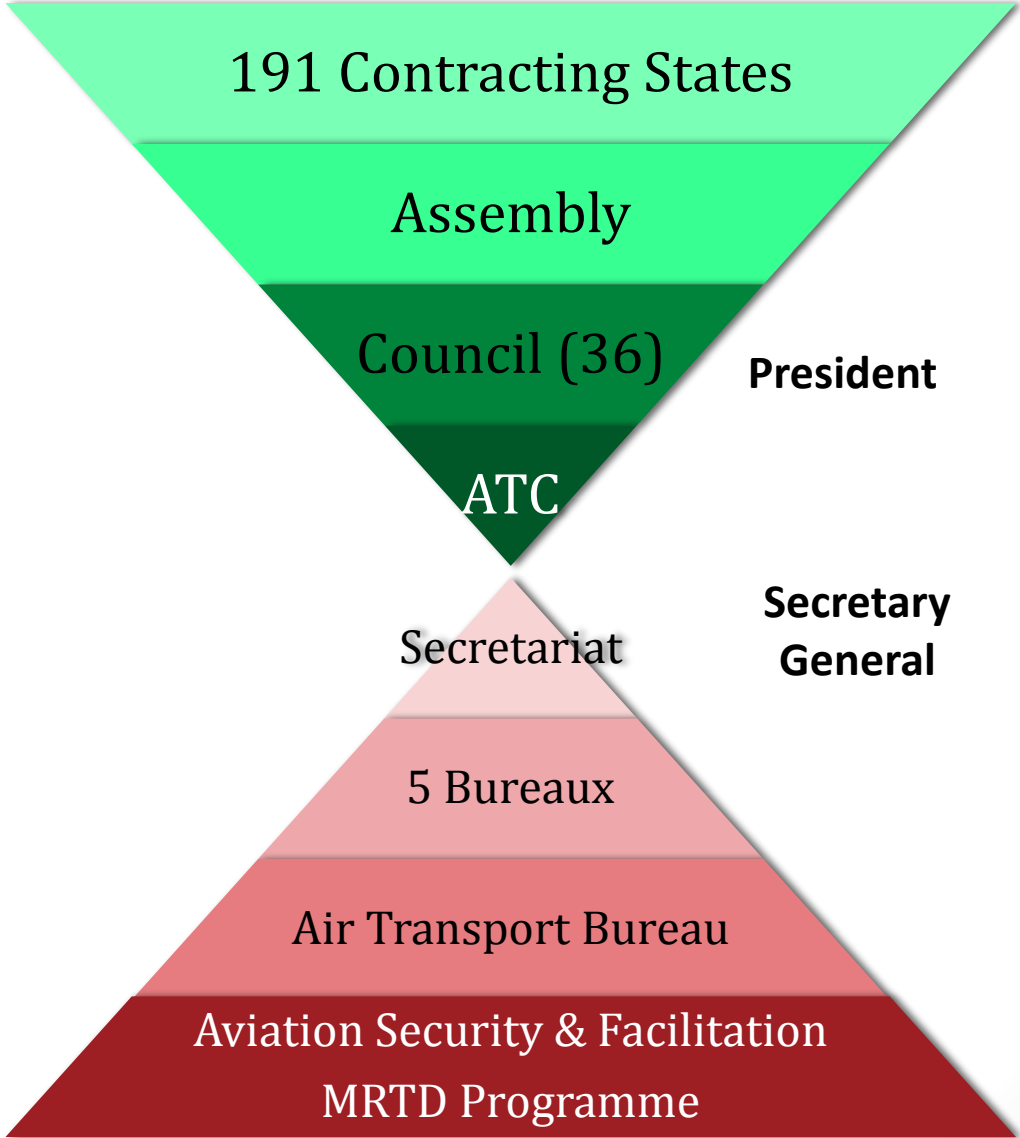
Chicago Convention

Chicago, 7 December 1944

Air transport: 2012 world data

- **3 billion passengers**
- 52 million ton. of freight
- 1 000 airlines
- 25 000 aircraft in service
- More than 4 000 airports
- 36 million airline routes
- 170 air navigation centers
- 1.5% Cargo Volume = 34.6% in value

...**and in 2030**

6 billion passengers

ICAO – Specialized UN Agency

191 Contracting States

Assembly

Council (36)

ATC

President

Secretariat

Secretary General

5 Bureaux

Air Transport Bureau

Aviation Security & Facilitation

MRTD Programme

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ICAO's strategic objectives 2014-2015-2016

Safety: Enhance global civil aviation safety

Air Navigation Capacity and Efficiency: Increase capacity and improve efficiency of the global civil aviation system

Security & Facilitation: Enhance global civil aviation security and facilitation

Economic Development of Air Transport: Foster the development of a sound and economically-viable civil aviation system

Environmental Protection: Minimize the adverse environmental effects of civil aviation activities

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New Strategic Objective C – Enhance Global Security and Facilitation

This Strategic Objective reflects the need for ICAO's leadership in aviation security, facilitation and related border security matters.
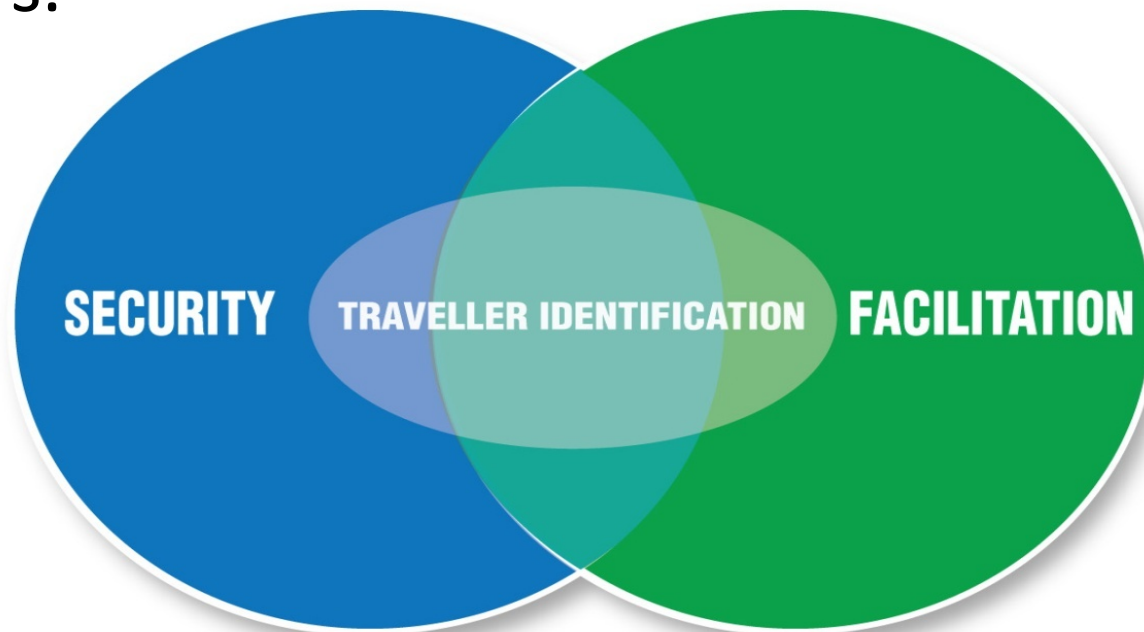
Annex 17: Security (AVSEC)

- Lead and support global efforts to establish sustainable civil aviation security regimes and oversight systems to:

  - prevent unlawful interference with civil aviation;
  - respond effectively to attacks and attempted attacks; and
  - assure the safe and efficient movement of people and goods

  "Provide **technical assistance to States** in need, including funding, capacity building and technology transfer to effectively address security threats to civil aviation, in cooperation with other States, international organizations and industry partners."

  38th ICAO Assembly, Montreal, October 2013

Annex 9: Facilitation (FAL)

Facilitation is the efficient management of (customs, immigration, health and quarantine) **border control** *processes, to expedite clearance (of* **aircraft, passengers/crew, baggage and cargo***) and to prevent unnecessary delays.*

- Maintain stability of supply chain

- Support economic growth

- Enable sustainable development of air transport
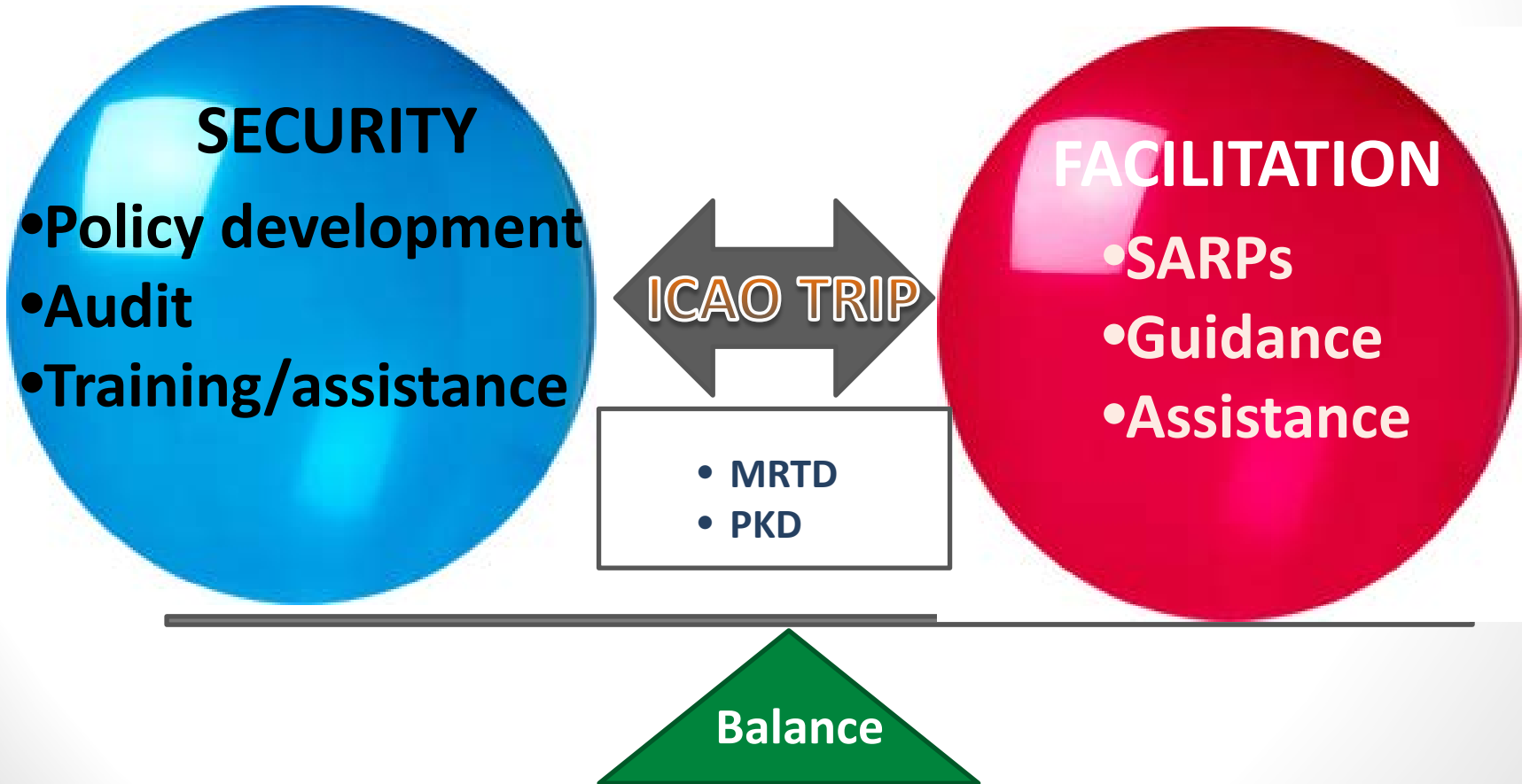
- Maintain security and flight safety

Annex 9 to the Chicago Convention
- facilitation of landside formalities for clearance of aircraft, passengers, goods and mail
- requirements of customs, immigration, public health and agriculture authorities

Balancing Security and Facilitation

Improving security

Efficient operations

SECURITY

- Policy development
- Audit
- Training/assistance

FACILITATION

- SARPs
- Guidance
- Assistance

ICAO TRIP

- MRTD
- PKD

Balance

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WHAT HAVE WE BECOME

From MRTD to Traveller Identification Programme (TRIP)

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Enhancing the MRTD Programme

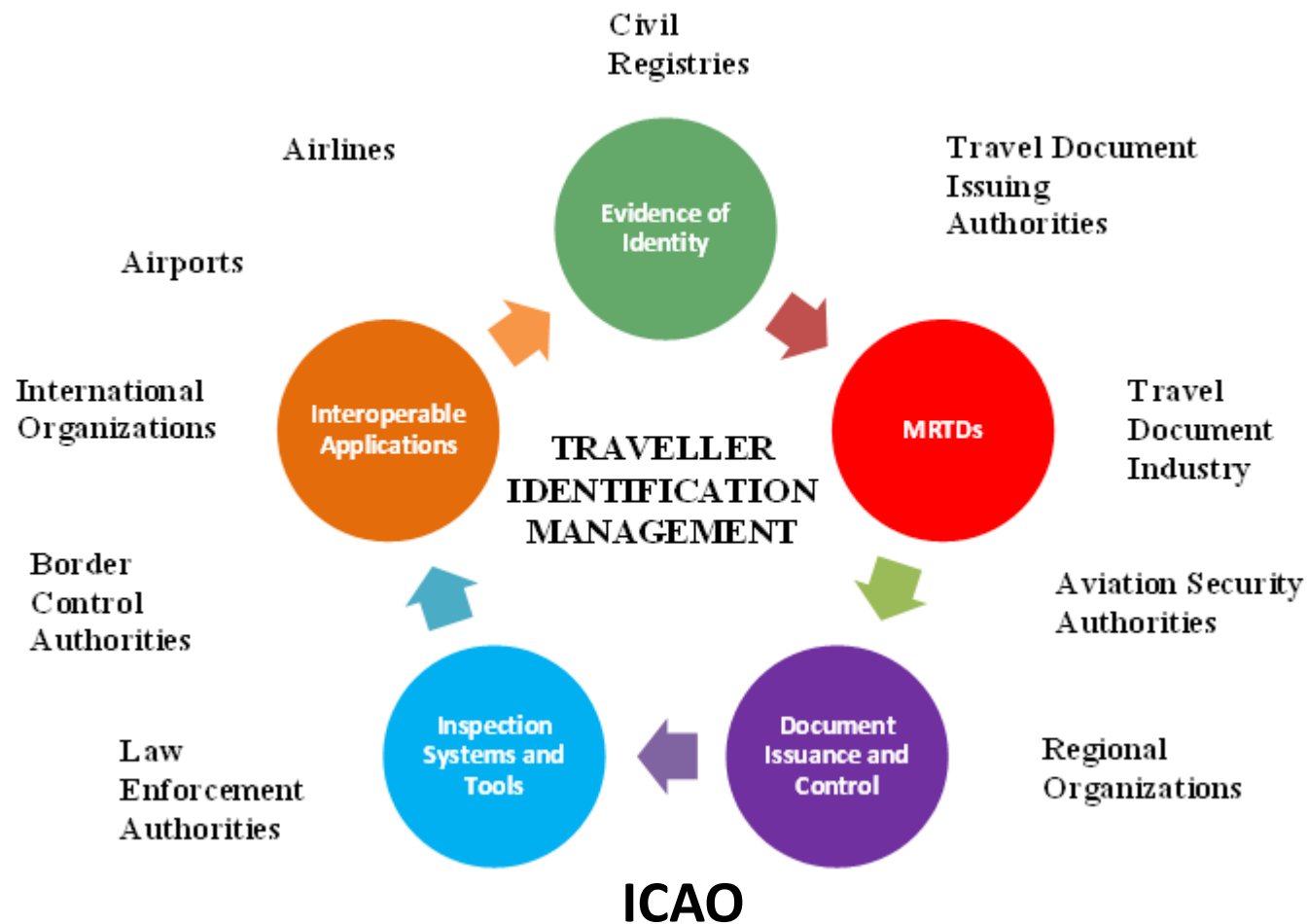## ICAO Traveller Identification Programme (ICAO TRIP)

- Holistic approach to identification management and travel documents

- Applicable to all mode of transports and borders

- Integrates MRTDs, PKD and other elements of traveller identification management

- Approvedd by the 38th Session of the ICAO Assembly with the final endorsement of the TRIP Strategy

Why the need for strategic direction

- Continuing and evolving *security risks*
- Concerns with *terrorism and trans-border crime* (drugs, child abduction, human trafficking, illegal immigration)
- Consumer/business pressure for *expedited travel, tourism* and other transactions
- Pressures to improve *efficiency of border inspection* and control
- Opportunities for cost-effective *deployment of security resources* focused on priority risks
- Demand for speedy, reliable identification for *humanitarian, human rights and emergency response* purposes

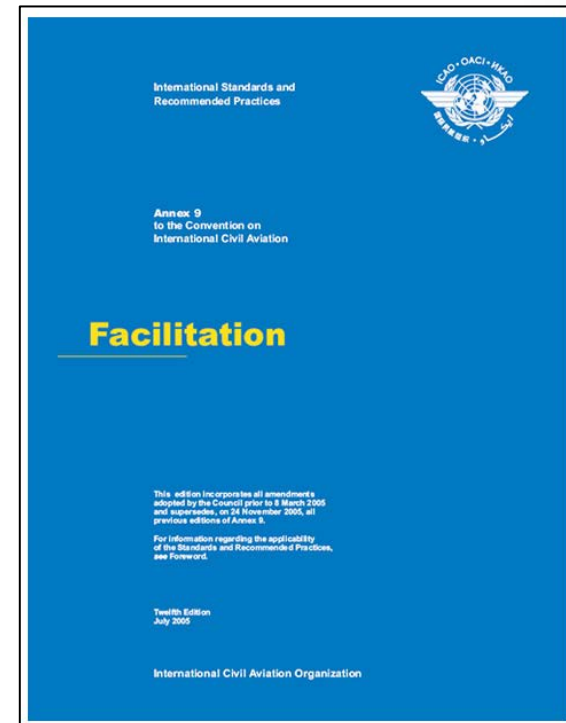# Holistic Traveller Identification Management: Five Dimensions

Civil Registries

Airlines

Airports

International Organizations

Border Control Authorities

Law Enforcement Authorities

Travel Document Issuing Authorities

Travel Document Industry

Aviation Security Authorities

Regional Organizations

Evidence of Identity

Interoperable Applications

MRTDs

Inspection Systems and Tools

Document Issuance and Control

TRAVELLER IDENTIFICATION MANAGEMENT

ICAO

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WHAT DO WE DO

Establish Standards and Specifications for MRTDs and eMRTDs

Chicago Convention & the MRTD Community

- Binding <u>all agencies</u> related to   Annex 9 – Facilitation related to MRTDs, immigration, customs, border control
- Several State agencies mandated to implement convention obligations
- Normally coordinated by the Civil Aviation Authority
  - FAL Contact/Officer
  - FAL National Programme
  - FAL Airport Programme
- Convention applicable to the MRTD Community

International Standards and Recommended Practices

Annex 9
to the Convention on
International Civil Aviation

Facilitation

This edition incorporates all amendments adopted by the Council prior to 8 March 2005 and supersedes, on 24 November 2005, all previous editions of Annex 9.

For information regarding the applicability of the Standards and Recommended Practices, see Foreword.

Twelfth Edition
July 2005

International Civil Aviation Organization

ICAO Policy Making
Standards & Recommended Practices (SARPs)

What?

- Standards and Recommended Practices (SARPs)
- Standards (ex. MRTD) - **Shall**
  - All passports issued to be MRPs according to Doc 9303 (3.10)
  - All passports in circulations after 24/11/ 2015 to be MRPs (3.10.1)
  - One Person, One Passport (3.15)
- Recommended Practices (SARPs) - **Should**
  - Incorporation of biometric data and issuance of ePassport (3.9)
  - Introduction of API systems (3.47)
- Differences to Standards

Holistic Approach of the MRTD Programme
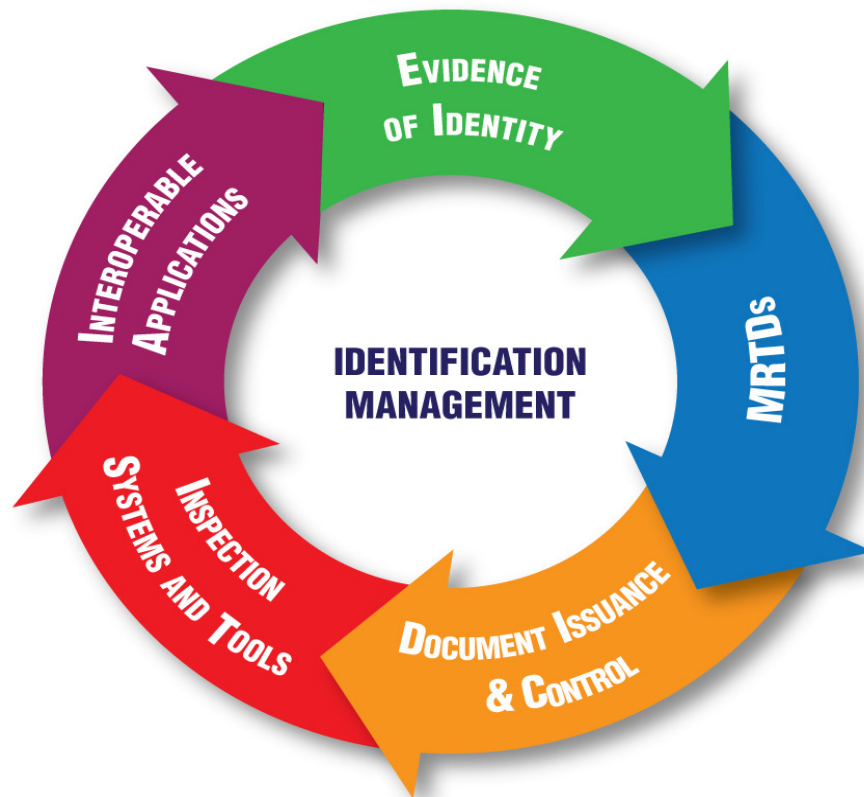
Traveller Identification Programme – ICAO TRIP

- Aimed at producing standardized and interoperable specifications for issuance and verification of travel documents.

- Build confidence in the reliability of travel documents.

- Effective inspection procedures.

- Facilitates inspection formalities for the majority of travellers.

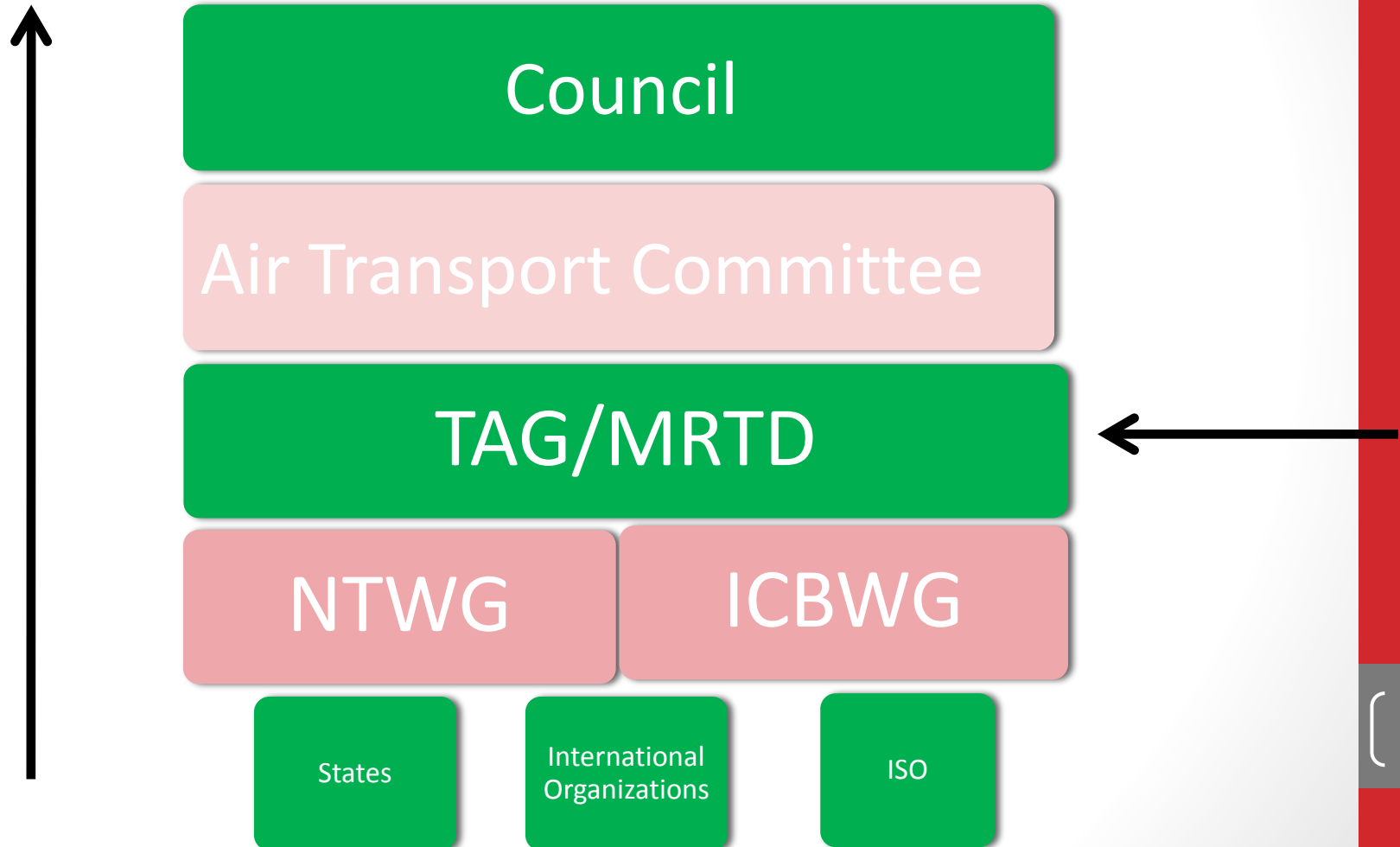# MRTDs & Document Issuance and Control

MRTDs - The design and manufacture of standardized MRTDs, including ePassports, that comply with ICAO specifications

Document issuance and control – processes and protocols for document issuance by appropriate authorities to authorized holders, and controls to prevent theft, tampering and loss;
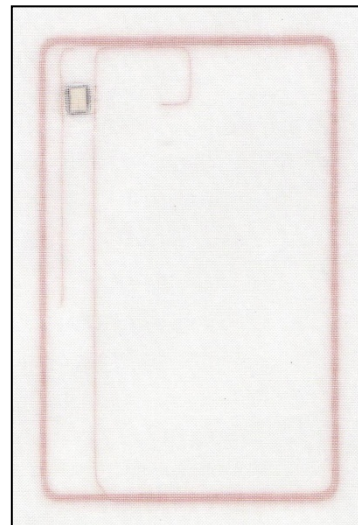
ICAO Policy Making for MRTD Specifications

Council

Air Transport Committee

TAG/MRTD

NTWG

ICBWG

States

International Organizations

ISO

Standards and Specifications

Part 2 - Visa

Doc 9303

ISO : SC17 WG3

ISO/IEC 7501

Part 3 - Official Travel Document
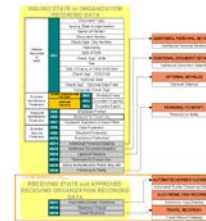

Contactless Chip
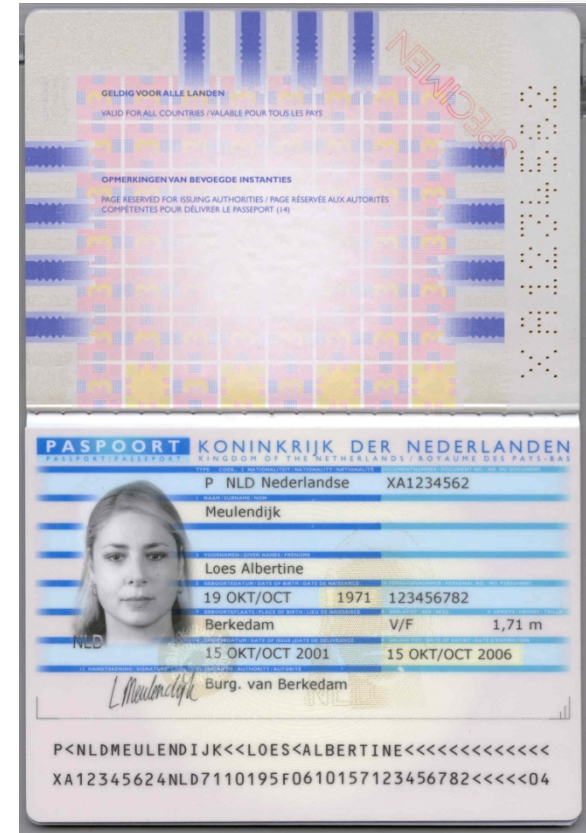
Part 1 – Passport ePassport

Part 1 – MRPs
Data page layout

MRZ – Security

country code

document
type

primary & secondary
identifiers (names)

filler characters

P<ARCGREY<<AMANDA<CAROLINE<<<<<<<<<<<<<<<<<
00000674<7ARC7111114F1407237000001190<<<<<<78

passport
number

nationality

sex

optional data

check digits

date of
birth

date of expiry

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ICAO Policy Making Doc 9303

What? - Standards 3.10 and 3.9 refer to Doc 9303
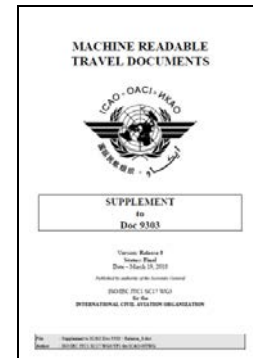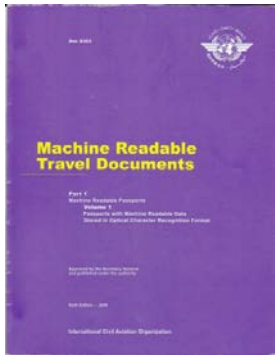
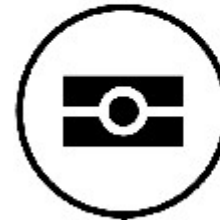MRP

CHIP RFID 14443

IMAGE FACE

LDS

0111001001010

PKI DIGITAL SIGNATURE PKD

ICAO-Compliant ePassport

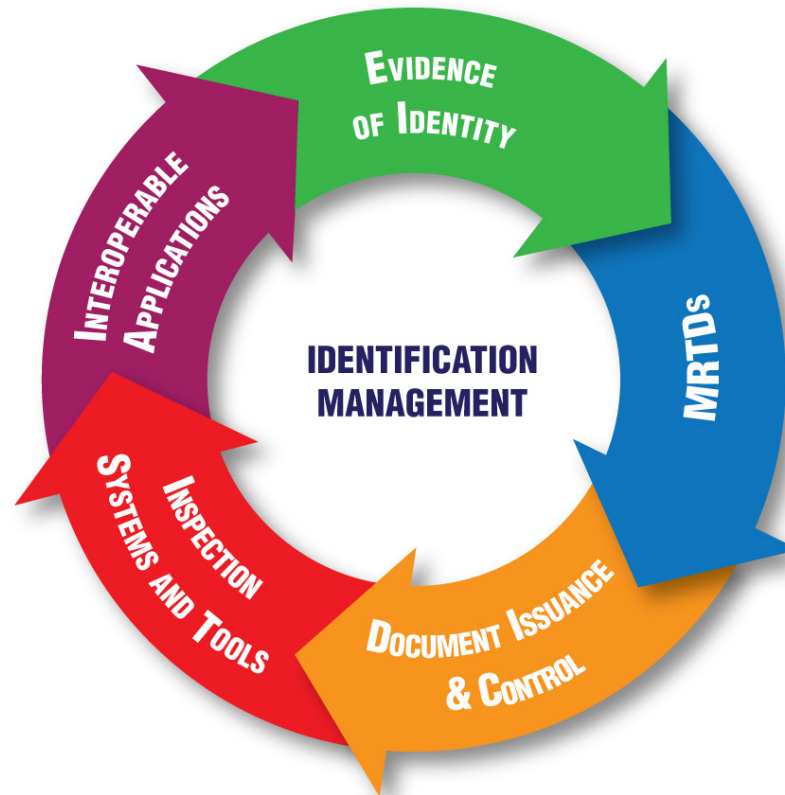- Enhance Security
- Biometrics for identity confirmation
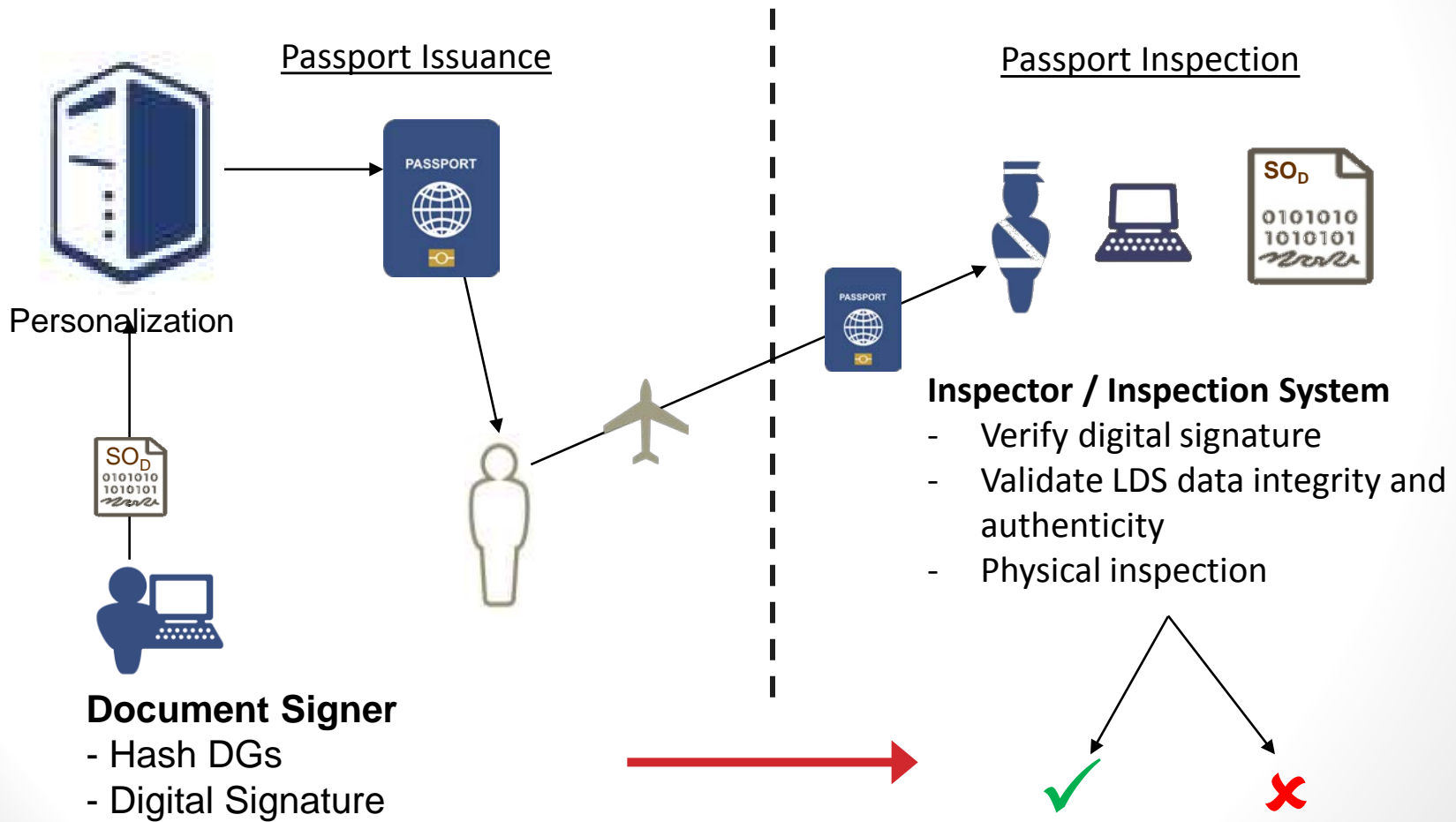
ePassport: Enhancing Security of Passports

- ePassport must be ICAO compliant

- ePassports are Passports with a chip. The chip augments the security of the Passport, it does not replace it

- ePassports are issued by entities that assert trust – Identification supply chain

- Achieve global exchange of certificates et al.

- Improper validation of E-Passport leads to a "false" sense of security

Inspection systems & tools

Inspection systems and tools for the efficient and secure reading and verification of MRTDs, including use of the ICAO PKD.
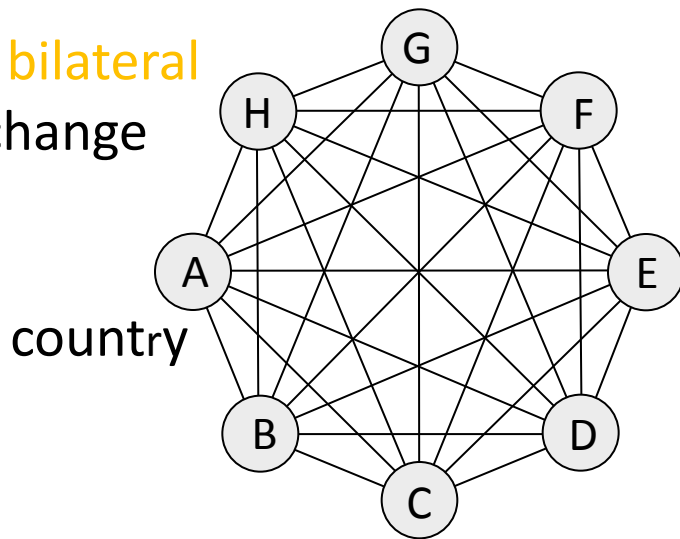
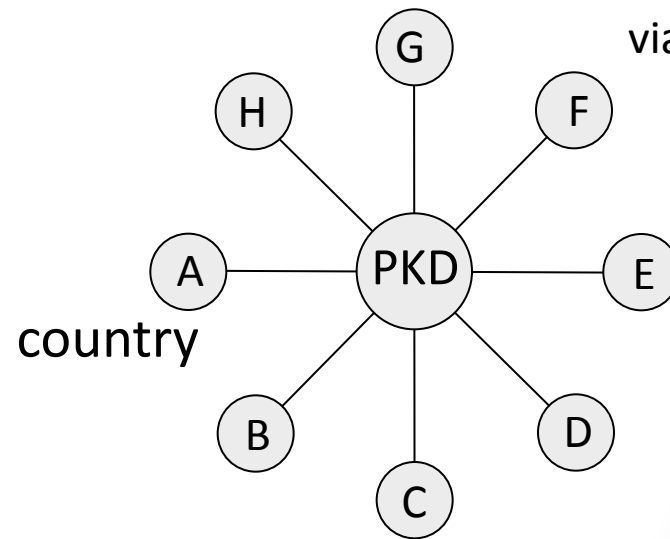# ePassports & Public Key Infrastructure (PKI) Operational View

Passport Issuance

Passport Inspection

Personalization

Inspector / Inspection System
- Verify digital signature
- Validate LDS data integrity and authenticity
- Physical inspection

Document Signer
- Hash DGs
- Digital Signature

ICAO PKD – ePassport Authentication & Validation

via bilateral exchange

country

via PKD

country

This example shows **8** States requiring **56** bilateral exchanges (left) or **2** exchanges with the PKD (right) to be up to date with certificates and revocation lists.

In case of **191** ICAO States **35,910** bilateral exchanges would be necessary while there are still **2** exchanges necessary with the PKD.

Interoperable applications

Globally interoperable applications and protocols that provide for timely, secure and reliable linkage of MRTDs and their holders to available and relevant data in the course of inspection operations.

Interoperable Applications

- API
- PNR
- "Watch lists" Bilateral and multilateral exchanges
- "Trusted" or "expedited" travellers
- INTERPOL
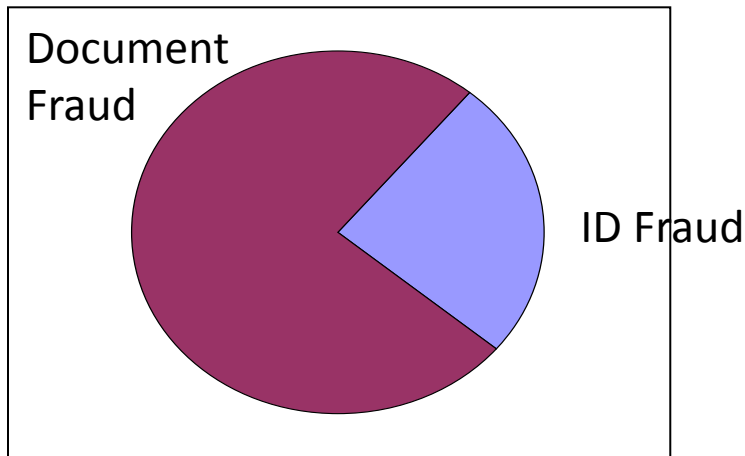
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Evidence of Identification

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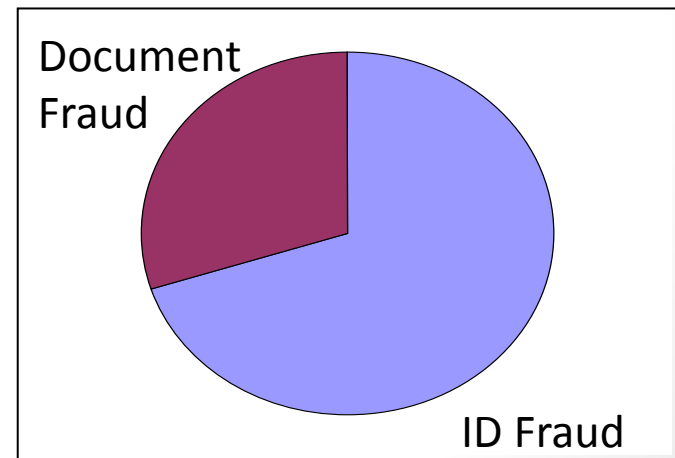
Evidence of Identification

2006

- Identity Fraud = 31%
- Docum. Fraud = 54%
- Remainder = 15%

Document Fraud

ID Fraud

2009

- Identity Fraud = 71%
- Docum. Fraud = 29%

Document Fraud

ID Fraud

Evidence of Identification

- Criminal focus shifting to lesser developed areas:
  - Evidence of Identification
  - Issuance process
  - Travel document fraud
  - Identity fraud at the border
- Unless addressed, weakens the core MRTD programme and <u>global trust</u>!

WHAT ELSE DO WE DO

Implementation, Assistance and Capacity Building on MRTDs

Implementation, Assistance and Capacity Building

- Promotion and Education – Partnership (ex. Regional seminars, symposium, workshops)

- MRTD Report (Magazine)

- Assistance

- Technical Cooperation Projects

Implementation, Assistance and Capacity Building

- States to comply with MRP standards and specifications by April 2010

- No non-MRP in circulation after November 2015

- Incorporation of Biometric Technology

- Improve and secure the passport issuance process

- Establish robust identity management systems

Implementation of MRTDs depends on:

- Access to the necessary expertise

- Access to adequate, necessary and functional equipment for edition, organization and implementation of MRTDs

- Capacity of manpower of States to operate equipment, training and maintain this capacity

- Coordination and management of the set of procedures

- Management of the stakeholders and the process-associated risks

Resolution: Consolidated Statement of Continuing Policies and Practices Related to Facilitation

- *The Assembly*

    "7. Urges those Member States requiring assistance in building effective and efficient traveller identification and border control systems to contact ICAO without delay;"

    "10. Urges the Council to explore ways of intensifying assistance and capacity-building support to Member States in the traveller identification and border control areas, including a proactive leadership role for ICAO in facilitating and coordinating such assistance in the international community;"

Example: a new TRIP Strategy assistance project

- Strengthening Travel Document Security in the Sahel
- Funded by Canada
- C$750,000
- December 2013- March 2015

- Activities: regional training, technical assessment missions and visits to address administrative and operational deficiencies in travel document issuance and control, identity management and capacity gaps.

✓ Excellent example of joint efforts linking:
- Needs of States
- ICAO expertise
- The donor community

Assistance on Travel Documents

- The new UN e-LP
- Joint TC project between UN and ICAO
- Specs designed by ICAO MRTD experts
- State-of-the-art technology
- Fully ICAO-compliant
- Takes full advantage of ICAO PKD security benefits

Conclusions

- ICAO is your UN agency
- Establishes trust among nations
- Establishes and maintain MRTD and eMRTDs standards and specifications
- Establishes guidance for Evidence of Identification
- Effective inspection procedures
- Facilitates inspection formalities for the majority of travellers
- Evolves to fit States' needs – From MRTD to TRIP
- Provides advocacy and assistance

THANK YOU

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ICAO MRTD Programme

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