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# The ICAO Traveller Identification Programme (TRIP) Strategy: The holistic approach

**Narjess Abdennebi**

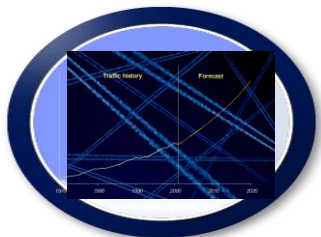
*Chief Facilitation Section, ICAO*

## ICAO TRIP: Building Trust in Travel Document Security

Nairobi, 10 November 2015



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# What is ICAO?

- Specialized agency of UN
- Created in 1944
- Promotes safe and orderly development of international civil aviation throughout the world
- Sets standards and regulations necessary for
  - aviation safety
  - Security
  - Facilitation
  - efficiency and regularity
  - Economic regulation
  - aviation environmental protection
- Serves as forum for cooperation in all fields of civil aviation among 191 Member States



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# The Chicago Conference of 1944

Doc 7300/9



**Convention on  
International Civil Aviation**  
**Convention relative à  
l'aviation civile internationale**  
**Convenio sobre  
Aviación Civil Internacional**  
**Конвенция о международной  
гражданской авиации**

This document supersedes Doc 7300/8.  
Le présent document annule et remplace le Doc 7300/8.  
Este documento reemplaza el Doc 7300/8.  
Настоящий документ заменяет Doc 7300/8.

Ninth Edition – Neuvième édition – Novena edición – Издание девятое — 2006

International Civil Aviation Organization  
Organisation de l'aviation civile internationale  
Organización de Aviación Civil Internacional  
Международная организация гражданской авиации

Preamble

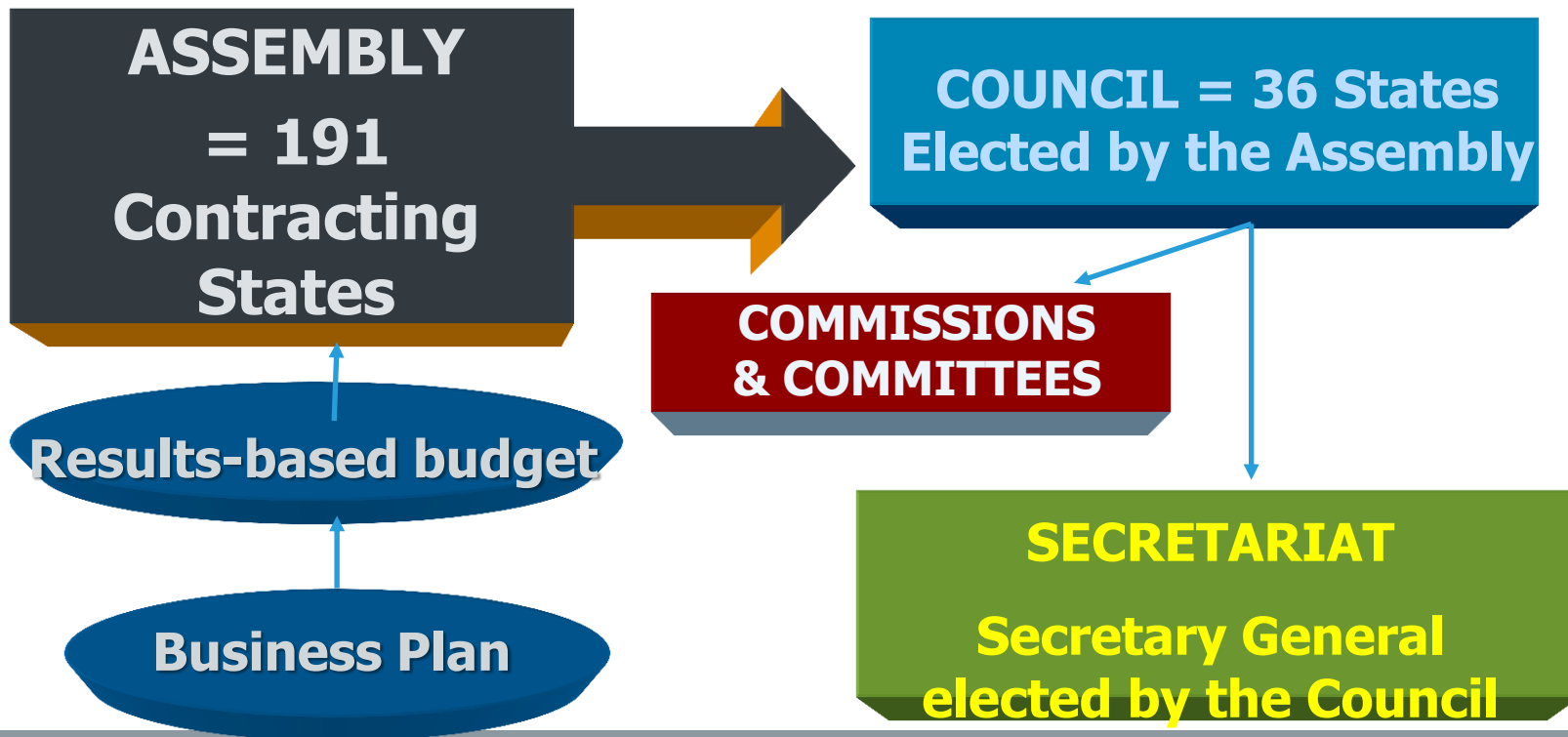
*THEREFORE, the undersigned governments having agreed on certain principles and arrangements in order that international civil aviation may be developed in a safe and orderly manner and that international air transport services may be established on the basis of equality of opportunity and operated soundly and economically;*

**Article 44:** The aims and objectives of the Organization are to develop the principles and techniques of international air navigation to foster the planning and development of international air transport so as to:

**every contracting State has a fair opportunity to operate international airlines;**



# ICAO Structure





# 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

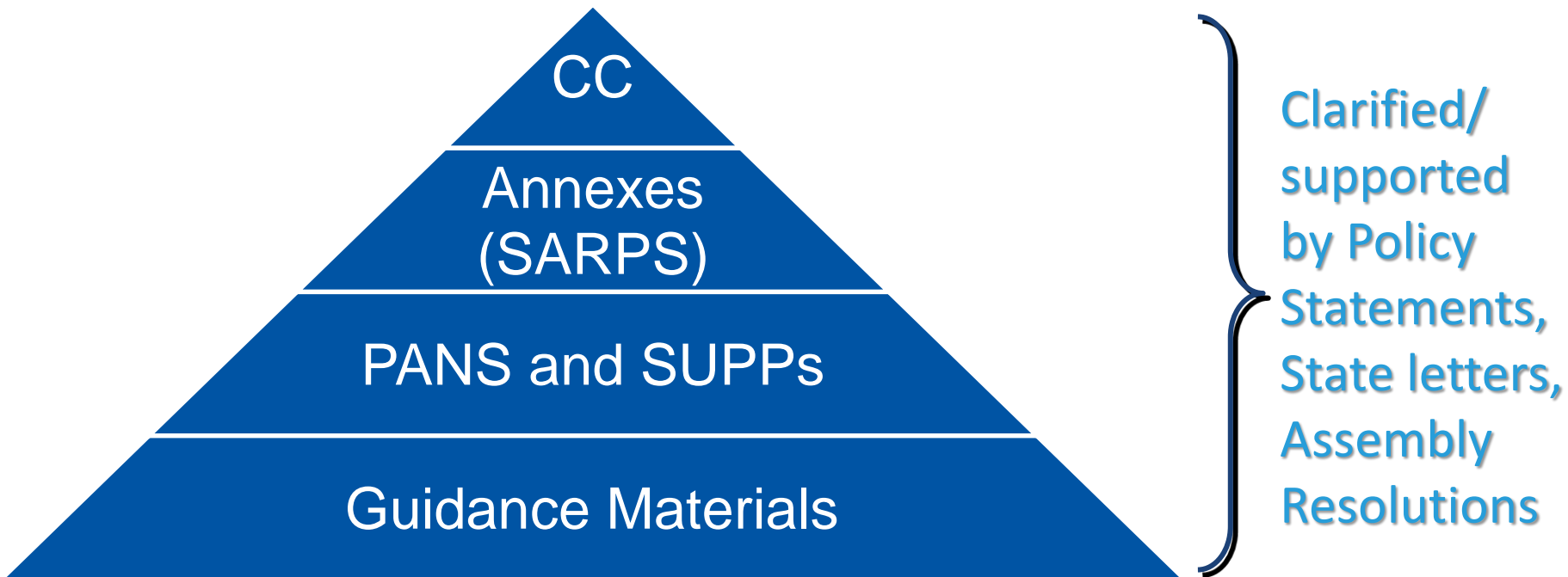
**Security & Facilitation: Enhance global  
civil aviation security and facilitation**

**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



# Hierarchy of ICAO Documentation







## 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





# Annexes: 10 000 SARPs

- **Annex 1 — Personnel Licensing**
- **Annex 2 — Rules of the Air**
- **Annex 3 — Meteorological Service for International Air Navigation**
- **Annex 4 — Aeronautical Charts**
- **Annex 5 — Units of Measurement to be Used in Air and Ground Operations**
- **Annex 6 — Operation of Aircraft**
- **Annex 7 — Aircraft Nationality and Registration Marks**
- **Annex 8 — Airworthiness of Aircraft**
- **Annex 9 — Facilitation**
- **Annex 10 — Aeronautical Telecommunications**
- **Annex 11 — Air Traffic Services**
- **Annex 12 — Search and Rescue**
- **Annex 13 — Aircraft Accident and Incident Investigation**
- **Annex 14 — Aerodromes**
- **Annex 15 — Aeronautical Information Services**
- **Annex 16 — Environmental Protection**
- **Annex 17 — Security — Safeguarding International Civil Aviation against Acts of Unlawful Interference**
- **Annex 18 — The Safe Transport of Dangerous Goods by Air**
- **Annex 19 — Safety Management**





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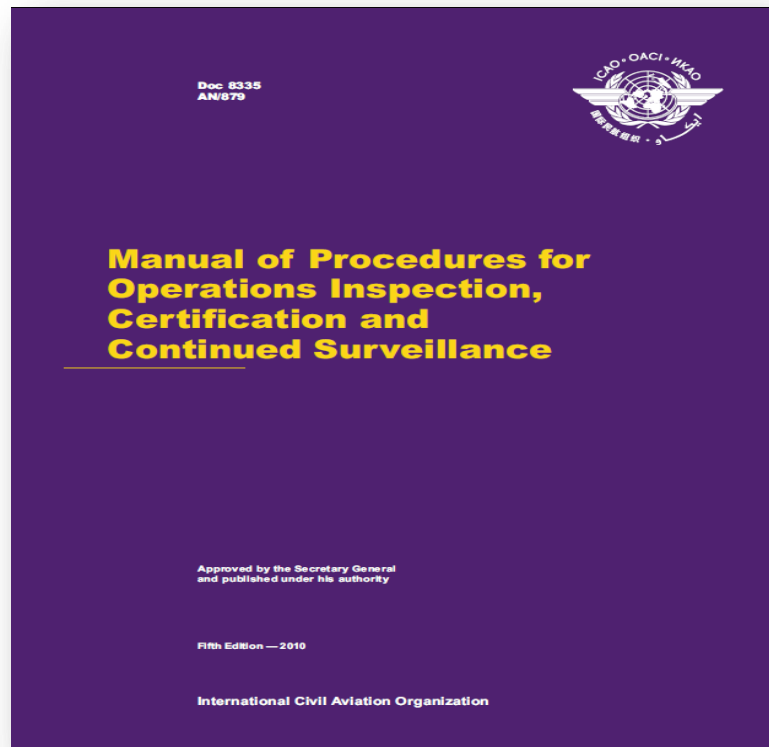
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# Guidance Material

- ICAO manuals and circulars provide guidance and information to facilitate the uniform application of SARPs and PANS
- Approved by Secretary General and published under his authority





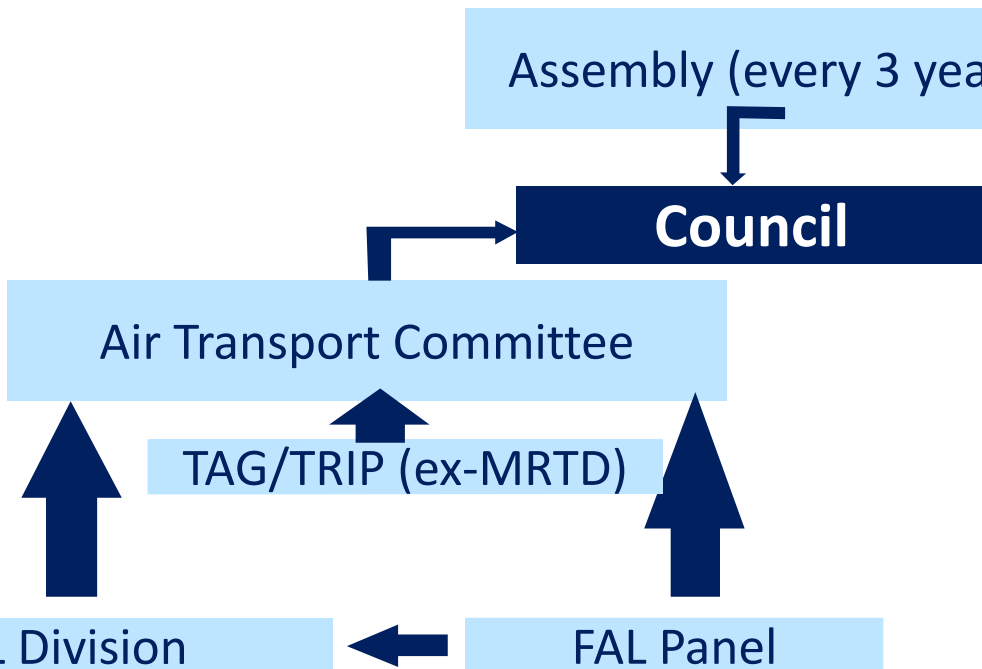
# Filing of Differences

- Article 38: Departures from int'l standards
  - Requirements to notify ICAO of differences to standards
- Assembly Resolution A35-14, Appendix D, Associated Practice No. 3
  - Council to urge States to notify ICAO of differences from SARPs





# Facilitation Programmes foundation



## Assembly

### Resolutions (A38-16):

Consolidated statement of continuing policies and practices related to facilitation



# ICAO mandate for Facilitation programmes

Doc 10022



## Assembly Resolutions in Force (as of 4 October 2013)

Published by authority of the Secretary General

International Civil Aviation Organization

## A38-16 Appendices:

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



## World Air Transport in 2014

**3.2** billion  
**+5%**  
vs. 2013

*Passengers carried*

**33** million  
**+3.1%**  
vs. 2013

*Commercial flights performed*

**6.1** trillion  
**+5.9%**  
vs. 2013

*Revenue Passenger-Kilometres*

**195** billion  
**+4.6%**  
vs. 2013

*Freight Tonne-Kilometres*

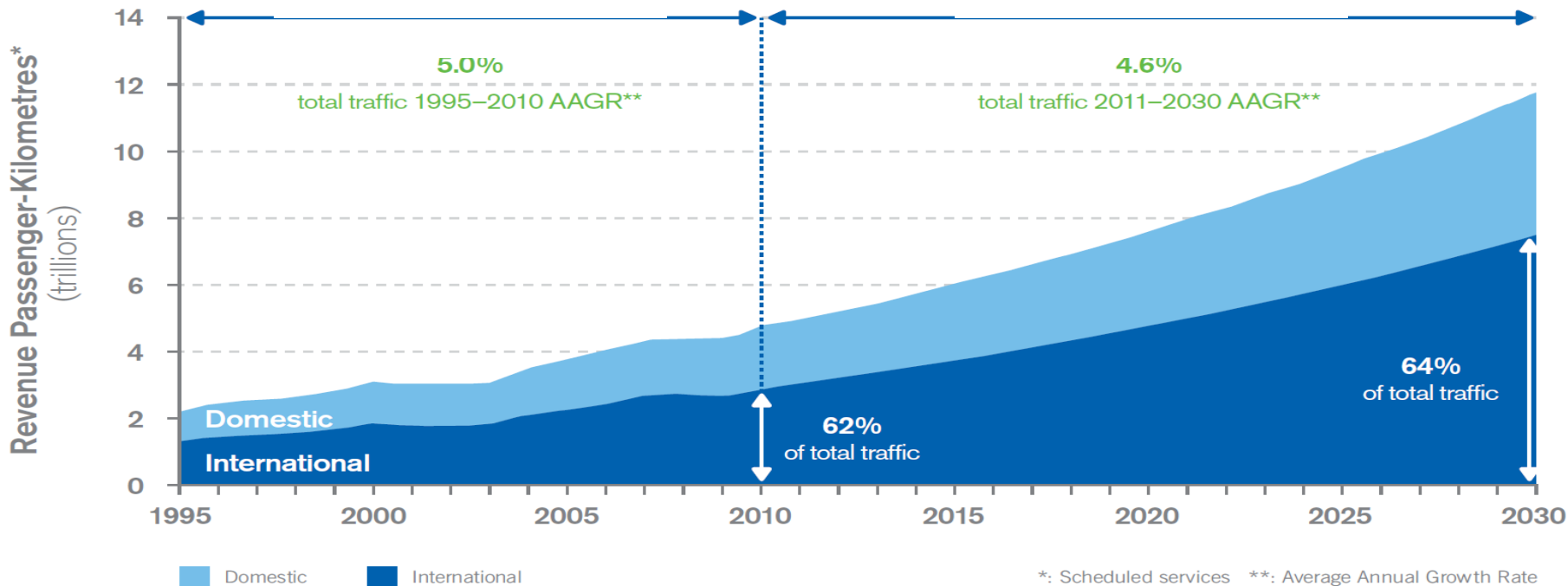
*Total (international and domestic) services*

*Scheduled commercial traffic*

*Source: ICAO (preliminary figures)*



# World outlook to 2030 for passenger traffic



\*: Scheduled services    \*\*: Average Annual Growth Rate

Source: ICAO's Global Air Transport Outlook to 2030 – Cir 333





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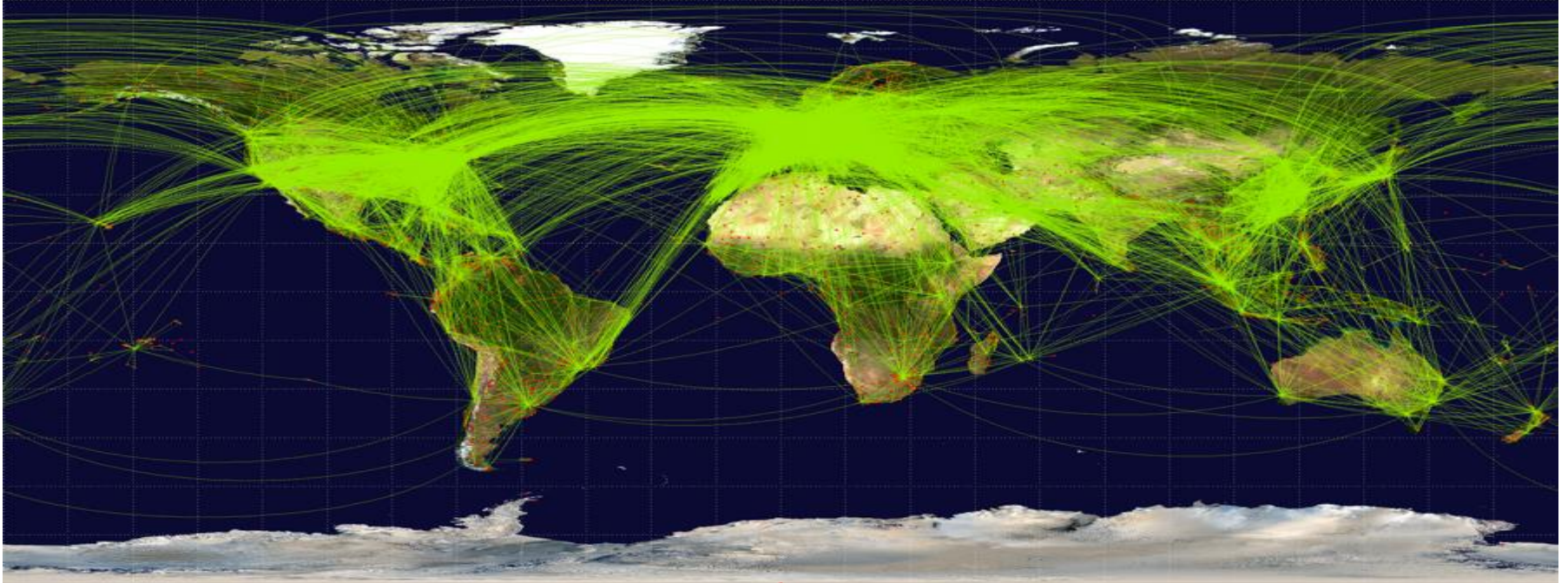
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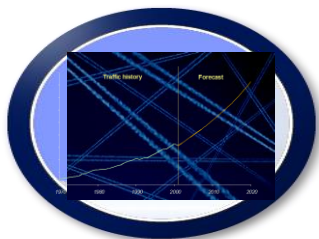
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# 100,000 daily flights to accommodate





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# The air transport connectivity concept

Movement of passengers, mail and cargo involving the **minimum of transit points**

- which makes trip as **short** as possible
- with **optimal** user satisfaction
- at the **minimum** price possible

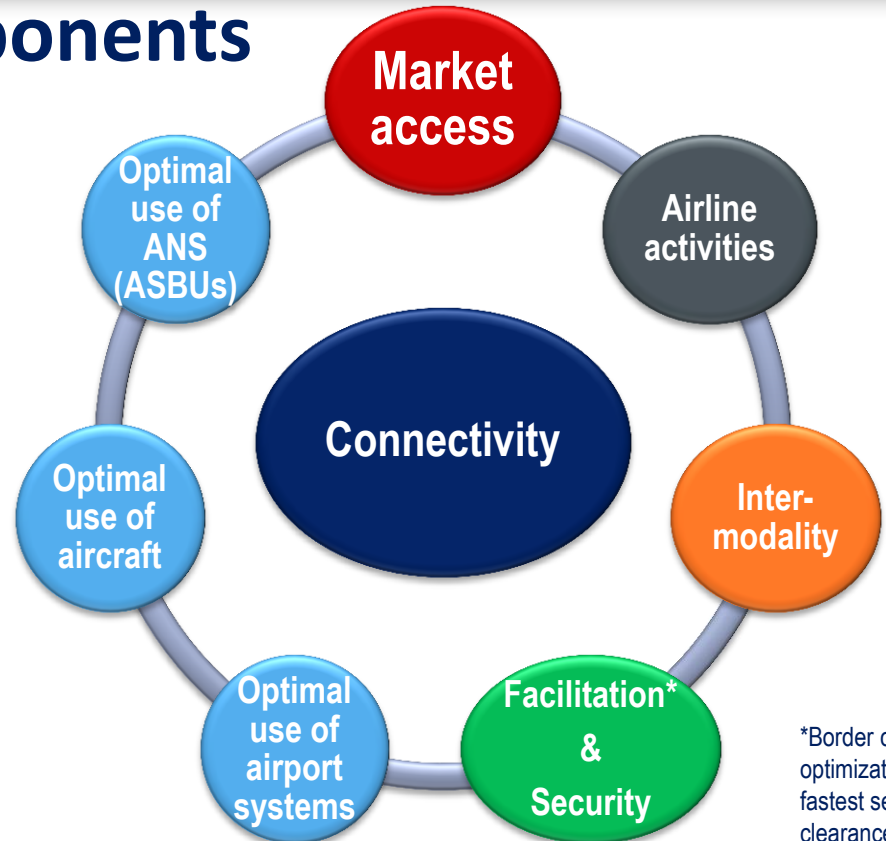
**Connectivity brings concrete value** ⇒ **If conditions are met:**

- **good end-user experience and hence more traffic growth**

# Connectivity components

Connectivity needs a strong supporting framework

- **Market access** (e.g. liberalization)
- **Facilitation** (border clearance optimization)
- **Security** (fastest process)
- **Optimal use of:**  
air navigations services , Aircraft & Airport systems
- **Intermodality**
- **Airline activities**



\*Border control optimization and fastest security clearance



# What is Facilitation?



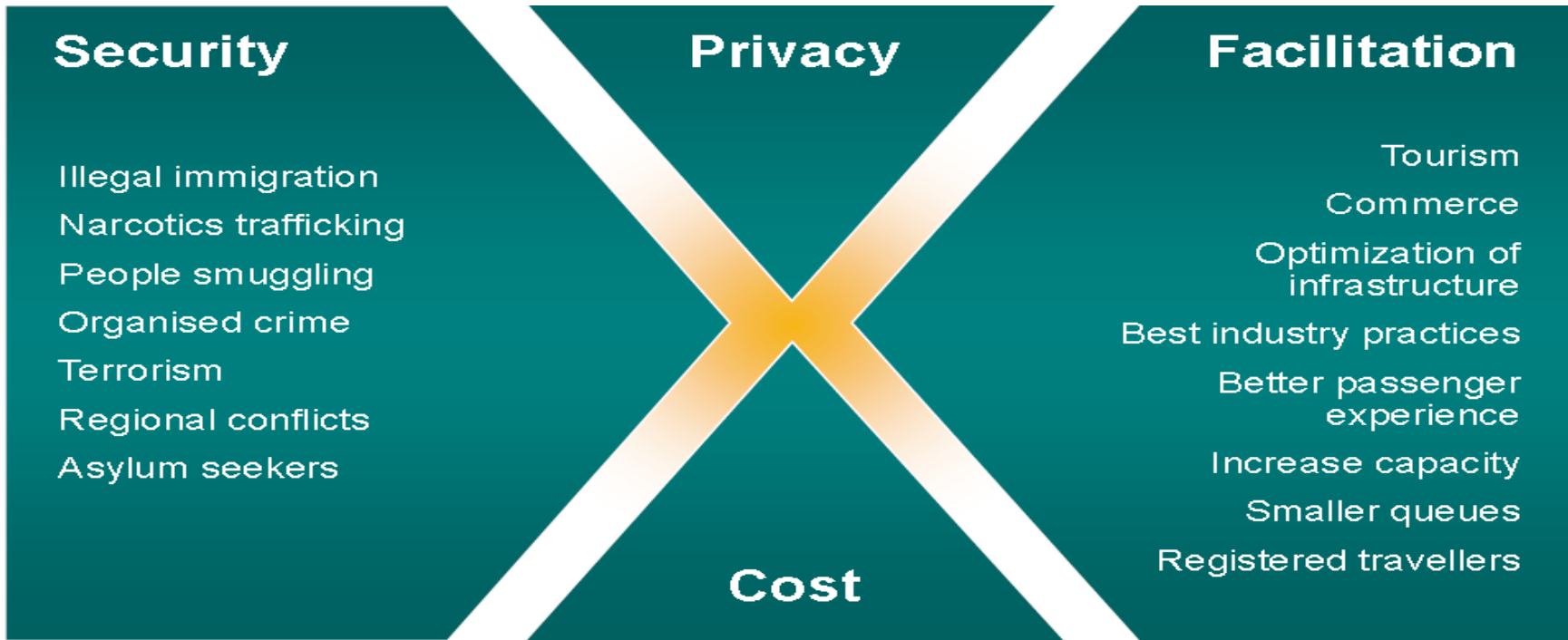
Immigration, Customs, Health, Quarantine



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



# Objective: better passenger experience



## Annex 9 - Facilitation

- 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

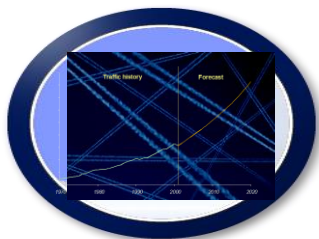


**Chapter 3 of Annex 9: Entry and departure of persons and their baggage  
Main SARPs related to the ICAO TRIP Strategy**





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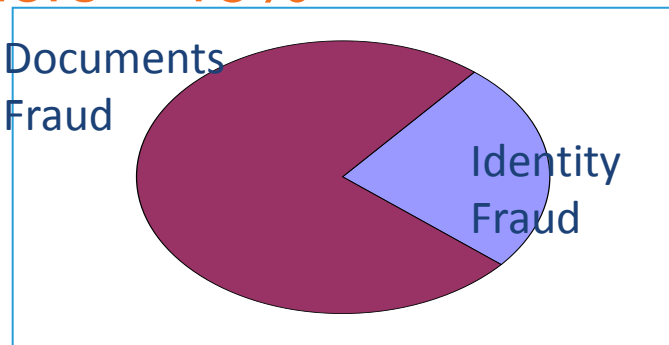


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# Changes in Fraudulent methods

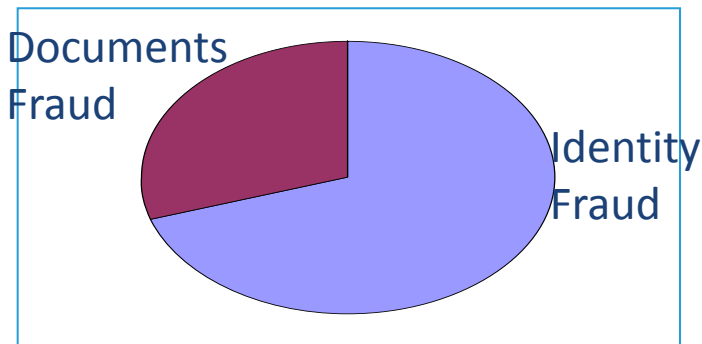
## 2006

- Identity Fraud= 31%
- Documents Fraud= 54%
- Others = 15%\*



## 2009

- Identity Fraud = 71%
- Documents Fraud = 29%



\*Intergraph Study, 2010

## 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)

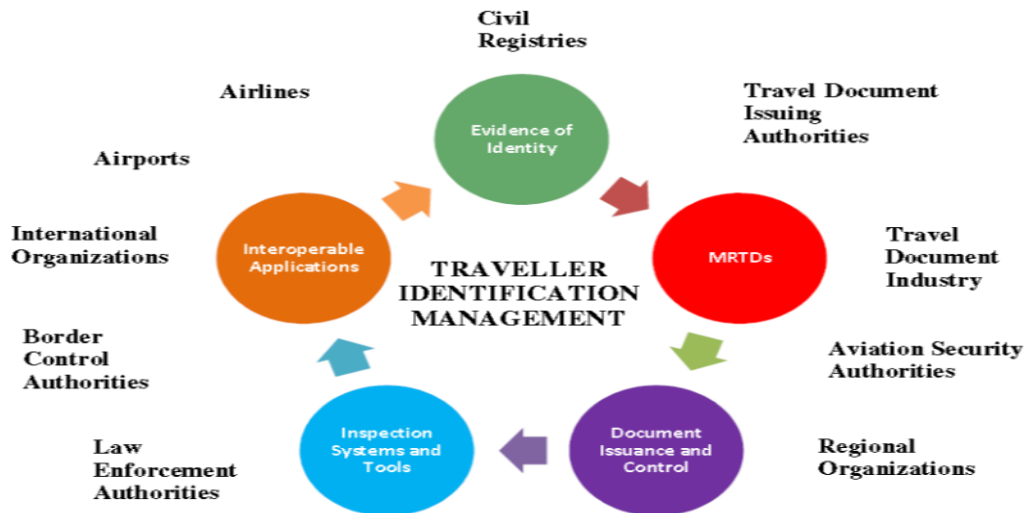
Processes for document issuance by appropriate authorities, and controls to prevent theft, tampering and loss



**ICAO Mission:** To contribute to the capacity of Member States to uniquely identify individuals by **providing appropriate authorities** worldwide with the **relevant supporting mechanisms** to establish and confirm the identity of travellers.

## Different actors involved

### Holistic Traveller identification



**Main challenge:** Various types of actors under different management structures

**Urgent need:** Consolidate cooperation with all International/Regional Organizations such as UN Agencies, INTERPOL, WCO, OSCE, FRONTEX, etc...



# Identification management as a Best Practice

- Tenth MRTD Symposium: 7 – 9 October 2014
- Two MRTD Regional Seminars in 2014: Uzbekistan and Spain
- A joint ICAO/UNCTED TRIP seminar: Niger, Jan 2015
- Facilitation Seminar: 14-16 March 2015 Bangkok
- A joint ECCAS/ICAO TRIP Strategy meeting in Brazzaville, Congo: 22-23 May 2015
- The Experts meeting on identity management (The Civil Service for Identity Data of the Netherlands) in the Hague: 1-2 July 2015
- Eleventh MRTD/TRIP Symposium: 14 – 16 October 2016
- TRIP Regional Seminar: Nairobi, Kenya: 10-12 November 2015



# Forthcoming Events and Meetings

- **TAG/TRIP** (ex-MRTD): 23rd meeting to be held on 2-4 Feb 2016
- **Facilitation Panel:** 9th meeting to be held on 4-7 April 2016
- **TRIP / MRTD Symposium**
  - 12<sup>th</sup> Symposium: 2016 (TBD)
- **TRIP Regional Seminars**
  - Teheran, Iran: 2<sup>nd</sup> quarter of 2016



## Other Promotional activities

- Publication of the MRTD Report: 3 per year
- Development of a dedicated ICAO TRIP platform
- Publication of the new Seventh edition of Doc 9303 (Specifications for MRTDs)









# Communication on MRPs

- A communication plan has been implemented in order to both encourage the compliance of States with this deadline and to minimize possible inconvenience to the travelling public.
- State letter was disseminated to raise Member States' awareness about the deadline
- Guidance material on Standard 3.10.1 implementation challenges and practices has been posted on the MRTD webpage
- Partner organizations requested to spread the message through their websites - FRONTEX, OSCE, OAS/CICTE, IOM, UNHCR, ICMPD, UNCTED, INTERPOL, IATA
- Articles published in the *MRTD Report* and webpage on the ICAO MRTD website
- Article to be published in the ICAO Journal
- Presentations at regional seminars and workshops and bilateral meetings
- A dedicated News Release will be issued on 17 November 2015



# 24 November deadline

- 1) As of **today**, a total of 145 Member States had responded to SL EC6/3-12/70. Of these:
  - 131 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
  - 14 Member States will not comply with the Standard, i.e. their non-MRPs will not expire by the deadline.
- 2) **Status for African States**: As of **today**, a total of 42 African Member States had responded. Of these:
  - 37 Member States will comply with the Standard 3.10.1
  - 5 Member States will be unable to comply with the Standard
- 3) Possible reasons for non-compliance with Standard 3.10.1 include **lack of capacity, insufficient training and costs of implementation**.
- 4) While the worst case scenario (e.g. South Africa) is that citizens of a State not having MRPs will be denied entry into other States, the acceptance or refusal to accept non-MRPs is a State matter.
- 5) However, information received from some States suggests that a certain flexibility will be allowed for a limited time period following 24 November 2015 in permitting admission of the holders of non-MRPs. This position may be revised if States will face a great number of non-MRPs to treat.







## Value of PKD for ePassports

- Over 120 States claim that they are currently issuing ePassports (nearly half a billion of ePassports in circulation world wide)
- States still need to do significant work to ensure ePassports are fully compliant with ICAO specifications as in Doc 9303
- The **Public Key Directory (PKD)** is an ePassport inspection tool that was created at the request of Member States to facilitate the sharing of the public keys required to authenticate ePassports.
- ICAO encourages all States to use the ICAO PKD as a means of verifying and authenticating ePassports and to enhance security in cross-border movement.
- As of 1 January 2016, the PKD Registration Fee will be reduced from 56 000 to 15 900 USD and the Annual Fees (Operator Fees) will decrease from 34 000 USD to 29 900 USD



# Brief description of “No Country Left Behind” campaign and its implications for capacity building

- **2014:** First ever ICAO Council off-site strategy session
- **Purpose :** How ICAO can better communicate with and assist its Member States
- **Major points:** Large discrepancies with respect to how some States implement ICAO SARPs.
- **Outcome:**
  - 1) ICAO should focus its activities on States with higher accident rates or security threats
  - 2) encourage developed countries to provide more comprehensive assistance to developing countries.
  - 3) ICAO should provide more direct assistance to developing countries by playing a coordination role between States and by helping to generate the political will needed for States to pool resources, participate in regional efforts, earmark voluntary funds and build capacity (Resource mobilization)

The **No Country Left Behind** (NCLB) campaign highlights ICAO’s efforts to assist States in implementing ICAO SARPs. The main goal of this work is to help ensure that SARP implementation is better harmonized globally so that all States have access to the significant socio-economic benefits of safe and reliable air transport.





# Assistance Activities

- **MRTD technical assistance** provided to:
  - Antigua and Barbuda, Colombia, Dominican Republic, Ecuador, El Salvador, Guatemala, Lebanon, Lesotho, Libya, Mexico, Myanmar, Nepal, Peru, Philipinnes, Tajikistan, TimorLeste, Sudan, Uruguay, Uzbekistan, the United Nations (LP), Uzbekistan
- **Canada-funded project with Central American Integration System (SICA):**
  - Costa Rica, Honduras, Belize, Nicaragua , Panama
- **ICAO TRIP Strategy assistance project In the Sahel and Neighboring States**
  - Canada-funded project (2014-2016)
- **ICAO TRIP Strategy assistance project in the Caribbean and Latin American regions (2016-2018):**
  - project funded by the Government of Canada, with a focus on immigration control at borders, activities will include assessment missions, regional seminars and the development of a border control assessment guide.



## ICAO TRIP assistance project in the Sahel

### “Strengthening Travel Document Security and Identification Management in the Sahel and neighboring States”

- **Budget:** \$750,000 (CAD) - Funded by the Government of Canada, Counter-Terrorism Capacity Building Program
- **Beneficiary States:** Algeria, Burkina Faso, Chad, Guinea, Mali, Mauritania, Morocco, Niger, Nigeria, Senegal and Tunisia
- **Implementation Period:** April 2014 to March 2016
- **Implementation Partner:** United Nations Counter-Terrorism Executive Directorate (UNCTED)

Participants to project activities are coming from Agencies in charge of:

- National identification management
- Travel document issuance
- Immigration control at borders



## Sahel Project activities

- **ICAO TRIP Implementation Regional Seminar**
  - Niamey, Niger, 20 to 22 January 2015
- **Assessment Missions**
  - Tchad, December 2014
  - Mali and Tunisia, March 2015
  - Niger, November 2015
- **ICAO Standard Training Package, TRAINAIR PLUS Methodology**
  - “Control of the Authenticity and Validity of Travel Documents at Borders – Level 1”
  - Vocational training, 5-day face-to-face course
  - Developed with the École Africaine de la Météorologie et de l'Aviation Civile (EAMAC), TRAINAIR PLUS certified Regional Training Centre of Excellence, Niamey, Niger
  - Train-the-trainer component



# National Air Transport Facilitation Programme (NATFP)

- **Annex 9 Standards 8.17 and 8.19:** Require NATFP and the establishment of a National Air Transport Facilitation Committee
- **Purpose of the NATFP:** Provide a framework to guide the improvement of the flows and border clearance management, while maintaining appropriate security requirements
- **Objectives of the Committee:** Provides a Forum about Facilitation matters amongst government stakeholders, other air transport-related communities and the private sector
- **States' Commitments:** Facilitate efficient clearance for arriving and departing aircraft and Maintain high-quality security, effective law enforcement and proficient customer service



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## Model National Air Transport Facilitation Programme (Doc 10042)

- Developed by the Facilitation (FAL) Panel's Working Group on Guidance Material during 3 years (10 Members)
- Based on Annex 9 Stds
- NATFP contains guidance on how States may comply with Standards 8.17, 8.18 and 8.19 of Annex 9 - Facilitation
- Modification to the elements and content proposed in this model NATFP may be necessary to meet the varied legal and administrative structures within individual States.
- Define the roles, functions and responsibilities of all entities involved in air transport facilitation activities
- A good practice could be to include also the security-related Standards of Annex 9 in the NATFP.

Doc 10042



### Model National Air Transport Facilitation Programme

Approved by the Secretary General  
and published under his authority

First Edition — 2015

International Civil Aviation Organization



## AFI/SECFAL Questionnaire

During the first meeting of the AFISECFAL Steering Committee (Maputo, 18 May 2015), a decision was taken to carry out an analysis of the aviation security and facilitation training needs.

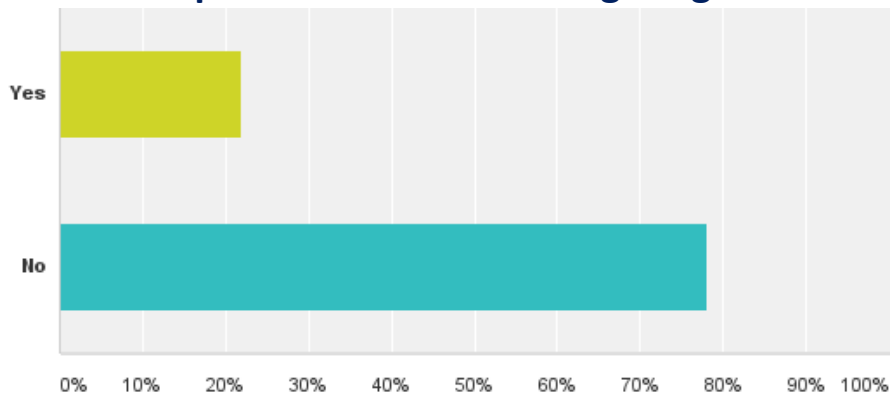
**Detailed questionnaire sent out to all African Member States (51 out of 54 replied)**

**Answered: 50   Skipped: 1**

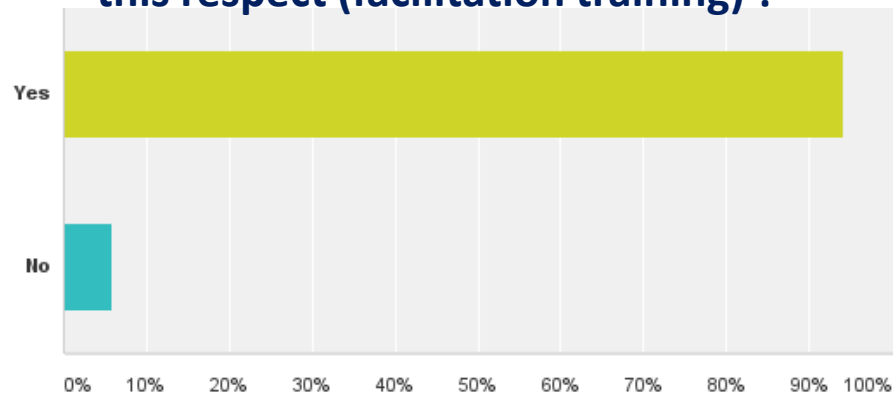


## Answers related to Facilitation

**Q78: Does your State have an approved National Air Transport Facilitation training Programme ?**



**Q80: Does your State need assistance in this respect (facilitation training) ?**

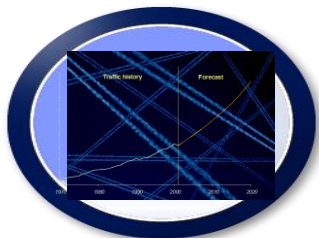


**Only 27 % of States confirm they have an approved FALTFTP.  
Almost all are asking for assistance.**





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# Facilitation activities linked to the UN Sustainable Development Goals (SDGs)

**Goal 3** - Ensure healthy lives and promote well-being for all at all ages

**Goal 8** - Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

**Goal 10** - Reduce inequality within and among countries

**Goal 11** - Make cities and human settlements inclusive, safe, resilient and sustainable

**Goal 15** - Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss

**Goal 16** - Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels



# UNSC Resolution 2178 (2014)

- “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)...”



# Special meeting on Counter Terrorism Committee in Madrid

Meeting on stemming the flow of foreign terrorist fighters focused on three broader themes:

- 1) Detection, intervention against, and prevention of incitement, recruitment, and facilitation of foreign terrorist fighters (FTFs);
- 2) prevention of FTF's travel, including through operational measures, the use of API, and strengthening border security; and
- 3) criminalization, prosecution (including prosecution strategies for returnees), international cooperation, and the rehabilitation and reintegration of returnees.



## Meeting recommendations linked to API

- Provision of dedicated resources and automated tools, including API, access to watch lists, and centralized databases.
- Introduction of measures and practices to enhance the capacities of competent border authorities and consider sharing this information with competent authorities.
- API is an essential source of information about passengers, both prior to their departure and prior to their arrival.
- Standardization of the data transmitted and the means of transmittal, establishing a single point of collection of the information, use of interactive API (iAPI), and importance of support to Member States to implement API systems.



# SCR 2178 Implementation and TRIP Assistance

- CTITF Co-ordination Group on the Implementation of SCR 2178 (FTF) been established
- The UN Counter Terrorism Center developing a Programme to respond to the FTF challenge
- ICAO closely involved as member of the CTITF
- Focus on Capacity Building Projects
- ICAO and UNCTED: common action plan for cooperation on the implementation of SCR 2178 (2014)



# ICAO project for Africa under the UNCTITF

A three-year technical cooperation project to provide technical assistance to the 36 participating States to strengthen their capacity in the three main areas of the ICAO TRIP Strategy:

- National identification management and civil registration;
- Travel document issuance and security / MRTDs; and
- Immigration controls at borders.

## 36 African States:

Algeria, Angola, Benin, Burkina Faso, Burundi, Congo, Cameroon, Central African Republic, Chad, Comoros, Cote d'Ivoire, Democratic Republic of Congo, Djibouti, Egypt, Equatorial Guinea, Eritrea, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Liberia, Libya, Mali, Mauritania, Morocco, Niger, Nigeria, São Tomé and Príncipe, Senegal, Sierra Leone, Somalia, Sudan, Togo and Tunisia.





## Next Steps for A 39

### Working Papers to be presented to the A39 Executive Committee (Item 17)

- Development pertaining to PKD
- Developments pertaining to Annex 9 and work programme
- Development pertaining to the TRIP Strategy implementation and assistance
- Consolidated statement of continuing ICAO policies and practices related to facilitation (Update of A38-16)



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