International Civil Aviation Organization
Latin American Civil Aviation Commission
ICAO/LACAC NAM/CAR/SAM Aviation Security and
Facilitation Regional Group (AVSEC/FAL/RG)

INFORMATION PAPER

SIXTH MEETING OF THE AVIATION SECURITY AND FACILITATION REGIONAL GROUP (AVSEC/FAL/RG/6)

ICAO NACC Regional Office, Mexico City, Mexico, 6 to 10 June 2016

Agenda Item 3: **Agenda Item 3 Global and Regional Developments**
3.1.2   Annex 9, FAL Panel, Facilitation Manual

ICAO FACILITATION PROGRAMME DEVELOPMENTS

(Presented by the Secretariat)

EXECUTIVE SUMMARY
This information paper presents the status of the implementation of the ICAO Traveller Identification Programme (TRIP) Strategy since its endorsement by the 38th Session of the Assembly and highlights recent developments in other ICAO Facilitation programmes .

Strategic Objectives:	• Security & Facilitation
References:	• Ninth meeting of the Facilitation Panel (FALP/9)
	• ICAO Traveller Identification Programme (ICAO TRIP) Strategy
	• First Meeting of the Technical Advisory Group on TRIP (TAG/TRIP/1
	• UN Security Council Resolutions 1373 (2001), 1624 (2005) and 2178 (2014)
	• State letter EC 6/8-16/04, dated 27 January 2016
	• States to State letter EC 6/3-15/90, dated 21 December 2015

1.   Introduction

1.1   In the area of aviation security and facilitation, the 38th ICAO Assembly confirmed ICAO's emphasis on achieving greater balance between effective control measures and system-wide connectivity and efficiency. Thus, key principles such as risk management-based prioritization, mutual recognition of equivalent security measures will now serve as foundational components to future Security and Facilitation discussions in ICAO. Highlighting the importance of putting facilitation on equal footing with security, the new Strategic Objective C – Security and Facilitation reflects the need for ICAO's leadership in aviation security, facilitation and related border security matters.

2.   Annex 9 Developments

2.1   The ninth meeting of the Facilitation Panel (FALP/9) was held at ICAO Headquarters, Montréal, Canada, from 4 – 7 April 2016. It was attended by 113 participants from 43 States and 7 international organizations. The final report and other documentation of the meeting can be found on the FALP/9 website at: http://www.icao.int/Meetings/FALP/Pages/FALP9-2016.aspx.

2.2   The Panel's recommendations for amendments to Annex 9 – Facilitation, to be submitted to the Air Transport Committee in October 2016 for initial review, and subsequent dissemination to Member States for comments, comprise of a variety of conclusions, some of them with a high relevance for Aviation Security.

2.3   The Panel's recommendations include proposals for:

a) a new Standard obliging each Contracting State to establish an Advance Passenger Information (API) system in light, inter alia, of UN Security Council Resolution 2178 (2014) and of the increasing use of API for border security and counter-terrorism;

b) enhanced Passenger Name Record (PNR)-related provisions, in response to the growth in PNR programmes and in order to support adherence to content, format and transmission standards to mitigate non-compliant PNR data requests;

c) new Recommended Practices on Electronic Travel Systems (ETS), in response to increasing requirements by Governments to require passengers to apply for a travel authorization or to register online prior to boarding a flight for travel, so that ETS-related terminology is standardized and this technology is included within the Annex 9 policy and regulatory framework and guidance provided to governments planning implementation of an electronic version of visa issuance or travel authority;

d) including the nationality of passengers in Appendix 2, Passenger Manifest, in order to improve the accuracy and speed of information that can be provided to families of aircraft accident victims;

e) new Standards and Recommended Practices on the transport of minors, in light of increasing international awareness on the foreign fighters phenomenon and on child trafficking, and the limited availability of international guidance on the treatment of minors travelling by air, in order to help harmonise the policies and procedures followed by Contracting States and aircraft operators on the handling and safety of minors; and

f) augmented provisions on Automated Border Control (ABC) systems, as a result of the increasing use of such system.

2.4   The Panel also agreed that a Working Group should be established to examine, during the inter-session, the concepts and principles concerning a planned Global Aviation Facilitation Plan (GAFP), with a report on its deliberations to be presented to the next meeting of the Panel.

3. Implementation of the ICAO TRIP Strategy

3.1 **Introduction**

3.1.1 The ICAO Traveller Identification Programme (ICAO TRIP) Strategy as endorsed by the 38th Session of the Assembly (A38) provided the framework for achieving significant enhancements in aviation security and facilitation by bringing together the elements of identification management and building on ICAO leadership in matters related to Machine Readable Travel Documents (MRTD). The progress made to date in the five elements of the ICAO TRIP Strategy, namely Evidence of Identity, MRTDs, Document Issuance and Control, Inspection Systems and Tools, and Interoperable Applications, is described in the following paragraphs

3.2 **Holistic identification management**

3.2.1 In order to raise awareness of stakeholders on the holistic traveller identification management concept, events (listed in Appendix A) were organized in 2014, 2015 and 2016 to promote best practices for managing secure passport issuance and border control systems while emphasizing the importance of both issuing ICAO-compliant MRTDs and participating in the ICAO Public Key Directory (PKD). In particular, they underscored the importance of meeting the 24 November 2015 deadline set out in Standard 3.11 (previously 3.10.1) of Annex 9 – Facilitation. As part of the support provided to States, the seventh edition of Doc 9303, Machine Readable Travel Documents, composed of twelve parts (including eleven supplements) previously released separately, was made available in English during the second quarter of 2015; all other ICAO languages will be published in 2016. Other promotional activities, such as the publication of the *ICAO MRTD Report* and enhancement of the ICAO MRTD website have also been undertaken. The *ICAO MRTD Report* magazine continues to be published by ICAO to serve the TRIP community. A new ICAO TRIP Platform has been developed and tested by various experts of the Technical Advisory Group on TRIP (TAG/TRIP). This collaborative web-based platform provides a dynamic user tool with a view to sharing traveller identification information and practices in a range of key areas.

3.3 **Completion of Machine Readable Passports (MRPs) implementation**

3.3.1 In accordance with Annex 9 — Facilitation, Standard 3.11 which requires all non-MRPs to be out of circulation by 24 November 2015, a communication plan has been implemented in order to encourage State compliance with this deadline and to minimize inconvenience to the travelling public. As part of this plan, State letter EC 6/3-12/70, dated 31 December 2012, was disseminated to raise Member States' awareness of the deadline. The formal responses received as at 15 April 2016 reflect that 140 Member States had complied with the deadline, with a further 17 States indicating that non-machine readable passports would only expire after the 24 November 2015 deadline and, in some cases, not until 2022. Additionally, guidance material on Standard 3.11 implementation challenges and practices has been posted on to the ICAO public site, and articles on the subject were published in the MRTD Report and the ICAO Journal.

3.4   **Compliance with travel document Standards and specifications (Annex 9 – Facilitation and Doc 9303)**

3.4.1   The regulatory framework of the ICAO TRIP Strategy is set forth in Chapter 3 of Annex 9 - Facilitation. Currently, only the security-related Standards of Annex 9 and those dealing with communicable diseases are audited by ICAO. The Council, at its second meeting of the 206th Session on 4 November 2015 requested that Member States be reminded of the online Compliance Checklist (CC) in the Electronic Filing of Differences (EFOD) System which allows for the recording of information on compliance with the Standards of Annex 9 – Facilitation. This will enable Council to consider the extent of Annex 9 compliance and to determine if further action should be taken in this regard.

3.5   **The MRTD Programme**

3.5.1   Through the Implementation and Capacity Building Working Group (ICBWG) of the TAG/TRIP, monitors the progress made by Member States in their issuance of Doc 9303-compliant travel documents. However, there is a view among MRTD experts that some Member States are not issuing MRTDs that are fully compliant with the specifications in Doc 9303. Therefore, a proposed systemic process for evaluating passport compliance with Doc 9303 specifications is currently being finalized with the concept of operation and respective roles and responsibilities already identified.

3.6   **Implementation of e-Passports**

3.6.1   About 120 ICAO Member States are currently issuing e-Passports. As e-Passport implementation expands, the possibility of a Standard requiring e-Passports arises, following the example of Standards that have assisted with the move from handwritten to machine-readable passports and recognizing the leadership role of ICAO in travel document matters. Work will progress on an e-Passport roadmap which identifies the challenges and conditions that must be met by States when implementing e-Passport systems and for ICAO over the long-term in considering the possibility of an e-Passport Standard.

3.7   **Travel document inspection using Automated Border Controls (ABCs)**

3.7.1   According to industry reports, the expansion of ABCs, used for the inspection of travellers' documents, increased between August 2014 and November 2015 from availability in 134 airports in 40 States to 179 airports in 60 States. Border agencies involvement is a key focus for the ICAO TRIP Strategy. Further development of ABC-related regulatory framework, such as the Recommended Practices proposed for introduction during the Ninth Meeting of the Facilitation Panel (FALP/9, April 2016), will encourage States to expand the use of ABCs.

3.8   **First Meeting of the Technical Advisory Group on TRIP**

3.8.1   The First Meeting of the Technical Advisory Group on TRIP (TAG/TRIP/1, formerly TAG/MRTD), was held at ICAO Headquarters, Montréal, Canada, from 30 March – 1 April 2016. The meeting was attended by 29 TAG/TRIP members and advisers from 11 Member States as well as 12 observers from 9 Member States and 20 observers from 6 international organizations. The final report is being compiled and will be considered by the Council in October 2016. All other documentation from the meeting, including presentations, can be found on the new ICAO TRIP Platform (follow the link at www9.icao.int/trip/ to request access to the Platform).

3.9   **Assistance Activities**

3.9.1   Up-to-date specifications on the issuance of modern and secure travel and identification documents are available free of charge to Member States on the ICAO TRIP-related site, http://www.icao.int/Security/mrtd/Pages/default.aspx. Requests for MRP, PKD and e-Passport technical assistance increased considerably from 2014 to 2016 and additional resources in terms of expertise and funding are therefore being sought through international cooperation and/or voluntary funds. Some of these technical assistance projects are being implemented by the Technical Cooperation Bureau (TCB).

3.10   **Funding of technical assistance projects**

3.10.1   The Government of Canada, through the Counter-Terrorism Capacity Building Program (CTCBP) is the first State to provide financial assistance (i.e. funding two technical assistance projects) in support of the assistance component of the ICAO TRIP Strategy – ICAO TRIP Implementation. The project, Strengthening Travel Document Security and Identification Management in the Sahel Region, is a pilot assistance project. It was implemented in July 2014 and, as of April 2016, was being conducted in 12 States from the Sahel region. Appendix B provides information on this project.

3.10.2   ICAO has also been consolidating its working partnerships with several United Nations (UN) agencies, other international and regional organizations, and the donor community to explore more effective ways of providing assistance to Member States on the ICAO TRIP Strategy.

3.11   **ICAO TRIP Strategy and The United Nations Agenda**

3.11.1   As part of the coordination with the UN Security Council Global Strategy, ICAO actively supports UN Security Council Resolutions 1373 (2001), 1624 (2005) and 2178 (2014) as well as the Counter-Terrorism Implementation Task Force (CTITF). By doing so, ICAO makes contributions consistent with its own mandate in relation to the ICAO TRIP Strategy.

3.11.2   The use of false identities and fraudulent travel documents, in addition to systemic weak-points in the identification management framework of many States, remain major vulnerabilities which continue to be exploited by criminal and terrorist networks. The UN Security Council urged States to require airlines to provide passenger lists, referred to as Advanced Passenger Information (API) in Annex 9 — Facilitation. API is an integral component of the fifth element of the ICAO TRIP Strategy, Interoperable Applications

3.11.3   On 25 September 2015, the UN Member States adopted a set of goals for a new sustainable development agenda for the 2030 horizon. It is noteworthy that when assisting ICAO Member States in implementing some Annex 9 SARPs and related specifications, it directly supports the achievement of six of 17 UN Sustainable Development Goals (SDGs). A specific target to be reached under Goal 16, is "by 2030, to provide legal identity for all, including birth registration", which is directly linked to the first element of the ICAO TRIP Strategy, Evidence of Identity.

3.12   **Twelfth Symposium and Exhibition on the ICAO TRIP**

3.12.1   The Twelfth Symposium and Exhibition on the ICAO Traveller Identification Programme will be held in Montréal from 15 to 17 November 2016. Amongst other things, the agenda will explore all components of the ICAO TRIP Strategy with particular reference to their use in combatting terrorism and trans-border crime.

3.13   **Priorities and outcomes for 2017-2019**

3.13.1   The monitoring of the expected outcomes of the ICAO TRIP Strategy will need to be structured in a coordinated manner with the corresponding on-line Compliance Checklist of Annex 9 related SARPs

3.13.2   State letter EC 6/8-16/04, dated 27 January 2016, was disseminated in order to collect relevant information from Member States on progress towards implementation of the ICAO TRIP Strategy. The responses to the questionnaire are expected to assist the Secretariat to determine the extent of such progress and what assistance, if any, is required by States to implement the Strategy. An initial report on States responses to the questionnaire on the implementation of the ICAO TRIP Strategy and associated assistance needs is presented in Appendix C.

3.13.3   In order to ensure a holistic identification management, the ICAO TRIP Strategy should continue to be widely promoted to States and ad-hoc tools, in all working languages, should be developed to assist States in obtaining strong and robust evidence of identity mechanisms. Appendix D summarizes the proposed priorities for the Facilitation Programme's work on the ICAO TRIP Strategy and expected outcomes for the 2017-2019 triennium which will be monitored by key performance indicators (KPIs) and milestones. A dedicated ICAO TRIP roadmap will be developed based on the feedback received by States to State letter EC 6/3-15/90, dated 21 December 2015, on the Compliance Checklist for Annex 9 - Facilitation and the ICAO TRIP questionnaire. This roadmap will perfect the medium and long-term previously defined milestones of the ICAO TRIP Strategy.

4.   **The ICAO public key directory**

4.1   Established in 2007, the ICAO PKD enhances security by enabling the secure verification of
e-Passports by border control authorities. An e-Passport is only as good as the information contained in its chip. It requires an inspection tool and the PKD is recognized as a valuable instrument and system for distributing the public certificates needed by for border control operations and assisting its PKD members by verifying that their certificates conform to the requirements of Doc 9303.

4.2   The PKD currently has 52 members, including 2 in the NAM/CAR and 3 in the SAM Regions Member States are urged to join the PKD because of the importance of enhancing cross-border security and air transport facilitation.

4.3   However, there remains a significant gap between the number of States issuing e-Passports, the number of States participating in the PKD and those States using the PKD in day-to-day border control operations. Therefore, with a view to encouraging participation in the ICAO PKD, Amendment 25 to Annex 9 – Facilitation, presented a revision to the PKD Recommended Practice 3.9.1. The Recommended Practice is now divided into two Recommended Practices: one aimed at document issuers and one for border control authorities. ICAO strongly recommends PKD participation, and the revision of Annex 9 reinforces this position.

4.4   Following the award of the new PKD Operator Contract to Bundesdruckerei GmbH on 19 March 2015, the registration fee for PKD Participants [will be] reduced making it more accessible for States to join the PKD. Effective 1 January 2016, the registration fees for new PKD participants will decreased from USD 56, 000 to USD 15, 900 and similarly, the annual fees for existing participants will were reduced. It is noteworthy that as the number of PKD participants increases, the annual fee paid by each participant decreases.

4.5   The Regional Group is invited to take note of this information paper highlighting developments in all ICAO's Facilitation Programmes, including the status of the implementation of the ICAO Traveller Identification Programme (TRIP) strategy and urge its Member States to join the PKD because of the importance of enhancing cross-border security and air transport facilitation.

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APPENDIX A
PROMOTION OF TRAVELLER IDENTIFICATION MANAGEMENT

1.	The Tenth Symposium and Exhibition on MRTDs, Biometrics and Border Security was held in Montréal from 7 to 9 October 2014 and was attended by 505 participants and similarly the Eleventh Symposium and Exhibition, held in Montréal from 14 to 16 October 2015 attracted more than 500 participants. Both agendas explored all components of the ICAO TRIP Strategy with particular reference to their use in combatting terrorism and trans-border crime. Watch lists, smart border controls, and inter-agency information sharing were also presented as part of the best practices.

2.	Two MRTD Regional Seminars held in Tashkent, Uzbekistan (8-10 April 2014) and in Madrid, Spain (25-27 June 2014) attracted a high number of participants and provided an opportunity to explore the ICAO TRIP Strategy with aviation and border control experts from Europe and Central Asia. The Regional Seminar in Madrid included the first-ever ICAO conformity and interoperability/crossover tests arranged in collaboration with the Host State, Member States and industry partners.

3.	An ICAO TRIP implementation regional seminar, in collaboration with the Counter-Terrorism Committee Executive Directorate (UNCTED), took place in Niamey, Niger (20-22 January 2015) focusing on national identification management and civil registry, travel document issuance and immigration controls at borders. An Economic Community of Central African States (ECCAS) meeting on the ICAO TRIP strategy took place in Brazzaville, Congo (22-23 May 2015) and a Declaration was signed engaging all ECCAS States to implement the elements of the ICAO TRIP strategy. An implementation roadmap is expected to be defined by the State focal point to be named by ECCAS. Regional TRIP seminars were held in Nairobi, Kenya (10-12 November 2015) and in Kish Island, Islamic Republic of Iran (9-11 May 2016). One is planned to be held in the Caribbean region in the last quarter of 2016.

4.	A High-Level Ministerial Conference on Aviation Security and Facilitation in Africa was held in Windhoek, Namibia from 5 to 8 April 2016. A Declaration was adopted, urging African States, inter alia, to implement the ICAO TRIP Strategy and to participate to the ICAO PKD while recommending the set-up of an Advanced Passenger Information (API) system.

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APPENDIX B

SAHEL PROJECT – STATUS REPORT

Under the **Sahel project (**12 States)[1], 4 technical TRIP assessment missions were conducted in Chad in December 2014, in Mali and Tunisia in March 2015 and in Cameroon in March 2016. Under Phase I - Assessment, these missions assessed the operations and provided recommendations to improve TRIP processes.

In addition, two regional seminars took place in 2015. The ICAO TRIP Implementation Regional Seminar in Niamey, Niger in January 2015 gathered 45 Representatives from the Sahel region and experts from ICAO and other international and regional organizations. The Sahel project also sponsored 15 participants to attend the ICAO TRIP Regional Seminar and Exhibition held in Nairobi, Kenya in November 2015.

The development of the ICAO Standardized Training Package (STP) entitled *Control of the Authenticity and Validity of Travel Documents at Airport Borders – Level 1*, is expected to increase the ability of front-line immigration and border controls officers to identify fraudulent travel documents and limit the movements of terrorists and criminals. This activity includes the training of instructors from the Sahel region. The training course was available to States in French as of April 2016 and will become available in English and Arabic during the fourth quarter of 2016 through the platform of ICAO TRAINAIR PLUS, managed by the ICAO Global Aviation Training (GAT).

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[1] Algeria, Burkina Faso, Cameroon, Chad, Guinea, Mali, Mauritania, Morocco, Niger, Nigeria, Senegal and Tunisia.

APPENDIX C
ICAO TRAVELLER IDENTIFICATION PROGRAMME (TRIP) STRATEGY
IMPLEMENTATION AND ASSISTANCE QUESTIONNAIRE

Initial Report on State Responses

As of 24 May 2016, 64 responses had been received from 62 States and 2 SARs. The responses received by region, compared to the anticipated responses from regions, are provided below.

Region	Actual Responses	Potential Total Responses
Asia and Pacific (APAC)	12	38
Eastern and Southern African (ESAF)	8	24
European and North Atlantic (EUR/NAT)	27	56
Middle East (MID)	7	15
North American, Central American and Caribbean (NACC)	5	21
South American (SAM)	4	13
Western and Central African (WACAF)	1	24
	64	191

Preliminary findings of this survey are as follows:

1) **Implementation**
   a) More than 80 per cent of States responding have indicated that they have established a national framework relating to Evidence of Identity (EoI).
   b) In terms of MRTDs, only 70 per cent of States issue ePassports which is low, compared to the percentage of States issuing MRPs. The results vary widely in some regions.
   c) Regarding document issuance and control, only a half of the reporting States are using the ICAO *Guide for Assessing Security of Handling and Issuance*. Therefore, there is a need to further promote the guide in order to encourage States to use it, together with adapting cost effective state-of-art technology.
   d) Regarding the Inspection Systems and Tools, only one third of the States who have responded are participating in the ICAO PKD. About 60 per cent of the reporting States have already introduced ABCs at border.
   e) With respect to Interoperable Applications, 60 per cent of the reporting States are using the Interpol Stolen and Lost Travel Document (SLTD) database to prevent cross-border terrorism and other crimes.

2) **Assistance**
   Capacity building and/or financial support is needed by at least 15 reporting States to assist in the implementation of the ICAO TRIP Strategy. It is noteworthy that the 134 States which have not yet responded to the survey may also need assistance in the implementation of the ICAO TRIP Strategy.

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APPENDIX D
ICAO TRIP STRATEGY: PROPOSED PRIORITIES AND OUTCOMES FOR 2017-2019

ICAO TRIP element	Priority/Key Activity	Outcomes
ALL	Development of an ICAO TRIP Roadmap	Implementation of the roadmap and corresponding risk analysis documents
ALL	Enhanced recognition of ICAO leadership on the ICAO TRIP Strategy, through international cooperation (including UN system) and coordination of regional activities	Improved service delivery to States through efficient coordination and cooperation
ALL	Development of capacity building and assistance (through the ICAO Resource Mobilization Strategy)	Identification of potential donors and development of specific projects for voluntary funds and/or grants for the provision of technical assistance for the States and management of donor-funded assistance projects
ALL	Promotion and communication to States of the five elements of the ICAO TRIP Strategy by ensuring their increased visibility and wider distribution of the guidance material	Symposia and regional seminars; development of a compendium of all TAG/TRIP activities and outputs
Evidence of Identity (EoI)	Determination of Best Practices and guidance material on evidence of identity	Approved Evidence of Identity guide developed
MRTDs	Assistance to States for the completion of Machine Readable Passports (MRP) implementation	Identification of issues encountered by States in implementing MRPs and determination of type of assistance to be provided
MRTDs	Development and update of travel document specifications, as well as guidance material on MRTDs	Amendments to travel document specifications (Doc 9303) and publication of Doc 9303 revisions as required.
MRTDs	Machine Readable Convention Travel Documents (MRCTDs)	Update the Guide for Issuing MRCTD for Refugees and Stateless Persons to include new Annex 9 Standard 3.12

ICAO TRIP element	Priority/Key Activity	Outcomes
MRTDs	MRTD-related Universal Security Audit Programme (USAP) audit questions	Evaluation and adjustment of audit questions as and if required
Document Issuance and Control	Development of the Doc 9303 Compliance Programme	Development of assessment guidelines and a protocol questionnaire for the assessment of the testing entities
Inspection Systems and Tools	Cost-benefit analysis (CBA) template for PKD participation in coordination with Automated Border Control (ABC) and ePassport implementation	Assessment tool for States willing to implement PKD in line with ePassport issuance and ABC gates implementation
Inspection Systems and Tools	Development of specifications for Inspection Systems and Tools	Improve the involvement of border officials in the work of the TAG/TRIP on border management
Interoperable Applications	Passenger Data exchange	Increased outreach to States on Advanced Passenger Information (API) and Passenger Name Records (PNR) programmes through collaboration with the World Customs Organization (WCO), International Air Transport Association (IATA) and United Nations Counter-Terrorism Committee Executive Directorate (UNCTED)
Interoperable Applications	INTERPOL Stolen and Lost Travel Document (SLTD) database	Promotion of data submission to the SLTD and its use for checking passports during border controls

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