



International Civil Aviation Organization

**WORKING PAPER**

**ASSEMBLY — 38TH SESSION**

**EXECUTIVE COMMITTEE**

**Agenda Item 16: Facilitation and Machine Readable Travel Documents**

**PROPOSAL FOR AN ICAO TRAVELLER IDENTIFICATION PROGRAMME  
(ICAO TRIP) STRATEGY**

(Presented by the Council of ICAO)

**EXECUTIVE SUMMARY**

This paper presents the ICAO Traveller Identification Programme (ICAO TRIP) Strategy, which provides a framework for achieving significant enhancements in aviation security and facilitation in the future by bringing together the elements of identification management and building on ICAO leadership in matters related to Machine Readable Travel Documents (MRTD).

**Action:** The Assembly is invited to endorse the proposed ICAO TRIP Strategy and recommend the participation of States in the Public Key Directory (PKD).

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objectives B — <i>Security</i> and C — <i>Environmental Protection and Sustainable Development of Air Transport</i>
<i>Financial implications:</i>	Funding for ICAO activities in support of the ICAO TRIP Strategy in the 2014-2016 triennium is subject to the outcome of the budget process.
<i>References:</i>	Doc 9958, <i>Assembly Resolutions in Force (as of 8 October 2010)</i> Doc 9990, <i>Report of the High-level Conference on Aviation Security</i> High-level Conference on Aviation Security, HLCAS-WP/9 Annex 9 — <i>Facilitation</i>

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## 1. INTRODUCTION

1.1 It is recalled that Annex 9 — *Facilitation* sets out the international framework of Standards, Recommended Practices (SARPs), and technical specifications incorporated by reference, in travel document matters. The General Principles of Annex 9 require Contracting States to take the necessary measures to minimize the time required for the accomplishment of border controls, minimize the inconvenience caused by the application of administrative and control requirements, foster and promote the exchange of relevant information between Contracting States, and develop effective information technology to increase the efficiency and effectiveness of their procedures at airports. Annex 9 also establishes that no documents other than those provided for in Annex 9, Chapter 3, shall be required by Contracting States of visitors for entry into and departure from their territories.

1.2 Travel documents, comprising passports and other identity documents accepted for border integrity purposes, underpin the ideals of international civil aviation, cooperation and trust because they are used to readily and reliably confirm the identity of persons, and thereby enable seamless and secure international travel. Travel documents are, however, only as satisfactory as the identification-related systems behind their production, issuance, control and inspection. In consideration of this, the travel document field is rapidly evolving into the broader sphere of identification management. This working paper proposes the adoption of an ICAO strategy – the ICAO Traveller Identification Programme (ICAO TRIP) Strategy – to establish the goal and objectives of traveller identification management, to lead and reinforce a global approach, and to provide direction for action by ICAO, States and the many international, regional and industry partners in identification management.

## 2. BACKGROUND

2.1 ICAO forecasts that scheduled passenger traffic around the world will more than double from a preliminary 3 billion in 2012 to 6 billion by 2030, and the number of flights will increase from 30 million to 60 million. Considering that the presentation and inspection of travel documents is a routine aspect of international air travel requiring State programmes, specialized infrastructure and personnel, as well as a processing time for the travel incurred, the scale of future aviation activity brings into sharp focus the need for travel documents and related systems that are up to the task of tomorrow's efficiency facilitation and security challenges.

2.2 The importance of robust travel documents to international security cannot be overstated. The ability of terrorists and criminals to operate with anonymity across borders – beyond the knowledge of or suspicion on the part of a State and international authorities regarding their true identity and movements – is a powerful enabler for persons to advance unlawful and illegitimate activities. It is noteworthy that the 37th Session of the ICAO Assembly urged Contracting States to intensify their efforts to safeguard the security and integrity of breeder documentation and requested the Council to take appropriate measures to establish guidance. This work is presently underway.

2.3 Travel documents are, therefore, a matter of strategic importance for international civil aviation under the ICAO's Council-approved Strategic Objective C — *Security and Facilitation* and Strategic Objective D — *Economic Development of Air Transport*. As such, ICAO's activities must be positioned to provide the necessary focus, orientation and support.

2.4 ICAO's leadership and activities in travel documentation policy and operational matters have made a significant contribution to enhancing aviation security and facilitation, notably through uniform and progressive travel document standards and specifications, assistance to States in implementing effective and efficient travel document systems, oversight activities within the scope of the Universal Security Audit Programme (USAP), and, by means of the ICAO Public Key Directory (PKD), the provision to States of a single automated ePassport validation service on a cost-recovery basis, thereby helping to further secure and streamline border clearance processes. MRTDs, of course, serve the broad transport sector by assuring border integrity and efficiency

in maritime and land transport settings as well. These important benefits extend the contribution of ICAO travel document-related activities beyond border integrity at airports and with no additional cost to ICAO, and would be supported by the ICAO TRIP Strategy.

2.5 These challenges and opportunities are the setting for a global traveller identification management strategy that would be the framework for multidimensional integrated efforts and synergies, under ICAO's leadership, to support ICAO's Strategic Objectives in the 2014-2016 triennium and beyond.

### 3. ICAO TRIP STRATEGY

3.1 At the centre of the ICAO TRIP Strategy is the key proposition for States, ICAO and all stakeholders to address, individually and collectively: that a holistic, coherent, coordinated approach to the interdependent elements of traveller identification management is essential, encompassing the following elements:

- a) Evidence of identity – credible evidence of identity, involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity;
- b) MRTDs – the design and manufacture of standardized MRTDs, including ePassports, that comply with ICAO specifications;
- c) Document issuance and control – processes and protocols for document issuance by appropriate authorities to authorized holders, and controls to prevent theft, tampering and loss;
- d) Inspection systems and tools – inspection systems and tools for the efficient and secure reading and verification of MRTDs, including use of the ICAO PKD; and
- e) 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.

3.2 In consideration of the scope of activities involved, traveller identification management necessarily engages a broad collection of mandates and interests at the global and State levels that directly or indirectly contribute to its effectiveness and efficiency, and travel document systems. Appendix A presents a visual representation of holistic traveller identification management and the stakeholders whose contributions support this integrated approach.

3.3 For ICAO and its Member States, it follows that the vision in traveller identification management is: *all Member States can uniquely identify individuals*. When the elements of identification management are optimally achieved, States will be in a position to identify individuals by their travel document with the highest possible degree of certainty, security and efficiency. The proposed ICAO TRIP Strategy provides a plan to achieve this vision and is detailed in Appendix B.

3.4 Recognizing the benefits of traveller identification management to aviation security and facilitation, and the vision that all Member States can uniquely identify individuals, ICAO's mission would be *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*.

3.5 Under the ICAO TRIP Strategy, and in accordance with the decisions of ICAO's governing bodies, these mechanisms would constitute four pillars:

- a) Development of the international framework of Standards, Recommended Practices, specifications (Doc 9303) and guidance material;
- b) Implementation assistance for the benefit of States' programmes, with focus on building assistance partnerships to recruit and mobilize financial and in-kind resources;
- c) Assessment of compliance with the international framework, with emphasis on cost-effective methods to produce recommendations to address deficiencies; and
- d) Delivery of the PKD, including governance, management, administration and operations.

3.6 The ICAO TRIP Strategy provides the basis for detailed work plans to be developed, commensurate with resources available, and corresponding actions to be taken. An overview of ICAO and other resources allocated for travel document activities in 2013 is provided in Appendix C.

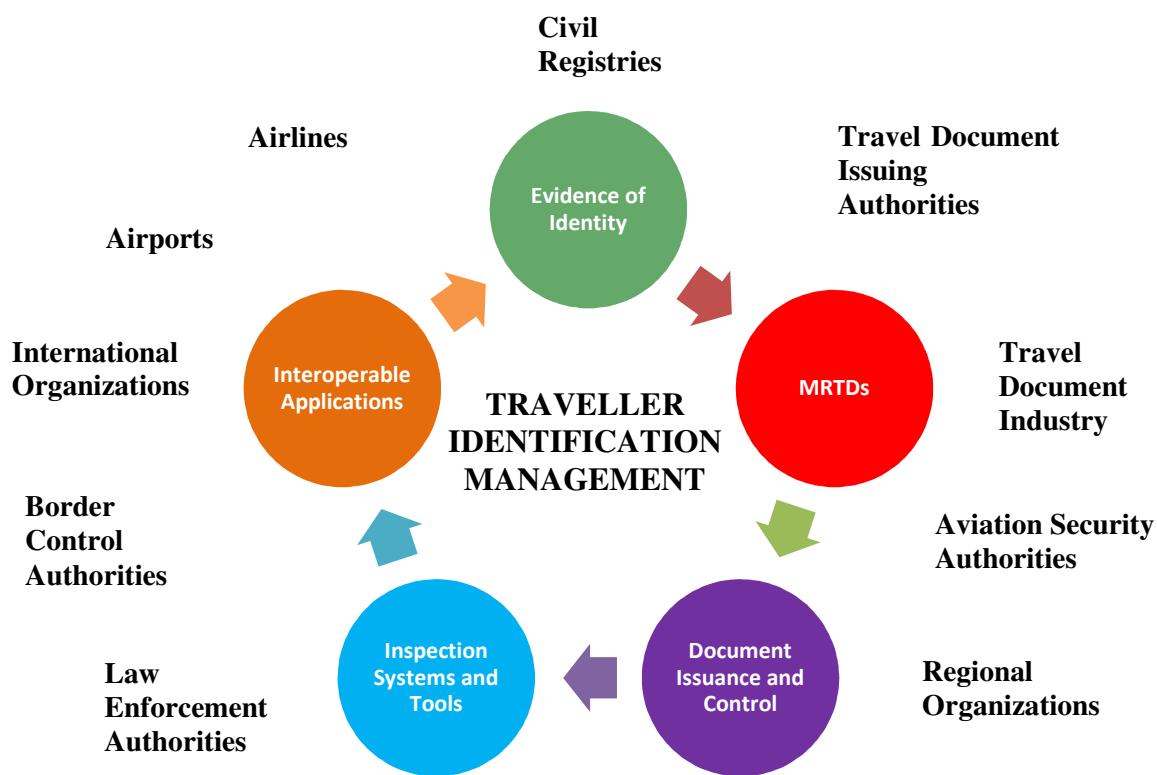
3.7 With renewed focus and in conjunction with identification management partners, and building on progress to date, ICAO would continue to produce and provide globally endorsed measures, tools, services and other means to:

- a) mitigate risks to aviation security and broader national security through robust methods of identification management and border control;
- b) assist in the detection and prevention of terrorism and crime through the prevention of the fraudulent use of identification documents;
- c) facilitate genuine travellers through the airport process by automated clearance processes to increase throughput;
- d) reduce staff and training costs by standardizing and simplifying document verification processes;
- e) enable interoperability and the use of standard technologies for identification management for both States and industry, leading to efficient operations and cost reduction;
- f) increase States' confidence in their ability to verify that documents have been appropriately issued and have not been altered; and
- g) provide for cost-effective deployment of security and border control personnel and resources on a risk-management basis.

#### 4. CONCLUSION

4.1 The ICAO TRIP Strategy would establish a comprehensive framework to lead Member States, ICAO and traveller identification partners into the future. At appropriate intervals, monitoring, reporting and review of implementation progress, and fine-tuning, as appropriate, will ensure that the Strategy remains up-to-date and forward-looking.

## APPENDIX A HOLISTIC TRAVELLER IDENTIFICATION MANAGEMENT



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**APPENDIX B**  
**ICAO TRAVELLER IDENTIFICATION PROGRAMME (ICAO TRIP) STRATEGY**

Vision: All Member States can uniquely identify individuals.

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.

<b>OUTCOME</b>	<b>TRAVELLER IDENTIFICATION ELEMENTS</b>	<b>2013</b>	<b>SHORT-TERM MILESTONES 2014-2016</b>	<b>MID-TERM MILESTONES 2017-2019</b>	<b>LONG-TERM MILESTONES 2020 AND BEYOND</b>
Holistic identification management	All	ICAO TRIP Strategy is approved	Identification management is a best practice	Identification management is widely implemented	Member States optimally manage traveller identity
Completion of Machine Readable Passports (MRPs) implementation	Document issuance and control	Member States have begun issuing MRPs (Standard 3.10)	Only MRPs are issued	Resolution of outstanding issues	Completed
Compliance with travel document Standards and specifications (Annex 9 and Doc 9303)	All	ICAO audits security-related Annex 9 Standards; <i>ad hoc</i> assessment of Doc 9303 compliance	Doc 9303 compliance mechanism is developed	Doc 9303 compliance mechanism is implemented	Doc 9303 compliance is assessed and reported
Implementation of ePassports	Document issuance and control, interoperable applications	Approximately 100 ePassport issuers, ePassport Recommended Practice	ICAO model roadmaps established for State implementation of ePassports; and an ePassport Standard	Standard on ePassports is approved	All passports are ePassports
Travel document inspection using Automated Border Controls (ABCs)	Inspection systems and tools, interoperable applications	ABCs in use	Use of ABCs expands	Use of ABCs is widespread	Use of ABCs in all Member States
Maximize level of ICAO PKD participation	Inspection systems and tools, interoperable applications	Recommended Practice 3.9.1 on joining the PKD (35 participants)	Number of participants increases	Number of participants increases	Participation in the ICAO PKD is comprehensive

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**APPENDIX C**  
**RESOURCES SUPPORTING ICAO MRTD AND PKD ACTIVITIES IN 2013**

FUNCTION	FUNDING SOURCE <sup>1</sup>
ICAO Secretariat – MRTD Programme 1.75 posts (and non-staff costs) 1 post and 2 consultants (and non-staff costs)	Regular Programme Budget Extra-budgetary
ICAO Secretariat – PKD 1 post (and non-staff costs)	PKD fees
Facilitation Panel, supported by ICAO Secretariat	Member States
Technical Advisory Group on Machine Readable Travel Documents (TAG/MRTD), including the New Technologies Working Group and the Implementation and Capacity Building Working Group, supported by the ICAO Secretariat	Member States, international organizations, industry
PKD Board	PKD Member States

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<sup>1</sup> The direct value of in-kind contributions made by States, organizations and the private sector to the ICAO MRTD Programme in 2011 was conservatively estimated to be US\$2.5 million per year.