INTERNATIONAL CIVIL AVIATION ORGANIZATION

AFI COMPREHENSIVE REGIONAL IMPLEMENTATION PLAN FOR AVIATION SECURITY AND FACILITATION IN AFRICA (AFI SECFAL PLAN)

8TH STEERING COMMITTEE MEETING

Kampala, Uganda (17th May 2019)

Agenda Item 2.6   **Status of implementation of ICAO TRIP Strategy, PKD, API in Africa and the African Passport project**

(ICAO Secretariat)

<table>
<tr><td colspan="2" align="center">**EXECUTIVE SUMMARY**</td></tr>
<tr><td colspan="2">Air Transport Facilitation is among others the efficient management of border control processes to expedite clearance of aircraft, passengers/crew, baggage and cargo and in order to prevent unnecessary delays so as to maintain both the security and the efficiency of air transport operations. This working paper highlights the recent developments of the facilitation programmes in Africa and the proposed next steps in line with both Amendment 26 of Annex 9 – *Facilitation* and the revised ICAO TRIP roadmap as well as with the regional initiatives such as the issuance of an African e-Passport.</td></tr>
<tr><td>**Action**</td><td>Action by the Steering Committee is referred in **Paragraph 6**</td></tr>
<tr><td>*Strategic Objectives*</td><td>Security & Facilitation</td></tr>
<tr><td>*References*</td><td>Doc 10075, *Assembly Resolutions in Force (as of 6 October 2016)*
Annex 9 ― *Facilitation* (15th Edition)
Doc 9303, *Machine Readable Travel Documents (MRTDs)*
Doc 10042, *Model for a National Air Transport Facilitation Programme*
AT SD 210/1
AT-SD 216/1</td></tr>
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1.   INTRODUCTION

1.1   The 39th Session of the ICAO Assembly (A39) confirmed ICAO's emphasis on achieving greater balance between effective control measures and system-wide connectivity and efficiency. Highlighting the importance of putting Facilitation on equal footing with Security, noting that the Strategic Objective of Security and Facilitation reflects the need for ICAO's leadership in air transport in both areas in matters regarding border management.

1.2   Assembly Resolution A39-20, *consolidated statement of continuing ICAO policies related to facilitation*, urged Member States, to uniquely identify individuals to maximize security and facilitation benefits, including preventing acts of unlawful interference and other threats to civil aviation and as such, endorsed the development of a roadmap for the implementation of the ICAO Traveller Identification Programme (ICAO TRIP) Strategy.

2.   ANNEX 9 – FACILITATION RECENT DEVELOPMENTS

2.1   The tenth meeting of the Facilitation Panel (FALP/10), held at ICAO Headquarters in Montréal, from 10 to 13 September 2018, resulted in recommendations (some with relevance for aviation security) for substantive amendments to Annex 9 ― F*acilitation* to the Convention on International Civil Aviation. The final report and other documentation of the meeting can be found on the FALP/10 website at: http://www.icao.int/Meetings/FALP/Pages/FALP10-2018.aspx.

2.2   The Panel made several recommendations related notably to passenger data exchange, dual nationality, and travel documents. The Panel also recommended consideration of the development of proposals for Standards and Recommended Practices (SARPS) on the collection, use, processing and protection of passenger name records (PNR) data in line with United Nations Security Council (UNSC) resolution 2396 (2017).

2.3   In 2018, a Regional FAL Seminar, in support of the *No Country Left Behind* (NCLB) initiative, vis-à-vis Annex 9, was held at the Dakar Office for States in the WACAF and ESAF regions focused on Compliance Checklist (CC) in the Electronic Filing of Differences (EFOD) system and the development of National Air Transport Facilitation Programmes (NATFPs).

2.4   The completion of the Annex 9 Compliance Checklist in the EFOD System is important, being the primary method to gauge States' compliance with Annex 9 SARPs and enables the ICAO Council to determine if further action should be taken in this regard. Therefore, it's important for African States to ensure that the Compliance Checklist is duly completed as stipulated in State letter EC 6/3–18/55 dated 2 May 2018.

3.   THE ICAO TRIP STRATEGY STATUS IN AFRICA

Background

3.1   To assist Member States an ICAO TRIP implementation roadmap for each of the five TRIP elements, was developed by the Secretariat and approved by the Air Transport Committee (AT SD 210/1, refers), with the understanding that the roadmap should impose no obligation on States beyond the Annex 9 SARPs related to the ICAO TRIP Strategy. In January 2019, the updated roadmap (available on the ICAO public site) was endorsed by the ATC (AT-SD 216/1 refers) incorporating notably 16 new and/or revised provisions (Appendix A refers) introduced by the Amendment 26 of Annex 9 related to the ICAO TRIP Strategy.

3.2   Building on longstanding ICAO leadership on matters related to Machine Readable Travel Documents (MRTDs), the roadmap provides guidance on the entities responsible at the national level, for the implementation of the ICAO TRIP Strategy, through a National Air Transport Facilitation Committee or a similar coordinating body.

3.3   ICAO has continued to actively support United Nations Security Council (UNSC) resolutions 2178 (2014), 2309 (2016), 2368 (2017) and 2396 (2017) which address the acute and growing threat posed by foreign terrorist fighters (FTF). As member of the Counter-Terrorism Implementation Task Force (CTITF), ICAO actively participated to the 2018 update of the Madrid Guiding Principle designed as a practical tool to assist States in stemming the flow of foreign terrorist fighters and to the finalization of the Biometric Guide of the UN Counter-Terrorism Executive Directorate (CTED).

3.4   The relevant UNSC resolutions urged Member States to require airlines to provide Advance Passenger Information (API) which is an Annex 9 Standard since 23 February 2018 and a component of the ICAO TRIP Strategy, while resolution 2396 places an obligation on States to set up a Passenger Name Record (PNR) data exchange system.

3.5   In the context of the ICAO Universal Security Audit Programme–Continuous Monitoring Approach (USAP-CMA), the Annex 9 Amendment 26 provisions that support both border management and security objectives are audited with inclusion of two new audited Standards, namely 9.5 and 9.6 related to API system implementation and its regulatory framework. Appendix B presents the results for the AFI States of the 11 TRIP – related Annex 9 Standards audited in the USAP-CMA.

TRIP Strategy Implementation in Africa

3.6   As of today, 68 Member States, including **two (2)** African States, have implemented an API system while only 26 States (**no African State**) have implemented a PNR data system (Appendix C refers). Much as workshops, and seminars were held in Africa to sensitize the Region on API and PNR and ICAO TRIP Strategy implementation, State action continues to be very slow.

3.7   Furthermore, State letter EC 6/3 17/92 dated 24 July 2017 invited States to submit data to the Interpol Stolen and Lost Travel Document (SLTD) database as per Annex 9 Standard 3.10 and to comply, as practicable, with RP 3.10.1 by using the database for checking passports at border. **Twenty (20)** African States reported that they are consulting the SLTD database to check passports at the borders.

3.8   With the support of a programme, funded by the Government of Canada, "Strengthening Border Control Management in the Caribbean Region" **a guide on Border Control Management (BCM)** has been finalized and made available to all ICAO Member States in July 2018. Along with the first edition of the ICAO TRIP Strategy Compendium, a significant body of ICAO guidance material is available for many of the elements of the TRIP Strategy at https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx. In that context and as part of the support provided to States, the twelve parts of the seventh edition of Doc 9303, *Machine Readable Travel Documents*, were updated and published in all ICAO languages in 2018.

3.9   Regarding the implementation of the 3.12 Standard related to Machine Readable Convention Travel Documents (MRCTD), the joint guidelines developed by ICAO and the UN High Commissioner for Refugees (UNHCR) were updated and a revised version was published in February 2017, available at https://www.refworld.org/docid/52b166a34.html. **Seventeen (17)** African States issue MRCTDs.

3.10   With regards to training, the ICAO Training Package (ITP) ''Control of the Authenticity and validity of Travel Documents at Airport borders'', funded by the Government of Canada under the Sahel project, has been delivered in English and in French to around **50 trainees in Africa,** since its implementation under the auspices and funding of the AFI SECFAL Plan. Based on the training needs expressed by Zimbabwe, Guinea, Equatorial Guinea and Niger by answering the State Letter EC 6/8 – 18/100, four ITP deliveries are planned in 2019.

3.11   With regard to request of specimen passports in State Letter EC 6/8 – 18/100, **only three (3) African States have provided the sought specimen** to be included in the training material. All African States are urged to provide at their earliest convenience specimens of their various types of passports, to enable sufficient samples for the training purposes. Each training session requires at least 20 specimens. By end 2019, an Annex 9 training course will be available and expected to be validated by trainees from African States in coordination with the AFI SECFAL Plan.

4.   EPASSPORTS AND ICAO PUBLIC KEY DIRECTORY (PKD) IN AFRICA

4.1   The ICAO PKD is an inspection tool which allows checking the chip inside the ePassport thus enabling to detect any attempt to alter the chip's data. It acts as a central broker by managing the multilateral exchange of certificates used to validate the digital signature on the chip.

4.2   Out of the 40 African States (13 ESAF, 17 WACAF, 1 EUR/NAT and 2 MID) issuing e-Passports, **only seven (7) States are PKD participants**, namely, Benin, Botswana, Côte d'Ivoire, Mali, Morocco, Nigeria and Seychelles (Appendix E refers). It's important to understand that issuance of e-

Passport without PKD participation denies the States to optimise the benefits and primary purpose of the travel document.

4.3   ICAO website provides details of how to participate in the PKD details of which can be found on the link: https://www.icao.int/Security/FAL/PKD/Pages/How-to-Participate.aspx. Appendix D to this paper provided similar information.

5.   AFRICAN PASSPORT

5.1   In an attempt to address the broader picture at the continental level, as opposed to the current sub-regional approach , the African Union (AU) launched the project of a common African passport, with the objective that every African citizen would be eligible for the same centralised passport (in terms of design and security features) issued by its country of citizenship.

5.2   The African ePassport is planned to replace national passports and give each African citizen the freedom to travel within the AU without a visa. Different steps have been or planned to be taken, notably establishing its continental design and technical specifications, meeting of Chiefs of Immigration and Experts (involving ICAO technical experts), harmonization of laws, policies and procedures to accommodate its issue and use, issuance to citizens and public awareness to promote it. ICAO and AFI SECFAL Secretariat have continued to provide technical support and guidance to the AU at the different stages of African Passport development.

6.   ACTION BY THE STEERING COMMITTEE

6.1   The Steering Committee is hereby invited to:

a)   Urge AFI States to implement all the Annex 9 Standards related to the ICAO TRIP Strategy, including removing all non-Machine Readable Passports from circulation, reporting stolen, lost and revoked travel documents in the INTERPOL SLTD database, issuing Machine Readable Convention Travel Documents and implementing an API system;

b)   Request AFI States to ensure that their respective Annex 9 compliance checklists are duly completed in the Electronic Filing On Differences system;

c)   Call on AFI States to establish a National Air Transport Facilitation Programme and associated Committees in accordance with relevant provisions of Annex 9;

d)   Urge AFI States to endeavour to provide specimens passports to be used for reference and training purposes;

e)   Urge AFI States to invest in instituting robust and reliable civil registration systems to support e-MRTD, INTERPOL SLTD database and API systems ;

f)   Urge all AFI States issuing e-Passports join the ICAO PKD if optimisation of the benefits of issuance of e-MRTDs are to be achieved ; and

g)   Call on the AFI SECFAL Plan in collaboration with Air Transport Bureau to monitor the African e-Passport project to ensure that it meets the Doc 9303 specifications in order to enable full interoperability at the borders.

APPENDIX B

**RESULTS OF THE ELEVEN TRIP-RELATED AUDITED STANDARDS FOR THE AFI REGION
(29 AUDITED AFRICAN STATES AS PER MAY 2019)**

ANNEX 9 Standard	PROTOCOL QUESTION	STATUS (OUT OF THE 29)
8.17	**FAL 9.001** Has the State established a National Air Transport Facilitation Programme (NATFP) based on the facilitation requirements of the Chicago Convention and of Annex 9 thereto?	**18 States Satisfactory** 62%
8.19	**FAL 9.005** Has the State established an NATFC and Airport Facilitation Committees (AFCs) as required, or similar coordinating bodies, for the purpose of coordinating facilitation activities between departments, agencies and other organizations of the State concerned with or responsible for various aspects of international civil aviation, as well as with airport and aircraft operators?	**13 States Satisfactory** 45%
3.7	**FAL 9.010** Does the State incorporate security features in its current travel documents and plan to periodically update security features in new versions of its travel documents to guard against their misuse and to facilitate detection of cases where such documents have been unlawfully altered, replicated or issued?	**20 States Satisfactory** 69%
3.8	**FAL 9.015** Has the State established controls to safeguard against the theft of its blank travel documents and the misappropriation of newly issued travel documents?	**23 States Satisfactory** 79%
3.8.1	**FAL 9.020** Has the State established appropriate controls over the entire travel document application, adjudication and issuance processes to ensure a high level of integrity and security?	**21 States Satisfactory** 72%
3.10	**FAL 9.021** Has the State established a policy to promptly report accurate information about stolen, lost, and revoked travel documents, issued by the State, to INTERPOL for inclusion in the SLTD database?	**12 States Satisfactory** 41%
3.10	**FAL 9.022** Has the State designated an office or entity as responsible for reporting information about stolen, lost, and revoked travel documents, issued by the State, to INTERPOL?	**12 States Satisfactory** 41%
3.10	**FAL 9.023** Has the State developed guidelines for reporting information about stolen, lost, and revoked travel documents to INTERPOL?	**5 States Satisfactory** 17%
3.10	**FAL 9.024** Has the State established measures to ensure that accurate information about stolen, lost, and revoked travel documents, issued by the State, is promptly reported to INTERPOL for inclusion in the SLTD database?	**8 States Satisfactory28%**

ANNEX 9 Standard	PROTOCOL QUESTION	STATUS (OUT OF THE 29)
3.11	**FAL 9.025** Are all passports issued by the State machine readable, in accordance with the specifications of Doc 9303?	**28 States Satisfactory** **97%**
3.12	**FAL 9.027** Are travel documents for refugees and stateless persons issued by the State (Convention Travel Documents) machine readable, in accordance with the Doc 9303 specifications?	**6 States Satisfactory** **21%**
9.5	**FAL 9.070** Has the State established an API system?	**1 State Satisfactory** **3%**
9.6	**FAL 9.073** Has the State ensured that the API system is supported by appropriate legal authority?	**3 States Satisfactory** **10%**
9.8	**FAL 9.075** Is the API system consistent with internationally recognized standards for API?	**1 State Satisfactory** **3%**

APPENDIX C

STATUS OF API AND PNR IMPLEMENTATION BY AFRICAN STATES

API

PNR

APPENDIX D

How to Participate in PKD

In order to participate in the ICAO Public Key Directory (PKD), States are required to follow the procedure outlined below:

1. Complete and send the Notice of Participation to the Secretary General of ICAO (Attachment A of the ICAO PKD MoU) . This Notice should also be sent in advance via email or fax. Please see below for more information;

2. Make arrangements with the ICAO Secretariat to pay the PKD registration fee as established in Attachment B of the ICAO PKD MoU. Payment can be made by way of an invoice;

3. Pay the Registration Fee to ICAO;

4. Once payment is credited to ICAO's account, your State will receive the required documentation for establishing communication with the ICAO PKD Operator and performing the required tests;

5. Follow the procedures contained in the Procedures for the ICAO Public Key Directory.

The signed original Notice of Participation should be sent to the following address:

Secretary General
International Civil Aviation Organization
999 Robert-Bourassa Boulevard
Montréal, Québec
Canada
H3C 5H7

Please note, a copy of the Notice of Participation should be sent via email to: ICAO-PKD@ICAO.INT or faxed to +1 514 954 6744

APPENDIX E

AFRICAN STATES ISSUING e-PASSPORTS VIS-a-VIS THE PKD PARTICIPANTS
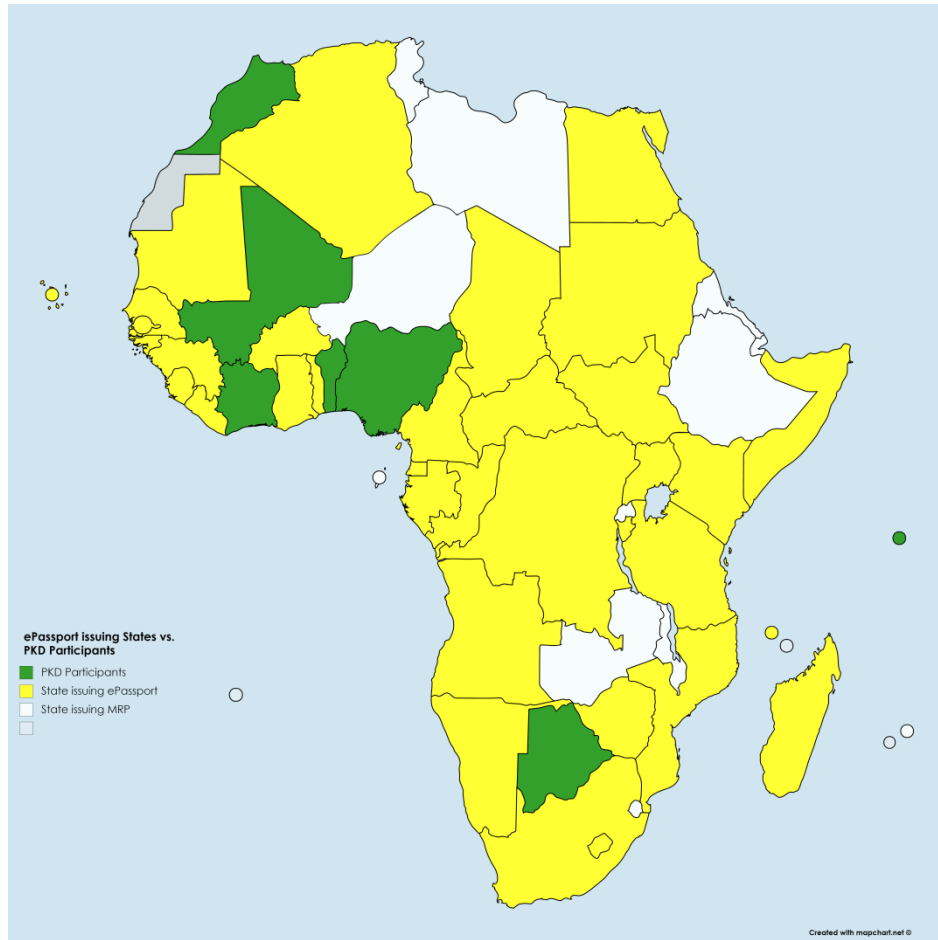
LIST OF AFRICAN STATES ISSUING ePASSPORTS AND NOT PKD PARTICIPANTS
(As of May 2019)

Region	Member States
Eastern and Southern African Office (ESAF)	Angola, Burundi, Comoros, Kenya, Lesotho, Madagascar, Mozambique, Namibia, Somalia, South Sudan, Uganda, United Republic of Tanzania and Zimbabwe.
European and North Atlantic Office (EUR/NAT)	Algeria.
Middle East Office (MID)	Egypt and Sudan.
Western and Central African Office (WACAF)	Burkina Faso, Cabo Verde, Cameroon, Central African Republic, Chad, Congo, Democratic Republic of the Congo, Equatorial Guinea, Gabon, Ghana, Guinea, Guinea-Bissau, Liberia, Mauritania, Senegal, Sierra Leone and Togo.
Total	**33 out of 54**