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# ICAO Technical Workshop on Air Transport Facilitation: Policies and Capacity Building Solutions Related to Border Control Management

## Air Transport Facilitation: Setting the Standards...

***SINCE 70 YEARS!***

**Narjess Abdennebi**

*Chief Facilitation Section*

Windhoek, 23 July 2019



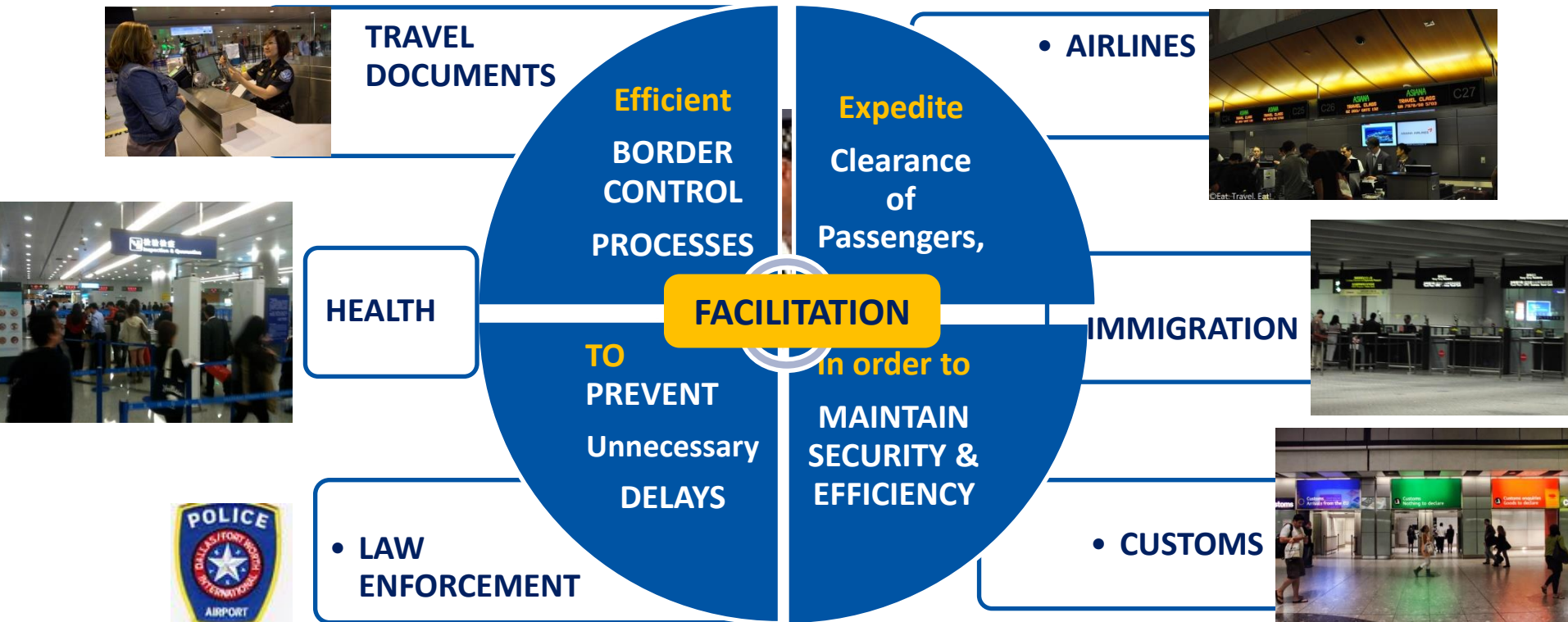
# ICAO Standards and the UN Agenda for Counter Terrorism



Partners in the UNCT  
Travel Programme  
launched on 7 May 2019



# Air transport Facilitation main actors



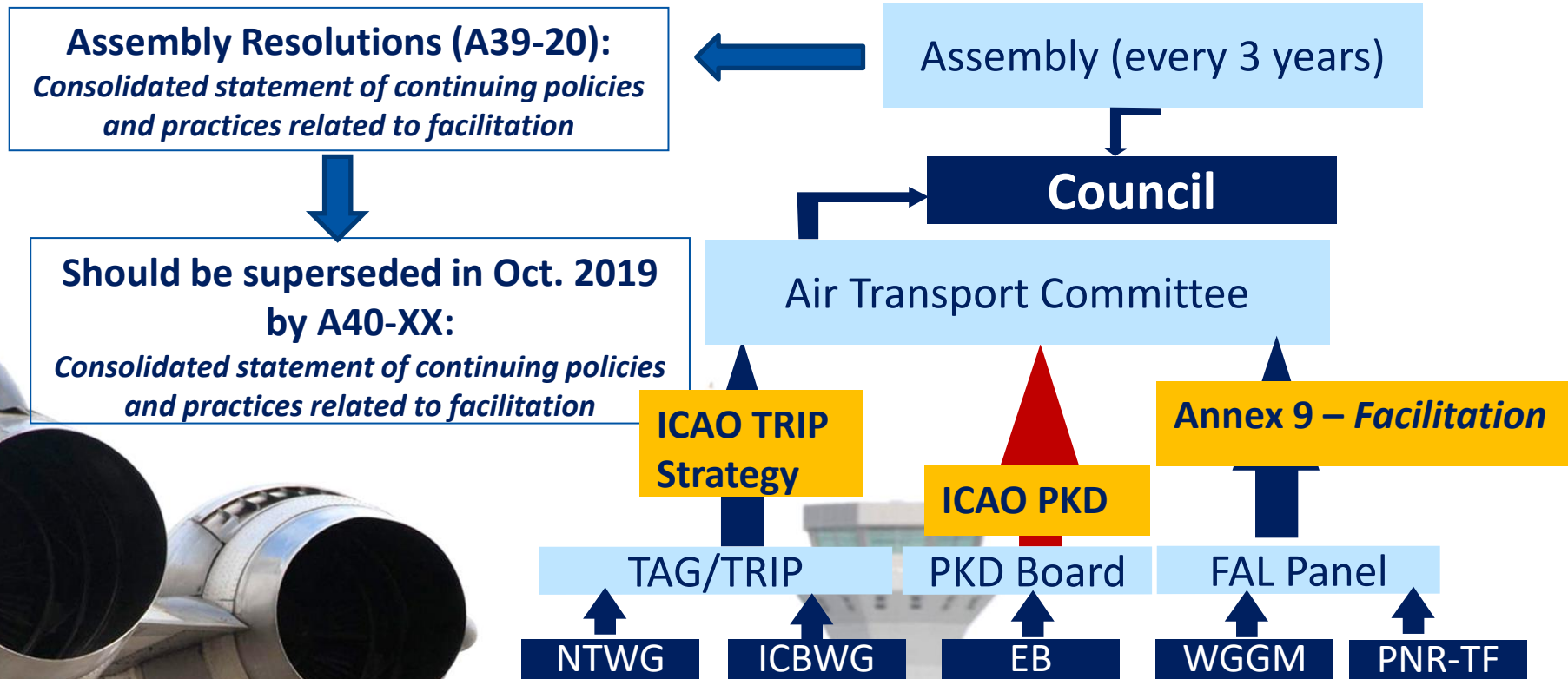


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# Three Facilitation (FAL) Programmes foundation



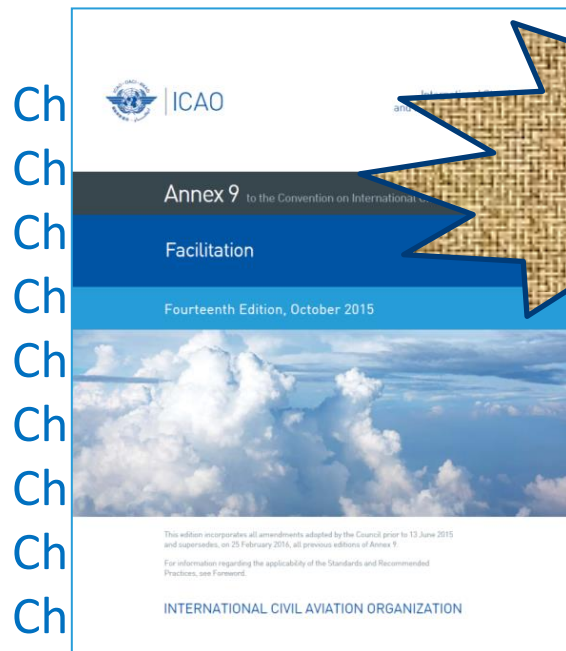




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# Annex 9 – *Facilitation*: setting the regulatory framework



70<sup>th</sup>  
Anniversary



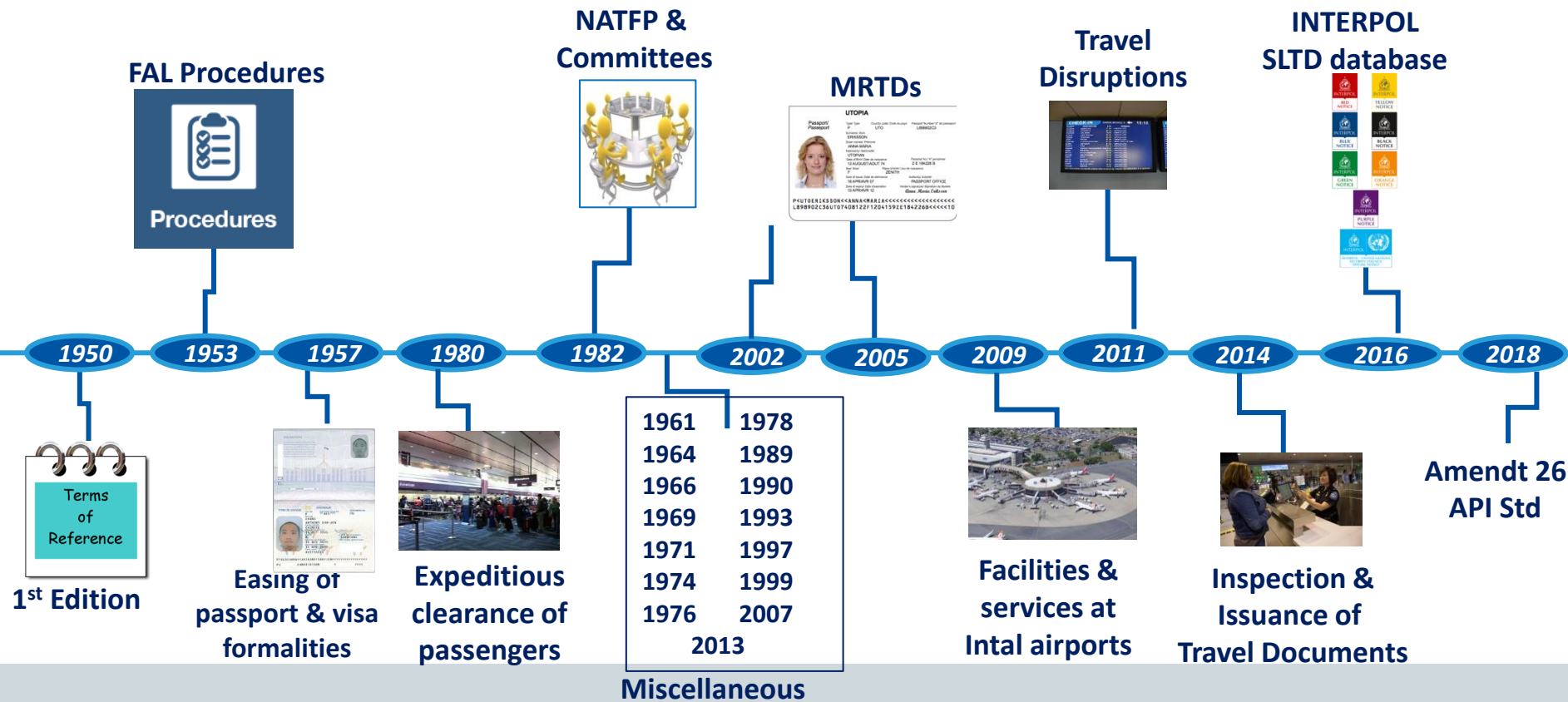
## Standards and Recommended Practices (SARPs)



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# Annex 9 main Amendments milestones since 1949



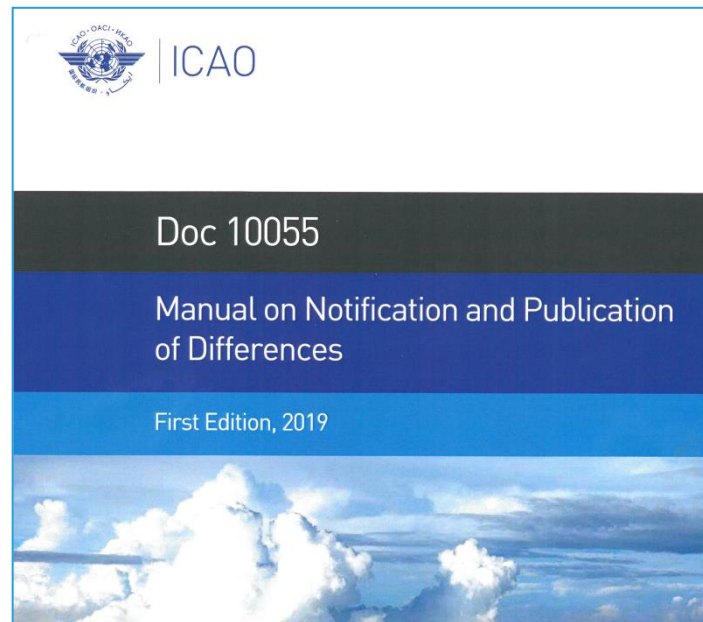


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# Filing of Differences: obligation from States

- 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
- States are encouraged to submit their Compliances or Differences through the Electronic Filing of Differences (EFOD) system at [www.icao.int/usoap](http://www.icao.int/usoap)





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## Annex 9 SARPs behind the ICAO TRIP and ICAO PKD

Ch. 1. Definitions and General Principles

Ch. 2. Entry and departure of aircraft

**Ch. 3. Entry and departure of persons and their baggage**

Ch. 4. Entry and departure of cargo and other articles

Ch. 5. Inadmissible persons and deportees

Ch. 6. International airports — facilities and services for traffic

Ch. 7. Landing elsewhere than at international airports

**Ch. 8. Facilitation provisions covering specific subjects**

**Ch. 9. Passenger Data Exchange Systems**





# The Traveller Identification Programme: ICAO TRIP Strategy



**Regulatory Framework set up by Annex 9 – *Facilitation***  
**All TRIP elements are enhancing both Facilitation and Security**

- Builds on ICAO Leadership in MRTD matters since more than 40 years
- Produces standardized and interoperable specifications
- Builds confidence in the reliability of travel documents issued.
- Establishes effective inspection and verification procedures
- Facilitates inspection formalities for 99% of travellers in a secure & streamlined way





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## ePassport status by region

Region	Number of Member States	Number of Member States issuing ePassports
Asia and Pacific (APAC)*	39	21
Eastern and Southern African Office (ESAF)	24	16
European and North Atlantic (EUR/NAT)	56	55
Middle East (MID)	15	9
North American, Central American and Caribbean (NACC)	22	6
South American (SAM)	13	9
Western and Central African (WACAF)	24	19
Total	193	135

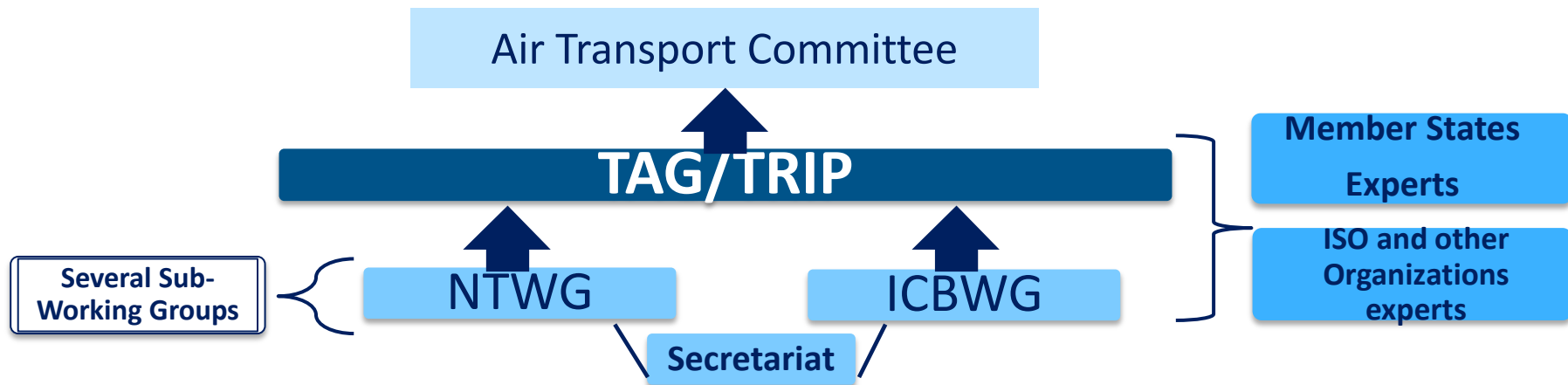


**Roadmap toward an ePassport Standard to be discussed in 2020 in the TAG/TRIP and the FALP meetings**

*\*Hong Kong (China) and Macao (China) are not counted as ICAO Member States, however they do issue ePassports*



# TRIP guidance: the development and approval process



The New Technologies Working Group (**NTWG**)

Main task:

**Research into travel document technologies**

The Implementation and Capacity Building Working Group (**ICBWG**)

Main Task:

**Assistance to States in implementing all the TRIP Strategy elements**





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## Extract of the ICAO TRIP Roadmap

ICAO TRIP element	Implementation Action	Timeframe & Status	Corresponding Audited Annex 9 Standards
All	Establish NATFP	2020 onwards	Standard 8.17
All	Establish Facilitation Committees	2020 onwards	Standard 8.19
MRTDs	Completion of MRPs implementation	Q4 2019	Standard 3.11
MRTDs	Implementation of machine readable CTDs	2020 onwards	Standard 3.12
Document issuance and control	Application of processes and protocols for document issuance and controls to prevent theft...	On-going	Standards 3.7; 3.8; 3.8.1
Interoperable applications	Use of globally interoperable applications linking MRTD holders to available databases	On-going	Standard 3.10
Interoperable applications	Ensure linkage of MRTDs to relevant data in the course of inspection operations such as API and PNR with watch lists, information sharing etc.	On-going	Standard 9.8
Interoperable applications	Implementation of API System	On-going	Stds 9.5, 9.6 and 9.8



# 11 Audited TRIP-related Standards

Sub-Area	Annex 9 Standards	Results for the audited States
Programme and Coordination	8.17 and 8.19	<b>51%</b> have NATFP based on the requirements <b>44 %</b> have established Airport /Facilitation Committees, or similar coordinating bodies.
Security of Travel Documents	3.7, 3.8 and 3.8.1	<b>84%</b> have incorporated security features <b>86%</b> have effective safeguards against theft of blank travel documents; <b>83%</b> have established appropriate controls over the issuance processes.
Security of Travel Documents	3.10	<b>71%</b> have reported stolen, lost, and revoked travel documents to INTERPOL for inclusion in the SLTD database.
Security of Travel Documents	3.11 3.12	<b>97%</b> issue only machine readable passports <b>69%</b> issue CTDs in machine readable form.
Entry Procedures and Responsibilities	9.5 (new API Std), 9.6 and 9.8	<b>65%</b> have introduced an API system <b>55%</b> of them follow UN/EDIFACT PAXLST format.



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# International cooperation for each TRIP element: Signed MoUs and corresponding Action Plans are key for successful TRIP implementation



UNITED NATIONS  
OFFICE OF COUNTER-TERRORISM

2018



UNODC  
United Nations Office on Drugs and Crime

2017



2016



World Customs Organization  
Organisation Mondiale des Douanes

2011



INTERPOL

2000



2010



UNHCR  
The UN Refugee Agency

PLANNED



2019



2019



2020

WORLD  
ECONOMIC  
FORUM

2020



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## Main HLCAS/2 (29-30 Nov.2018) FAL-related WP



*WP 29: PNR Standard(s) (United States) [linked to UNSCR 2396](#)*





## Outcome for HLCAS/2 WP 29

**WP 29:** *While recognizing that this matter is relevant to the AVSEC Panel, HLCAS suggested that FALP is currently the appropriate body to discuss the advancement of the use of PNR data. When doing so, due consideration should be given to the protection of fundamental rights of passengers in the collection, processing, analysis and sharing of personal data*

**Recommendation:** *further consideration be given by ICAO to how passenger information can be better used to inform, assist, and support aviation security objectives, including the promulgation of ICAO Standard(s) regarding the collection, use and analysis of PNR data, in line with UNSCR 2396 (2017).*

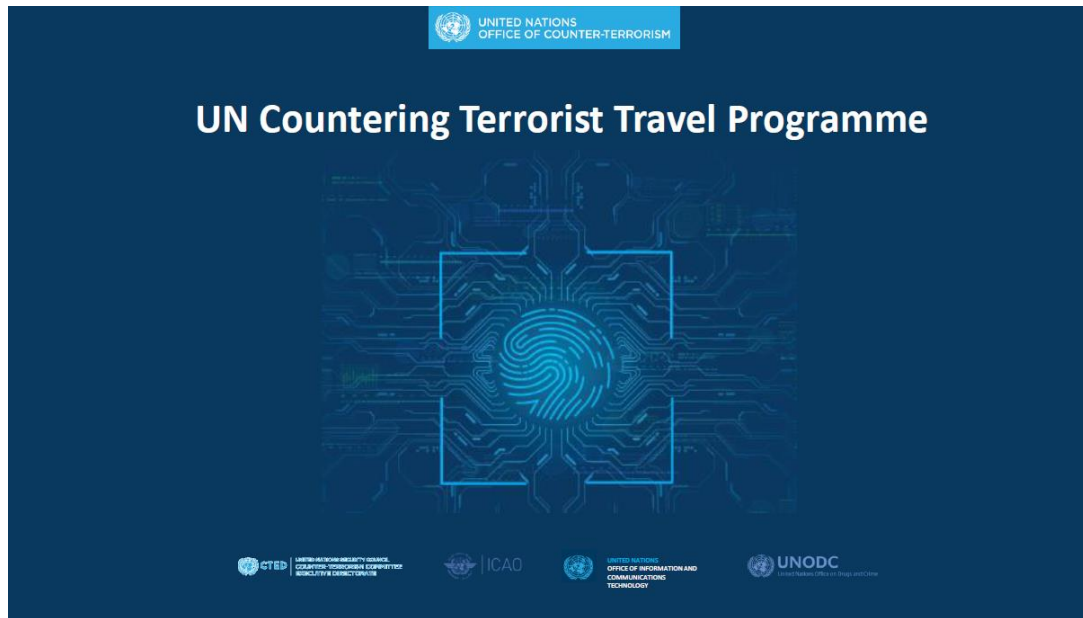


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# The UNCTT Programme



- A global multi-year capacity-building initiative to assist Member States to detect FTFs by using API and PNR data
- Launched on 7 May 2019 in New York in the presence of the UN and ICAO SGs
- Coordinated by UNOCT and implemented in partnership with CTED, ICAO, UNODC and OICT through an 'All-of UN' approach

# The UNSC resolutions behind the UNCTT Programme:

## Resolutions 2178 (2014) for API and 2396 (2017) for PNR data

**“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...”

**“Calls upon** Member States **to require** that airlines operating in their territories provide **advance passenger information** to the appropriate national authorities...”

**“Decides** that Member States **shall develop the capability** to collect, process and analyse, in furtherance of ICAO standards and recommended practices, **passenger name record (PNR) data** and to ensure PNR data is used by and shared with all their competent national authorities, with full respect for human rights and fundamental freedoms for the purpose of preventing, detecting and investigating terrorist offenses and related travel, further...”*and also*

**Urges ICAO** to work with its Member States **to establish a standard** for the collection, use, processing and protection **of PNR data**;



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# Key areas of implementation of the UNCT Travel Programme

## 1. Legislative

Assist Member States to strengthen their national legislative frameworks to regulate the collection, transmission, use, retention and sharing of passenger data in compliance with international human rights standards

## 2. Operational

Provide training and other capacity-building to support the operationalization of the PIU e.g. mentorship, exchange visits, sharing of best practices and lessons learned

## 3. Air Carrier Engagement

Assist beneficiary Member States in securing the provision of bulk API/PNR data from airlines to their PIUs in accordance with ICAO standards and recommended practices (SARPs)

## 4. Technical

Deploy and install the UN 'goTravel' software system on the servers of beneficiary Member States and provide the necessary maintenance support





## Expert assessment and Technical Assistance

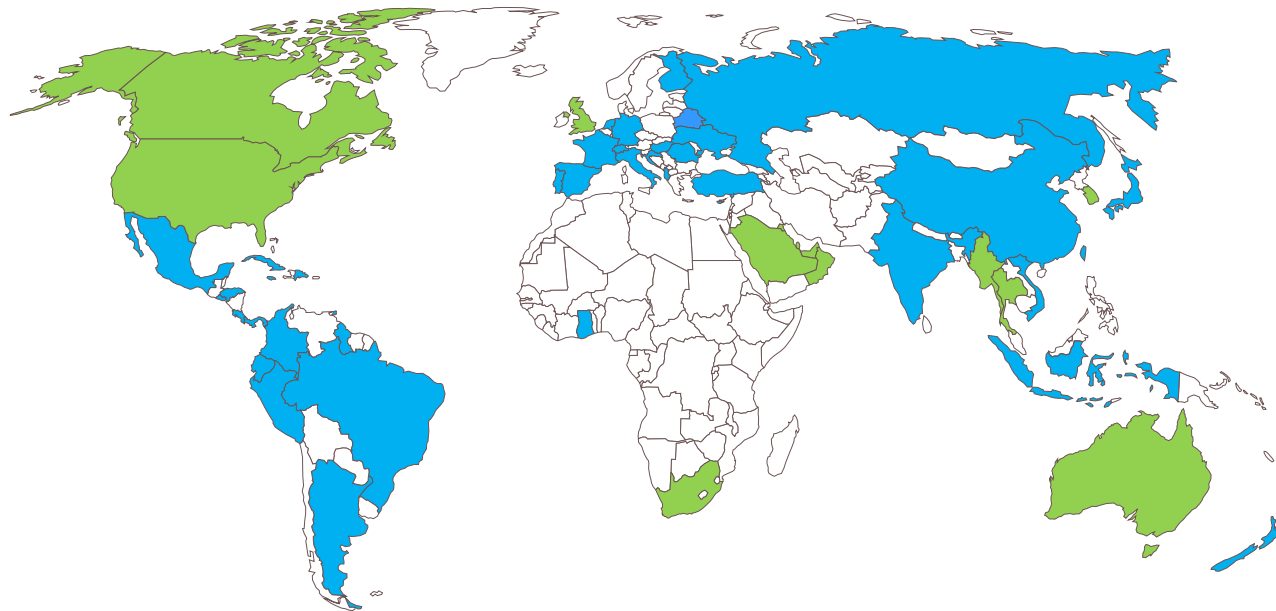
- Written confirmation of interest initiates a thorough technical assessment by the Programme and its UN partners
- Production of a detailed implementation roadmap with tailored recommendations
- Commitment from the beneficiary Member State precedes the provision of assistance on the legal, operational, carrier engagement and/or technical areas of support



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# Status of API implementation: 67 Member States



## Legend

iAPI in force (total: 16)

API in force (total: 51)

Source: IATA

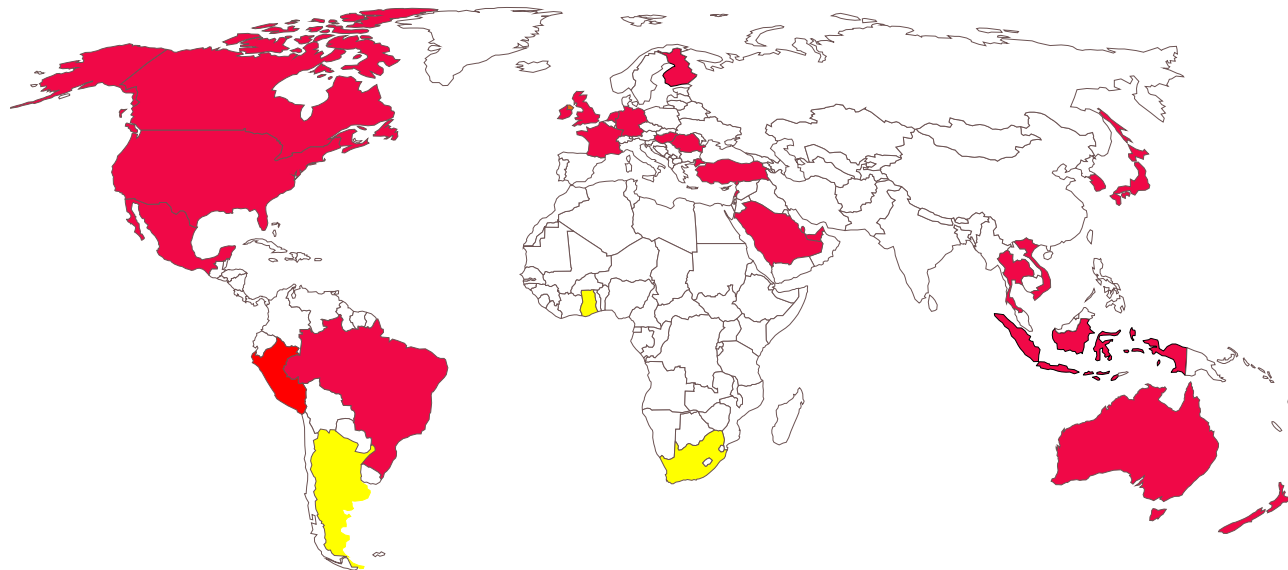


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# Status of PNR implementation: 26 Member States



## Legend

- PNR in force
- PNR Authorized not in force

Source: IATA



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## PNR and Conflict of Law

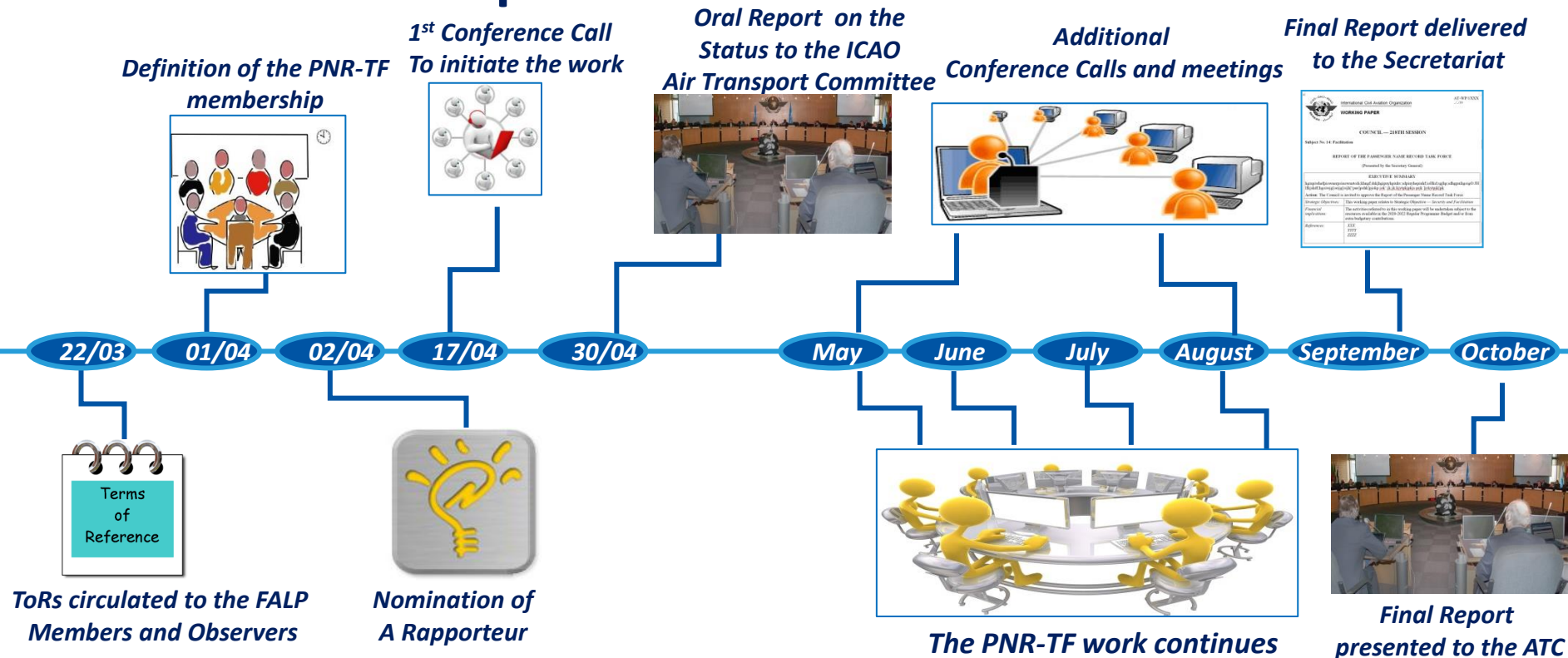
- UNSCR 2396 (2017) urges ICAO to establish a standard for the collection, use, processing and protection of PNR data.
- The Chicago Convention is the coherent, harmonized legal framework to regulate API & PNR data transfer (ICAO Annex 9 SARPs, PNR Guidelines and PNRGOV specifications).
- However, there is no harmonized legal framework to overcome the conflict of law as it relates to data privacy and the transfer of PNR data.
- General principles on PNR data protection are in Doc 9944

### Next Steps:

The ICAO Air Transport Committee (ATC) tasked the Facilitation Panel with preparing proposals for Standards and Recommended Practices (SARPS) on the collection, use, processing and protection of passenger name records (PNR) in line with United Nations Security Council resolution 2396 (2017) and report to the Committee during the 218th Session in October 2019.



## PNR-TF implementation milestones 2019





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## API and PNR: Overview

ADVANCE PASSENGER INFORMATION (API)	PASSENGER NAME RECORD (PNR) DATA
<b>FACILITATION &amp; SECURITY TOOL:</b> importance to have Travel Documents compliant with Doc 9303	<b>FACILITATION &amp; SECURITY TOOL</b>
Serve legal requirement	Serve airlines' marketing operations
<b>40</b> possible data elements	<b>60</b> possible data elements or fields (including API data)
Collection by airline: flight open for check-in	Collection in reservation systems: months/weeks
<u>Mandatory:</u> ICAO Annex 9 Standard	<u>Not mandatory</u> at present (Annex 9)

**Both should be submitted through a single data entry point called:**

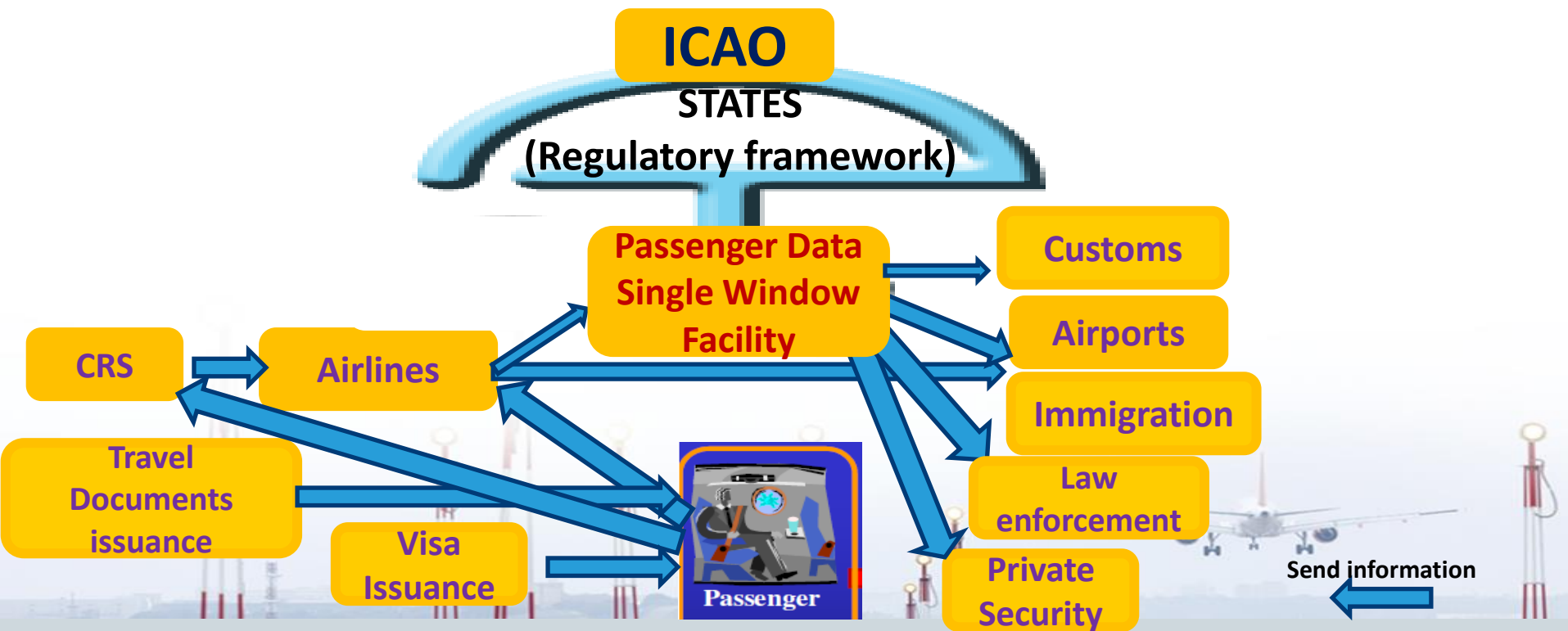
**Passenger Data Single Window Facility**



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# Passenger Data Single Window Facility for API and PNR





# Recommended Practice: Physical and Digital matching at borders

## ePASSPORT



**STATE A**



## ICAO Public Key Directory (PKD)



**STATE A**



## Automated Border Control (ABC) gates

**STATE B  
Border**

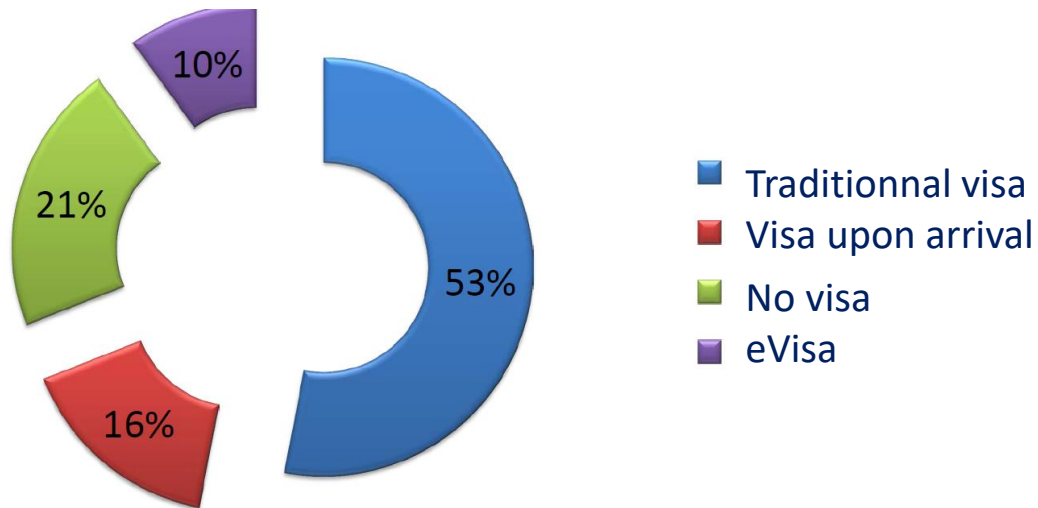
- Validation of ePassports with PKD
- Biometric matching to establish that the passenger is the rightful holder of the document
- Query INTERPOL's Stolen and Lost Travel Documents (SLTD) database, as well as other border control records, to determine eligibility for border crossing



# Visa Facilitation role in the air transport growth

**Electronic Travel System (ETS):** automated process for the lodgement, acceptance and verification of a passenger's authorization to travel to a State, in lieu of the standard counterfoil paper visa

**Objective:**  
Modernization  
of visa regimes



53% of world population needs a visa before travelling and only 10% can obtain an electronic visa





# Electronic Travel Systems (ETS) Status

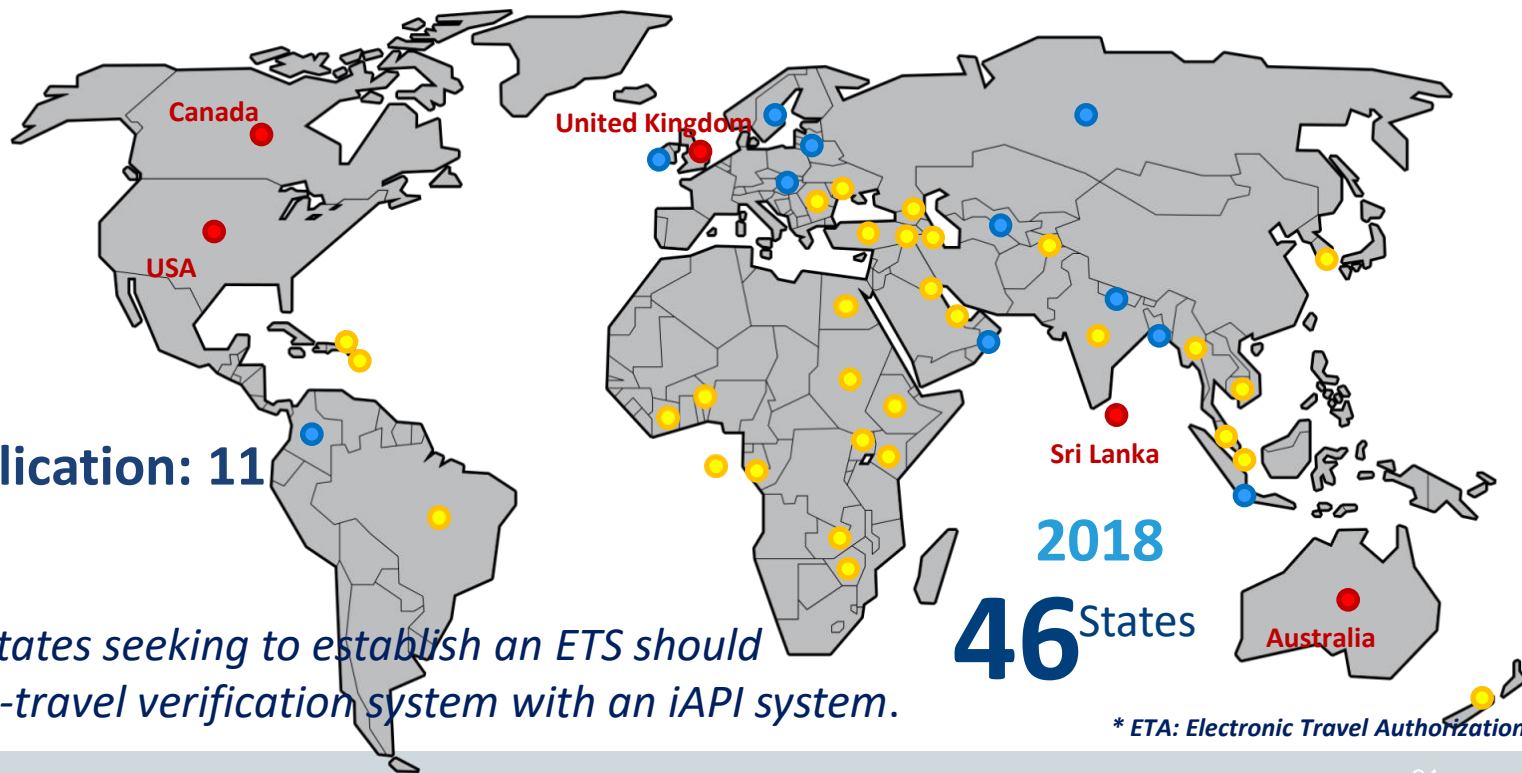
2011

6 States

● eVisa : 30

● ETA\*: 5

● On-line application: 11



*RP: Contracting States seeking to establish an ETS should integrate the pre-travel verification system with an iAPI system.*

\* ETA: Electronic Travel Authorization



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GLOBAL AVIATION TRAINING  
TRAINAIR PLUS™

Canada

ICAO TRIP

TRAVELLER IDENTIFICATION PROGRAMME

CONTROL OF THE AUTHENTICITY AND VALIDITY OF TRAVEL DOCUMENTS  
AT AIRPORT BORDERS – LEVEL 1

Available  
Arabic, Chinese,  
English, French  
And Russian



## ICAO Training Course on control of Travel Documents

**7 Deliveries in 2017-2018**

*(130 Trainees, 12 States)*

- Moshi, **Tanzania**, Jul.- Aug.2017 with IOM
- Zaria, **Nigeria**, 23-26 Oct. 2017
- Niamey, **Niger**, 9-12 April 2018  
with trainees from Burkina Faso, Chad,  
Mauritania, Mali & Niger (AFI SEC/FAL Plan)
- New Delhi, **India**, 5-8 March 2018
- Quito, Ecuador, Jul. 2018, ICAO Funds
- Doha, Qatar, Nov. 2018, ICAO Funds



## Importance of providing enough passports specimen



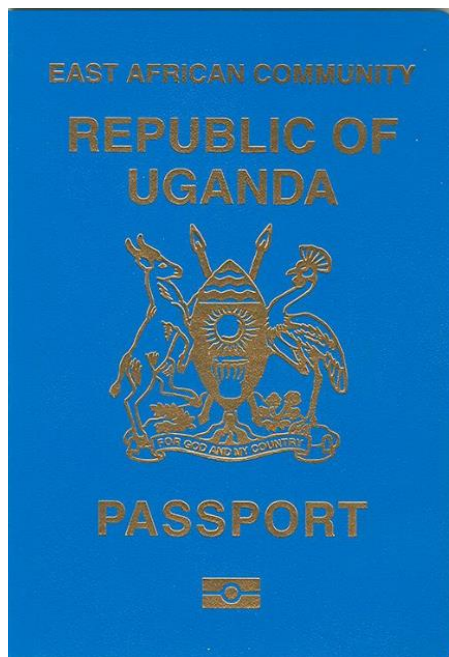




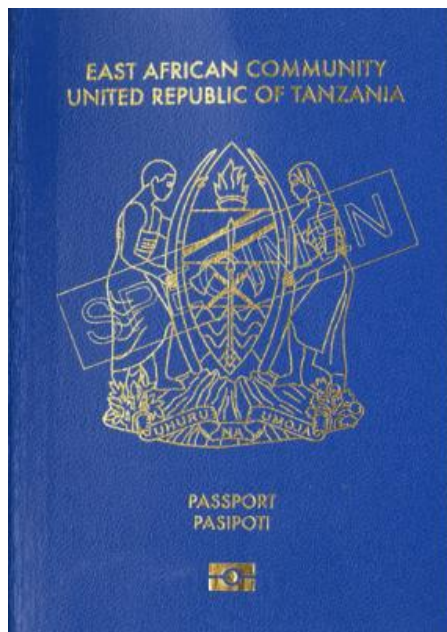
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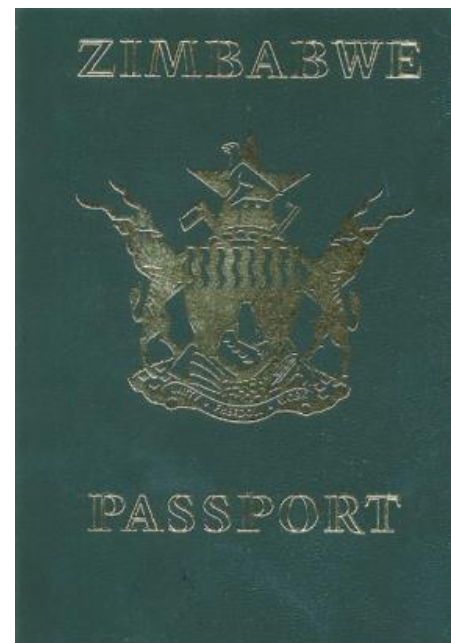
## Eastern and Southern African (ESAF): 3 States out of 24



**UGANDA**



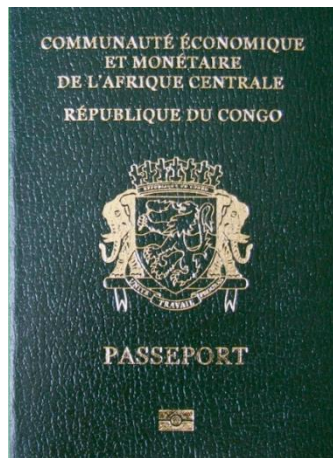
**UNITED REPUBLIC  
OF TANZANIA**



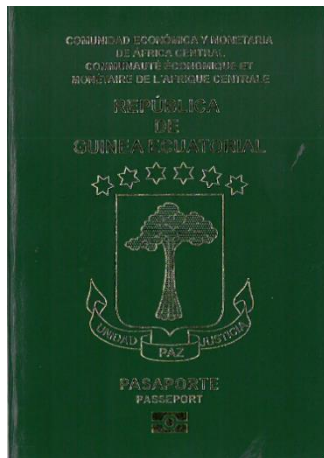
**ZIMBABWE\***

*\*Machine Readable Passports as per ICAO Standards and Specifications*

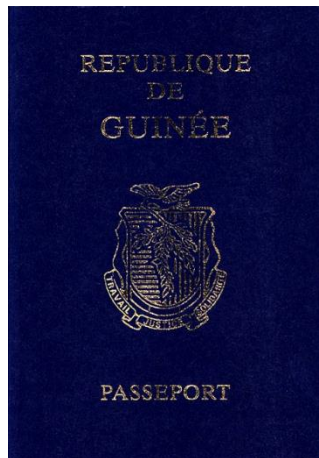
## Western and Central African (WACAF): 5 States out of 24



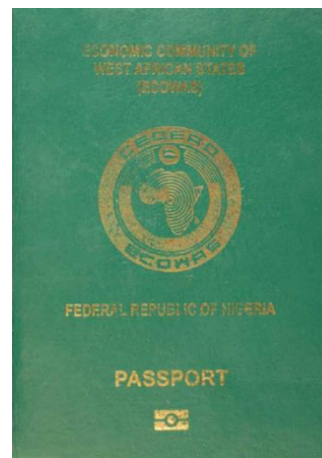
CONGO



EQUATORIAL  
GUINEA



GUINEA\*



NIGERIA



TOGO

*\*Machine Readable Passports as per ICAO Standards and Specifications*



# ICAO Border Control Management Guide

Funded by the  
Government  
of Canada

Canada

Inspection Systems and Tools	Interoperable Applications
<ul style="list-style-type: none"> <li>A. Visas and Electronic Travel Systems</li> <li>B. Document Readers</li> <li>C. Biographic Identity Verification</li> <li>D. Biometric Identity Verification</li> <li>E. National Watchlists</li> <li>F. Entry and Departure Databases</li> <li>G. Automated Border Controls</li> </ul>	<ul style="list-style-type: none"> <li>H. Advance Passenger Information and Interactive Advance Passenger Information</li> <li>I. Passenger Name Record</li> <li>J. Public Key Infrastructure and the ICAO Public Key Directory</li> <li>K. eMRTD Biometric Identity Verification</li> <li>L. INTERPOL's Stolen and Lost Travel Documents Database</li> <li>M. International Watchlists</li> </ul>

Developed with the support of an advisory group of experts



<https://www.icao.int/Security/FAL/TRIP/Pages>



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## Main challenge for Facilitation



100,000 daily flights

**More than 3.5 Million International passengers per day for whom border clearance need to be expedited**

**Minimum of 10 seconds are needed by the first line Officer for each pax clearance**



**Substantial lack of resources to expedite clearance for all pax**



## The way forward

- Importance to comply with ICAO Standards or to notify Differences when it is not possible
- Before issuing a Travel Document a robust check must be conducted on the effective identity
- States need to ensure that their travel documents are fully interoperable
- Focus on improving **both** Aviation Security and air transport Facilitation
- Need to move from bilateral programmes to a globally interoperable framework as offered by the ICAO PKD tool.
- Effective collaboration among various government agencies (importance of NATFP)
- Efficient Cooperation between international organizations.

### Challenges ahead:

- harmonization of intelligence and data sharing;
- the international passenger numbers is expected to double in the next 20 years
- increased number of security threats
- shift to a secure digital process; and
- ensure data privacy.



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