



DIRECTORS GENERAL OF CIVIL AVIATION-MIDDLE EAST REGION

Fourth Meeting (DGCA-MID/4) (Muscat, Oman, 17-19 October 2017)

Agenda Item 6: Aviation Security and Facilitation

DEVELOPMENTS IN THE ICAO FACILITATION PROGRAMME

(Presented by ICAO Secretariat)

SUMMARY

This paper highlights recent developments in all ICAO Facilitation programmes namely, Annex 9 – *Facilitation* related programme, the ICAO Traveller Identification Programme (TRIP) strategy and the ICAO Public Key Directory (PKD).

The action by the meeting is in paragraph 5.

1. INTRODUCTION

1.1 In the area of aviation security and facilitation, 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. Thus, key principles such as risk management-based prioritization and mutual recognition of equivalent security measures continue to serve as foundational components to Security and Facilitation discussions in ICAO. Highlighting the importance of putting travel facilitation on equal footing with aviation security, Strategic Objective – *Security and Facilitation* reflects the need for ICAO's leadership in aviation security, facilitation and related border security matters.

1.2 A39 endorsed the work plan of the Facilitation programmes and their expected outcomes for the 2017-2019 triennium. Assembly Resolution A39-20, *Consolidated statement of continuing ICAO policies related to facilitation*, identified national and international action in ensuring the security and integrity of traveller identification and border controls. Specifically, the Assembly urged Member States, through their travel document and border control programmes, to uniquely identify individuals to maximize security and facilitation benefits, including preventing acts of unlawful interference and other threats to civil aviation. Furthermore, the Assembly endorsed the development of a roadmap for the implementation of the ICAO Traveller Identification Programme (ICAO TRIP) Strategy.

2. ANNEX 9 DEVELOPMENTS

2.1 The ninth meeting of the Facilitation Panel (FALP/9), held at ICAO Headquarters, Montréal, from 4 to 7 April 2016, resulted in recommendations for substantive amendments to Annex 9 — *Facilitation*. 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>. The Panel's recommendations

were submitted to the Air Transport Committee (ATC) in October 2016 for initial review and subsequently disseminated to Member States for comments before being considered by the ICAO Council in June 2017.

2.2 The Council adopted the following provisions, inter alia, for incorporation into Annex 9 (with an effective date in October 2017):

- a) a new Standard obliging each Member 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 regulatory framework and guidance provided to Governments planning implementation of an electronic version of visa issuance or travel authority; and
- d) augmented provisions on Automated Border Control (ABC) systems, as a result of the increasing use of such system.

3. IMPLEMENTATION OF THE ICAO TRIP STRATEGY

3.1 The ICAO TRIP Strategy (**Appendix A**) establishes a comprehensive framework for Member States, ICAO and traveller identification partners to guide and support future developments. **Appendix B** presents a visual representation of the TRIP strategy and the stakeholders whose contributions support this integrated approach. **Appendix C** details the ICAO TRIP-related Annex 9 provisions.

3.2 At the regional level, ICAO provided assistance to Member States in the 2014-2016 triennium in the area of Annex 9 – *Facilitation*, Doc 9303, *Machine Readable Travel Documents (MRTDs)*, and implementation of the ICAO TRIP Strategy, through regional seminars and donor funded assistance programmes such as the Sahel Project, funded by the Government of Canada.

3.3 At the international level, the ICAO Secretariat is developing and consolidating its working arrangements with a number of international organizations that have a key role to play in the implementation of the TRIP Strategy. This is being done through the establishment of new or updated Memorandums of Understanding with organizations such as the International Organization for Migration (IOM) and the International Criminal Police Organization (INTERPOL).

3.4 Annex 9 (Fourteenth Edition), Standard 3.11.1 requires that all non-machine readable passports be out of circulation by 24 November 2015. The status for Middle East Region States, as of August 2017, is shown in **Appendix D**. With renewed focus and in conjunction with identification management partners, and building on progress to date, ICAO will continue to provide globally endorsed measures, tools, services and other means to both mitigate risks to aviation security and to broaden national security through robust methods of identification management and border control and facilitate genuine travellers through the airport process by automated clearance processes to increase throughput.

3.4.1 A structured action plan for the implementation of the TRIP Strategy has to be developed by each State. An action plan, the *Roadmap for the ICAO Traveller Identification Programme (TRIP) Strategy*, has been endorsed by the ATC during its 210th Session in January 2017. State Letter EC 6/8 – 17/96, sent on 11 August 2017, describes the roadmap (**Appendix E**) which is designed to assist Member States with the task of implementing the ICAO TRIP Strategy. Guidance material is available for States at <http://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>. **Appendix F** lists the guidance available for each element.

3.5 The Thirteenth Symposium and Exhibition on ICAO TRIP will take place from 24 to 26 October 2017 at ICAO Headquarters in Montréal, Canada. The Symposium will address the five elements of the ICAO TRIP Strategy, including best practices for document issuance and related border security issues. In line with UN Security Council Resolutions 2178 (2014) and 2309 (2016) that re-affirmed the importance of border controls to combat terrorism, the Symposium will provide an opportunity to enhance international cooperation and collaboration to address the threats faced by international civil aviation. Accordingly, the theme of this year's Symposium will highlight how to secure border integrity through border control management processes, including the implementation of an API system. An exhibition will complement the Symposium, showcasing a broad range of products and services related, notably, to identification management (<https://www.icao.int/Meetings/TRIP-Symposium-2017/Pages/default.aspx>).

4. ICAO Public Key Directory (PKD) Membership And Benefits

4.1 As an ePassport (eMRTD) is only as good as the information contained on its chip, it requires an inspection tool, the ICAO PKD, which acts as a central broker by managing the multilateral exchange of certificates and certificate revocation lists used to validate the digital signature on the chip. Through the PKD, any attempt to alter the chip's data is immediately detected when checks are made.

4.2 As of August 2017, the ICAO PKD had grown to 58 participants with five States from the Middle East Region as PKD participants (**Appendix G**). However, there remains a significant gap between the number of PKD participants and those States using the PKD in border control operations. Therefore, the existing PKD Recommended Practice (RP) was divided in the 14th edition of Annex 9, into two RPs. As a result, it is recommended that document issuers (3.9.1) should join the PKD, while border control authorities (3.9.2) should use the information from the PKD to validate eMRTDs at border controls.

5. ACTION BY THE MEETING

5.1 The meeting is invited to take note of this paper highlighting developments in all ICAO's Facilitation Programmes, including the importance of implementing the ICAO Traveller Identification Programme (TRIP) strategy which aims at enhancing both cross-border security and travel facilitation.

5.2 The DGCA-MID/4 is also invited to recommend that:

- a) Middle East Region States should implement the ICAO TRIP Strategy in order to achieve enhanced aviation security and to prevent the movement of potentially inadmissible persons;
- b) Middle East Region States should endeavour to join the ICAO PKD as a means to authenticate travel documents in order to neutralize the activities of cross-border criminality;
- c) Middle East Region States should comply with the Standard of Annex 9 requiring them to promptly report accurate information about stolen, lost, and revoked travel documents, issued by their State, to INTERPOL for inclusion in the Stolen and Lost Travel Documents (SLTD) database;
- d) Middle East Region States should commit to establish a National Air Transport Facilitation Programme and associated committees in accordance with the Standards 8.17, 8.18 and 8.19 of Annex 9 – *Facilitation*; and
- e) Middle East Region States should consider attending the Thirteenth ICAO TRIP Symposium to be held at the ICAO Headquarters from 24 to 26 October 2017.

APPENDIX A

ICAO TRIP STRATEGY

1. BACKGROUND

1.1 At the center 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.

1.2 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.

1.3 For ICAO and its Member States, the vision in traveller identification management is to reach the target that: “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.

2. PILLARS OF THE IMPLEMENTATION OF THE ICAO TRIP STRATEGY

2.1 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 is 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.

2.2 Under the ICAO TRIP Strategy, the following pillars are fundamental for its successful implementation:

- a) Compliance with relevant Standards and Recommended Practices (SARPs) of Annex 9, Chapter 3, and specifications of Doc 9303, MRTDs;
- b) Establishment of a National Air Transport Facilitation Programme and associated committees;
- c) Full implementation of Machine Readable Passports as per Standard 3.11 of Annex 9 (14th Edition);

- d) Assessment of compliance with the international framework of MRTDs, with emphasis on cost-effective methods to produce recommendations to address deficiencies;
- e) Participation in the ICAO PKD;
- f) Planning for the definition of a roadmap for the issuance of ePassports;
- g) Establishing interoperable applications such as Advance Passenger Information (API) systems and linking these to watch lists; and
- h) Engaging in capacity building for the benefit of States' programmes, with focus on developing assistance partnerships to recruit and mobilize financial and in-kind resources.

3. INTEROPERABLE APPLICATIONS

3.1 As part of the fifth element of the ICAO TRIP Strategy, Interoperable Applications, it is worth mentioning the use of the INTERPOL Stolen and Lost Travel Document (SLTD) database and Advance Passenger Information (API), the latter which enables the efficient and expedited clearance of low-risk persons.

3.2 New SARPs on the SLTD database were introduced in Annex 9 in October 2015, in the 14th Edition:

- a) Standard 3.10 states that "Contracting States shall promptly report accurate information about stolen, lost, and revoked travel documents, issued by their State, to INTERPOL for inclusion in the Stolen and Lost Travel Documents (SLTD) database"; and
- b) Recommended Practice 3.10.1 states that "Each Contracting State should, as far as practicable, query, at entry and departure border control points, the travel documents of individuals travelling internationally against the INTERPOL Stolen and Lost Travel Documents (SLTD) database".

4. ASSESSMENT THROUGH DOC 9303 COMPLIANCE SCHEME

4.1 The Implementation and Capacity Building Working Group (ICBWG) of the ICAO Technical Advisory Group on TRIP (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 may not be issuing MRTDs that are fully compliant with the specifications in Doc 9303. Therefore, the Secretariat decided to consider the establishment of objective means to verify such compliance. A proposed systemic process for evaluating passport compliance with Doc 9303 specifications, the Doc 9303 Compliance Programme is currently being developed with the concept of operation and respective roles and responsibilities already identified.

5. ROADMAP FOR EPASSPORT IMPLEMENTATION AND EXPANSION OF AUTOMATED BORDER CONTROL (ABC) USE

5.1 According to the latest open-source statistics concerning ePassport issuance, more than 120 States issue ePassports and an estimated 667 million e-Passports are in circulation. As ePassport implementation expands, the possibility of a Standard requiring ePassports arises, following the example of Standards that have assisted with the move from handwritten to machine-readable passports. The ICAO Council is of the view that ambitious leadership by ICAO in travel document matters, including ePassport, is essential. Work will progress on an ePassport roadmap which identifies the challenges and conditions

that must be met by Member States when implementing ePassport systems and for ICAO over the long-term in considering the possibility of an ePassport Standard.

5.2 ABCs are effectively an additional functionality of biometric passports as it is related to traveller inspection using travel documents identification to assess admissibility into a country.

5.3 According to industry reports, the expansion of ABCs, used for the inspection of travel documents, increased between August 2014 and November 2015 from availability in 134 airports in 40 States to 173 airports in 56 Member States. Of these States, only 38 of them currently use an ABC system with the ePassport as the required token.

5.4 Further development of an ABC-related regulatory framework, as adopted by the ICAO Council in June 2017, will encourage Member States to expand the use of ABCs.

5.5 The ICAO TRIP strategy is broad, spanning travel documents and borders, hence there is a need for greater border control authority involvement, including in the area of validation of identity. The TAG/TRIP working groups are developing initiatives to enhance the engagement of border control authorities in the implementation of all aspects of the ICAO TRIP Strategy.

5.6 At the national level, implementation of the ePassport roadmap will require coordinated action between many government and industry entities, such as passport issuing offices, aviation security authorities, civil registries, border control and law enforcement agencies, airlines, airport authorities, the travel document industry, immigration authorities and other interested parties. The mechanisms and requirements for such coordination on matters relating to facilitation already exist in Annex 9 through national air transport facilitation programmes and their related committees.

5.7 In the Middle East region, it is estimated that seven States are issuing ePassports while data on the level of ABC implementation is largely anecdotal. Data from IATA estimate that seven States in the Middle East Region use ABCs. Any roadmap for the implementation of ePassports at the national level, must consider in parallel the implementation of ABCs if security and facilitation objectives are to be fully realized.

6. ASSISTANCE ACTIVITIES

6.1 In the last triennium, ICAO continued to assist Member States on all matters related to the ICAO TRIP, including capacity-building activities funded by donors. The project Strengthening Travel Document Security and Identification Management in the Sahel region included activities such as regional seminars, the development and delivery of the ICAO Training Package “Control of the authenticity and validity of travel documents at airport border – Level 1” and four technical assessment missions (TAMs) to identify best practices and areas to be enhanced relating to the implementation of the TRIP agenda in the States concerned. A similar Canada-funded project, strengthening border control management in the Caribbean Region, is being implemented until March 2018. The main objective is to develop the “ICAO TRIP Guide on Border Control Management”, through the conduct of four TAMs and two regional workshops. The project is implemented in partnership with the UN Counter-Terrorism Executive Directorate and with the support of the Caribbean Community (CARICOM) and the Organization of Eastern Caribbean States (OECS).

6.2 As requests for MRP technical assistance have increased considerably, additional resources in terms of expertise and funding are needed. Therefore, ICAO has been consolidating its

working partnerships with several United Nations agencies, other international and regional organizations and the donor community to explore more effective ways of providing assistance to Member States.

7. ICAO TRIP STRATEGY AND THE UNITED NATIONS AGENDA

7.1 As part of the coordination with the UN Security Council Global Strategy, ICAO actively supports UN Security Council Resolutions 1373 (2001), 1624 (2005), 2178 (2014) and 2309 (2016) as well as the Counter-Terrorism Implementation Task Force (CTITF). By doing so, ICAO makes contributions consistent with its own mandate in relation to aviation security and facilitation, including the ICAO TRIP Strategy.

7.2 The use of false identities and fraudulent travel documents, in addition to systemic weak-points in the identification management framework of many Member States, remain major vulnerabilities which continue to be exploited by criminal and terrorist networks. The UN Security Council urged Member 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.

7.3 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 6 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.

APPENDIX B

HOLISTIC TRAVELLER IDENTIFICATION MANAGEMENT



APPENDIX C

**ICAO Traveller Identification Programme (TRIP) Strategy Elements:
Related Annex 9 SARPs (Total: 48 SARPs)
(14th Edition, 2015)**

1. **Evidence of Identity:** “credible evidence of identity, involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity.”

Related Annex 9 SARPs:

Total: Nil

It should be noted that A39-20 provides a framework for “evidence of identity”.

2. **MRTDs:** “the design and manufacture of standardized MRTDs, including ePassports, that comply with ICAO [Doc 9303] specifications.”

Related Annex 9 SARPs: Standards 3.4, 3.11, 3.12, 3.14, 3.66;

Recommended Practices 3.9, 3.13, 3.27, 3.67

Total: 9

3. **Document Issuance and Control:** “processes and protocols for document issuance by appropriate authorities to authorized holders, and controls to prevent theft, tampering and loss.”

Related Annex 9 SARPs: Standards 3.3, 3.7, 3.8, 3.8.1, 3.11.1, 3.16, 3.17, 3.24, 3.26, 3.65, 3.68;

Recommended Practices 3.15, 3.16.1, 3.18, 3.25, 3.66.1, 3.67.1, 3.72

Total: 18

4. **Inspection Systems and Tools:** “inspection systems and tools for the efficient and secure reading and verification of MRTDs, including use of the ICAO PKD.”

Related Annex 9 SARPs: Standards 3.10;

Recommended Practices 3.9.1, 3.9.2, 3.10.1, 3.28

Total: 5

5. **Interoperable Applications** (including API and PNR): “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.”

Related Annex 9 SARPs: Standards 3.48, 3.48.1, 3.48.2, 3.48.5, 3.48.7;

Recommended Practices 3.4.1, 3.48.3, 3.48.4, 3.48.6, 3.48.8, 3.48.9,
3.48.10, 3.48.11, 3.49, 3.49.1, 3.49.2

Total: 16

APPENDIX D

STATUS OF COMPLIANCE WITH MRTD REQUIREMENTS IN MIDDLE EAST REGION

MIDDLE EAST REGION	Date of Reply	Question 1: All non-machine readable passports (MRPs) have expired, or are due to expire, before 24 November 2015 (YES/NO)	Q2 — If Q1 is “NO”: a) Number of non-MRPs in circulation beyond 24 November 2015; b) (Date) All non-MRPs due to expire	
			Q2 (a)	Q 2(b)
Bahrain	07-Jan-13	YES		
Egypt	25-Feb-13	YES		
Iran (Islamic Republic of)	15-Nov-15	YES		
Iraq	05-Jul-15	YES		
Jordan	03-Feb-13	YES		
Kuwait	15-Apr-13	YES		
Lebanon	09-Nov-15	NO	44, 300 (passage passports; diplomatic passports; service passports)	Early 2017
Libya	10-Jul-15	NO	600,000	December 2016
Oman	07-Apr-13	YES		
Qatar	16-Apr-13	YES		
Saudi Arabia	29-Apr-13	YES		
Sudan	07-Dec-14	YES		
Syrian Arab Republic			NOT YET ANSWERED	
United Arab Emirates	27-Mar-13	YES		
Yemen			NOT YET ANSWERED	

APPENDIX E

ICAO TRIP IMPLEMENTATION ROADMAP FOR MEMBER STATES

ICAO TRIP element	Implementation Action	Organizations Responsible	References	Supporting Resources	Timeframe
All	Nominate a national focal point for facilitation	Civil aviation authority	State letter EC 6/1-16/106	Secretariat	Q2 2017
All	Obtain access to the ICAO TRIP Platform for resources and support specific to the ICAO TRIP Strategy	Civil aviation authority (national focal point for facilitation)	Launch communication on ICAO TRIP Platform	Secretariat	Q3 2017
All	Establish National Air Transport Facilitation Committee (NATFC)	Civil aviation authority	Annex 9 and Doc 10042	Secretariat	2020 onwards
All	Establish National Air Transport Facilitation Programme (NATFP)	Civil aviation authority	Annex 9 and Doc 10042	Secretariat	2020 onwards
All	Complete online Compliance Checklist (CC) to ascertain level of compliance with all SARPs relating to the ICAO TRIP elements	Civil aviation authority	State letter EC 6/3 – 15/90	Secretariat	Q4 2017
Evidence of Identity	Implementation of a national strategy or framework related to evidence of identity involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity	National civil registration or identity management authorities, interior affairs, and/or other agencies or departments	ICAO guidance on identification management / evidence of identity	Secretariat, Technical Advisory Group on Traveller Identification Programme (TAG/TRIP) and relevant regional and international organizations (e.g. the World Bank, the Organization for Security and Cooperation in Europe (OSCE) etc.)	2020 onwards
Evidence of Identity	Application of evidence of identity principles: identity exists, identity is living, applicant links to identity, applicant is the sole claimant, applicant uses the identity in the	National civil registration or identity management authorities, interior affairs, and/or other agencies or departments	ICAO guidance on identification management / evidence of identity	Secretariat, TAG/TRIP and relevant regional and international organizations, e.g. International Organization for Migration (IOM), etc.	2020 onwards

ICAO TRIP element	Implementation Action	Organizations Responsible	References	Supporting Resources	Timeframe
	community (linkage between Birth and Death registers)				
Evidence of Identity	Verification of applicant against birth and death registries during travel document issuance process	National civil registration or identity management authorities, interior affairs, and other agencies	ICAO guidance on identification management / evidence of identity	Secretariat, TAG/TRIP and relevant regional and international organizations	2020 onwards
Evidence of Identity	Application of security features to breeder documents, such as birth certificates	National civil registration or identity management authorities, interior affairs, and others	ICAO guidance on identification management / evidence of identity	Secretariat, TAG/TRIP and relevant regional and international organizations	2020 onwards
MRTDs	Completion of Machine Readable Passports implementation	Travel document issuing authority; civil aviation authority	Annex 9 and Doc 9303	Secretariat and TAG/TRIP	Q4 2019
MRTDs	Implementation of ePassports, when a State chooses to do so	Travel document issuing authority	Annex 9 and Doc 9303 Future ePassport roadmap	Secretariat and TAG/TRIP	On-going
MRTDs	Assessment of compliance with travel document Standards and specifications	Civil aviation authority; travel document issuing authority	Annex 9 and Doc 9303 Future Compliance Programme	Secretariat	On-going 2018
MRTDs	Implementation of machine readable Convention Travel Documents	Travel document issuing authority; civil aviation authority	Annex 9, Doc 9303, ICAO/UNHCR Guide for Issuing Machine Readable Convention TDs for Refugees and Stateless Persons	Secretariat and United Nations High Commissariat for Refugees (UNHCR)	2020 onwards
MRTDs	Implementation of Logical Data Structure Version 2.0 (LDS2), to allow notably the digitization of visas and travel stamps	Travel document issuing authority	Doc 9303 and associated guidance	Secretariat and TAG/TRIP	2019 onwards
Document issuance and control	Application of processes and protocols for	Travel document issuing authority	Annex 9 and Guide for Assessing	Secretariat and TAG/TRIP	On-going

ICAO TRIP element	Implementation Action	Organizations Responsible	References	Supporting Resources	Timeframe
	document issuance and controls to prevent theft, tampering and loss		Security of Handling and Issuance of Travel Documents (TDs)		
Document issuance and control	Use of biometrics for travel document entitlement adjudication	Travel document issuing authority	Guide for Assessing Security of Handling and Issuance of Travel Documents	Secretariat and TAG/TRIP	On-going
Document issuance and control	Determine vulnerabilities in issuance processes and identify measures to rectify such deficiencies.	Travel document issuing authority	ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents	Secretariat and TAG/TRIP	On-going
Document issuance and control	Issuance of Emergency Travel Documents (ETDs)	Travel document issuing authority and other agencies or departments	ICAO Guidance on Emergency Travel Documents	Secretariat and TAG/TRIP	On-going
Inspection systems and tools	Use of inspection systems and tools for the secure reading and verification of MRTDs	Border control authorities	Annex 9, Doc 9303 and related guidance materials	Secretariat and TAG/TRIP	On-going
Inspection systems and tools	Participate in the ICAO Public Key Directory (PKD)	Border control authorities	Annex 9, Doc 9303 and related guidance materials	Secretariat and TAG/TRIP	On-going
Inspection systems and tools	Use PKD to validate ePassports at border control	Border control authorities	Annex 9, Doc 9303 and related guidance materials	Secretariat and TAG/TRIP	On-going
Inspection systems and tools	Use of facial recognition comparison capability of ePassports	Border control authorities	Annex 9, Doc 9303 and related guidance materials	Secretariat and TAG/TRIP	On-going
Inspection systems and tools	Implementation of travel document inspection using Automated Border Controls (ABCs)	Border control authorities	Annex 9, Doc 9303 and cost-benefit analysis template for	Secretariat, TAG/TRIP, IATA	2020 onwards

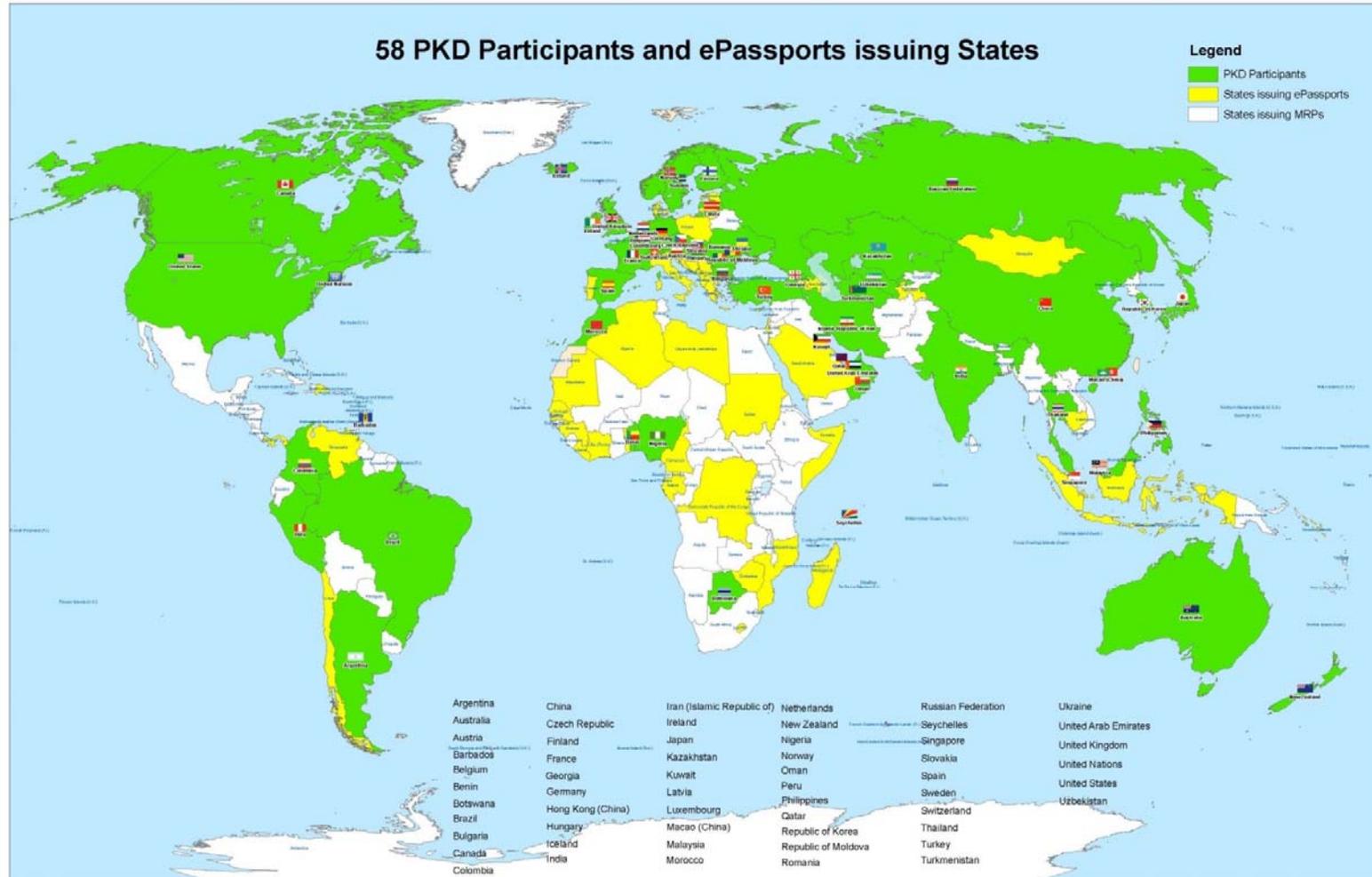
ICAO TRIP element	Implementation Action	Organizations Responsible	References	Supporting Resources	Timeframe
			ABC gates in coordination with ePassports and the PKD		
Interoperable applications	Use of globally interoperable applications and protocols linking MRTD holders to available watch lists and databases	Border control authorities and airlines	Annex 9, Doc 9303 and related guidance materials	Secretariat, TAG/TRIP, IATA, World Customs Organization (WCO), INTERPOL etc.	On-going
Interoperable applications	Report of lost and stolen TDs to the INTERPOL Stolen and Lost Travel Documents (SLTD) database	Travel document issuing authority and other agencies or departments	Annex 9, Doc 9303 and related guidance materials	Secretariat and INTERPOL	On-going
Interoperable applications	Check passports against the INTERPOL SLTD database	Border control authorities and/or other agencies or departments	Annex 9, Doc 9303 and related guidance materials	Secretariat and INTERPOL	On-going
Interoperable applications	Ensure linkage of MRTDs and their holders to relevant data in the course of travel and inspection operations such as API, PNR, watch lists, information sharing, etc.	Border control authorities, airlines and/or other agencies or departments	Annex 9, Doc 9303 and related guidance materials such as API/PNR guidelines	Secretariat, TAG/TRIP and relevant regional and international organizations, e.g. IATA, WCO, etc.	On-going

APPENDIX F

Existing ICAO documentation available for each element of the ICAO TRIP Strategy

- i) Annex 9 – *Facilitation*, Fourteenth Edition, October 2015
 - ii) Doc 9957, *The Facilitation Manual*, First Edition, 2011
 - iii) Doc 10042, *Model National Air Transport Facilitation Programme*, First Edition, 2015
1. **Evidence of Identity:** “credible evidence of identity, involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity.”
 - a. Towards Better Practice in National Identification Management, Version 3, April 2013
 2. **MRTDs:** “the design and manufacture of standardized MRTDs, including ePassports, that comply with ICAO Doc 9303 specifications.”
 - a. Doc 9303, Machine Readable Travel Documents, Seventh Edition, 2015
 - b. Doc 9957, The Facilitation Manual, First Edition, 2011
 - c. ICAO Guide for MRTD Photo Guidelines
 - d. Collection of Best Practices for Acquisition of Machine Readable Travel Document Goods and Services, Version 1, March 2016
 - e. Guide for Issuing Machine Readable Convention Travel Documents for Refugees and Stateless Persons, October 2013
 - f. Guidance on Emergency Travel Documents, Version 1, 2016
 - g. Roadmap for Implementation of New Specifications for MRTDs, Version 1, 2016
 3. **Document Issuance and Control:** “processes and protocols for document issuance by appropriate authorities to authorized holders, and controls to prevent theft, tampering and loss.”
 - a. ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents, 2010 onwards
 - b. Guidance for Circulating Specimen Travel Documents, Version 1, 2016
 4. **Inspection Systems and Tools:** “inspection systems and tools for the efficient and secure reading and verification of MRTDs, including use of the ICAO PKD.”
 - a. Best Practice Guidelines for Optical Machine Authentication, Part 1, Version 1, 2016
 5. **Interoperable Applications** (including API and PNR): “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.”
 - a. Doc 9944, Guidelines on Passenger Name Record (PNR) Data, First Edition, 2010
 - b. Guidelines on Advance Passenger Information (API), WCO/IATA/ICAO, 2014
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APPENDIX F
STATUS OF PKD PARTICIPATION



- END -