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AIR TRANSPORT FACILITATION: SETTING THE STANDARDS *SINCE 70 YEARS!*

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Chief Facilitation Section

Montreal, 25 June 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



TRAVEL DOCUMENTS

Efficient
BORDER CONTROL PROCESSES

• AIRLINES

Expedite
Clearance of Passengers,



HEALTH

TO PREVENT
Unnecessary DELAYS

IMMIGRATION



FACILITATION

In order to
MAINTAIN SECURITY & EFFICIENCY

• LAW ENFORCEMENT

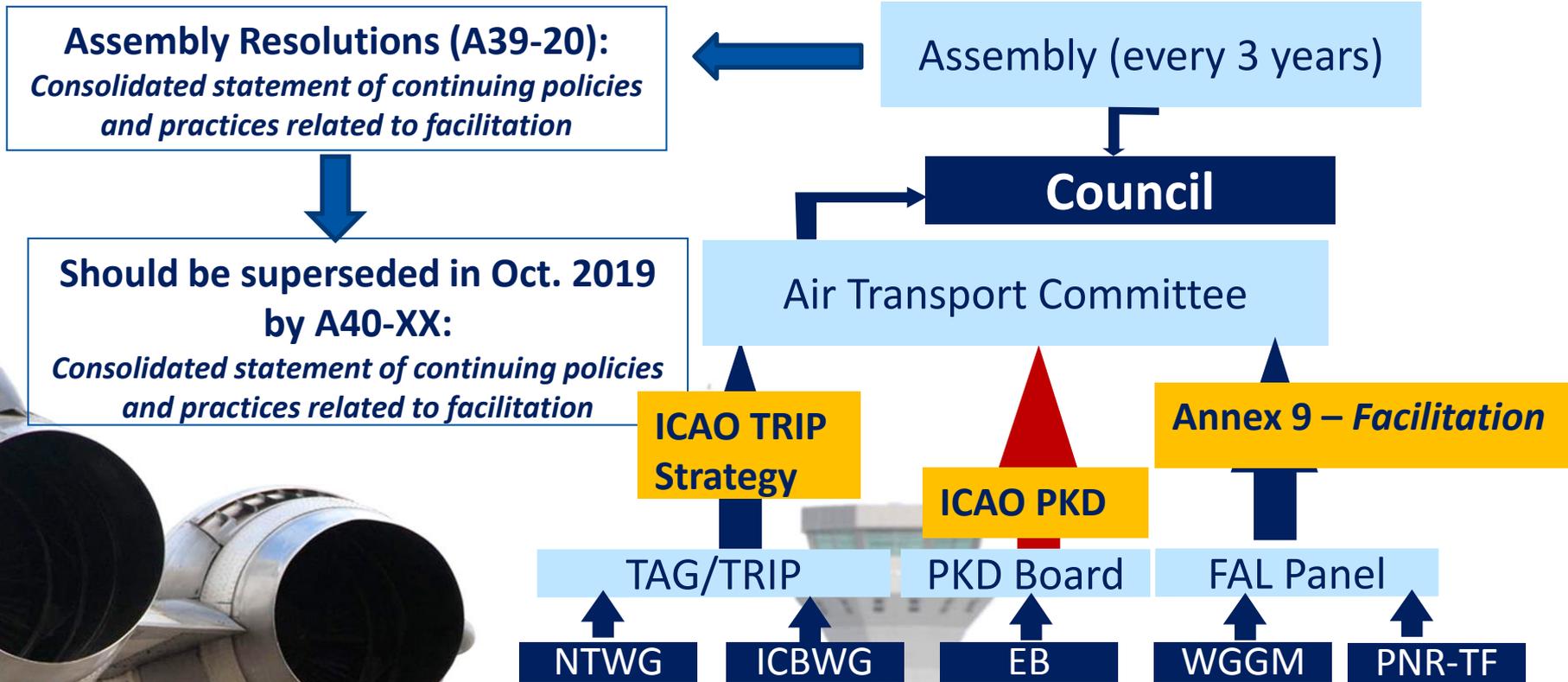


• CUSTOMS



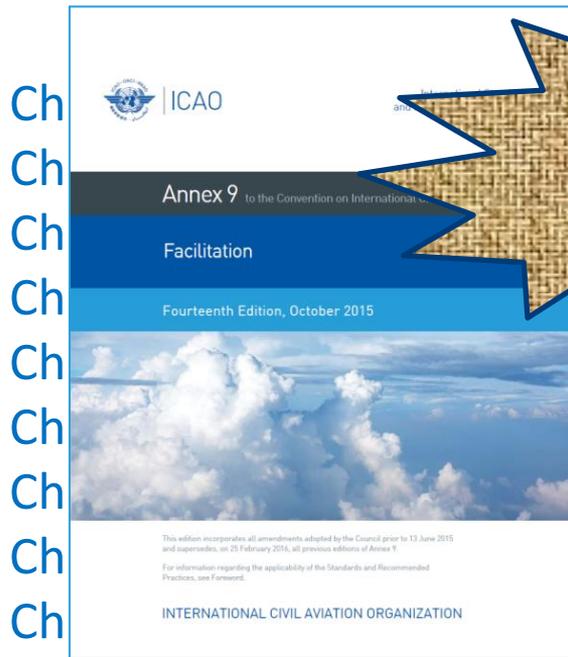


Three Facilitation (FAL) Programmes foundation





Annex 9 – Facilitation: setting the regulatory framework



70th
Anniversary



Standards and Recommended Practices (SARPs)

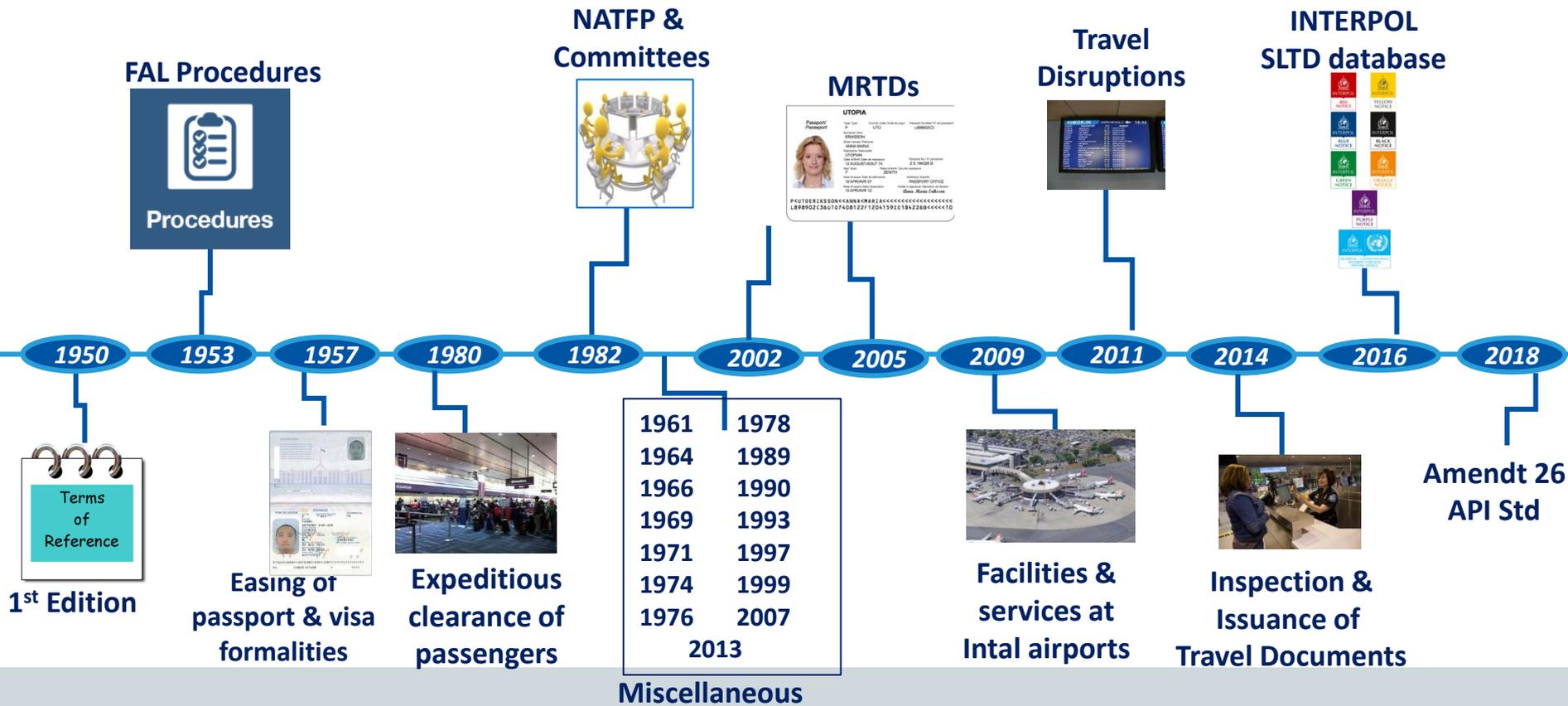


Annex 9 SARPs behind the two other FAL Programmes

- 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



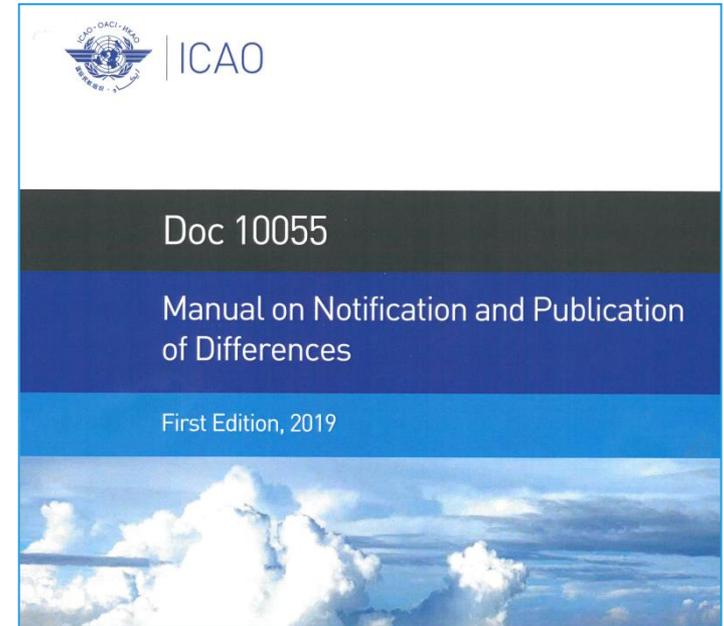
Annex 9 main Amendments milestones since 1949





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





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*



The Traveller Identification Programme: ICAO TRIP Strategy

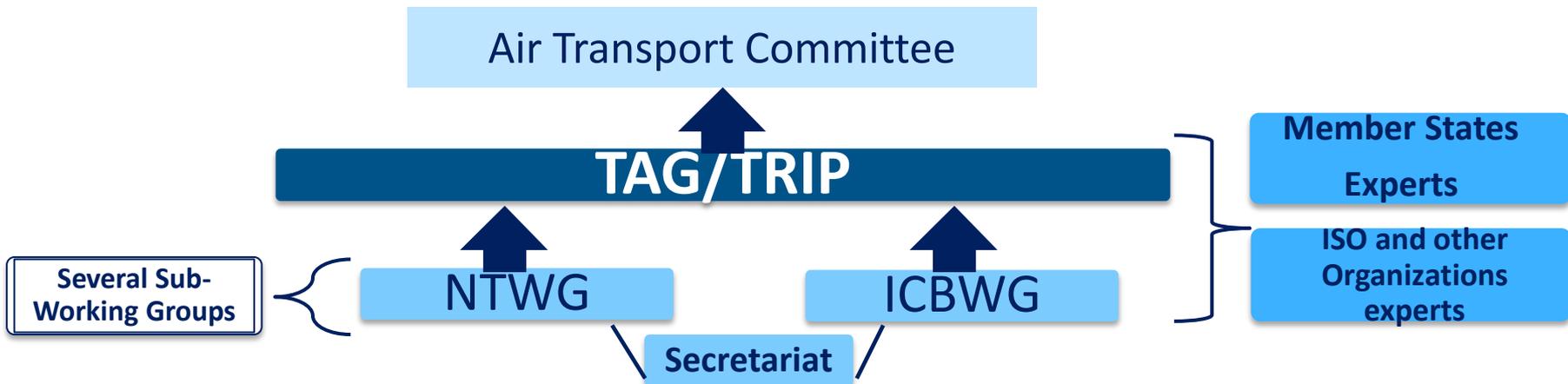


Regulatory Framework set up by Annex 9 – *Facilitation*
All TRIP elements are enhancing both *Facilitation* and *Security*

- 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



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



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	51% have NATFP based on the requirements 44 % have established Airport /Facilitation Committees, or similar coordinating bodies.
Security of Travel Documents	3.7, 3.8 and 3.8.1	84% have incorporated security features 86% have effective safeguards against theft of blank travel documents; 83% have established appropriate controls over the issuance processes.
Security of Travel Documents	3.10	71% have reported stolen, lost, and revoked travel documents to INTERPOL for inclusion in the SLTD database.
Security of Travel Documents	3.11 3.12	97% issue only machine readable passports 69% issue CTDs in machine readable form.
Entry Procedures and Responsibilities	9.5 (new API Std), 9.6 and 9.8	65% have introduced an API system 55% 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



INTERNATIONAL
ORGANIZATION
FOR MIGRATION

2016



PLANNED



2019



2019



2020

WORLD
ECONOMIC
FORUM

2020



World Customs Organization
Organisation Mondiale des Douanes

2011



2010



INTERPOL

2000



UNHCR
The UN Refugee Agency



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).*

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;**

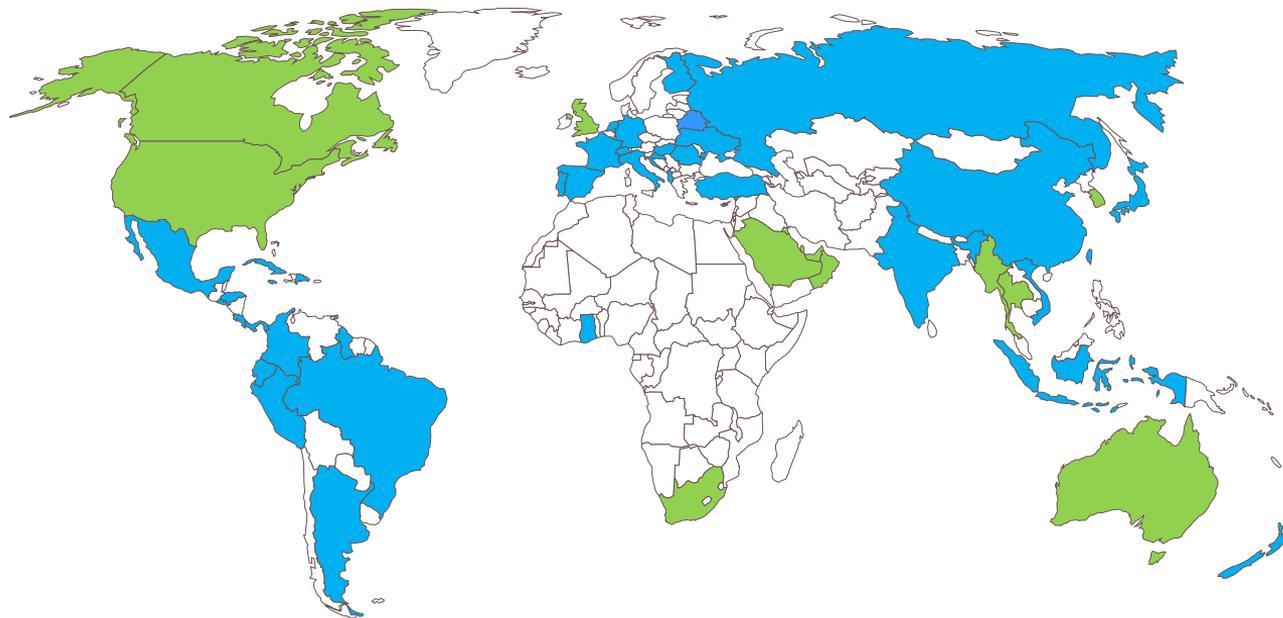


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Status of API implementation: 67 Member States



Legend

 iAPI in force (total: 16)

 API in force (total: 51)

Source: IATA



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

Definition of the PNR-TF membership



22/03

Terms of Reference

ToRs circulated to the FALP Members and Observers

01/04

1st Conference Call To initiate the work



17/04



Nomination of A Rapporteur

02/04

30/04

Oral Report on the Status to the ICAO Air Transport Committee



May

Additional Conference Calls and meetings



June

July

August



The PNR-TF work continues

Final Report delivered to the Secretariat



September



Final Report presented to the ATC

October



API and PNR: Overview

ADVANCE PASSENGER INFORMATION (API)	PASSENGER NAME RECORD (PNR) DATA
FACILITATION & SECURITY TOOL: importance to have Travel Documents compliant with Doc 9303	FACILITATION & SECURITY TOOL
Serve legal requirement	Serve airlines' marketing operations
40 possible data elements	60 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)

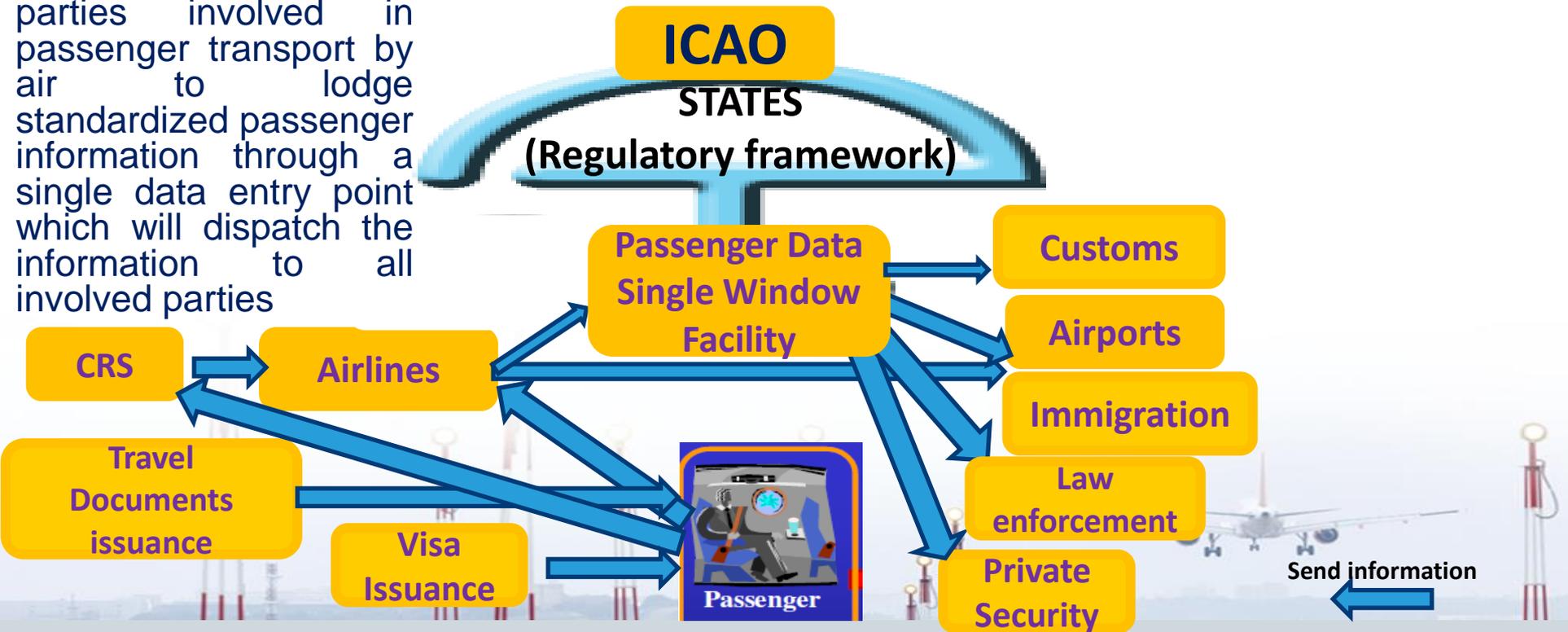
Both should be submitted through a single data entry point called:

Passenger Data Single Window Facility



Passenger Data Single Window Facility

A facility that allows parties involved in passenger transport by air to lodge standardized passenger information through a single data entry point which will dispatch the information to all involved parties





Single Window Proposed Amendment 27 to Annex 9

- 9.1. **Standard:** States ~~should~~ **shall** create a Passenger Data Single Window facility for each **or all data categories combined** that allows parties involved to lodge standardized information with a common data transmission entry point for each category to fulfil all related passenger and crew data requirements for that jurisdiction.
- 9.2 **Recommended Practice:** Contracting States (API) and/or PNR data from aircraft operators should consider creating a **Passenger Data Single Window** facility for all data categories combined.

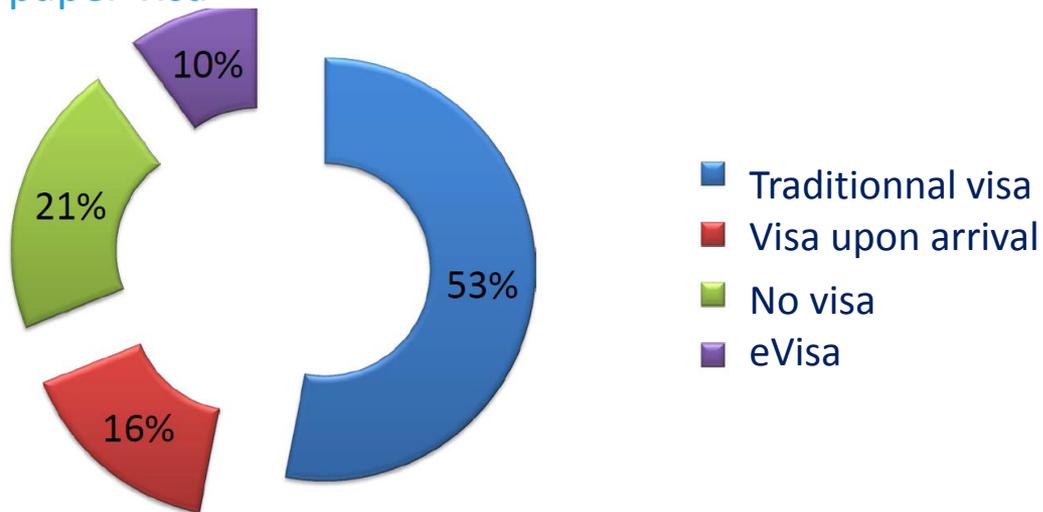
Main Benefit: A standard on a single window was deemed necessary to limit costs and human resources for Contracting States implementing these requirements



Visa Facilitation role in the air transport growth

In Annex 9 Chapter 9, Electronic Travel System (ETS) is the 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

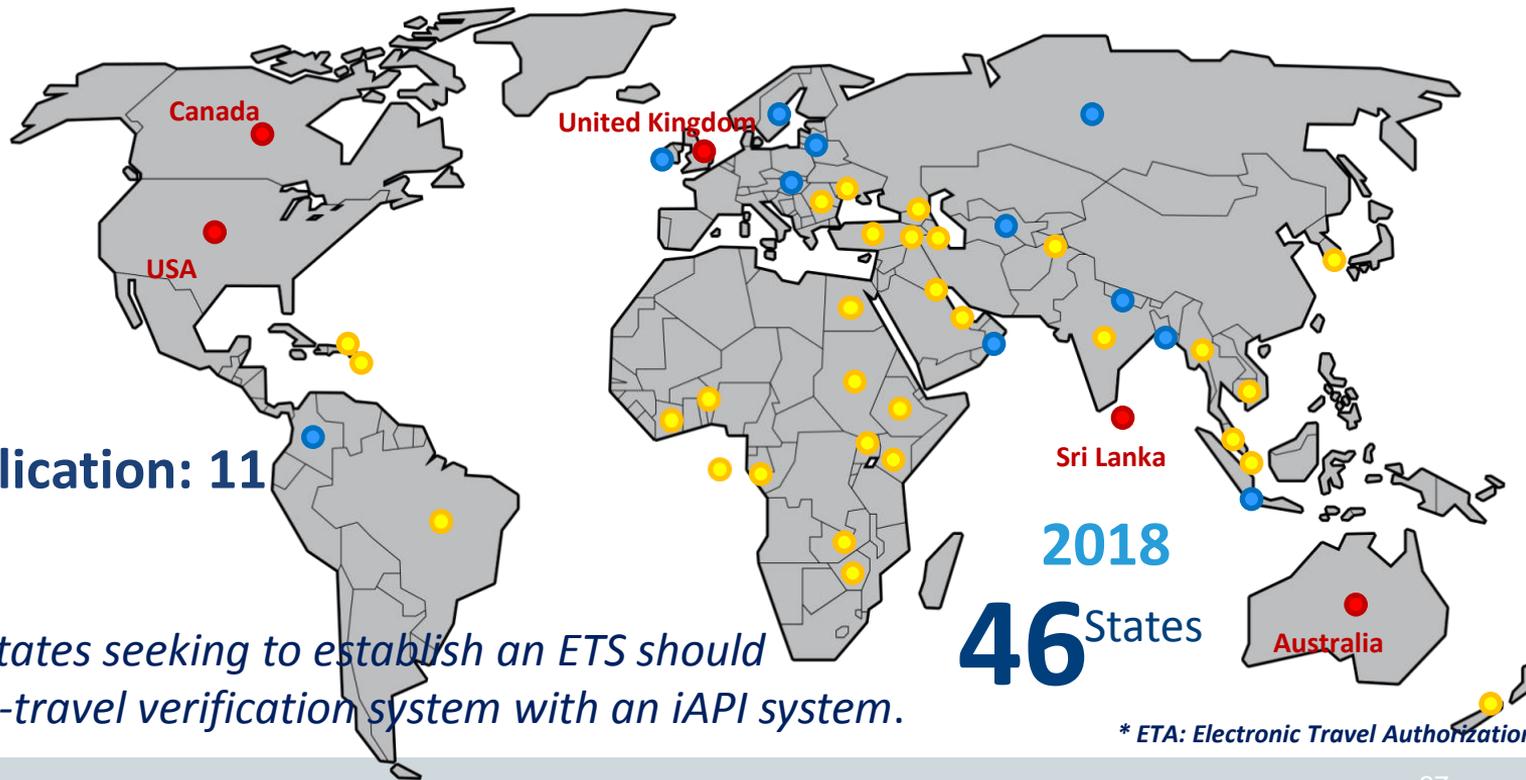
2011

6 States

eVisa : 30

ETA*: 5

On-line application: 11



2018
46 States

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



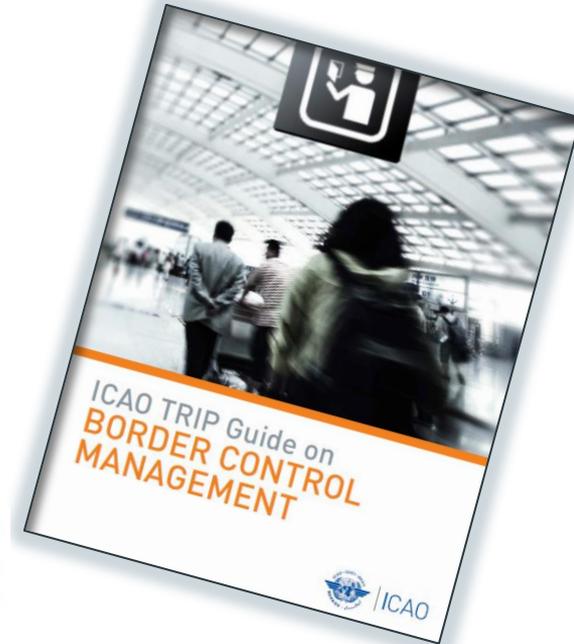
ICAO Border Control Management Guide

Funded by the
Government
of Canada



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

Developed with the support of an advisory group of experts



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



Main challenge for Facilitation



About 2 Billion International passengers per year 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



Recommended 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





The way forward

- Importance to comply with ICAO Standards or to notify Differences when it is not possible
- States need to ensure that their travel documents are fully interoperable
- The international passenger numbers is expected to double in the next 20 years.
- Increased number of security threats.
- Focus on improving **both** Aviation Security and Travel Facilitation in order for passengers to have a secure and pleasant experience through a risk-based, efficient and cost-effective global border management process.
- Necessary move from bilateral programmes to a globally interoperable framework.
- Fully automated and built on verified biometric data.
- Effective collaboration among various government agencies
- Efficient Cooperation between international organizations.
- Challenges ahead:
 - harmonization of intelligence and data sharing;
 - shift to a secure digital process; and
 - ensure data privacy.



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SAVE THE DATES

UPCOMING ICAO TRIP EVENTS

16th TRIP Symposium March 31 – April 2, 2020

17th TRIP Symposium May 25 – May 28, 2021

18th TRIP Symposium March 29 – March 31, 2022

*Dates are subject to change

For more info please contact mcr@icao.int



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