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The ICAO Traveller identification Programme (TRIP) Strategy

The Facilitation Programmes

Dr Narjess Abdennebi
Chief Facilitation Section, ICAO

Kish Island, Iran
9 May 2016



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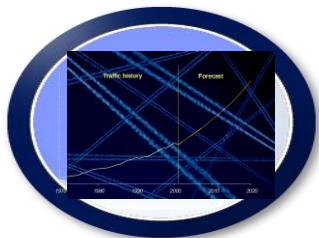
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**ICAO Overview
& Aviation Data**



**Facilitation &
Annex 9 SARPs**



ICAO TRIP



**Interoperable
Operations**



What is ICAO?

- A UN Specialized agency
- Created in 1944
- Promotes safe and orderly development of international civil aviation throughout the world
- Sets standards and regulations necessary for
 - aviation safety
 - Security
 - Facilitation
 - Efficiency and regularity
 - Economic regulation
 - Aviation environmental protection
- Serves as forum for cooperation in all fields of civil aviation among 191 Member States



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The Chicago Conference of 1944

Doc 7300/9



**Convention on
International Civil Aviation**

**Convention relative à
l'aviation civile internationale**

**Convenio sobre
Aviación Civil Internacional**

**Конвенция о международной
гражданской авиации**

This document supersedes Doc 7300/8.
Le présent document annule et remplace le Doc 7300/8.
Este documento reemplaza al Doc 7300/8.
Настоящий документ заменяет Doc 7300/8.

Ninth Edition – Neuvième édition – Novena edición – Издание девятое — 2006

International Civil Aviation Organization
Organisation de l'aviation civile internationale
Organización de Aviación Civil Internacional
Международная организация гражданской авиации

Preamble

THEREFORE, the undersigned governments having agreed on certain principles and arrangements in order that international civil aviation may be developed in a safe and orderly manner and that international air transport services may be established on the basis of equality of opportunity and operated soundly and economically;

Article 44: The aims and objectives of the Organization are to develop the principles and techniques of international air navigation to foster the planning and development of international air transport so as to:

every contracting State has a fair opportunity to operate international airlines;



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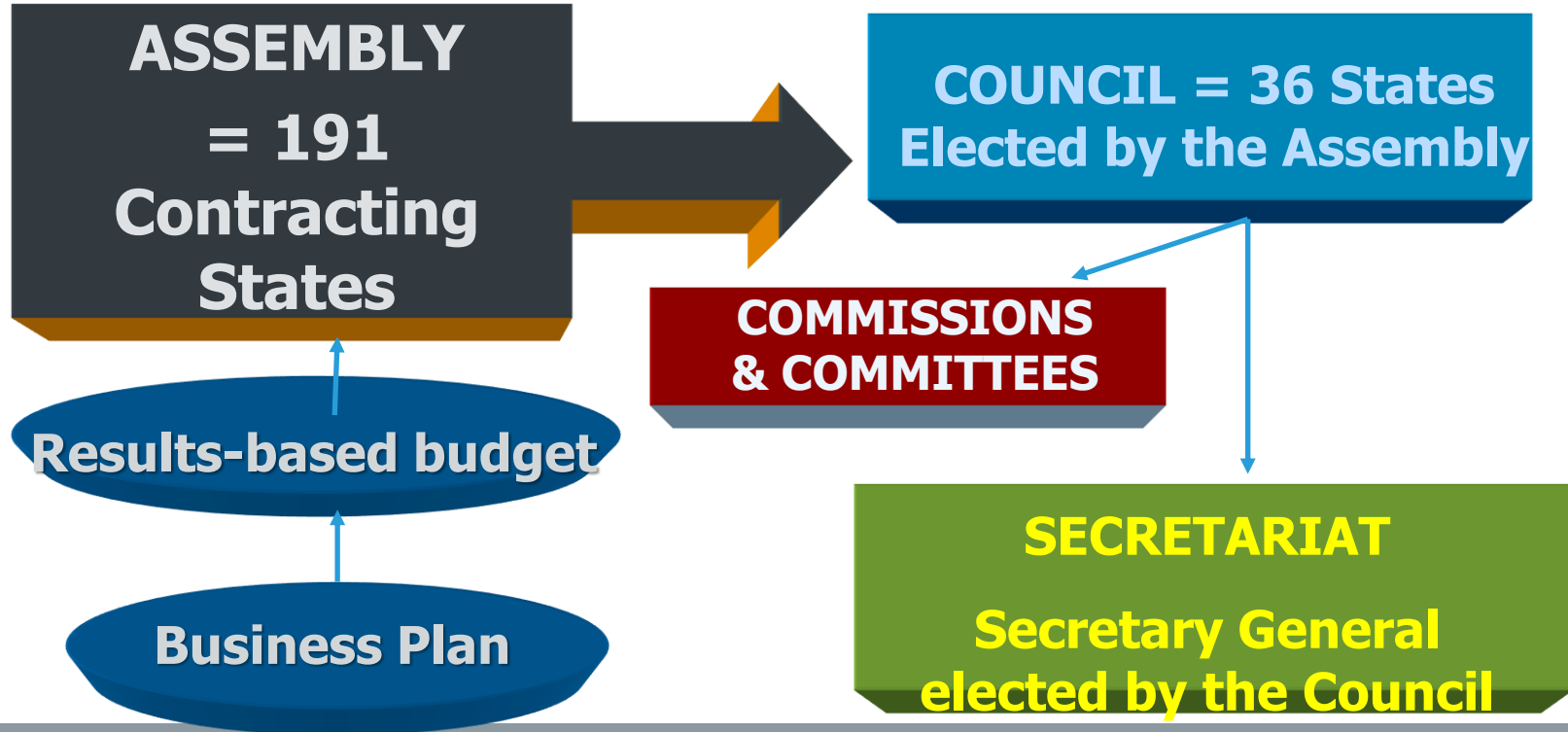
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ICAO Structure





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191 Contracting States

Assembly

Council (36)

President

ATC

Secretariat

Secretary
General

5 Bureaux

Air Transport Bureau

Aviation Security & Facilitation

Facilitation pillars: Annex 9/TRIP Strategy/PKD



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ICAO's strategic objectives 2014 to 2016 & 2017 to 2019

Safety: Enhance global civil aviation safety

Air Navigation Capacity and Efficiency: Increase capacity and improve efficiency of the global civil aviation system

**Security & Facilitation: Enhance global
civil aviation security and facilitation**

Economic Development of Air Transport: Foster the development of a sound and economically-viable civil aviation system

Environmental Protection: Minimize the adverse environmental effects of civil aviation activities



Standards and Recommended Practices (SARPs)

Standard

Uniform application is recognized as **necessary** for the safety or regularity of international air navigation.
Requires notification of differences

Recommended Practice

Uniform application is recognized as **desirable** in the interests of safety, regularity or efficiency of international air navigation. Contracting States should endeavor to conform



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Annexes: 10 000 SARPs

- **Annex 1 — Personnel Licensing**
- **Annex 2 — Rules of the Air**
- **Annex 3 — Meteorological Service for International Air Navigation**
- **Annex 4 — Aeronautical Charts**
- **Annex 5 — Units of Measurement to be Used in Air and Ground Operations**
- **Annex 6 — Operation of Aircraft**
- **Annex 7 — Aircraft Nationality and Registration Marks**
- **Annex 8 — Airworthiness of Aircraft**
- **Annex 9 — Facilitation**
- **Annex 10 — Aeronautical Telecommunications**
- **Annex 11 — Air Traffic Services**
- **Annex 12 — Search and Rescue**
- **Annex 13 — Aircraft Accident and Incident Investigation**
- **Annex 14 — Aerodromes**
- **Annex 15 — Aeronautical Information Services**
- **Annex 16 — Environmental Protection**
- **Annex 17 — Security — Safeguarding International Civil Aviation against Acts of Unlawful Interference**
- **Annex 18 — The Safe Transport of Dangerous Goods by Air**
- **Annex 19 — Safety Management**





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Guidance Material

- ICAO manuals and circulars provide guidance and information to facilitate the uniform application of SARPs
- Approved by Secretary General and published under his authority





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Filing of Differences

- 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





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ICAO mandate for Facilitation programmes

Doc 10022



Assembly Resolutions in Force (as of 4 October 2013)

Published by authority of the Secretary General

International Civil Aviation Organization

A38-16 Appendices:

A : Development and implementation of facilitation provisions

B : National and international action in ensuring the security and integrity of traveller identification and border controls

C : National and international action and cooperation on facilitation matters



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World Air Transport in 2015

3.5 billion

+6.4%
vs. 2014

Passengers carried

34 million

+3%
vs. 2014

Commercial flights performed

6.6 trillion

+6.8%
vs. 2014

Revenue Passenger-Kilometres

199 billion

+2.2%
vs. 2014

Freight Tonne-Kilometres

Total (international and domestic) services

Scheduled commercial traffic

Source: ICAO (preliminary figures)



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30,000 International daily flights to accomodate

Estimated 3.5 Million (2014 data) International passengers per day for whom border clearance need to be expedited and is expected to continue to grow steadily for the next 15 years.

The goal is to reduce the average time of assessing travel documents:

- Automated Border Control (ABC) for Nationals and low-risk Passengers
- Use of eMRTDs for the Registered Traveler Programme (e.g. NEXUS in Canada)



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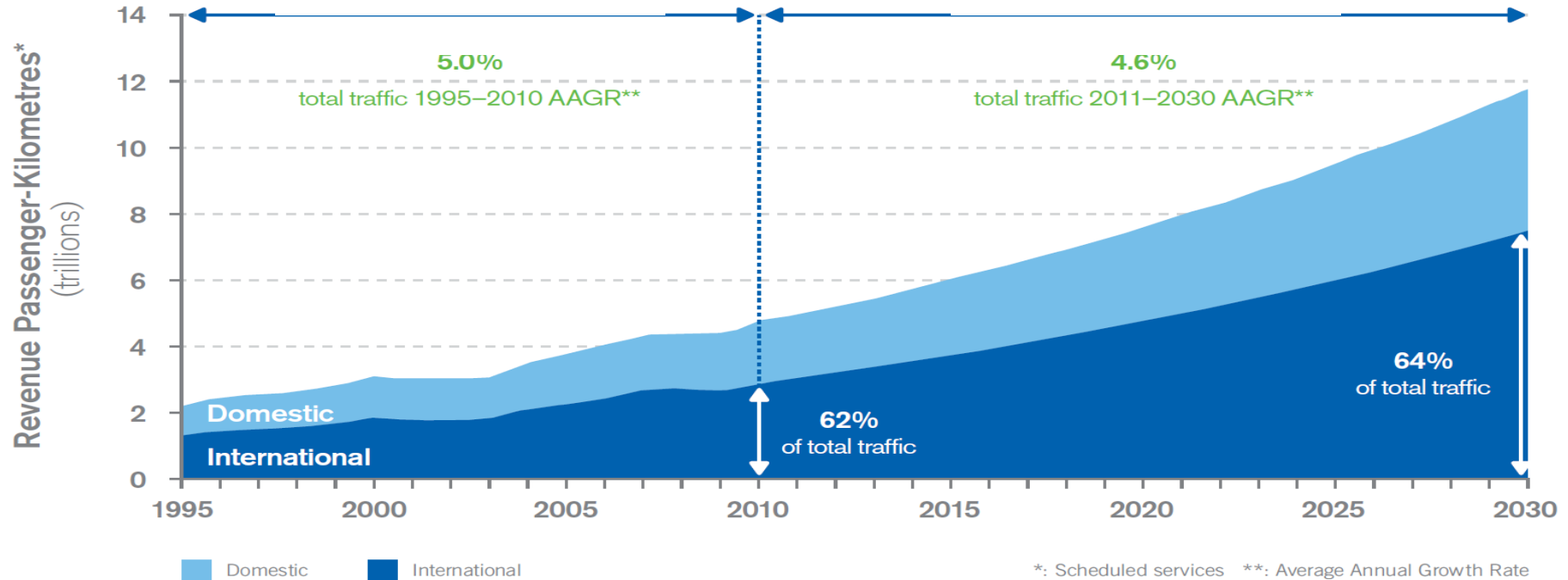
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World outlook to 2030 for passenger traffic



*: Scheduled services **: Average Annual Growth Rate

Source: ICAO's Global Air Transport Outlook to 2030 – Cir 333



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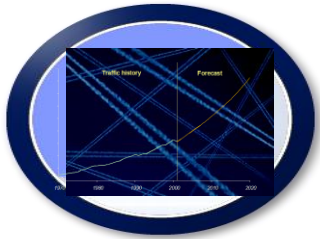
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**Facilitation &
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ICAO TRIP



**Interoperable
Operations**



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What is Facilitation?



Immigration, Customs, Health, Quarantine



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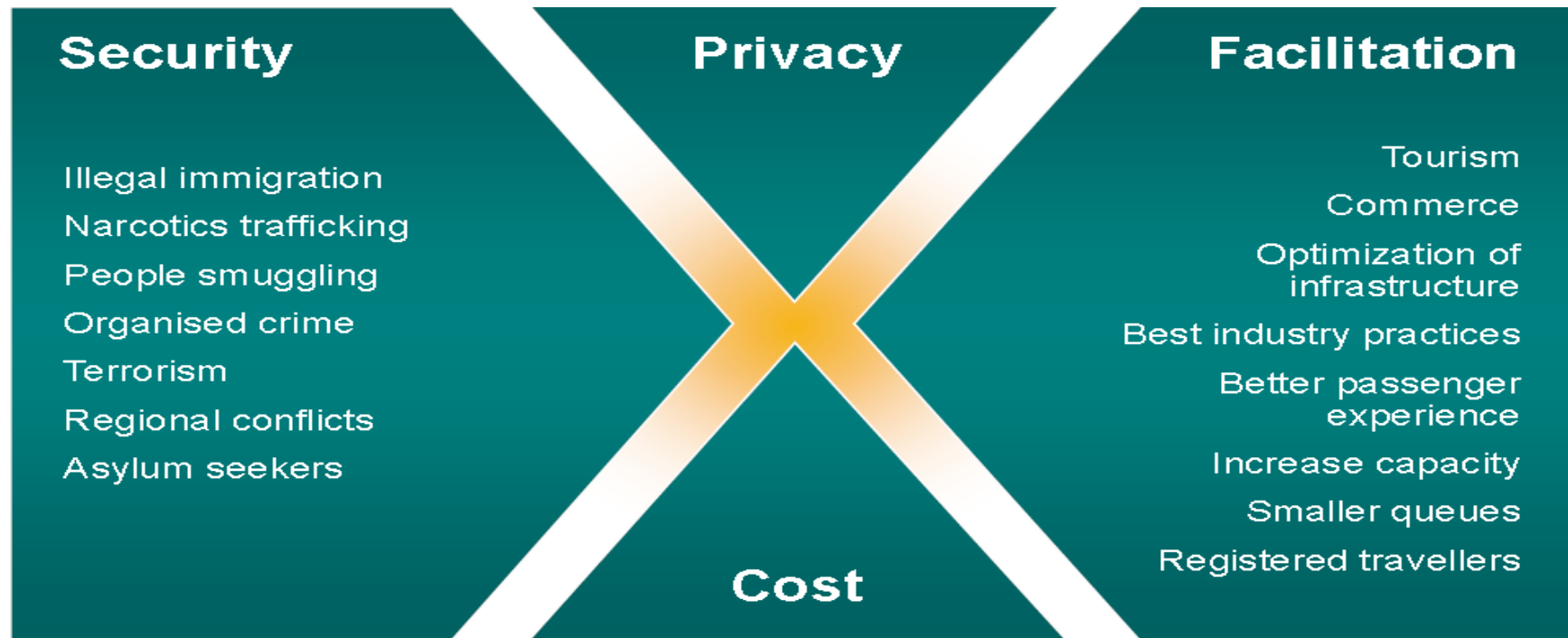
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Objective: better passenger experience



Source: SITA



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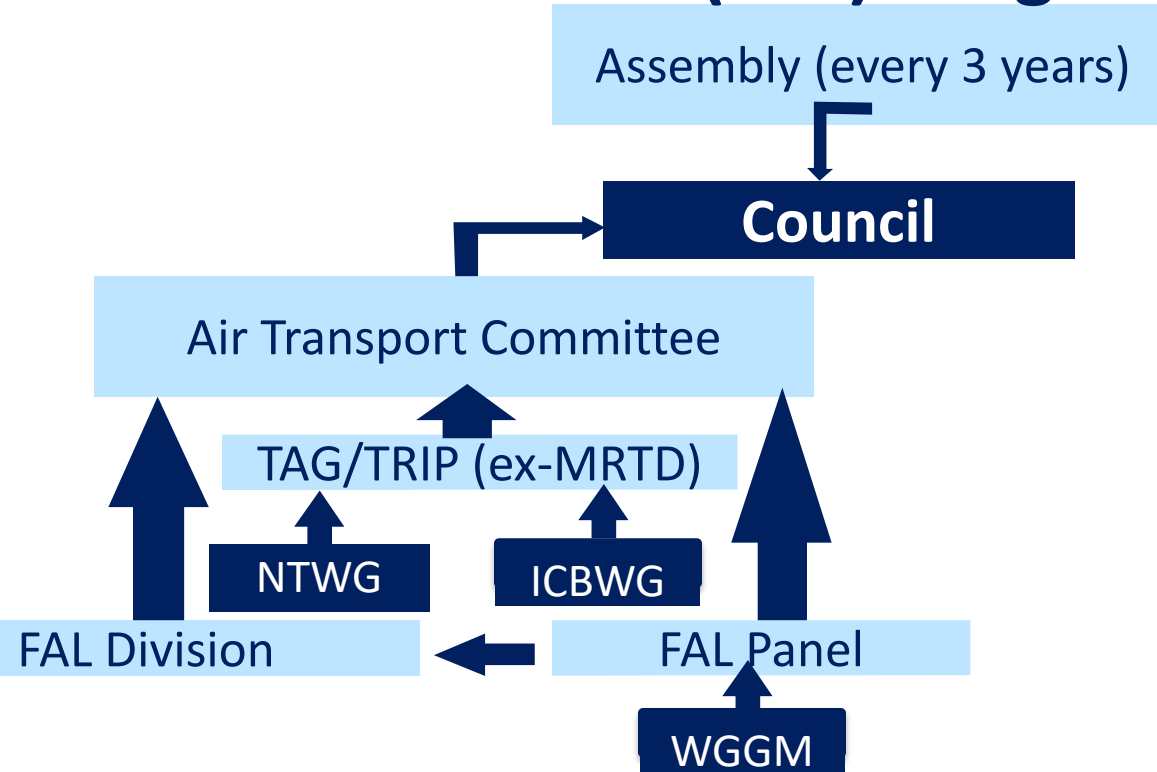
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Facilitation (FAL) Programmes foundation

Assembly

Resolutions (A38-16):

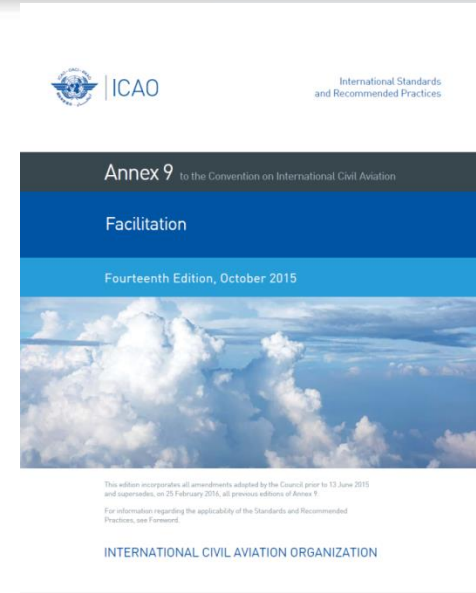
Consolidated statement of continuing policies and practices related to facilitation



Annex 9 - *Facilitation*

- Integrates functions of agencies related to border controls – **travel documents, immigration, customs, quarantine, law enforcement, transport operators, etc.**
- Requires inter-agency (and cross-border) cooperation to implement Annex 9 obligations

Implementation of the Annex 9 SARPs: essential to facilitate the clearance of aircraft, passengers and their baggage, cargo and mail and manage challenges in border controls and airport processes so as to maintain both the Security and the efficiency of air transport operations





Annex 9 overview

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. Other facilitation provisions

Appendix 1-13

Chapter 3 of Annex 9: Entry and departure of persons and their baggage

Main SARPs related to the ICAO TRIP Strategy



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National Air Transport Facilitation Programme (NATFP)

- Annex 9 Standards 8.17 and 8.19: Require NATFP and the establishment of a National Air Transport Facilitation Committee
- Purpose of the NATFP: Provide a framework to guide the improvement of the flows and border clearance management, while maintaining appropriate security requirements
- Objectives of the Committee: Provide a Forum about Facilitation matters amongst government stakeholders, other air transport-related communities and the private sector
- States' Commitments: Facilitate efficient clearance for arriving and departing aircraft and Maintain high-quality security, effective law enforcement and proficient customer service



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Model National Air Transport Facilitation Programme (Doc 10042)

- Developed by the Facilitation (FAL) Panel's Working Group on Guidance Material during 3 years (10 Members)
- Based on Annex 9 Stds
- NATFP contains guidance on how States may comply with Standards 8.17, 8.18 and 8.19 of Annex 9 - Facilitation
- Define the roles, functions and responsibilities of all entities involved in air transport facilitation activities
- A good practice could be to include also the security-related Standards of Annex 9 in the NATFP.

Doc 10042



Model National Air Transport Facilitation Programme

Approved by the Secretary General
and published under his authority

First Edition — 2015

International Civil Aviation Organization



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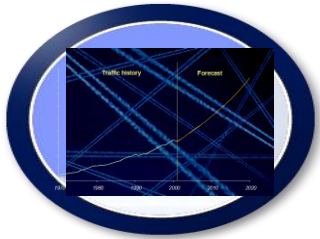
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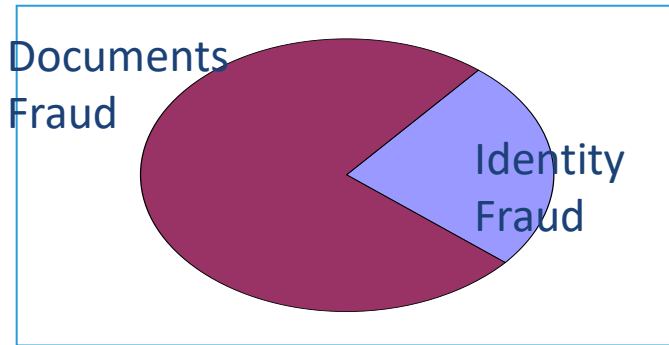
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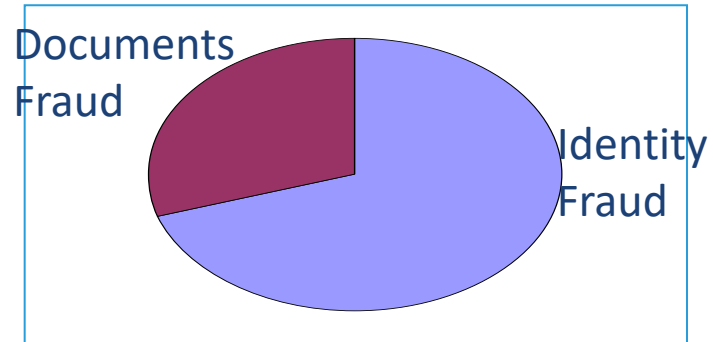
**Interoperable
Operations**

From MRTDs to ICAO TRIP Strategy: Changes in Fraudulent methods

- Identity Fraud= 31%
- Documents Fraud= 54%
- Others = 15%* **2006**



- Identity Fraud = 71%
- Documents Fraud = 29%

2009

*Intergraph Study, 2010

Current threat: Identity fraud



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ICAO TRIP Strategy

Globally interoperable applications that provide for timely, secure and reliable linkage of MRTDs and their holders to relevant data in the course of inspection operations: API/PNR, watch lists, information sharing...

For the efficient and secure reading and verification of MRTDs(PKD, forensic travel Doc examination, etc..)

Objective: All Member States can uniquely identify individuals



Credible evidence of identity, involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity

Manufacture of standardized MRTDs, that comply with ICAO specifications (Doc 9303)

Processes for document issuance by appropriate authorities, and controls to prevent theft, tampering and loss



Identification Management

- Criminal focus shifting to lesser developed areas:
 - Evidence of Identity
 - Issuance process
 - Travel document fraud
 - Identity fraud at the border
- Unless addressed, weakens the core MRTD programme and global trust!



Example of SARPs supporting TRIP

- **Standards (ex. MRTD) - Shall**
 - All passports issued to be Machine Readable Passports (MRPs) according to Doc 9303 (3.10)
 - All passports in circulations after 24/11/ 2015 to be MRPs (3.10.1)
 - One Person, One Passport (3.15)
- **Recommended Practices (SARPs) - Should**
 - ☐ Incorporation of biometric data and issuance of ePassport (3.9)
 - ☐ Introduction of API systems (3.47)
- **Differences to Standards**
 - Obligation from States to report to ICAO that they cannot implement a Standard



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Different actors involved

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.



ID Management

Foreign Affairs

Civil Registry

Security

Immigration

Border Control

Main challenge: Various types of actors under different management structures

Urgent need: Consolidate cooperation with all International/Regional Organizations such as UN Agencies, INTERPOL, WCO, OSCE, FRONTEX, etc...



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Evidence of Identity (EOI)

- EOI is growing internationally as an area of focus
- Some States have developed national standards and frameworks
- Importance of breeder documents: the weakest link of the passport issuance process
- Breeder documents do not have the same protection level and are much easier to counterfeit





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Evidence of Identity in the context of the UN Sustainable Development Goals (SDGs)

Goal 16 - Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

Target 16.9: By 2030, provide legal identity for all, including birth registration

World Bank has taken the lead with an ambitious goal of **developing shared principles for digital identity** across key partners in public sector, private sector and development agencies. By building a **partnership across multiple key stakeholders in public sector, private sector and development agencies**, their objective is to collectively advance this agenda which is also ICAO's target.



EOI Authentication Principles

Identity
Exists and is
Living

Applicant
Links to
Identity and
is the Sole
Claimant

Applicant
Uses Identity
in the
Community

Social Footprint

- First-time interaction **MUST** be robust so that subsequent contact can leverage off initial EOI



EOI Principle 1: Proving

- Data Validation
- Reports

Data Validation Services

Validation Results

Document Type:	Citizenship
<i>Nama Uruwhenua</i>	
Certificate Number:	1234567
Surname:	SMITH
<i>Ingoa Whānau</i>	
First/Given Name(s):	john
<i>Ingoa Tapa</i>	
Date of Birth:	06/04/1978
<i>Te Rā i Whānau Ai</i>	
Country of Birth:	England
<i>Te Whenua i Whānau</i>	
Data Status:	Invalid Data
Transaction Number:	C10000181
Search Again Submit Referral Back	

2-3 documents

OR

Verification against
1-2 source
registers

Death
Checks

Proving Identity
Exists and is Living



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Machine Readable Passports (MRPs)

Passport/
Passeport

UTOPIA

Type/ Type	Country code/ Code de pays	Passport No./ N° de passeport
1	FR	123456789
2	FR	987654321
3	FR	111111111
4	FR	222222222
5	FR	333333333
6	FR	444444444
7	FR	555555555
8	FR	666666666
9	FR	777777777
10	FR	888888888
11	FR	999999999
12	FR	000000000
13	FR	101010101
14	FR	202020202
15	FR	303030303
16	FR	404040404
17	FR	505050505
18	FR	606060606
19	FR	707070707
20	FR	808080808
21	FR	909090909
22	FR	010101010
23	FR	121212121
24	FR	232323232
25	FR	343434343
26	FR	454545454
27	FR	565656565
28	FR	676767676
29	FR	787878787
30	FR	898989898
31	FR	909090909
32	FR	010101010
33	FR	121212121
34	FR	232323232
35	FR	343434343
36	FR	454545454
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96	FR	454545454
97	FR	565656565
98	FR	676767676
99	FR	787878787
100	FR	898989898

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UTO

L898902 C

Name/ Nom

ERIKSSON, ANNA MARIA

Profession/ Profession

Director General – MINISTRY OF HEALTH

Nationality/ Nationalité

UTOPIAN

Date of birth/ *Date de naissance*

Personal No./ N° personnel/

06 AUG/AOÛT 69

ZE 184226 B

Sex/ Sexe

Place of birth/ *Lieu de naissance*

F

ZENITH

Date of issue/ *Date de délivrance*

Authority/ Autorité

24 JUN/JUIN 89

PASSPORT OFFICE

Date of expiry/ *Date d'expiration*

23 JUN/JUIN 94

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3.10.1 For passports issued after 24 November 2005 and which are not machine readable, Contracting States shall ensure the expiration date falls before 24 November 2015.



24 November deadline

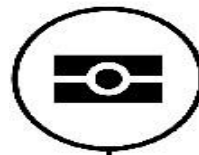
- 1) As of **today**, a total of 156 Member States had responded to the questionnaire of SL EC6/3-12/70.
 - 139 Member States (and 1 non-Member State) will comply with the Standard, i.e. their non-MRPs have expired or are due to expire by 24 November 2015; and
 - 17 Member States will not comply with the Standard, i.e. their non-MRPs will not expire by the deadline.
- 2) Possible reasons for non-compliance with Standard 3.10.1 include **lack of capacity, insufficient training and costs of implementation.**
- 4) While the worst case scenario (e.g. South Africa, Columbia, India) is that citizens of a State not having MRPs will be denied entry into other States, the acceptance or refusal to accept non-MRPs is a State matter.
- 5) However, information received from some States suggests that a certain flexibility will be allowed for a limited time period following 24 November 2015 in permitting admission of the holders of non-MRPs. This position may be revised if States will face a great number of non-MRPs to treat.

ePassport

- Enhance Security of the document
- Biometrics to confirm identity



**e-Passport
symbol**





ePassport: The trust imperative

- ePassport must be ICAO compliant
- ePassports are Machine Readable Passports (MRPs) with a chip. The chip is an additional security feature for passports; does not replace it
- ePassports are issued by entities that assert trust – Identification supply chain
- Achieve global exchange of certificates and other information
- Improper validation of ePassports leads to a “false” sense of security



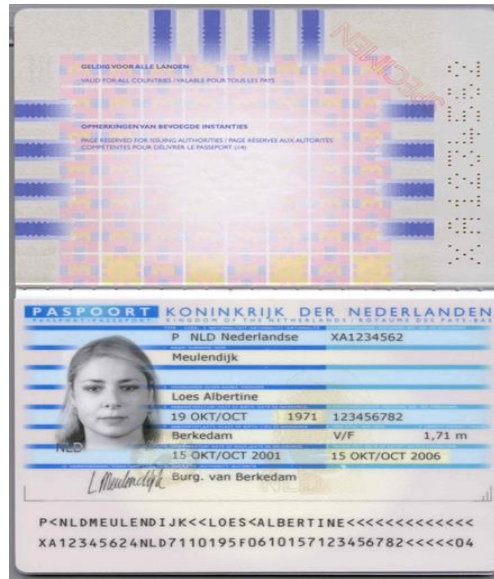
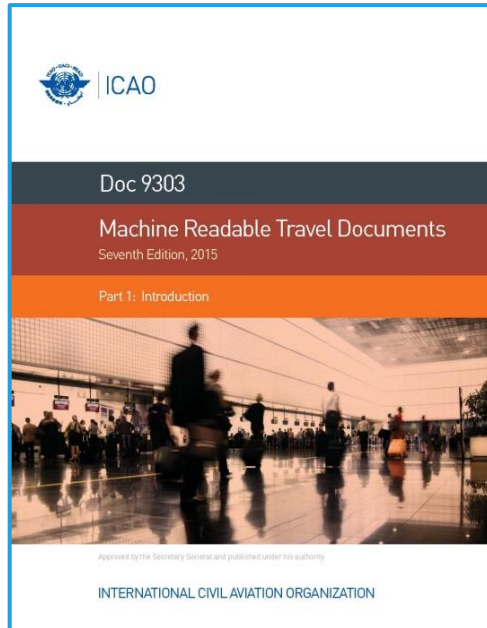
What does chip contain?

- Chips contain Logical data Structure (LDS) with 16 Data Groups (DG)
 - DG 1 contains the contents of the MRZ – Mandatory
 - DG 2 contains photograph of the holder – Mandatory
 - DG 3 contains fingerprint biometrics – Optional
 - ...and so on

Chips contain Security Data Objects (SOd)

Contains hashes of the Data Groups present in the LDS

Doc 9303: International Specifications for MRTDs





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ICAO TRIP Strategy

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Public Key Infrastructure

- PKI plays major role in eMRTD security
 - Technology supporting political trust decisions
- National PKI deployment
 - Must be reliable, secure, ICAO 9303 compliant
- International Trust
 - Initial trust establishment out-of-band
 - Compliant electronic processing extends trust
 - Certificates of States must be accessible (PKD/websites)
- Benefits of PKI realized ONLY if issuing and receiving ICAO member states participate

MORE INFOS WILL BE PRESENTED ON THE ICAO PKD TOOL



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Increase the number of ABCs

- The ICAO **Public Key Directory (PKD)** is an ePassport inspection tool
- ICAO is encouraging all States to use the ICAO PKD as a means of verifying and authenticating ePassports and to enhance security in cross-border movement through increased number of ABCs
- According to IATA, expansion of ABCs, used for the inspection of travellers documents, increased between August 2014 and November 2015 from availability in **134 airports in 40 States** to **179 airports in 60 States**.

ICAO will continue to promote actively both the participation to the PKD and its use



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Identification management as a Best Practice

- **Ministerial Conference** on African Security and Facilitation
Windhoek, Namibia: 5 - 8 April 2016
- **TRIP / MRTD 12th Symposium:** 2016 (15-17 November 2016)
- **TRIP Regional Seminars**
 - Nairobi, Kenya: 10-12 November 2015
 - Teheran, Iran: 9 – 11 May 2016
 - Caribbean or Latin America 4Q 2016



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Declaration of Windhoek: main points

We, African Ministers responsible for Civil Aviation Security and Facilitation **Undertake to:**

- **Support the effective implementation of the ICAO Aviation Security Assistance and Capacity Building Strategy, the Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL Plan);**
- **Ensure progressive increase in the Effective Implementation (EI) rate of ICAO's eight Aviation Security Oversight Critical Elements to no less than the world average;**
- **Ensure the establishment of National Civil Air Transport Facilitation Committees (NATFC);**
- **Ensure that all non-Machine Readable Passports (MRP) are removed from circulation;**



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Other Promotional activities

- Publication of the ICAO TRIP magazine (ex-MRTD Report):
2 per year





Assistance Activities

- **ICAO TRIP Strategy assistance project in the Sahel and Neighboring States (closed)**
 - Canada-funded project (2014-2016)
- **ICAO TRIP Strategy assistance project in the Caribbean region (2016-2018):**
 - Project funded by the Government of Canada, with a focus on immigration control at borders, activities will include assessment missions, regional seminars and the development of a border control assessment guide.



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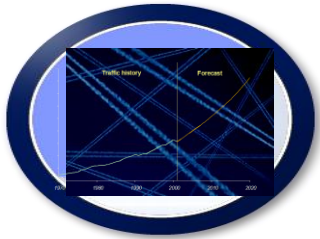
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CONTENTS



**ICAO Overview
& Aviation Data**



**Facilitation &
Annex 9 SARPs**



ICAO TRIP



**Interoperable
Operations**



Interoperable Applications for traveller identification

- INTERPOL Stolen and Lost Travel Document (SLTD) Database
- Advanced Passenger Information (API)
- Passenger Name Record (PNR)
- “Watch lists” Bilateral and multilateral exchanges (e.g. Al-Qaeda, Taliban, etc...)
- “Trusted” or “expedited” travellers (e.g. Nexus in Canada)



INTERPOL SLTD

- The need to report in a timely manner accurate information about stolen, lost, and revoked travel documents, issued by a State, to INTERPOL for inclusion in the SLTD database.
- Starting from February 2016, this will be a new Standard of Annex 9.
- In addition States are strongly encouraged to query at entry and departure border control points the travel documents of individuals travelling internationally against the SLTD database, and this will be also a new Recommended Practice of Annex 9.



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ICAO TRIP Strategy and the UN agenda

- Coordination with the UN Security Council Global Strategy: ICAO actively supports UN Security Council Resolutions (SCR) 2178 (2014)
- ICAO part of the 38 entities of the Counter-Terrorism Implementation Task Force (CTITF) with a common action plan for cooperation on the implementation of SCR 2178
- The UN Counter Terrorism Center developing a Programme to respond to the Foreign Terrorist Fighters (FTF) challenge focusing on Capacity Building Projects
- Facilitation activities are linked to 6 of the 17 UN Sustainable Development Goals (SDGs)



UNSC Resolution 2178 (2014)

- “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...”
- “9. *Calls upon* Member States to require that airlines operating in their territories provide advance passenger information (API) to the appropriate national authorities in order to detect the departure from their territories, or attempted entry into or transit through their territories, by means of civil aircraft, of individuals designated by the Committee established pursuant to resolutions 1267 (1999) and 1989 (2011)...”



API system overview

An electronic communications system whereby required data elements are collected and transmitted to border control agencies at the arrival prior to flight departure or arrival and made available on the primary line at the airport of entry.

→ Collected: Available in Departure Control Systems: flight “open” for check-in (48hrs)



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International cooperation on API

Passenger data exchange such as API:

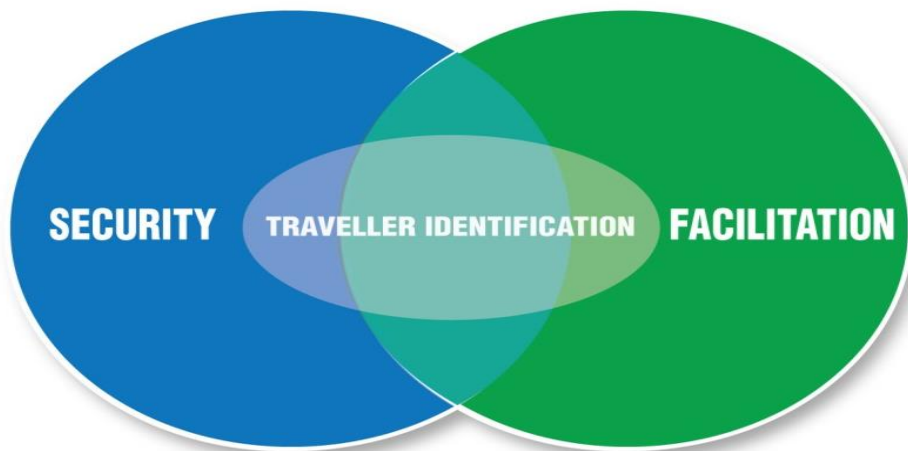
ICAO is closely collaborating with the World Customs Organization (WCO) and the International Air Transport Association (IATA) on these matters, by:

- a) developing API Guidelines, and
- b) promoting the international standards adopted by relevant UN agencies for this purpose.

UN Security Council 2178 *urged* 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 ICAO TRIP Strategy

Cooperation between UNCCT, CTED, IATA, ICAO, IOM, WCO, INTERPOL in determining technical assistance needs for four Member States for the implementation of an API system

Benefits of TRIP



- Worldwide confidence in authentic identity documents
- Protection from identity theft
- Use of machine-assisted systems
- Shorter lines

SECURITY

Detect and Prevent...

- Entry of terrorists and criminals
- Attacks and attempted attacks
- Use of crafts/vehicles as weapons
- Movement of weapons/explosives
- Criminal activity (especially when used to fund terrorism)
- Child abduction
- Human trafficking
- Illegal immigration

FACILITATION

Support and Expedite...

- Domestic and international travel
- Tourism
- Imports/exports and domestic trade
- Immigration/migration
- Treaty commitments and human rights — refugees, stateless persons, children
- Emergency response — identification of victims and survivors
- Crime detection — tracking of suspicious persons and behaviour



Conclusions

- ICAO is your UN agency, take ownership and participate
- Coordinate at national and international level
- ICAO Traveller Identification Programme (ICAO TRIP) establishes appropriate mandatory and global interoperable standards and specifications (API, PNR, etc..)
- Improper validation of ePassport leads to a “false” sense of security
- The ICAO PKD is the most effective mechanism for making available public keys and other related information globally – Participate!



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Forthcoming Event

12th TRIP Symposium 2016 (15-17 November 2016)



The Symposium is a world-class forum for the exchange of information on all aspects of traveller identification management, and the ICAO Traveller Identification Programme (TRIP) Strategy providing decision makers and technical experts with valuable insight on key current and emerging issues.



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ICAO Publications of interest (Annex 9 related)

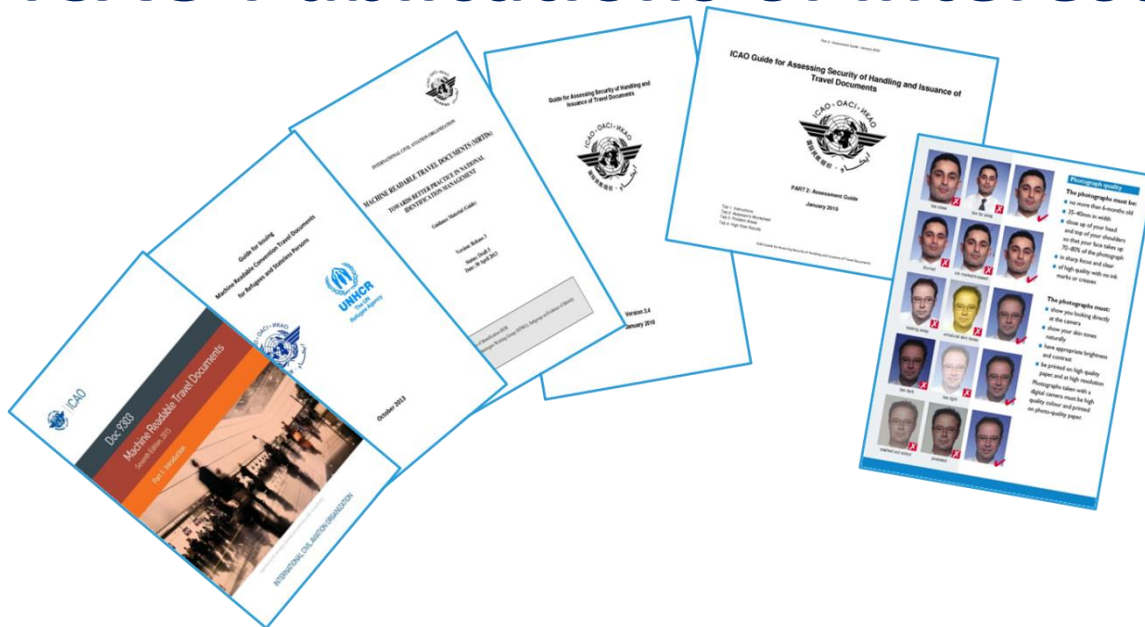
GUIDELINES
ON
ADVANCE PASSENGER INFORMATION
(API)

WCO/ATA/ICAO

2013



ICAO Publications of interest (TRIP related)





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国际民航组织