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ICAO Annex 9 — *Facilitation*: The Regulatory Basis of ICAO TRIP

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ICAO TRIP: Building Trust in Travel Document Security

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ICAO TRIP: Elements

1. Evidence of identity
2. MRTDs: Design & manufacture (Doc 9303)
3. Document issuance and control
4. Inspection systems and tools
5. Interoperable applications



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Overview

1. Chicago Convention
2. Annex 9
3. The MRP in Annex 9
4. Other MRTD Standards and Recommended Practices (SARPs)



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Convention on International Civil Aviation, 1944

- Article 13 (Entry & clearance regulations)
 - Passengers & crew to comply with a State's entry, clearance, immigration & passport regulations on entry & departure and while within the State
- Article 22 (Facilitation of formalities)
 - States to prevent unnecessary delays to aircraft, crew, passengers in the administration of immigration, customs and clearance laws



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- Article 23 (Customs & immigration procedures)
 - States to establish customs and immigration procedures in accordance with practices established or recommended pursuant to the Convention
- Article 37 (Adoption of standards)
 - States to secure uniformity in regulations, standards, procedures



- Article 37: ICAO to set international standards
 - (Binding) on 191 Contracting States)
- Annex 9 — *Facilitation*
 - Articulate States' obligations under Articles 22 and 23 (and others);
 - Standardize procedures for meeting the legal requirements of Art. 13 (and others)

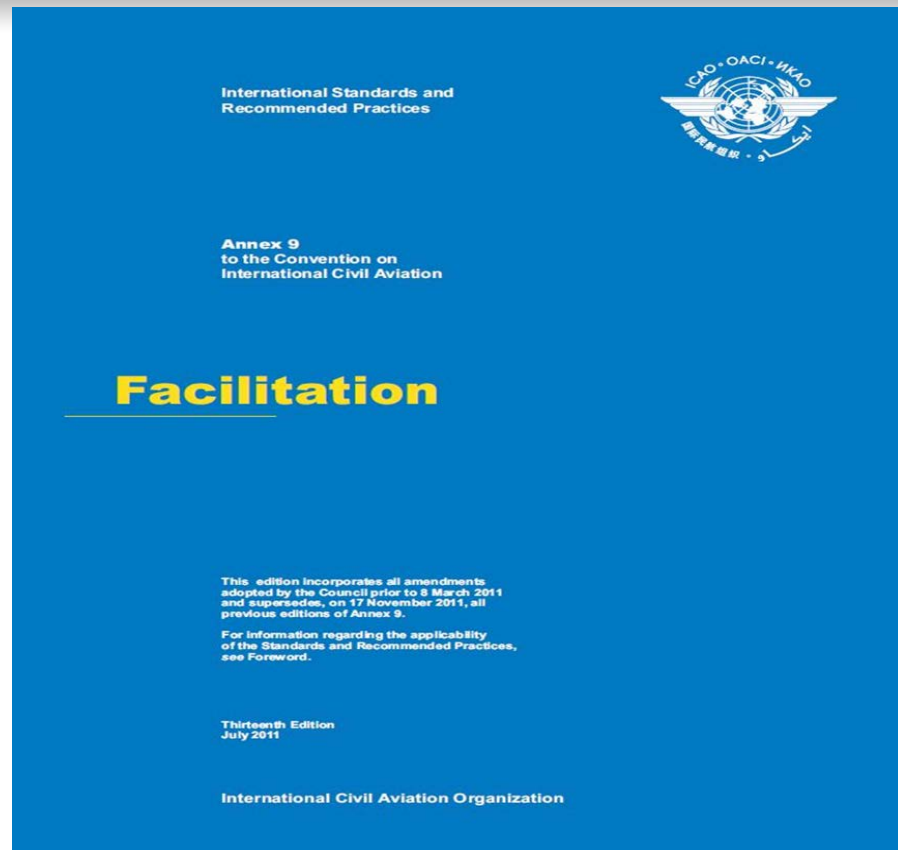


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Annex 9:

Border control (Customs, Immigration, Health and Quarantine) Standards & Recommended Practices (SARPs)





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



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Annex 9

1. Definitions and General Principles
2. Entry and departure of aircraft
3. Entry and departure of persons and their baggage: [MRTD provisions]
4. Entry and departure of cargo and other articles
5. Inadmissible persons and deportees
6. International airports – facilities and services for traffic
7. Landing elsewhere than at international airports
8. Other facilitation provisions



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The Passport in Annex 9

1st Edition (1949)

- (R.P.) E/D Card used in lieu of temporary entry permit; period endorsed
- (Std.) Crew licence for temporary admission & no passport or visa to be required

2nd Edition (1953)

- (R.P.) Limitation on requiring documents other than documents of identity (e.g. passports or forms in lieu thereof)



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3rd Edition (1956)

- (R.P.) E/D Card used in lieu of temporary entry permit; endorsement on card of identity document (passport)
- (Std.) Limitation on documents other than identity (passports)

4th Edition (1960)

- (Std.) Contracting States shall not require from tourists and other temporary visitors . . . Any other document of identity than a valid passport.

{Note: Existing I.D. such as expired passport, national registration cards, alien resident cards may be accepted in lieu of passport.}



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The Machine Readable Passport in Annex 9

November 1980, **Doc 9303** published

9th Edition (1990)

— RP: Contracting States should issue machine readable passports in the layout set forth in ICAO Doc 9303.

11th Edition (2002)

— RP 3.5: When issuing passports, visas or other identity documents accepted for travel . . . Contracting States should issue these in machine readable form, as specified in Doc 9303 . . .



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12th Edition (2005)

- 3.10 Contracting States shall begin issuing only Machine Readable Passports in accordance with the specifications of Doc 9303, Part 1, no later than 1 April 2010.
- RP 3.5 amended (“passports” deleted)

13th Edition (2011)

- 3.10 All passports issued by Contracting States shall be machine readable in accordance with the specifications of Doc 9303, Part 1.



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3.10 & ICAO TRIP Strategy

Outcome → Completion of MRP implementation
TRIP Elements → (MRTDs &) Document issuance and control

Short-term Milestone (2014-16):

→ Only MRPs are issued

Mid-term Milestone (2017-20):

→ Resolution of outstanding issues

Long-term Milestone (2020-beyond):

→ Implementation completed



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Standard 3.10.1

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.

2013 MRTD Symposium

→ 74/191 responses: 69 yes; 5 no

2015 MRTD Symposium

→ 133/191 responses: 123 yes; 10 no

..... TRIP Elements 2 & 3



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Other Annex 9 “ICAO TRIP” Standards

3.4 Contracting States shall **not extend the validity** of their machine readable travel documents.

3.7 Contracting States shall regularly **update security features** in new versions of their travel documents, to guard against their misuse and to facilitate detection of cases where such documents have been unlawfully altered, replicated or issued.

. . . . TRIP Element 3



3.8 Contracting States shall **establish controls** to safeguard against the theft of their blank travel documents and the misappropriation of newly issued travel documents.

3.8.1 Contracting States shall establish appropriate **controls** over the entire travel document **application, adjudication and issuance processes** to ensure a high level of integrity and security.

. . . . TRIP Element 3



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3.15 Contracting States shall issue a **separate passport** to each person, **regardless of age**.

(new Standards: Amendment 25)

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.

Contracting States shall ensure that travel documents for refugees and stateless persons (“Convention Travel Documents”) are machine readable, in accordance with the specifications of Doc 9303.

... TRIP Elements 2, 3 & 4



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