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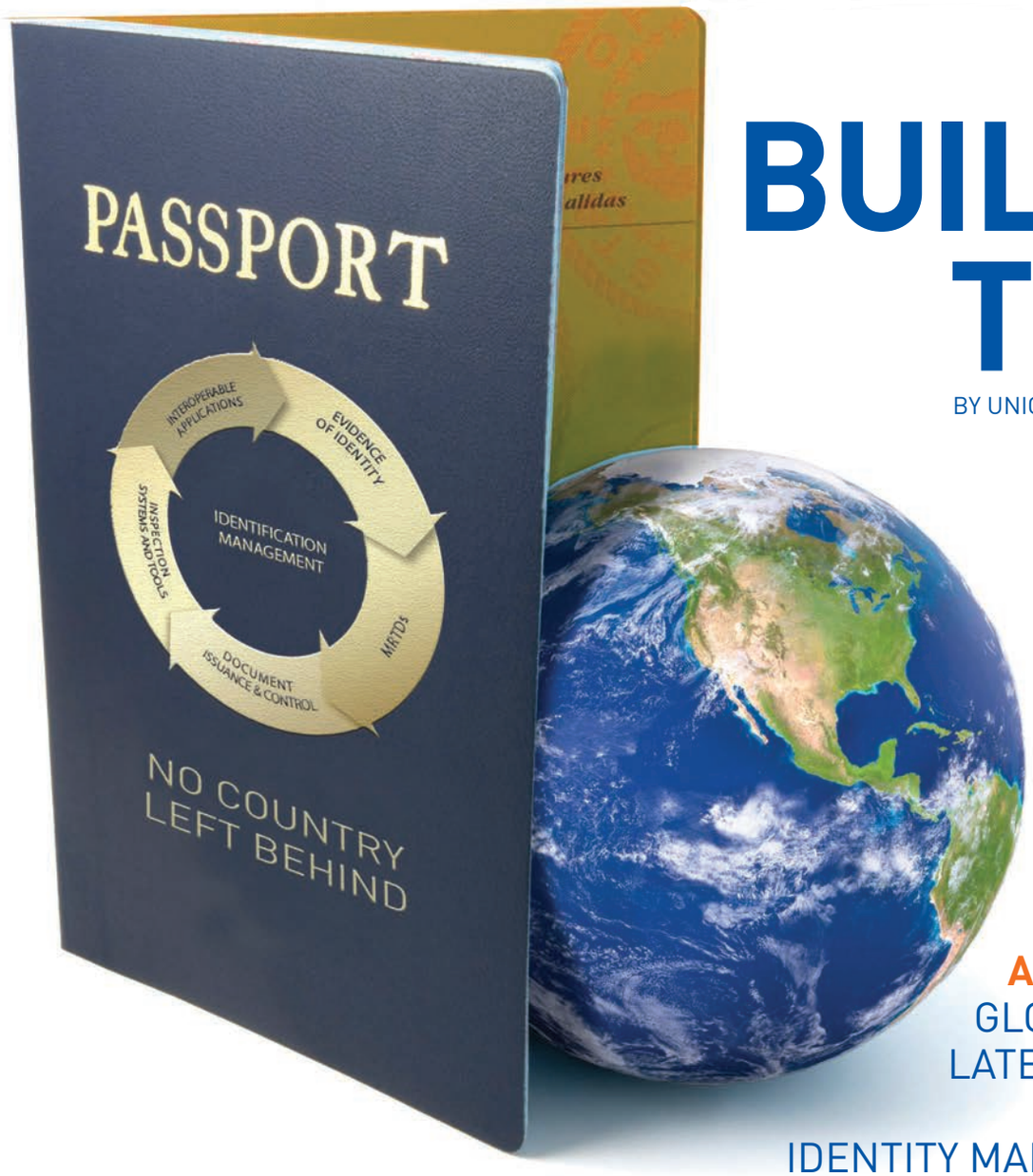

BUILDING TRUST

BY UNIQUELY IDENTIFYING INDIVIDUALS

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Editorial
MRTD Programme—Aviation Security
and Facilitation Policy Section
Editor-in-Chief: Narjess Abdennebi
Tel: +1 (514) 954-8219 ext. 8374
E-mail: fal@icao.int
Coordinator: Garleen McGann
Tel: +1 (514) 954 8219 ext. 6329
E-mail: fal@icao.int
MRTD/Border News updates: Omer Faruk Arinc
Tel: +1 (514) 954 8219 ext. 6515
E-mail: fal@icao.int

Content Development
Senior Editor: Allisun Dalzell
Tel: +1 (514) 954-8219 ext. 8108
E-mail: adalzell@icao.int

Production and Design
Bang Marketing
Stéphanie Kennan
Tel: +1 (514) 849-2264
E-mail: info@bang-marketing.com
Web Site: www.bang-marketing.com

Advertising
Harvey Wong, Advertising Representative
Tel: +1 (514) 954-8219, ext. 6181
Fax: +1 (514) 954 6769
E-mail: hwong@icao.int
Alexandra Paré, Project Manager
Tel: +1 (514) 954-8219, ext. 5510
E-mail: apare@icao.int

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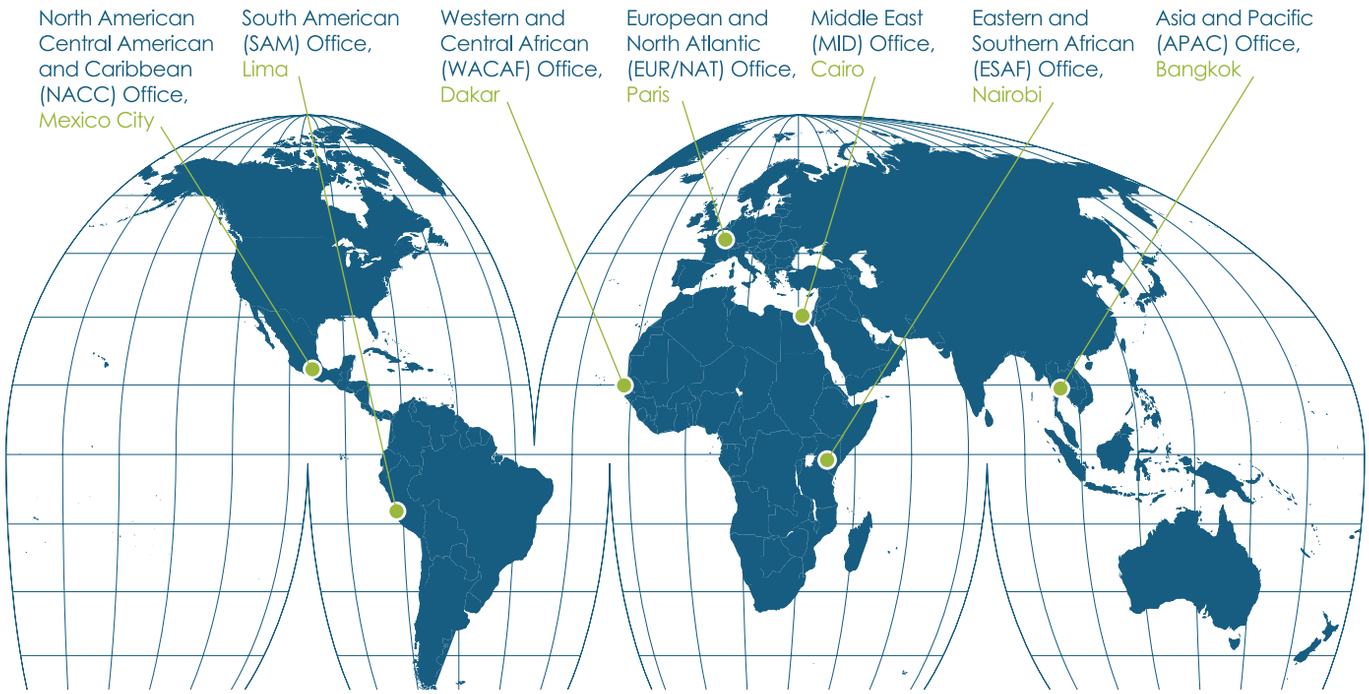

UNIQUELY IDENTIFYING INDIVIDUALS: BRINGING A SECURE TRIP TO EVERY STATE

It isn't by accident that much of what you will find in this issue parallels closely the goals and overarching objectives of ICAO's "No Country Left Behind" (NCLB) campaign. ICAO's commitment to assisting States in implementing ICAO Standards and Recommended Practices (SARPs) will help ensure that SARP implementation is better harmonized globally. If all States could have access to the significant socio-economic benefits of safe and reliable air transport, the whole will become greater than the sum of its parts.

In this context, ICAO will provide more direct assistance to developing States by playing a more active coordination role and by helping to generate the political will that inspires States to pool resources, participate in regional efforts, earmark voluntary funds and help build capacities.With Annex 9 and Document 9303 as the fulcrum of worldwide SARPs and Specifications for identification management and the corollary functions of border control and inspection, the ICAO Traveller Identification Programme Strategy is the catalyst that brings the myriad of competing priorities together so that the traveling public will have trust and confidence in the security and facilitation of travel today – and tomorrow.

Three of the articles in this issue exemplify the kinds of location-specific programme activities that the precepts of TRIP encompass. First, the Sahel Project, which includes a regional seminar held in Niamey and some gap assessment missions in five States, is an example of the kind of capacity building that TRIP has been carrying out, thanks to an earmark voluntary fund from the Government of Canada. These activities sensitized the Sahel and Maghreb States to the need for ensuring strong and secure national identity management practices. The next seminar for this project is planned for the first quarter of 2016.

Another piece summarizes the regionally specific group efforts that took place in May 2015 during a high level meeting of the Member States of the Economic Community of Central Africa States (ECCAS) in Brazzaville, Congo. The meeting looked at the challenges faced by ECCAS States in implementing the ICAO TRIP Strategy. It provided a forum for discussions about current and emerging State needs and it concluded with the adoption of a common Declaration that outlined the next steps to take.

The third article reports on the expert identity management and Civil Registry for the Economic Community of West African States (ECOWAS) Member States, which was part of the "Support to Free Movement of Persons and Migration West Africa", organized by the International Organization for Migration (IOM) with the European Union (EU), ECOWAS, the International Centre for Migration Policy Development (ICMPD) and the International Labour Organization (ILO). Representatives from eight West Africa States were introduced to all the elements of the identity infrastructure.

A quick review of the other contributions in this issue seems almost like a worldwide travelogue – with the report on the preliminary results of a unique expert meeting on the future of identity management at the Hague, and the traveller identification challenges expressed by the South Pacific Small Island States during the ICBWG meeting in Samoa.

To add to your travel miles on this TRIP, there are discussions on the inclusive border control programme in Portugal which highlights several of their successful initiatives. Compliant with Doc 9303 Specifications, in 2006, Portugal implemented the Portuguese Electronic Passport, affectionately known as PEP. Since then, through very careful and close attention, Portugal has built on its foundation, the heart of which is a national priority, known as the Identity Chain.

A stopover in Lyon introduces us to Interpol's worldwide I-Checkit as it takes unprecedented steps in how crime detection is approached using a centralized communication link that for the first time brings together Interpol, law enforcement and the private sector.

We wrap things up back in Montreal with an article on the functionalities and implementation status for the ICAO TRIP Platform which is being developed by ICAO.

As this issue of the MRTD Report nears its publication deadline, we are putting the final touches on this year's MRTD Symposium, which will take place at ICAO Headquarters 14-16 October 2015. You will hear a great deal more about the subjects covered by this Report, including NCLB, and, of particular note, you will have the opportunity to engage the authors as well as your other colleagues. I look forward to seeing you. ■

Enjoy your reading!

ICAO TRIP REGIONAL IMPLEMENTATION SEMINAR: NIGER ACHIEVEMENTS

ABOUT JEAN SALOMON

He has a Ph.D. and more than 30 years of academic and cross-industrial experience in Chemical Engineering, Medical Imaging, Auto-ID, and in equipment, markets and technologies of the Transportation & Security industries. Jean is an active expert working group member of IATA, FRONTEX, ISO SC17 and SC37, as well as ICAO's New Technologies Working Group (NTWG) and the Implementation and Capacity Building Working Group (ICBWG). He is an EU Border Security and Management expert and runs JSCP, a private consulting firm specialized in streamlining and securing border crossing processes at ports and airports.

INTRODUCTION

The Government of Niger hosted an ICAO Traveller Identification Programme (ICAO TRIP) Implementation Regional Seminar in Niamey, Niger from 20 to 22 January 2015 as part of an ongoing and long-term commitment in Africa that involves cooperation with donor States and international and regional organizations.

This initiative served with others to launch the Canadian-funded project "Travel Document Security and Identification Management in the Sahel and Neighboring States". The project aims at implementing the ICAO TRIP Strategy, namely the holistic management of travelers' identification and the security of travel documents and border control processes. The project is implemented in collaboration with the United Nations Counterterrorism Executive Directorate (UNCTED).

The Seminar agenda included presentations, discussions and breakout sessions with case studies, developed to best address the realities of the 28 delegates representing eight States: Burkina Faso, Chad, Guinea, Mali, Mauritania, Niger, Nigeria and Tunisia.

SEMINAR GOALS

The purpose of the Seminar was to provide practical and background knowledge about the various components and benefits of the ICAO TRIP Strategy. Its audience was composed of stakeholders representing the TRIP value chain, from the foundation of national identity to its secure implementation and operational risk control, including travel document issuance and border management.

The participants brought together extensive experience from various Ministries (Interior, Security, Foreign Affairs, Territorial Administration); operational functions (National Police, Border Police, Customs, Immigration); as well as transversal common specialties (document fraud, Directorate General of Civil Aviation and aviation security).

SEMINAR EXPERTISE

ICAO organizers invited a dozen speakers, including ICAO staff and other international experts, to share their knowledge and lead the working sub-groups.

To sensitize the delegates to immediately applicable and practical solutions, other speakers included representatives from the École Africaine de la Météorologie et de l'Aviation Civile (EAMAC), the Economic Community of West African States (ECOWAS), the European Union Common Security and Defence Policy in the Sahel (EUCAP), INTERPOL and the United Nations Economic Commission for Africa (UNECA).

SEMINAR'S FRAMEWORK

The Seminar consisted of a mix of plenary sessions with presentations delivered by experts that provided technical information on concepts and aspects of the ICAO TRIP Strategy and its operational border environment, and of round table discussions and workshops that enabled participants, divided into sub-groups, and experts to exchange views on challenges and best practices on relevant matters.

1. Plenary sessions

Delegates were briefed on the main three components of the ICAO TRIP Strategy: management of travelers' identification; the security of travel documents; and border control processes. Using the methodology associated with the Programme, the goal was to strengthen participant knowledge on the basis of national identity and its fundamental elements (the traceability of one's identity since birth).

The plenary sessions also focused on putting identity and risk management tools at the service of national development, tourism, industrial and commercial sectors, on aligning them with the surrounding States and on harmonizing them with ICAO's Standards and Recommended practices (SARPs).

2. Roundtables

The plenary sessions were immediately followed by thematic roundtables led by a team of experts; best practices and challenges were identified in the areas of **border and national identification management**. Delegates were provided with adequate time for discussing and sharing their own national situations.

The outcomes of the discussions were presented by the delegates in plenary sessions. The issues encountered when implementing the ICAO TRIP Strategy were essentially the same for the eight States present, given their geographical proximity, the porosity of their land borders mostly in desert regions, economic constraints or migration issues and security threats in the region.

3. Workshops

Delegates split into two workshops according to their professional activities. In one, the intent was to gain insight, through a case study, on how to use the **ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents**, while in the other, the importance of continuous training was addressed.

ICAO is developing a training on travel document fraud entitled **Control of the authenticity and validity of travel documents at borders – Level I**. The population analysis for the training development was performed during the seminar, thanks to the input of the delegates. Such training, which encompasses a train-the-trainer component, takes a heightened importance because of the strong and uncontrolled migration flows which challenge the identity management checks during border crossings.

WIN-WIN INVENTIVE SOLUTIONS

Breakout sessions were very successful; all of the delegates actively participated and brought a cooperative spirit. Knowledge overlaps allowed for each group member to quickly grasp topics and challenges raised by the other delegates when State problems were discussed.

Though the team of experts guided the sub-groups, roundtable reporting was carried out by the delegates themselves; it allowed participants to voice their own vision of the status of their State's national identity. They had an opportunity to compare the strengths and weaknesses of their respective border management structures and to implement simple neighborhood compromises or bilateral solutions to jointly manage common borders.

Rather than passively browsing through the main topics of ICAO's *Guide for Assessing Security of Handling and Issuance of Travel Documents*, the roundtable on national identity focused on a small case study based on the Guide. Delegates were asked to follow the chapter-by-chapter structure of the Guide to identify the sensitive areas and challenges faced by the fictitious State described in the case study.

Among the pragmatic solutions discussed, shared custody of some border posts was commonly agreed. If border guards of two neighboring States were to share a single point of control, any incoming individual whose identity would be inconsistent with the true language, dialect or accent of his assumed country of origin would be easily detected, thereby improving illegal transit controls.

An even more compelling case for establishing good practice was initiated during the Seminar, as a result of INTERPOL's presentation. The importance of each ICAO Member State systematically reporting and registering all stolen or lost passports in INTERPOL's Stolen and Lost Travel Documents (SLTD) database is key to helping border verifications by other receiving States. In fact, one of the Seminar participants successfully implemented this recommendation within a few weeks of his return to Mali.

As of March 2015, a Malian citizen can only obtain a new travel document reported lost or stolen if he has declared, in person, the loss or theft of his document to the INTERPOL's National Central Bureau. The individual must attach his new passport application the INTERPOL-stamped receipt evidencing proper registration in the SLTD database.

SEMINAR FOLLOW-UP

One goal of this Seminar was to serve as a preamble to State assessment missions performed by ICAO experts in order to assess the management of national identity, the securing of their travel documents and of their borders.

Since December 2014, ICAO experts have conducted a one-week field mission to **Chad**, **Mali** and **Tunisia**, with **Niger** and **Burkina Faso** to be visited in the near future.

CONCLUDING REMARKS

The ICAO TRIP Implementation Regional Seminar in Niamey was organized to sensitize Sahel and Maghreb States to the absolute need to develop preventive actions, directly involving national institutions, in order to reinforce the various elements of their national identity heritage and the issuance of more secure MRTDs, together with improved ID checks and verifications during border control.

The importance of each ICAO Member State systematically reporting and registering all stolen or lost passports in INTERPOL's Stolen and Lost Travel Documents (SLTD) database is key...

The will expressed by all 28 participants from the eight States present at the Seminar, to analyze deficiencies in order to respond with a rational approach to improve the management of their national traveller identification programmes, was remarkable.

Further dialogue has already proved successful with the States who had assessments after the Seminar. The hope is that this will drive donor support for the targeted States in their evolutionary process.

Continuous training, the ability to retain trained staff and the capacity for each State to eventually self-support its own change of national identity paradigm are the *sine qua non* conditions for the success of this type of cooperative project.

Outright "external" (passive) assistance is not the right solution for changing the establishment of sound identity management practices in a given State. Continuous support, through coordinated efforts of donor States, promoting a strong transversal structure in the receiving State, and backed up by the highest nation's leadership, will be the basis for long-term success.

Let's hope that ICAO continues, thanks to donor States, to invest in these types of seminars and field assessments given how they help States rise to the challenge of securing borders in order to expand trust, tourism, commerce, and industrial activities in their geographical environment. ■

IMPLEMENING THE ICAO TRAVELLER IDENTIFICATION PROGRAMME IN THE CENTRAL AFRICAN STATES

ABOUT CHRISTIANE DERMARKAR
She is a Canadian Certified Public Accountant (CPA-CGA) who joined the International Civil Aviation Organization (ICAO) in 2000. For the past eight years, she has been managing the Public Key Directory (PKD) of ICAO and in this function she serves as the Secretary of the PKD Board.

At the invitation of the Government of the Republic of the Congo, a High-Level meeting of the Member States of the Economic Community of Central African States (ECCAS), on the implementation of the ICAO Traveller Identification Programme (TRIP), was held at the Ministry of Foreign Affairs and Cooperation in Brazzaville, Congo on 22-23 May 2015. The event attracted over 40 government officials from eight ECCAS States and International Organizations including ECCAS, the Economic Commission of the United Nations for Africa, the International Organization for Migration (IOM) and INTERPOL.

During the High-Level Meeting, the challenges faced by ECCAS States were addressed, along with proposals and solutions for implementing the ICAO TRIP Strategy and Security Council Resolutions. Discussions focussed on the facilitation of travel, and more specifically, on matters related to the Machine Readable Travel Documents (MRTDs) and biometrics and security standards, including capacity-building activities. The Meeting also looked at the specific needs of States in further enhancing the integrity of the passport issuance process and ensuring robust identification management in order to maximize border security and facilitation benefits, while stressing the importance of joining the ICAO Public Key Directory (PKD) and issuing machine-readable passports (MRPs) conformant to ICAO Doc 9303 specifications.

CONTENT

The main purpose of the Meeting was to: a) provide an opportunity to brief participants from Member States about current and new developments of MRTD specifications and to clarify any specific questions and finer technical points; b) provide a forum for discussions about the current and emerging needs of States and other stakeholders; and c) approve and sign a common declaration addressing the issues States face as a first step in developing a roadmap for the facilitation of travel in the ECCAS States.

The opening ceremony was held under the chairmanship of his Excellency Mr. Rodolphe Adada, Minister of State for Transport Civil Aviation and the Merchant Navy of the Republic of the Congo, in the presence of Mr. Raymond Benjamin, former Secretary General of ICAO, Mr. Sylvestre Mamina, Secretary General of the Ministry for Foreign Affairs and Cooperation, representing his Minister, and Mr. Léon Mudubu, Coordinator, Technical Department of Integration Physical Economic and Monetary Affairs, ECCAS, who represented the Secretary General of ECCAS, Mr. Ahmad Allam-Mi.

Mr. Ahmad Allam-Mi's speech emphasized a major challenge for States: the global criminal activities that involve lost, stolen and falsified travel documents. In his

conclusion, he highlighted the need for cooperation between Member States, which would go hand in hand with strengthening capacities as provided for in the Protocol of Assistance Agreement signed between ICAO and ECCAS in June 2013.

Mr. Raymond Benjamin recounted the purpose of the ICAO TRIP programme, which is to strengthen the capacities of the ECCAS Member States in managing secure passport issuance and border control systems in the region and to precisely meet the 2178 United Nations Security Council Resolution (dated 13 September 2014). In his conclusion, ICAO's former Secretary General reminded participants that the Member States of ECCAS would be invited to sign a common declaration at the end of the Meeting that would provide a roadmap for the facilitation of travel in the ECCAS, and neighbouring, regions and communities.

After welcoming participants to Congo, his Excellency, Mr. Rodolphe Adada, spoke of the role aviation plays in the center of economic development, with the free movement of persons and goods, and he acknowledged how incidents in air transport affect the images of States. He hoped the conclusions of the meeting would allow ICAO and ECCAS to continue their efforts so that the ICAO TRIP Strategy could take effect and become a reality in ECCAS States.

MAIN TOPICS OF DISCUSSIONS

Throughout the Meeting, important discussions centered around the following topics:

TRIP Strategy:

- Security and facilitation benefits will only be maximized with a holistic and integrated approach to traveller identification management. The ICAO TRIP Strategy links the five elements of traveller identification and border controls into a coherent framework: Evidence of Identification (EoI); secure document issuance and control; MRTDs, inspection systems and tools; and interoperable applications.
- During the seminar, complex challenges were tabled when the existing ICAO MRTD standards and specifications, emerging technologies, the broader identification management framework, and the strengths and weaknesses of current practices were discussed.

ICAO MRTD Standards and Specifications:

- Compliance with ICAO MRTD standards and specifications is indispensable when maximizing security and facilitation benefits for States and their citizens, and is a Member State Obligation. ICAO has been updating and streamlining the structure of *Machine Readable Travel Documents* (Doc 9303) and has significantly enhanced its contents.

Pictured from left to right: Serge Florent Dzota, Director General, DGCA Congo, Former ICAO Secretary General Raymond Benjamin, Boubaca Djibo, Director, Air Transport Bureau, ICAO, Boniface Marcellus Bongho, Deputy Director General, DGCA, Congo and Mam Sait Jallow, Regional Director, ICAO WACAF Office

- During the meeting, discussions turned to the major MRTD compliance challenge, the 24 November 2015 deadline, by when all non-machine readable passports should be out of circulation (Standard 3.10.1 in Annex 9). States facing difficulties in ensuring compliance were invited to keep ICAO informed and to encourage their citizens to renew any non-compliant passports before the deadline.
- To ensure interoperability, enhance facilitation, increase confidence in the reliability of travel documents, and contribute to national and international security, ICAO develops international specifications for passports, visas and ID cards used for travel. ICAO-compliant secure travel documents and a robust identification management regime are powerful tools in preventing and combating terrorism and serious transnational crime. The issuance and integrity of travel documents, border security and identification management remain an important part of global counter-terrorism capacity-building efforts in furthering the objectives of the UN Security Council Resolution 1373 (2001).
- The meeting highlighted the additional security and facilitation benefits that ePassports offer States when they are properly implemented, reliant on the ICAO PKD, and are securely verified at borders. Discussions at the seminar also highlighted the range of challenges that States often face in implementing or reading ePassports; identified key points to watch; and stressed the importance of performing a detailed cost/benefit analysis before launching an ePassport.

Assistance and Capacity Building and Best Practices:

- In the context of building capacity, a project funded by the Government of Canada, in partnership with the Counter-Terrorism Committee Executive Directorate (CTED), "*Strengthening of the travel documents security and identification management in the Sahel and the neighbouring States*," was presented.
- The Congo spoke about their experience in producing secure identity documents from 1938 to current day. Their presentation looked at passport personalization centres, national ID cards and difficulties encountered in the establishment of reliable civil registries.
- Regional visas were discussed, along with several past and on-going initiatives for stimulating entrepreneurship and community citizenship, with possible solutions suggested. Ideally, the ECCAS Region will become a community of peoples with a common identity in Central Africa, and not a community of Nations, as it exists today.

Identification Management:

- Securing the EoI and passport issuance process calls for particular attention. This is an area where identity fraud efforts have been shifting globally and could be exploited for terrorist and trans-border crime purposes. ICAO continues its ongoing work of codifying sound practices that secure issuance and identity management for the benefit of all States.
- The meeting highlighted the additional security and facilitation benefits that ePassports offer States provided they are properly implemented, rely on the ICAO PKD, and are correctly verified at borders. Discussions at the seminar also highlighted a range of challenges that States often face when implementing or reading ePassports, identified key points to watch and stressed the importance of performing a detailed cost/benefit analysis before launching an ePassport.
- Participants were introduced to the Africa Programme on Accelerated Improvement of Civil Registration and Vital Statistics (APAICRVS), which provides support to francophone African States to accelerate the implementation of the programme. To encourage its Member States to improve their CRVS systems, ECCAS was invited to participate in this initiative.

Border Control:

- Border control and identity management are the two most important issues in the current global security agenda. The use of false identities and fraudulent travel documents tends to be exploited by trans-border criminal networks and the African continent is particularly vulnerable to transnational organized crime. Porous borders and weaknesses in systematic border control between the African States facilitates a huge movement of travellers, but also causes security vulnerabilities. Today, the impact of transnational organized crime is more evident than ever before as crime converges with other transnational threats, such as extremism and terrorism. On the second day of the Meeting, discussions focussed on border control issues and in particular, on the interoperable applications and inspection systems.
- The presentations proved that the challenges of cross-border cooperation and data sharing are two vital areas that require further regional collaboration, confidence building measures and joint activities and information exchanges to prevent identification fraud. The Meeting provided an opportunity to address these challenges.
- The session on the PKD stressed the importance of considering all the elements required when issuing an ICAO-compliant ePassport, including the implementation of the PKD. A passport with a chip that overlooks this element cannot be considered an ePassport, according to official ICAO definitions. Issuing an ePassport should go hand in hand with joining the PKD.
- Travel documents and identity management remain an important part of border controls and global security—but issuing ePassports is only half the job—they must be properly read at borders. The use of electronic data and intelligence-driven border controls is gaining further momentum. In managing border security, both travel documents and electronic data sharing have to be used in an integrated manner to offer optimal security and facilitation benefits to States.

CONCLUSION

The High-Level Meeting concluded with the unanimous adoption of a common declaration, which will provide a roadmap for the facilitation of travel in the ECCAS area and neighbouring States. States were encouraged to maintain dialogue with ICAO regarding their on-going and newly emerging MRTD, identification management and border challenges. National government agencies were invited to keep in touch with the ICAO TRIP Programme, and ICAO Regional Offices, regarding their needs and challenges. ICAO's close cooperation and confident technical dialogue with Member States, will be key to this success.

This fruitful High-Level Meeting was the result of excellent cooperation between many parties: The Government of Congo, ECCAS and ICAO. The National Civil Aviation Agency (ANAC) of Congo provided enormous assistance and support in organizing the event. ■

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PROFESSIONAL REGISTRATION: THE BASIS FOR ECOWAS BIOMETRIC ID-CARD

ABOUT FONS KNOPJES
He is a leading international expert in the identity management domain who works as a senior research and development manager for the Dutch Ministry of the Interior and Kingdom Relations. He is a member of the core group of experts on identity-related crime for the United Nations and for ICAO's Implementation and Capacity Building Working Group (ICBWG). He regularly publishes writings on identity management issues related to fraud, document development and training. Representatives from more than 30 governments have taken part in the master class on identity management that is given regularly by Fons.

SUPPORTING FREE CITIZEN MOVEMENT AND MIGRATION IN WEST AFRICA

KNOWLEDGE AS THE BASIS FOR AN ETHICAL IDENTITY INFRASTRUCTURE

In April 2015, the International Organization for Migration (IOM), as a member of a consortium that includes the European Union (EU), the Economic Community Of West African States (ECOWAS), the International Centre for Migration Policy Development (ICMPD), and the International Labour Organization (ILO), organized an Expert Meeting on identity management and civil registry for government representatives of the ECOWAS States.

Reliable, secure identity management is the foundation for achieving solutions and enhancing collaboration between Member States for the ECOWAS Biometric ID Card roll-out, as well as for collecting and sharing citizen data. Participants of the workshop included directors of civil registry and immigration departments, ICT heads, legislators, heads of institutions issuing travel documents, and experts of IOM and ECOWAS.

FIGHT IRREGULAR MIGRATION

During the opening of the Expert Meeting, the Ambassador of the European Union to the Republic of Benin, His Excellency Josep Coll, represented by Mr. Javier Medrano, underlined the activities needed for realising the EU's mission to promote legal migration, fight irregular migration and enhance the links between migration and development. He explained that the initiative for reforming the civil registration process and enhancing identity management capacities in the region was critical and timely in light of emerging security challenges.

IOM

The International Organization for Migration (IOM), the UN Agency responsible for international migration, was established in 1951 and is broadly represented in the African continent with its 41 offices. Bridging international migration with society developments is a key motive of the IOM in achieving its ambition of improving integrated border management.

IDENTITY MANAGEMENT

Identity Management in the public sector, and the organization and management of the national identity infrastructure, is a government's responsibility and calls for continuous care. Technological developments and changing methods of fraud

Identity management requires a well-considered policy, good direction, and a robust identity infrastructure where registrations, documents, processes and expertise work in a cohesive manner.

require constant vigilance and investments from the government for the improvement of the identity infrastructure. Experience dictates the importance of not only frequently assessing the effectiveness of an identity infrastructure's different elements individually, but also as a whole.

In practice, it would seem that governments do not always embed this necessary assessment in their work processes. Identity management requires a well-considered policy, good direction, and a robust identity infrastructure where registrations, documents, processes and expertise work in a cohesive manner.

EXPERT MEETING ON IDENTITY MANAGEMENT

The April 2015 *ECOWAS Expert Meeting on Identity Management and Civil Registry* for the ECOWAS Member States was part of the "Support to Free Movement of Persons and Migration in West Africa (FMM West Africa)" project. The project is financed by the EU and ECOWAS, and is implemented by a consortium of partners: IOM, ICMPD, and ILO.

Representatives of Benin, Burkina Faso, Côte d'Ivoire, Gambia, Ghana, Guinea, Niger and Nigeria participated in the Expert Meeting.

MEETING OBJECTIVES

In view of its importance, the Meeting began with an introduction to identity management. By strengthening identity management, governments are able to improve the quality and integrity of registrations, documents and processes in order to meet today's international standards.

Throughout the workshop, subjects related to professional identity management were discussed from both a strategic and tactical perspective.

Following this, registrations, documents, processes and expertise, which together form the identity infrastructure, were addressed and a model for improving and renewing existing identity management structures, was introduced.

INTRODUCTION OF IDENTITY MANAGEMENT

The elements of the identity infrastructure and their dependent relationships were introduced. Identity management is anchored in governmental policy; the right to identity and nationality is laid down in the Universal Declaration of Human Rights and in the Declaration of Children's Rights, and governments are obligated to safeguard these rights. Having an identity is a prerequisite for active and full citizenship.

The identity infrastructure (**Figure 1**) contains all the registrations, documents, processes and expertise required for the establishment, registration, management and verification of identities by the government. The 'Identity Life Cycle' (which includes the creation of the identity, the use of the identity, the control of the identity, and the end of the identity) is also incorporated in the identity infrastructure.

	Origin Identity	Use Identity	Control Identity	End Identity
Registrations				
Documents				
Processes				
Expertise				

Figure 1: Identity infrastructure

Registration

A civil registry where legal events (birth, marriage, divorce and death) are recorded is the foundation of the identity infrastructure. Certificates (birth, marriage and death) are issued on the basis of information from the civil registry.

Information from UNICEF has indicated that 50% of the children born in developing countries are not recorded in the civil registry until they are six years of age. This situation was addressed by participants of the Expert Meeting. In practice it appears that it is very complicated to motivate young (sometimes unmarried) parents to register the birth of their child with the civil registry.

Some States have a population register, a register which provides identity information from the civil registry. While a reliable population register is of vital importance when generating statistical information on the scope and composition of the population, it goes without saying that a faulty registry does not benefit the reliability of a population register.

Information integrity and currency are key criteria in a registration process. Reliable registration must also allow for the reporting of errors by identity information users; periodic audits; simple definitions; standardization of processes, and appropriate expertise.

Documents

Though source documents are used to draw up certificates, no international standards apply to the layout, security, content and issue of source documents. This makes it difficult to verify identities and documents which can, in turn, lead to the risk of identification and registration fraud.

None of the ECOWAS States that participated in the Expert Meeting, issue source documents with authenticity features. Illegal source documents are issued by criminal networks in some of these States, so it goes without saying that it is almost impossible to ascertain the authenticity of source documents that are issued by the government. During the workshop, attention was also directed towards the many factors that influence the development of travel and identity documents (**Figure 2**). These documents are increasingly used in both physical and digital environments.

Although ICAO Document 9303, *Machine Readable Travel Documents*, is a connecting thread for the development of document specifications, States still have to make many independent decisions, judgments that might be affected by political ambitions, finances, the availability of reliable identity information and international developments.

Format	Materials
Print technique	Production technique
Security features	Chip capacity and place
Biometrics	Generation Certificates
Personalization	Laminates

Figure 2: Influencing factors

Processes

Transparent descriptions are required for the steps involved in registration and maintenance. Who can be registered? Which conditions have to be met? Who is permitted to enter registrations and make changes to the registry? These questions have to be answered in the descriptions of the processes for documentation, the use of information and verifications. How someone's identity is verified, which documents are used, which means of verification must be available to a verifier, what will be recorded, etc. Not only does all of this have to be outlined in the processes, but those working in the identity chain must be well versed on the procedures and strictly adhere to them.

While a government needs to be service-oriented with its citizens, it must also focus on safety. Otherwise government officials can end up in a compromised situation and in conflict with the regulatory procedures, which might lead to either dissatisfied citizens or inadequate security. The processes are not only important to front-office employees but they also impact the work of managers.

The concern flagged in the Meeting was that the processes are sometimes very bureaucratic, which negatively affects speed and transparency - the steps might be followed, but nobody knows why and for whose interest they are taken.

Expertise

Technology is increasingly used in the identity infrastructure. Sometimes it appears to offer unlimited possibilities, but the question is whether the people working in the identity infrastructure are able to work well with that technology? The use of equipment leads to success when the people working with it have the expertise to use it - expertise that includes knowledge (of regulations and fraudulent threats), skill (in working with the equipment), attitude (in terms of taking fingerprints), and integrity (not to be susceptible to bribery

	Verification identity	Conclusion- / deviation identity	Establishing ID fraud
Front Office	✓	↓	
Back Office	✓	← ↓ →	✗
Forensic Experts	✓	← →	✗

Figure 3: Model of identity verification

or corruption). Knowledge has to be applied in layers in an organization so expertise is essential for everyone working in the identity chain regardless of the level at which the work is carried out. The back-office plays a crucial role in this because it not only supports the front-office, but it solves complicated issues as well, which requires up-to-date skills and constant attention (**Figure 3** refers).

Solutions often require customization. If specialized high-grade knowledge has to be passed on to a limited group of people, a trainer may opt for a classical training model. When, for example, it is found that large groups of people fail to carry out their identity verification tasks sufficiently and classical training is not ideal, an eLearning approach might be a more realistic approach. Modern media (with Apps) can also contribute to professional development.

States need to take steps to improve their expertise. The IOM plays an important role in this area with training facilities based in different States in Africa. Experts within IOM or who have been hired by IOM, contribute significantly to expanding identity infrastructure expertise.

Renewal and improvement

After the different elements of the identity infrastructure have been discussed, the process of improving and renewing identity management is addressed. It is utopian to assume that this is an incidental activity given that the dynamic within the identity chain is so great it creates opportunities and threats. The model, as represented in **Figure 4**, facilitates the process of evaluation and maintenance which requires periodic and frequent adjustments.

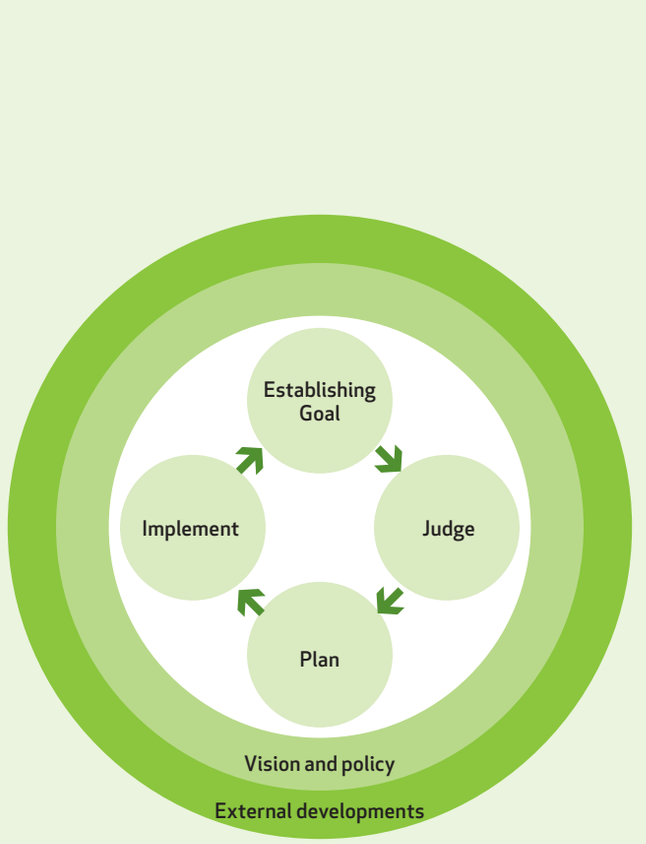


Figure 4: Process of improvement and renewal of identity management

... processes are sometimes very bureaucratic, which negatively affects speed and transparency - the steps might be followed, but nobody knows why and for whose interest they are taken.

Fraud

Criminals continue to change their way of working which means fraud methods are also changing. **Figure 5** represents the different development stages of fraud and the measures that are taken to prevent it.

Fraud is not restricted to documents. Lookalike fraud continues to grow, and though limited training has been developed to help detect lookalike fraud, scientists doubt the effectiveness of the training. A new trend involves fraud during the registration and application process, when fraudsters think that there is little chance of their acts being exposed. If they are successful during this stage, they will have obtained an authentic document - it is very difficult to identify that such a document has been obtained fraudulently.

Fraud	Measures
Total counterfeit	More security features
Theft blank stolen	Central personalisation
Photo substitution (forgery)	Integrated photograph
Lookalike fraud	Chip with fingerprint

Figure 5: Fraud developments (last 50 years)

The United Nations' core group of experts on identity related crime has established a check-list for governments to use to identify their risks of fraud and to take measures against them.

Electronic identification

What is electronic identification and what does it mean for the government and its citizens? When do you need to implement electronic identification? What are its advantages? These questions, and the similarities and differences between physical and electronic documents, were addressed at the Expert Meeting.

Physical documents have authenticity features that make them hard to forge. Security measures have also been developed to circumvent the risk of fraud in electronic documents. The participants of the Expert Meeting also learned about forms of fraud in the electronic environment and the principles of cryptography as a means to prevent it. It was clear to the participants that the implementation of an electronic document is a complex operation and that it has no advanced guarantee of success.

STATE OF AFFAIRS

By answering the questions that were asked, participants gave insight into identity infrastructure in their own States. On the basis of that inventory it became clear that many administrative bodies play a role in the identity chain and that processes have been designed at central, regional and sometimes even local levels. This often complicates the realisation of developments since each party has its own interests. The States that participated in the Expert Meeting do not have automated civil registry systems and though there are obviously technological possibilities, it is not likely that they will develop electronic services and documents.

Sometimes (part of) the infrastructure is missing, the processes have not been designed, and there is a lack of expertise. The migration from a physical to a digital identity infrastructure is a complicated operation in such a situation.

RESULTS

At the conclusion of the Expert Meeting, participants agreed they will be able to use the information acquired in their own work areas. They understand the identity infrastructure links and the importance of coordination and cooperation with other partners in the identity chain. Though everyone appreciated taking part in the workshop, there was regret the forum wasn't available at an earlier stage. ■

PORTUGUESE DOCUMENTS: ISSUANCE AND CONTROL

ABOUT ESMERALDA LOURO
She is an inspector with the Portuguese Immigration and Borders Service and is presently the coordinator of the Documents Issuance Central Unit at the Central Directorate of Immigration and Documentation in Portugal, responsible for the granting process of the Portuguese electronic passports. She holds a degree in law and has participated as a trainer/lecturer in various European, Pan-Asian and Transatlantic Seminars.

Portugal has implemented a strategy for reinforcing its national Identity Chain. The strategy, which is well regarded within the European Union (EU) and at an international level, adopts the latest technologies throughout the process of issuing and controlling identity, travel and residence documents.

Embracing biometrics called for national, in-depth reflection and resulted in the implementation of a global solution with mutual benefits for the State Administration and its people, who can now rely on a citizen-centred policy. The global approach (registration of identity, issuance and control) has factored in the security variances between the physical and logical components of the documents and found the necessary balance between security, personal data privacy and mobility (in terms of the movement of people and goods).

THE FIRST GENERATION OF ELECTRONIC IDENTITY DOCUMENTS WAS LAUNCHED IN PORTUGAL

The Portuguese Electronic Passport (PEP) project was initiated in December 2005, following the decision to integrate biometrics in European passports (EU Council Regulation 2252/2004) and it was implemented in August 2006 (**Figure 1**), after the adoption of a national legal framework. New information technology was incorporated in the issuance procedures which allowed for remarkable improvements in terms of security and de-bureaucratisation.

THE IDENTIFY CHAIN

A centralized procedure for data collection was adopted, where the applicant, by requesting his/her identity card, allows for the collection of his/her biometrics and for the retrieval of validated personal data, which is stored the relevant databases of various State Ministries.

Individuals must have a Citizen Card when applying for a passport. It stores in one document its holder's electoral, social security, national health system and taxpayer numbers, effectively allowing for access to various services in one e-government environment.

Figure 1: The Portuguese Electronic Passport (PEP)

PAPERLESS PROCEDURE

Paperless procedures addressed concerns associated with document integrity and crimes related to a person's identity with two exceptions: for second passport applications, since written evidence supporting the need for a second passport is required by the applicant; and for new passport applications, where the expired passport cannot be submitted and the applicant has a legal obligation to fill in and sign a Declaration of Lost Passport.

Including security features within the document was as much a priority as the need for reducing bureaucracy and eliminating forms throughout the procedures.

DECENTRALIZATION VS CENTRALIZATION

While biometrics are collected in a decentralized system, in Portugal the issuing process is centralized under the responsibility of the National Mint (INCM – *Imprensa Nacional casa da Moeda*). Centralization was crucial since it safeguarded the inclusion of certain security features and personalization techniques that enhanced the quality control and service levels achieved by the National Mint. If the process was decentralized this would have been extremely difficult. Logical personalization – face images in 2006, and finger prints in 2009 – also benefited from this option.

Figure 2: Portuguese Electronic Passport Kiosk – K-PEP

Consequently, the stages of the Identity Chain (production, personalization, delivery of the PEP centralized at INCM), guarantees high levels of security and technical quality throughout all phases of the process.

Though initially, in 2006, the issuing process was decentralized in 18 Regional Authorities (*Governos Civis*) and a few Citizen Bureaus, from September 2011 onwards, issuance was centralized and fell under the control of the Immigration and Borders Service (*Serviço de Estrangeiros e Fronteiras – SEF*).

TECHNICAL SOLUTIONS

Portugal decided to incorporate legal and technical requirements to ensure citizens would have to apply for a passport in-person, with the applicant's biometrics collected on site. To this end, a PEP Kiosk (K-PEP) is used for live enrolment and applicants were no longer allowed to bring their own ID photos.

K-PEP (**Figure 2**) allows for the direct collection of photograph, fingerprints and signatures of the applicant at more than 500 service bureaus in Portugal and at Portuguese consular posts abroad. The same device can be used to collect biometrics for other Portuguese documents such as the Citizen Card, the Residence Permit for third country nationals, and the entry Visa, among others. Portuguese identity documents are all sourced to the same collection station and share a common IT technological structure and interface.

To facilitate the collection of data belonging to citizens with physical deficiencies, and for cases where mobility is not possible, a mobile K-PEP was devised and implemented. Upon request of the applicant and in justified cases, the collection of biometrics is done remotely and offline. All data collected is verified in terms of quality and compliance with ICAO specifications for machine-readable documents.

The legal and technical solutions that were adopted allowed designated authorities to find strategies that enabled the delivery of the document in a timeframe that ranged from four hours (for the most urgent requests) to a maximum of five business days (for non-urgent requests). Costs vary according to the level of urgency.

PEP GRANTING PROCESS

The standard passport issuance process is implemented automatically, provided the applicant is of age (over 18 years old, and not prohibited from obtaining a passport); is not subject to any precautionary measures; and his/her citizen card is presented.

The non-standard passport issuance process is implemented manually and relates to exceptional cases within the process: where the applicant is legally incompetent (minors, individuals who lack legal capacity); for citizens whose identity or documents have been flagged in police data bases; and when there is a request for a second passport.

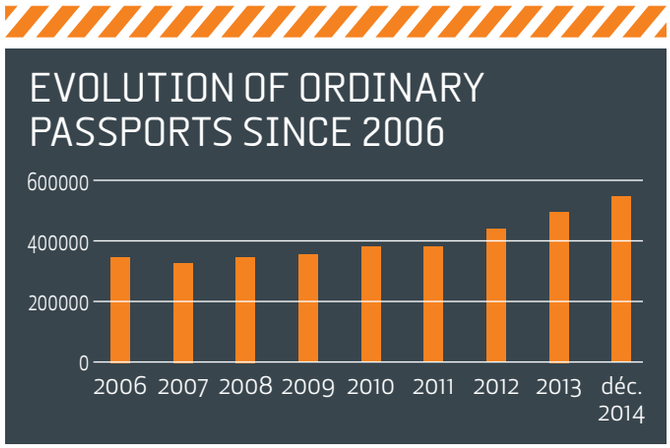
In 2014, 70 per cent of passport requests were automatically validated by the Portuguese Electronic Passport Information System (SIPEP) which interacts with the network of relevant databases. The remaining 30 per cent were individually analysed by SEF's Central Unit for Document Issuance.

In both processes, whether manual or automatic, the genuineness of the identification document exhibited is verified; the authenticity of the identification elements is ascertained; and the personal data is confirmed by consulting the civil identification database, the contumacy database (those who were tried in *absetia*, and are not permitted to have certain documents), and SEF's database, in order to determine the non-existence of precautionary measures.

This infrastructure is supported by SIPEP, the management of which has been granted from an early stage by SEF, and is interconnected with a certification structure and duly linked to the Portuguese National Certification Authority.

SUMMARY

- Passport applications in Portugal can now be submitted at the front offices/counters of the Registration and Notary Authority or at Immigration and Borders Service;
- Issuance is centralized by SEF; and
- Passports may be collected at former front offices/ counters or sent directly to the applicant address



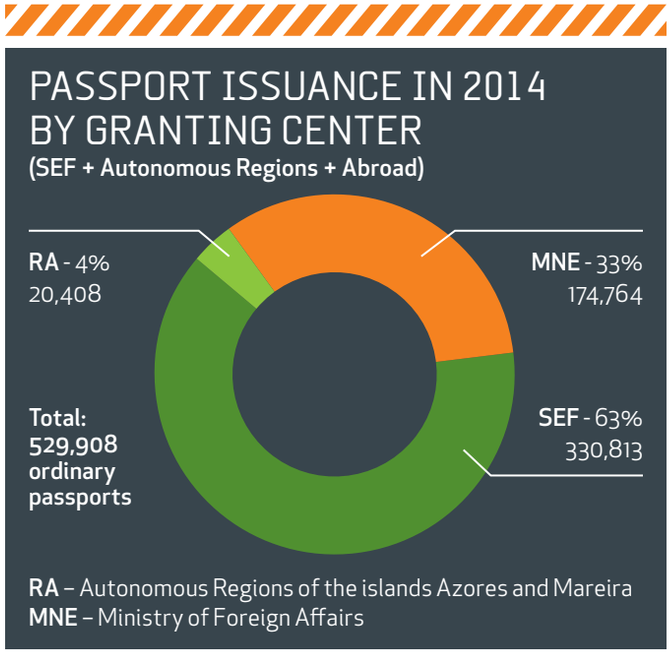


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Figure 3: Vision-Box, RAPID monitored system

ORDINARY PASSPORTS GRANTED BY THE SEF IMMIGRATION AND BORDERS SERVICE IN 2014

Standard/Automatic	Non- standard Manual	Minors	Second passport	Interim measures	Other (old ID card)
70% - 232,953	30% - 100,328	44% - 44,348	3% - 3,057	0.86% - 870	52% - 52,053

Other factors to be noted:

- Interaction is simplified with the service bureaus through direct and exclusive communication channels;
- Validation of personal data is confirmed through direct access to the civil identification databases;
- Decisions are streamlined and granted through SIPEP without neglecting security aspects; and
- Reinforced efficiency, harmonization and effectiveness due to the centralization of the procedures for issuing the passport despite the sharp increase in the number of local service bureaus – from less than 30 to over 300 locations

In addition to being responsible for granting the PEP to Portuguese nationals, SEF is the Portuguese authority responsible for issuing all travel and residence documents to non-national citizens, with the exception of Residence Permits for diplomatic staff, in which case SEF only delivers an opinion.

CONTROL: BORDERS

Portugal promotes an inclusive border control approach through an integrated border management strategy, based on the use of new technology for border control and surveillance, in coordination with other Member States through The European Agency for External Borders (FRONTEX).

SEF, as the sole responsible authority for the control of the Portuguese borders, has been closely monitoring Smart Borders issues and has been developing technological solutions for conducting passenger checks.

The significant rise in passenger volume, the competitiveness of national tourism, the improvement of human resources management, the need for reducing costs and the maximization of investments in electronic documentation by the Portuguese State, fully justified the adoption of an Automated Border Control (ABC) system.

In 2007, Portugal launched the system RAPID (**Figure 3**), which is currently used in every national airport. Designed by SEF and produced by the national company VISION-BOX, RAPID is used by more than 1.3 million passengers per year. This monitored system automatically checks the genuineness of an electronic document (by performing biometric confirmations), as well as the passenger's identity (by comparing the passenger's data with information contained in the relevant data bases). It is a simple, quick and easy process that resorts to a whole interoperable system without preconditions; the electronic passport is also the token.

Despite the progress achieved, and even though technical means are deemed sufficient in the present context, Portugal is aware there is always scope for improvement and as such, a new passport project is currently being developed for 2016. ■

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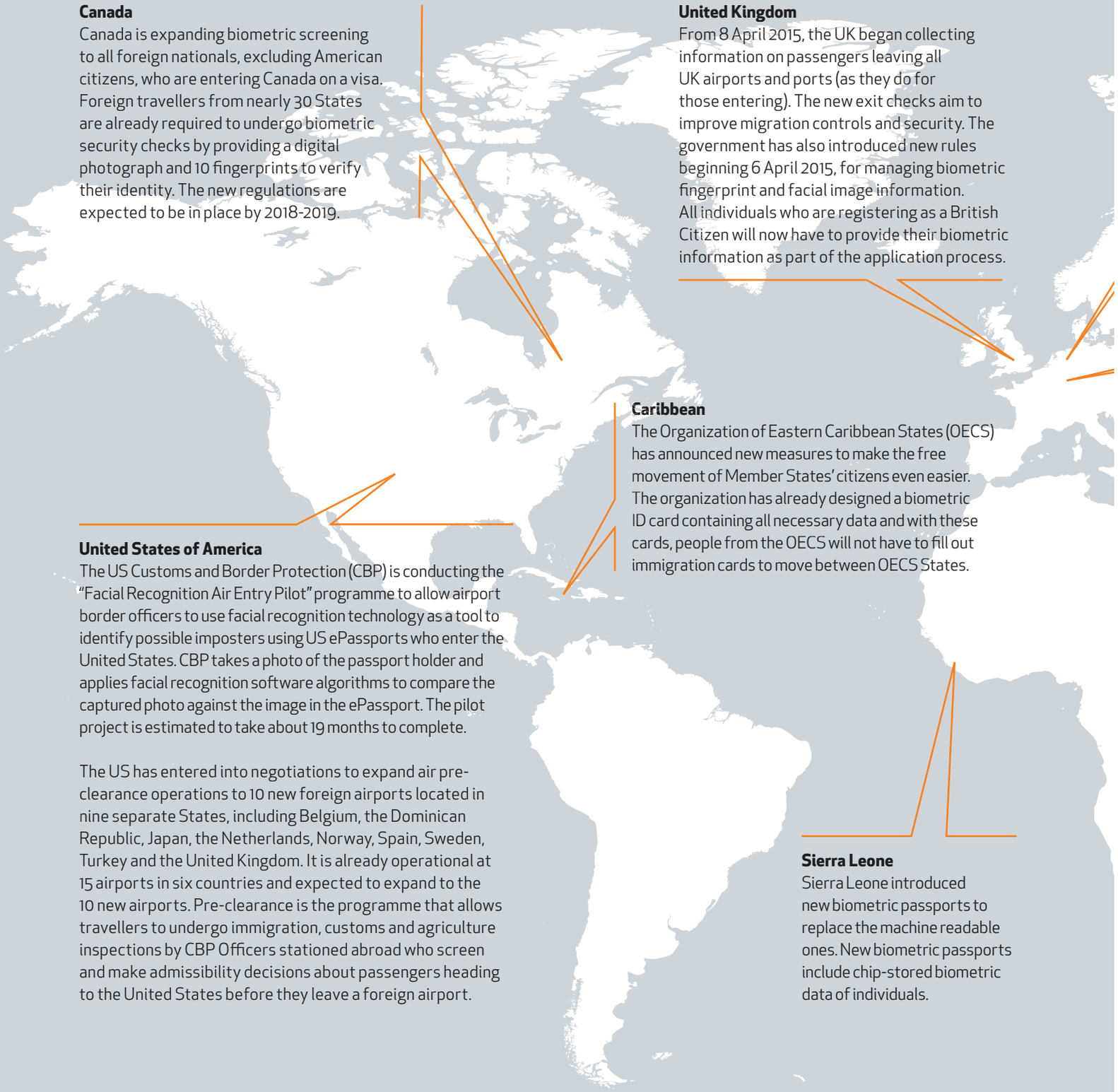
MRTD AND BORDER CONTROL NEWS



Canada
Canada is expanding biometric screening to all foreign nationals, excluding American citizens, who are entering Canada on a visa. Foreign travellers from nearly 30 States are already required to undergo biometric security checks by providing a digital photograph and 10 fingerprints to verify their identity. The new regulations are expected to be in place by 2018-2019.

United Kingdom
From 8 April 2015, the UK began collecting information on passengers leaving all UK airports and ports (as they do for those entering). The new exit checks aim to improve migration controls and security. The government has also introduced new rules beginning 6 April 2015, for managing biometric fingerprint and facial image information. All individuals who are registering as a British Citizen will now have to provide their biometric information as part of the application process.

Caribbean
The Organization of Eastern Caribbean States (OECS) has announced new measures to make the free movement of Member States' citizens even easier. The organization has already designed a biometric ID card containing all necessary data and with these cards, people from the OECS will not have to fill out immigration cards to move between OECS States.

United States of America
The US Customs and Border Protection (CBP) is conducting the "Facial Recognition Air Entry Pilot" programme to allow airport border officers to use facial recognition technology as a tool to identify possible imposters using US ePassports who enter the United States. CBP takes a photo of the passport holder and applies facial recognition software algorithms to compare the captured photo against the image in the ePassport. The pilot project is estimated to take about 19 months to complete.

The US has entered into negotiations to expand air pre-clearance operations to 10 new foreign airports located in nine separate States, including Belgium, the Dominican Republic, Japan, the Netherlands, Norway, Spain, Sweden, Turkey and the United Kingdom. It is already operational at 15 airports in six countries and expected to expand to the 10 new airports. Pre-clearance is the programme that allows travellers to undergo immigration, customs and agriculture inspections by CBP Officers stationed abroad who screen and make admissibility decisions about passengers heading to the United States before they leave a foreign airport.

Sierra Leone
Sierra Leone introduced new biometric passports to replace the machine readable ones. New biometric passports include chip-stored biometric data of individuals.

Aruba (Netherlands)
The Government of Aruba has launched the "Happy Flow" pilot project at Aruba International Airport which allows passengers to navigate through the airport with 100% self-service. Passengers have to show their passport only once at check-in and will then be able to move throughout the airport by simply looking at a face camera at all checkpoints. The system uses facial recognition technology to identify passengers at check-in, bag drop, border control and aircraft boarding. In addition, the pre-clearance border control process involving travel from Aruba to the EU-Schengen space (where there is no border control at common borders), will also be evaluated.

Luxembourg
Since February 2015, Luxembourg has been issuing a new generation biometric passport that has been entirely redesigned. The new passports meet the highest safety standards and contain a chip with a technology that protects data against illegal approach.

Israel
Israel has added 17 new Automated Border Control (ABC) kiosks to the four that were already in place as part of a pilot programme at Ben-Gurion airport. The ABC kiosks lane is intended for Israeli citizens over the age of 18, who hold a valid Israeli passport. Some biometric kiosks are optimized for children, the disabled, and those with shorter statures.

Egypt
Cairo International Airport started using a biometric passenger screening system. The new ePassport gates, which use facial recognition technology, were recently installed at Terminal-3 to identify travelers by matching their biometric data against their electronic passports.

Mozambique
To meet the 24 November 2015 deadline date for removing non-machine readable passports from circulation, Mozambique has promoted a campaign of issuing biometric documents for Mozambicans who are living and working abroad. The campaign began in September last year in South Africa and was extended to a number of States in Africa and Europe. It is focused on the exchange of manual passports for biometric ones, to ensure that Mozambicans will not encounter inconveniences when obtaining visas or immigration clearance after November 2015.

ICBWG IN THE SOUTH PACIFIC: GLOBAL CHALLENGES FOR SMALL ISLAND STATES

ABOUT DION CHAMBERLAIN
He is the Manager of Business Improvement and Support for Identity and Passport Services for the Department of Internal Affairs in New Zealand. He has been the Secretary of the ICBWG since its inception in 2008.
Contact: *icbwg@icao.int*

Although both the people and the culture in the South Pacific are incredibly unique, the challenges faced by small island States in the region are common in many parts of the world. As border traffic through the region increases, the complexities of ensuring secure and robust traveller identification are becoming more and more apparent. Establishing and maintaining effective networks, developing applicable guidance and advice, and choosing the right issues to invest precious time, money and resources in are all crucial to the success of the region. Incorporating the knowledge and experiences of smaller States is also critical to achieving the broader goals of the ICAO Implementation and Capacity Building Working Group (ICBWG).

THE CHANGING ENVIRONMENT

In his address to the ICBWG meeting that was held in Apia, Samoa in May 2015, Acting Prime Minister, the Honourable Tuisugaletaua Sofara Aveau, touched on aspects of the ICAO Traveller Identification Programme (TRIP) that are crucial to the development of small island States like Samoa.

The Prime Minister drew attention to the fact that not long ago "travelling from one country to another was considered a major undertaking in terms of finances and modes of facilitation used." The Pacific, once a remote and virtually unknown destination, is now "opening its doors to the outside world, and Pacific Islanders are likewise travelling to the far corners of the earth." He noted that borders of States worldwide are today more easily accessible and with the risk of illegal travel documents and identity fraud attempts increasing, our people depend on us to be more diligent, efficient and advanced than the criminal elements threatening our borders.

The Prime Minister closed his address by imploring the Group to share knowledge and expertise, particularly in relation to the security of processing systems, and how Pacific States might assess the robustness of their operations to ensure identity fraud is identified. The need to develop processes that will assist Pacific States in making the best investment decisions in the future was also emphasised. The Prime Minister urged participants to "get to know your neighbours, your counterparts and your friends. The Pacific Region no longer exists in a vacuum and in isolation, so networking together can only benefit all of us, and provide safer environments."

EXPANDING NETWORKS

As the Prime Minister highlighted, it is the networks of people and information that enable working groups like the ICBWG to function effectively. The ongoing success of the ICBWG hinges on its ability to make connections in many regions – this enables the Group to develop guidance material and provide advice that is relevant and applicable for all ICAO Member States, regardless of their technical capabilities or geographical position.

The meeting in Apia brought together many Island nations from the Pacific: Samoa, Vanuatu, Tuvalu, Nauru, Fiji, Solomon Islands, Papua New Guinea, Kiribati and Tonga. This was the first time these States came together with a passport-specific agenda, and there was a clear desire for such networks and discussions to continue. The meeting gave Pacific States the opportunity to discuss shared issues, concerns and opportunities as a region, and present them to the ICAO Secretariat. It was also the perfect opportunity for Dr. Narjess Abdennebi (Chief, Facilitation, ICAO) to address regional concerns directly.

The Pacific nations articulated their need for a forum where they can interact on a regional and global level, with ICAO holding a central role in creating and maintaining environments that facilitate discussions and provide States with access to critical information, knowledge and expertise. ICAO is responding to this need with the development of improved online offerings such as the ICAO TRIP Platform, where States can seek advice and assistance from afar, while also contributing to the development of standards, specifications and guidelines.

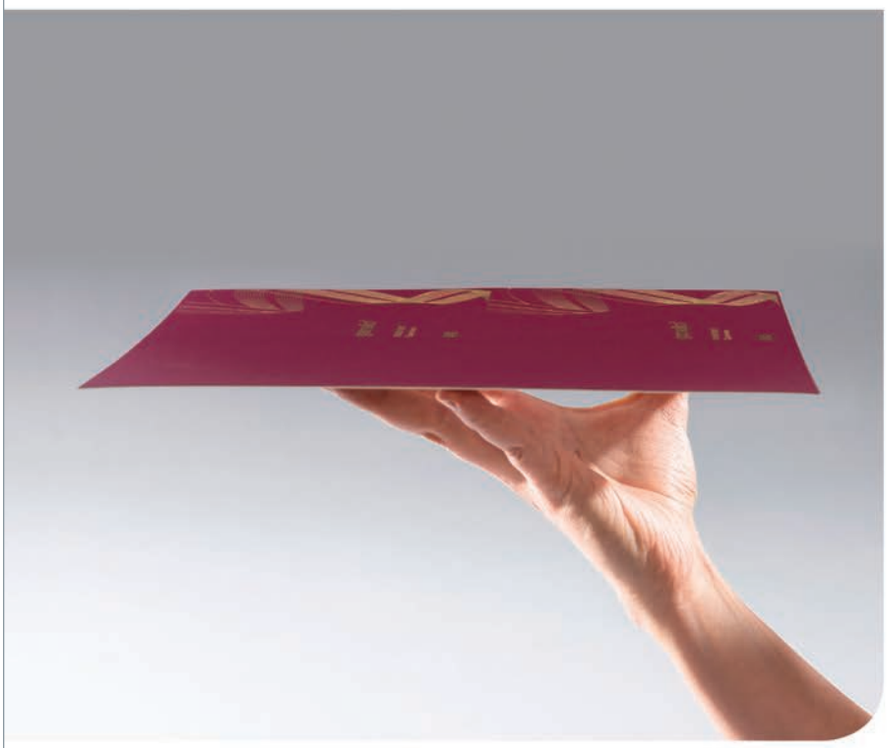
THE EPASSPORT QUESTION

All States share the challenges that come with making robust investment decisions for the benefit of their citizens and have to regularly assess the merit of new technology options that can improve the integrity, security and efficiencies of their passport and border functions.

Many Pacific States have only just begun issuing machine-readable travel documents, with Kiribati being the most recent to leave non-MRTDs behind. The pace of technological change means that all the Pacific Island nations at the ICBWG are already considering their next steps and positioning themselves for the future.

As the ICBWG meeting continued in Samoa, it was clear that the subject of ePassports weighed heavily on the minds on Pacific States. In his presentation "Are You Ready for an ePassport?" ICBWG expert Barry Kefauver posed the fundamental threshold questions States need to ask themselves when considering whether to implement and ePassport programme: Do you want an ePassport? Do you need an ePassport? Are you prepared to use an ePassport?

It is a decision that requires a great deal of thought and planning, which must happen **before** States consider a new system design. Comprehensive risk analysis and identification of systemic vulnerabilities must be undertaken; otherwise States run the risk of implementing an expensive version of their existing problems. The myriad of broader considerations and changes, from biometric capture to border and inspection, involves fundamental and extensive change by all States aspiring to adopt ePassports.



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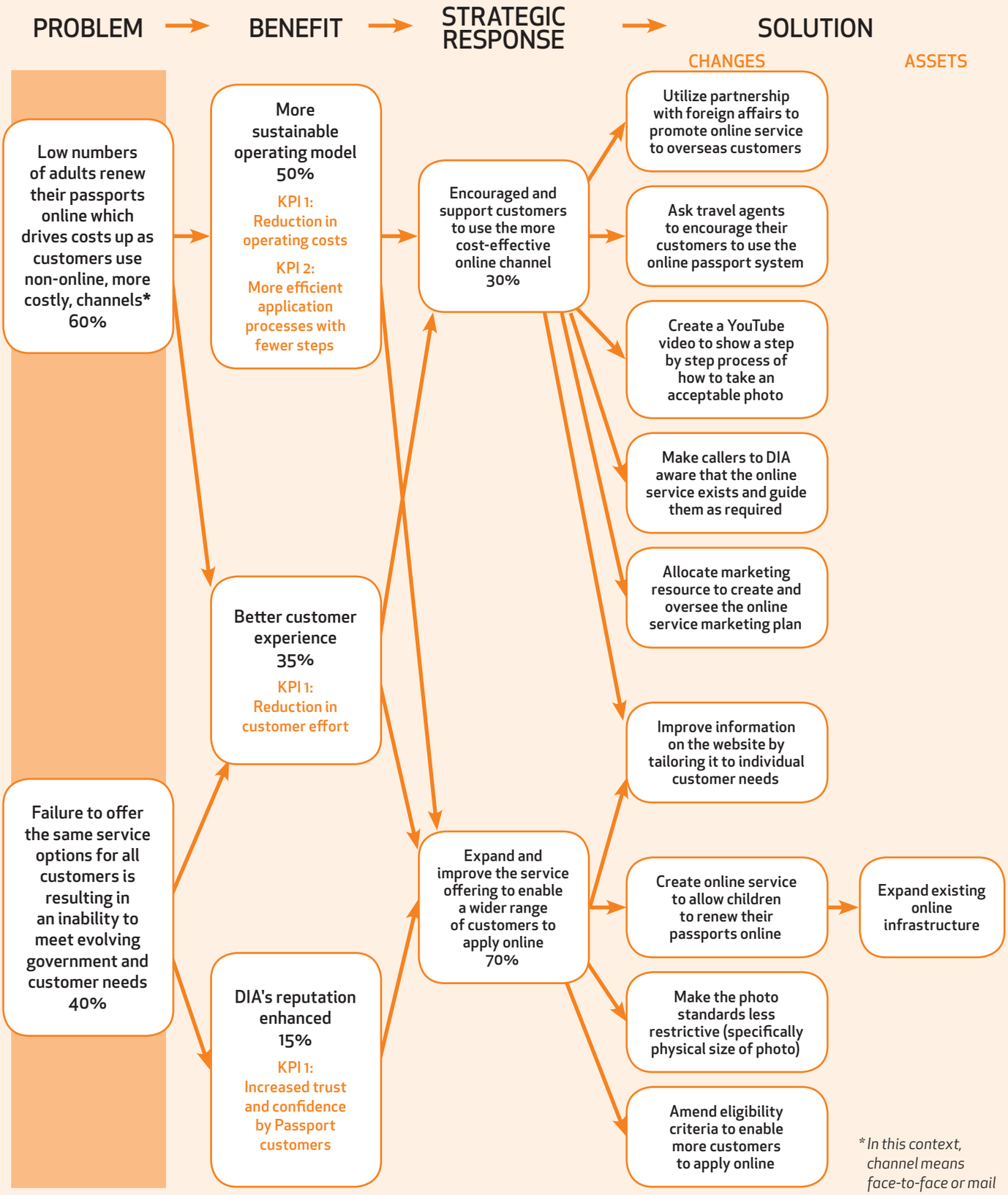
Department of Internal Affairs (DIA) - Investment Logic Map (Initiative)

Improving service offering and reducing operational costs in Passports



Investor: David Philip
Facilitator: Matt Brittain
Accredited Facilitator: No

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Initial Workshop: 14/07/2014

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Deputy Prime Minister of Samoa opens ICBWG Meeting

Throughout the resulting discussions, it was noted that States with smaller travel document issuance and border traffic volumes are often not in a position to fully benefit from an ePassport. For small States with competing government priorities, the expense of implementing and maintaining an ePassport programme may outweigh any facilitation and security benefits achieved. If their citizens still require visas to travel abroad, and have no access to the benefits of automated border control, the business case for investment in ePassports (from the citizen's perspective) is not a strong one – particularly if the passport will also cost them more. This is an issue that ICAO and its advisory panels must be cognisant of when considering whether to make issuance of ePassports a global mandatory standard, a point that was made unequivocally by the Pacific nations.

MAKING THE RIGHT INVESTMENT

Developing an approach to procurement that is focussed on the outcomes the State is trying to achieve, rather than leaping straight to preconceived solutions, is key to any investment strategy. The ICBWG recently developed procurement guidance material, and the topic received a great deal of attention at the Samoa meeting,

Ensuring States have the tools to make informed and well considered choices remains a priority of the ICBWG. **Investment Logic Mapping** (ILM) is one tool that can help States define the high level issues they most need to solve, and the extent to which a strategic intervention (system or otherwise) is required. If the investment only solves a small percentage of a States' most pressing identity problem, then the intervention is probably not the right one.

Often it is within the fundamental building blocks for passport issuance where the ICBWG sees the greatest need for investment: in security of handling and issuance; robust evidence of identification; and in effective civil registration processes and systems.

The ICAO *Guide for Assessing the Security of Handling and Issuance of Travel Documents* is the cornerstone document of the ICBWG's work, and is the perfect tool for States to use when undertaking an assessment of current operations, and the risks they face. Assessments can help expose underlying issues that will form the basis for system requirements at a later date, ensuring new technical solutions lead to increased integrity and security.

For small States with competing government priorities, the expense of implementing and maintaining an ePassport programme may outweigh any facilitation and security benefits achieved.

Dion Chamberlain with meeting participants Leilani Saitala and Ruby Amram

EVIDENCE OF IDENTIFICATION

One of the fastest ways to undermine investment in passport technology is to underpin it with a weak **Evidence of Identification** (EoI) process. An exceedingly useful tool directly related to this complex area is ICAO's *Guidance on Evidence of Identification*, which provides the three conceptual building blocks for any authority looking to establish and validate traveller identity.

Principle 1: Identity Exists

Objective A
To determine if the identity exists (i.e. is not fictitious)

Objective B
To determine that the identity is a living identity

Principle 2: Applicant links to identity

Objective C
To determine that the presenting person links to the identity

Objective D
To provide confidence that the presenter is the sole claimant of the identity

Principle 3: Applicant uses identity

Objective E
To provide confidence of the presenter's use of the identity in the community

The ICAO EoI Guidance is now being recognized as the fundamental basis upon which the TRIP strategy must be built. Whether issuing an ePassport or a regular MRTD, an assessment of the EoI situation is prudent for any State, regardless of their size or degree of technological advancement. However, this is particularly important for regions where regular approaches to EoI may not offer the confidence required to issue a travel document.

The process of developing an EoI matrix to list and evaluate all identity information or documentation available to the issuing authority is crucial. The relative merit of information and documentation will vary; for example, a birth certificate may provide a particular State with a reasonable level of confidence that an identity exists, whereas in another, they may have no confidence that a birth certificate or the details contained therein are genuine.

In these circumstances, confidence may need to be obtained in other ways, with an increased requirement for evidence of 'social footprint', in-person validation and other documentation, such as school records or baptism certificates.

In the Pacific, as with many other States, cultural or geographic clues can be a powerful tool when used in an interview situation, as part of in-person validation. Local knowledge and intuition can play a key role in establishing an identity with confidence, and ICBWG is working to integrate these kinds of approaches into EoI guidance material, to ensure a broad range of contexts and techniques are captured.

A REGION MOVING FORWARD

At the conclusion of the ICBWG meeting in Apia, what became clear was that the new way forward must involve a new understanding – not just of shared challenges, but also shared solutions. The experiences of Pacific States are already feeding directly into the development of ICAO guidance that will benefit other regions with similar situations.

The formation of a new ICBWG sub-group focussed specifically on known and emerging issues for smaller States is also on the horizon – it is another facet of the ICBWG's drive to ensure the Group is supporting as broad and diverse an audience as possible in the years to come. ■

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ICAO TRIP

TRAVELLER IDENTIFICATION PROGRAMME STRATEGY

Course on the Control of the Authenticity and Validity of Travel Documents at Borders – Level 1

ICAO Launches the TRAINAIR PLUS Standardized Training Package Course "Control of the Authenticity and Validity of Travel Documents at Borders"

The International Civil Aviation Organization (ICAO) forecasts that scheduled passenger traffic around the world will more than double from a preliminary 3.2 billion in 2014 to 6.4 billion by 2030. The increased passenger volume will impact an essential aspect of international air travel: travel document inspection. Providing quality and relevant training for carrying out this task is critical for border control and the facilitation of air transport.

The ICAO Traveller Identification Programme (TRIP) Strategy was endorsed by the 38th Session of the Assembly (A38) in 2013. It emphasizes a holistic approach to identification management in order to maximize both security and facilitation. This Strategy confers to ICAO the mission to provide assistance to States, notably to assist in the detection and prevention of terrorism and crime through the prevention of the fraudulent use of identification documents.

Supported by the Government of Canada, ICAO developed a Standardized Training Package (STP) entitled "Control of the Authenticity and Validity of Travel Documents at Borders – Level 1". The training package is aimed at further enhancing the knowledge and skills required by front line immigration and border control officials and airline and other private company personnel when performing travel document verification and identifying fraudulent documents. The turnover rate for the target population of this STP is high; the wide spreading of this training is of paramount importance for travel security.

This new STP is a five-day competency-based course developed by senior course developers and experts using the TRAINAIR PLUS methodology, under the guidance of ICAO's Global Aviation Training Office and the Facilitation Section. It further positions ICAO as a leader in disseminating information to States on the travel document standards and specifications contained in the Machine Readable Travel Documents (Doc 9303), and in strengthening State traveller identification management programmes.

By enhancing border security and control, the training course further contributes to assisting States in implementing the United Nations Security Council Resolutions related to terrorism, including the recently adopted Resolution 2178 (2014) on Foreign Terrorist Fighters, which states that "all States shall prevent the movement of terrorists or terrorist groups [...] through measures for preventing counterfeiting, forgery or fraudulent use of identity papers and travel documents".

The STP will be carried out in a classroom environment. It will officially be launched on 1 January 2016 through ICAO's network of TRAINAIR PLUS Members located in more than 70 States.

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For more information, visit ICAO's GAT Office website at www.icao.int/training.

INTERNATIONAL EXPERTS EXPLORE THE FUTURE OF IDENTITY MANAGEMENT

ABOUT FONS KNOPJES
He is a leading international expert in the identity management domain who works as a senior research and development manager for the Dutch Ministry of the Interior and Kingdom Relations. He is a member of the core group of experts on identity-related crime for the United Nations and for ICAO's Implementation and Capacity Building Working Group (ICBWG). He regularly publishes writings on identity management issues related to fraud, document development and training. Representatives from more than 30 governments have taken part in the master class on identity management that is given regularly by Fons.

In July 2015, the Netherlands National Office for Identity Data organized a unique expert meeting on the future of identity management at the Hague in the Netherlands. The Director of the National Office extended an invitation to the Chair of ICAO's Technical Advisory Group on Machine Readable Travel Documents (TAG/MRTD) to collaborate on the ambitious meeting and ICAO accepted to join the team. This article provides insight into the goal of the expert meeting, the current status of identity management, the working method used and the preliminary results.

IDENTITY MANAGEMENT

In recent decades, identity management has seen significant developments as governments realise that identity management is not only crucial to their operations, but that a reliable identity infrastructure is a precondition for a successful implementation of identity management. Changes, particularly in the digital domain, happen so quickly that ongoing developments and improvements to identity infrastructure are a continuing concern to governments.

The number of States that provide electronic passports, identity cards and services to citizens is growing rapidly. Questions arise: what is the significance of these developments for the verification of identities? For documents? For the application and issuance processes? For document control? For the instruments used and their interoperability?

These questions are a concern for all governments and were embedded in the ICAO Traveller Identification Programme (TRIP) Strategy which was established by ICAO in 2013;the Strategy recognizes that travel documents engage the entire identity infrastructure.

CURRENT STATUS

Identity management is the sovereign responsibility of governments and covers many aspects, from information technology to sociological views. The expert meeting considered the complexity of identity management with so many variances in government policies, visions and facilities.

Though there are big differences between State identity infrastructures, all States recognise the need for an undisputed proof of identity for each of their citizens and invest significantly in their own identity infrastructures. These investments are sometimes triggered by international obligations, which push governments into taking timely action. This is currently the case with the States that are working hard to meet ICAO's 24 November 2015 deadline by when all non-machine readable passports should be out of circulation.

In a time of globalisation the question can be asked: will it be enough to merely invest on a national level? Isn't it time to acknowledge that cross-border issues – like identity

Participants in the Expert Meeting on the Future of Identity Management at the Hague in July 2015

management – demand a cross-border approach? Although some issues, like travel document requirements, are managed at a global level, we lack a coherent identity management policy and systematic approach. Governments are reaching the limits of their ability to solve identity issues. Fundamental cross-border issues in particular, can only be handled effectively when there is support at a global level.

Conducting long-term explorations is customary for many industries and the aviation industry is no exception. Within the domain of identity management, however, conducting long-term explorations is not standard, let alone for international explorations. This provided extra motivation for the participating experts to explore the identity infrastructure of 2030 during the expert meeting.

PARTICIPANTS

The 37 participants brought together high-level managers responsible for parts of identity infrastructure in their respective States. There were representatives from 13 governments in Asia, Australia, Africa, Europe and the Americas. Since international organizations today play an important role in identity management, 11 international organizations also participated in the expert meeting, along with experts from two universities.

The origin of the experts was diverse and the areas they worked in varied significantly. High-level government experts included those who review applications, develop and produce travel and identity documents, population registers, civil registries, passport services, information technology. They were experienced in human trafficking, aliens, identification, immigration and border management, passport and identity service, identity and document fraud, residence permits and passports, identity security, identity management and passport business and integrity branches.

The working areas of the high-level experts of the international organizations included facilitation and traveller identification, immigration and border management, sustainable development of tourism, actions against terrorism unit, security and travel facilitation, standardization and identity related fraud.

Jim Marriott, Deputy Director, Aviation Security and Facilitation chairs the meeting

It was obvious that the available expertise covered the whole identity infrastructure and was a good starting point for the exploration of the 2030 identity infrastructure. An ICAO representative chaired the expert meeting.

WORKING METHOD

Experts were divided into two groups with a leader and a secretary designated for each group. Organizers of the expert meeting determined eight topics related to identity infrastructure for discussions:

- The need for an ID Strategy in a transforming identity infrastructure;
- Role of international organizations in ID domain;
- Electronic identification and services and the role of biometrics;
- Chain computerization and the implications for the IT infrastructure;
- Integrity of ID data in registries;
- Identity management and public and private partnership;
- Role and impact of technology on the identification process; and
- The travel-identity document of 2030

The chosen topics were heavily associated with ICAO's TRIP Strategy. Each group was asked to discuss a topic for 1 ½ hours. On the second day it was the task of the group leaders to present the outcome of the discussion per item in a plenary session. After the presentation by the group leaders, all participants were invited to give their opinions and comments.

PRELIMINARY OUTCOME

The results of the expert meeting were tasked to a rapporteur from the Dutch University of Twente, Professor Didier Meuwly. The debates after the presentation of the items clearly indicated that the vision amongst the experts was not always univocal. The discussions sharpened the views and opinions of the experts and in the majority of cases, an accepted conclusion could be drawn.

After the presentations and discussions of the groups, the rapporteur presented the preliminary results of the expert meeting. These results indicated the future of identity infrastructure as it will look by 2030. Below is a summary of the most important findings:

The concept of identity is updated

- Identity can be approached but not completely established:
  - No proof of identity
  - Evidence of identity is used to distinguish between individuals and support the identity
- Identification-verification processes:
  - Must be dynamic and quantitative
  - Scores are used to quantify the evidence of identity

ID management foundation is revisited:

- It focuses on national registration authorities: enrolment, issuance, control, end
  - Internationally, requests between countries are managed by an Identity Management Coordination Organization
- Trust about identity information gained on basis of:
  - Information delivered by registration authorities
  - No more breeder documents

Roles and mandates are clarified:

- National registration authorities are in charge of:
  - ID management policy (sovereignty)
  - Implementation and use of infrastructure
  - ID documents (perennial, if we live until 150)
  - Focus on information integrity and availability
- The International Civil Aviation Organization is in charge of:
  - International travel document Standards, Recommended Practices and Specifications
  - Providing global leadership in travel document matters
- International bodies:
  - Define, decide for standards, advice for good practice
  - Foster implementation and use of standards

Data integrity is managed and assessed:

- Unique number
  - A unique number supports the integrity of the data and metadata in time (continuity from birth to death in a trusted civil registration)
  - Data protection measures supports the integrity of data, technology and process
- Biometrics
  - Ensures the link between THE unique number and THE individual
  - Does not tell who is the individual
  - Provides evidence of the same individual in time (continuity in use/control)

Digital infrastructure takes over paper-based processes

Balance is found between privacy and trust

The concept of token is mature

Balance is found between facilitation and control

Output of the meeting

- Need for coordination in ID management
- At a strategic level
  - Shape a vison and share it under the umbrella of ICAO
  - (ICAO – national – international bodies)
- At operational level
  - To develop and harmonise registration authorities
  - Coordination between them (information exchange)

The complete results will be included in a report that will be widely available for all managers responsible for (a part of) the identity infrastructure. The experts determined that an expert meeting is a very good instrument for exploring the future of identity management. They also concluded that the future of the identity infrastructure should be explored periodically and have asked ICAO to consider this responsibility. ■

INTERPOL I-CHECKIT: BUILDING PARTNERSHIPS FOR BETTER IDENTITY MANAGEMENT

ABOUT MICHAEL O'CONNELL
He is the Director for Operational Police Support Directorate at INTERPOL. He commands a diverse directorate that includes police forensics, police information management, fugitives and 24/7 operational and crisis/major incident support capabilities. as well as the I-Checkit initiative.

ABOUT OLIVIA POST
She was a project assistant in the Operational Police Support Directorate at INTERPOL and was a member of the I-Checkit task force from the project's inception in 2013. Prior to this she worked in the International Partnerships & Development sub-directorate within INTERPOL.

In recent decades, the freedom of traveller movements and the interconnectedness of global business have produced unprecedented opportunities and substantial security strains. Disappearing borders and global interdependence have made it increasingly easy for criminals to move between States to carry out illegal activities and escape justice. In this evolving landscape it is essential that law enforcement finds innovative ways to detect and obstruct transnational criminal activities, which can be violent and detrimental to society.

HIDING BEHIND A STOLEN IDENTITY

Experience has shown the international law enforcement community that as travel documents become more sophisticated and harder to duplicate, criminals often rely on stolen and altered identity documents to move across borders, open bank accounts, purchase plane tickets and register at hotels. Fraudulent travel documents can be used to perpetrate serious crimes like money laundering, human trafficking and terrorist activities.

In 2005, United Nations (UN) Security Council Resolution 1617 recognized this reality by urging States 'to ensure that stolen and lost passports or other travel documents are invalidated as soon as possible and to share information on those documents with other Member States through the INTERPOL Stolen and Lost Travel Documents (SLTD) database'. Since its creation in 2002, the SLTD database has developed into one of INTERPOL's most used and valued tools for Member States. It now contains more than 50 million records from 167 States and was searched more than a billion times in 2014. It has been endorsed by international organizations including the G8, the Asia Pacific Economic Cooperation (APEC), the European Union (EU) and the International Civil Aviation Organization (ICAO).

Despite this valuable police resource, criminals are still able to use stolen and altered travel documents to cross international borders due to widespread under-implementation of screening procedures. There continue to be instances where individuals use registered documents without being detected, and while some cases might be tied to illegal migration as opposed to violent crime, the consequences of these breaches have the potential to be disastrous.

Unfortunately there remains a significant security gap that needs to be filled when it comes to the movement of people, a gap which is expected to grow as more people undertake transnational travel. Very few States have the mechanisms in place to screen passengers leaving their territory or travelling within it, so the increase in travellers will put an even greater burden on States without the resources to screen every person who enters their territory. Moreover, many borders are becoming increasingly permeable to facilitate international travel and if nothing is done, and the number of international travellers increases as expected, the amount of unscreened passengers will continue to grow. It takes only one successful criminal or terrorist to jeopardize the safety of the public at large.

I-CHECKIT: AN INNOVATIVE SOLUTION

To address this gap, INTERPOL developed the I-Checkit initiative. I-Checkit enhances the scope of the SLTD database and its value to law enforcement by providing trusted identities to private sector partners in the transportation, banking and tourism industries. With this tool, INTERPOL can enhance its crucial role as a central disseminator of information while identifying threats and combating all types of crime.

To achieve this objective, I-Checkit facilitates the transfer of passport or identity document information that is sent via INTERPOL's secure channels and compared against the SLTD.

I-Checkit has the game-changing capability of identifying misused travel documents to stop their carriers from potentially committing crimes.

The extraction and submission of information takes less than half a second and includes only the travel document number, type of document and issuing State. The process has been developed in line with INTERPOL's standards and regulations, and is implemented in accordance with national legislation. The technical solution itself is held to the same high security standards as INTERPOL's I-24/7 secure global police communications network.

Screenings will run when an individual presents an identity document to check in for a flight, opens a bank account, registers at a hotel, and more. In the case of a hit, the INTERPOL General Secretariat and INTERPOL National Central Bureaus (NCBs) of involved States will receive an immediate notification so that local law enforcement authorities can evaluate and investigate the instance in accordance with existing national procedures. For the transportation industry, where immediate follow up is imperative, an indication of positive results may also be sent to the company's head of security who can assess and address the threat. Airlines will be able acting as an additional layer of security to prevent criminals from slipping across borders undetected. With this system, law enforcement and private companies will have advanced warning about individuals who intend to use a registered stolen document to access a service, thus diminishing the likelihood that those individuals succeed.

At its 83rd General Assembly in Monaco in 2014, INTERPOL presented the I-Checkit concept to Member States, where it was unanimously supported as a pilot project. I-Checkit is currently being tested with an airline and several hotels to analyse how it can best be extended to a wide array of private sector partners, and to eventually include banks, cruise liners and more. It is envisioned that one day, I-Checkit will become a global tool that fills the gaps in identity management within the private sector, thus removing the advantage long held by criminals.

The ongoing pilot phase is already generating significant results. Since the June 2014 launch of the I-Checkit test with AirAsia, a major low-cost airline, millions of travel documents of AirAsia's passengers have been screened against the SLTD database. With the vital contributions of law enforcement agencies in the region, these screenings resulted in positive hits which led to passengers being stopped and even arrested.

I-Checkit has the game-changing capability of identifying misused travel documents to stop their carriers from potentially committing crimes. Criminals opening bank accounts to fund terror groups can be identified and investigated. Travellers concealing their identity with a stolen passport can be stopped before they board a plane. I-Checkit can achieve this without any negative impact on police operations.

TOWARDS A SECURE FUTURE

It is clear that increasing security in this manner has the potential to limit criminal activity and to possibly even save lives. Travel documents can have such a large impact on violent acts that in 2004, the 9-11 Commission Report stated that 'for terrorists, travel documents are as important as weapons'. It is INTERPOL's vision that I-Checkit can be used to stop foreign fighters from travelling abroad for training or combat and for the discovery of bank accounts that fund such violence.

It was because of strong concern for this particular issue that the UN adopted Resolution 2178 in September 2014, imploring States to use the counter-terrorism resources provided by INTERPOL to identify and stop individuals with terroristic intent. Moreover, the resolution called for INTERPOL to move forward with its mandate to improve communication and cooperation in order to monitor and prevent the international movement of terrorists. I-Checkit is one critical mode through which INTERPOL can achieve this end, by creating a vast community of cross-industry allies that can stop the individuals who fuel violence.

The solution is continuously being assessed to improve its overall functionality. INTERPOL is pursuing methods that could reduce the instances of travellers using genuine passports that they had previously reported stolen that are deemed no longer valid. These 'administrative positive hits' are a considerable hindrance and can result in delays and inconveniences for the person in question. By raising awareness amongst the general public, INTERPOL hopes to reduce these occurrences.

In addition, INTERPOL is considering ways to integrate additional INTERPOL ID reference tools into the project framework, including the Travel Documents Associated with Notices (TDAWN) feature. This tool would allow law enforcement to identify individuals linked to INTERPOL notices – or global police alerts – when they access services within a private business. I-Checkit could also be used to detect passports that have been revoked by the issuing State because of the bearer's known affiliation with terror groups, making it a valuable tool in the fight against the movement of foreign fighters.

I-Checkit is a leap forward in the way we approach modern crime detection. It combines the resources and capabilities of different stakeholders to address global criminal activity through enhanced cooperation. For the first time in history, a centralized communication link between INTERPOL, law enforcement and the private sector will offer unprecedented opportunities for the identification and prevention of major threats to society, significantly enhancing public safety and reducing the success of those who would threaten it. ■

THE NEW ICAO TRIP COMMUNICATION PLATFORM

ABOUT SERGE ELGALY
He has over 15 years of experience in project management and systems development and has actively overseen many projects in academic, health and commercial industries. He also holds a B.Sc. in Science and a Bcomm. in Management Information Systems and has lead and implemented many essential projects since joining ICAO in 2011. Serge currently serves as the Head of ICAO's Knowledge Management Group.

INTRODUCTION

ICAO is committed to working with Member States to establish standards, specifications and best practices in all machine readable travel document (MRTD) related areas. Through its MRTD Programme, which has transitioned into the Traveller Identification Programme (TRIP) Strategy, ICAO brings together Member States and international agencies to address travel document related challenges.

The TRIP Strategy provides a framework for achieving maximum benefits in terms of secure travel documents and traveller identification management, and as such, collaboration and cooperation between States, ICAO and other stakeholders, is essential. Following a proposal by the Implementation and Capacity Building Working Group (ICBWG), ICAO undertook the task of developing a secure TRIP Portal which will allow authorized members (governments, international agencies and approved experts), to create, store and share information. Developing a platform where data, expertise and intelligence can be securely exchanged was a global need.

Today, ICAO is in the final stages of development, and after two rounds of successful beta testing, the launch of Version 1 is expected in early 2016.

ADVANTAGES OF THE TRIP PLATFORM

The benefits in having a secure web-based collaboration and communication platform include the following:

Access to Knowledge: All authorized members of the platform will have real-time access to the information they are authorized to view. Instant notifications will be sent to all authorized members as soon as information (documents, pictures, media, etc.) is posted on the portal.

Consolidated Information, Expertise, and Intelligence: All MRTD information, including resource libraries, will be stored in one central place. This information can be tagged and will be searchable.

Effective and Efficient Collaboration: Authorized members will be able to communicate and collaborate seamlessly, with the ability to chat and videoconference.

Promote Information Dissemination: Information dissemination will be enhanced with the ability to send general information, messages, alerts and more to all, or specific, members.

Feedback Mechanisms: All forms of communication will allow for feedback if needed. As well, all members will have the ability to create and disseminate surveys to all, or specific members.

These are only some of the benefits this platform will provide to the MRTD community. Increasing timely, accessible information with enhanced collaboration and communication tools, will result in more effective and efficient traveller identification programmes.

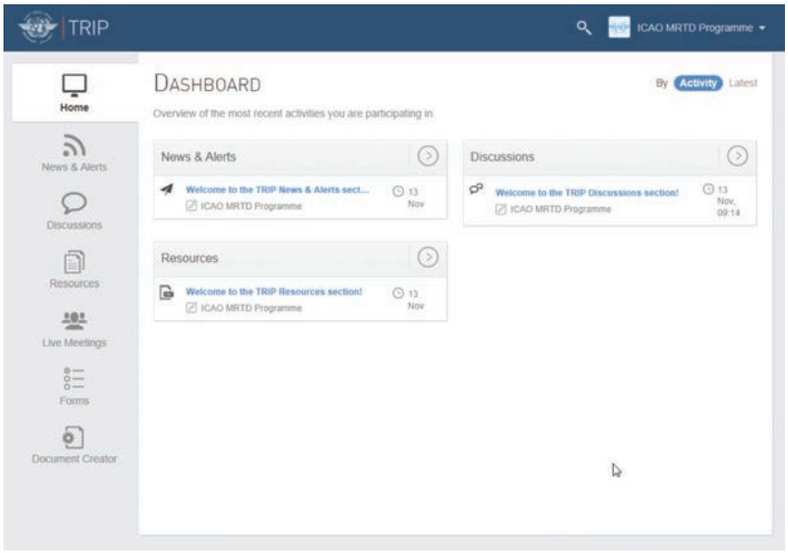

Figure 1: MRTD/TRIP Platform Dashboard

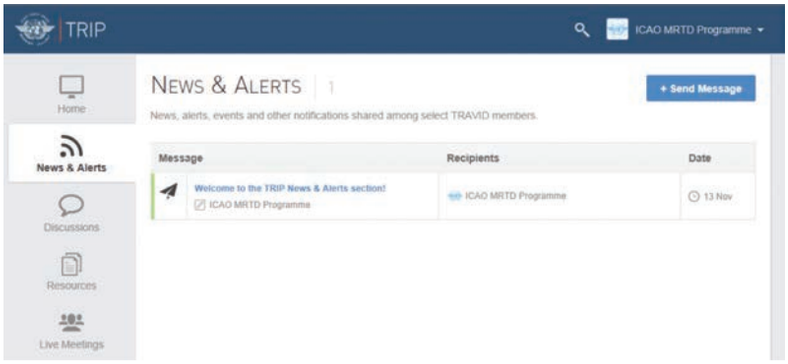

Figure 2: Representation of some key platform functions (left menu): News & Alerts

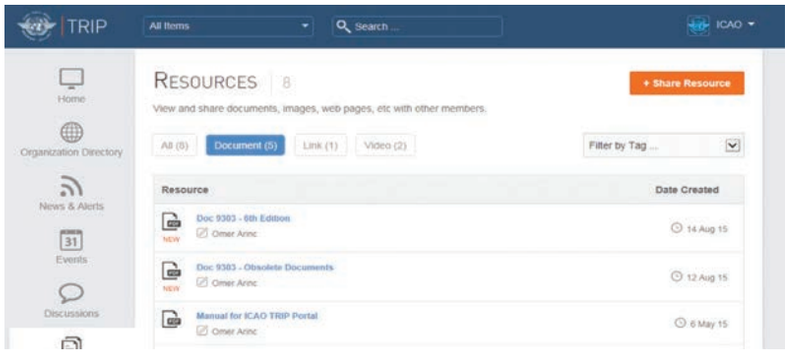

Figure 3: Representation of Resources section

PLATFORM AT A GLANCE:

The TRIP Platform was conceived with simplicity in mind - it is intuitive and user friendly, without being overly complicated. It has a clean and modern "look and feel" with many features.

All members will have their own dashboards where they can quickly see messages, alerts and shared content. **Figure 1** represents the information available on the dashboard.

In the "News & Alerts" section (**Figure 2**), all members will receive alerts and announcements and be able to send them to specific (or all) members.

Members will be able to follow, initiate and reply to discussions while in both the "Discussions" and "Resources" sections. Also, while in the "Resources" section (**Figure 3**), they will be able to open resources which have been shared by other members and upload and share their own resources. The "Live Meetings" section lets members communicate in real time, either through chat or videoconference. The "Forms" section allows all members to easily create and send survey forms to other members. The data collected in such forms can then be aggregated and analyzed by the owner of the form.

PLATFORM CONCEPT

The platform was designed with the flexibility to accommodate several different scenarios and though the exact configuration of the platform is still being finalized, a conceptual structure is taking shape:

- The ICAO Secretariat will administer the platform with national focal points assigned to governments;
- Focal points will be responsible for authorizing organizations and appointed experts access to specific groups under their jurisdiction;
- The platform will allow for the formation of groups with related interests. Global passport offices could, for example, be part of a Passport Offices group;
- An organization can be part of more than one group. Depending on the level of privacy required, groups may share information among its private members or with all other groups in the platform. Groups may wish to be private or public and therefore visible to all other members in the platform.

ICAO is working diligently on the final stages of development and are building on the feedback obtained during beta testing to continuously improve the platform. The first version of the portal will be officially unveiled in early February 2016 at the TAG/MRTD-23 Meeting. ■

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API AND PNR: KEY ON THE GLOBAL SECURITY AGENDA

ABOUT KUNIO MIKURIYA
He has been Secretary General of the World Customs Organization since 2009. Mikuriya provides leadership and executive management for the global Customs community's priorities, including developing global Customs instruments, standards, and tools; securing and facilitating global trade; realizing revenues; building Customs-business partnerships; and delivering capacity building in support of Customs reform and modernization.

In this article, Kunio Mikuriya, Secretary General of the World Customs Organization, reflects on Customs' use of Advance Passenger Information (API) and Passenger Name Record (PNR) data, a vital tool in deterring the threat of terrorism and organized crime, while facilitating international travel.

TERRORISM: AN ONGOING THREAT

Recent violence in several regions shows that terrorism continues to be a major concern for the international community. Terrorism is increasingly global in nature and frequently has cross-border implications. Customs, which has the prime responsibility for controlling cross-border movements of goods, means of transport and in some instances, passengers, plays an important role in deterring these and other border security threats.

Due to differing national mandates and legal competencies, there is no 'one-size-fits-all' model for Customs security functions. There is, however, a common thread underlying the Customs contribution: Customs contributes by deterring the smuggling of dangerous goods that can practically or financially support terrorism and organized crime.

Moreover, a growing number of administrations have a broadened security mandate that also covers the enforcement of travel bans. This is particularly important when considering the threats posed by the foreign terrorist fighters (FTFs) phenomenon. With respect to FTFs, even if immigration controls are not necessarily the primary function of most Customs administrations, Customs is a sought-after partner through the various border related information flows it possesses in relation to goods and travellers.

THE CONTRIBUTION OF API/PNR DATA

It is widely recognized that modern facilitation tools, such as API systems, help to improve the overall security of international air transport. Globally, a number of API systems have been implemented successfully with proven benefits for security, facilitation and enforcement.

In recent years, some States have gone beyond API and have legislated, in order to require from carriers, additional data relating to passengers in the form of PNR data, which is a wider data set used for the purposes of risk assessment. Many governments now require the submission by airlines of API/PNR data, allowing responsible authorities, such as Customs, immigration or police, to assess the risk posed by travellers as part of efforts to combat transnational crime.

In 2012, the WCO adopted the Recommendation *Concerning the Use of Advanced Passenger Information (API) and Passenger Name Records (PNR) for Efficient and Effective Customs Control*. The emphasis of the WCO Recommendation is on effective border control against serious transnational crime covering, among other things, the illicit trafficking in drugs and other contraband.

The WCO sees API/PNR, which is a core component of the WCO's Security Programme, as a very useful technique to enhance border security while maintaining facilitation for low-risk passengers; thus, this benefits Customs and other border agencies, as well as carriers, airport authorities, other passenger facility operators, and passengers themselves.

The WCO Revised Kyoto Convention on the simplification and harmonization of Customs procedures took this into account, and API is now included in Specific Annex J1 (Travellers) of the Convention as a 'Recommended Practice.' The technique has already been used with great success and is likely to expand in the future.

I, therefore, strongly encourage Customs administrations to use API/PNR data actively, and to implement and use relevant WCO instruments and tools. Closer cooperation between Customs and other law enforcement agencies enables effective border controls, better security, and the facilitation of legitimate trade.

GUIDELINES

The API Guidelines were initially developed in 1993 by the WCO in cooperation with the International Air Transport Association (IATA). Subsequently, the International Civil Aviation Organization (ICAO) joined the process and a 'Contact Committee' comprising the three organizations was formed.

In order to help their respective members implement the API system, the three organizations jointly published the *WCO/IATA/ICAO Guidelines on Advance Passenger Information* in 2003, 2010 and in 2013.

The Guidelines comprise an explanatory section on the use of API. They consist also of a maximum list of API data and an Annex with the internationally recognized electronic UN/EDIFACT message – known as PAXLST, as well as an implementation guide for the PAXLST message. The most recent update included new provisions to address issues such as security, data protection, mutual administrative assistance and 'Interactive API', which is a more advanced method of passenger processing at airports.

Guidelines regarding PNR were developed by ICAO in close cooperation with IATA and the WCO. They include an explanatory text for the use of PNR information and an Annex with a maximum list of PNR data. These Guidelines also include a standardized message for the exchange of PNR information. First published in 2006, the latest edition was published in 2010 as ICAO Document 9944. Cooperation between the three organizations will result in the official association of IATA and the WCO in the joint future development of the PNR Guidelines.

Partnerships are also vital and the API-PNR Contact Committee has been very successful as the final 'clearing house' for any changes to the reporting standards for both API and PNR. Countries having developed, or thinking of developing, a passenger data transmission process are invited to join the Contact Committee.

UNITED NATIONS AND THE G7

The United Nations (UN) is, of course, also active in the field of API/PNR. UN Security Council (UNSC) Resolution 2178, which was adopted in September 2014, creates a new policy framework for international action in response to the FTF threat, and is a key driver. The Resolution, among other things, "calls upon Member States to require that airlines operating in their territories provide advance passenger information 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 terrorists.

The G7, in its G7 Foreign Ministers' Meeting Communiqué, issued in Lübeck, Germany on 15 April 2015, called "on the international community to collaborate closely and exchange relevant information, particularly information under UNSC Resolution 2178 related to the provision by airlines operating on their territory of advance passenger information in order to detect travel of individuals designated by the Committee established pursuant to Resolutions 1267 (1999) and 1989 (2011)" that oversees the implementation by UN Member States of the three sanction measures – asset freeze, travel ban and arms embargo – imposed against targeted individuals and entities associated with Al-Qaida, as designated by the Committee in its Sanctions List.

WCO/UN PARTNERSHIP ON API/PNR

The WCO and the UN are closely collaborating on API/PNR. Last year, the President of the UN Security Council wrote to me asking if the WCO could update its API/PNR Recommendation in order to strengthen law enforcement through the possibility of taking timely action in preventing inadmissible passengers from boarding aircraft, as part of the effective implementation of travel bans and other restrictions against individuals, and in taking other preventive measures against terrorism.

I welcomed the suggestion and the proposal was taken up at the last API/PNR Contact Committee and WCO Permanent Technical Committee (PTC) meetings. At the PTC, Members supported the insertion, in the list of actions that Members of the WCO, Customs and Economic Unions should take, of phrasing that reads "effectively support the implementation of UN travel bans against sanctioned individuals." The WCO is currently circulating, to its Members who have accepted the API/PNR Recommendation, the proposed text for their acceptance.

CONCLUSION

The WCO will continue to closely follow all security developments and keep its Members updated on the progress in relation to API/PNR, including the WCO/UN initiative, as part of the Organization's efforts to ensure global security while facilitating the movement of legitimate trade and travellers. ■

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SICPA SA, Security Inks Division
Av de Florissant 41, 1008 Prilly, Switzerland
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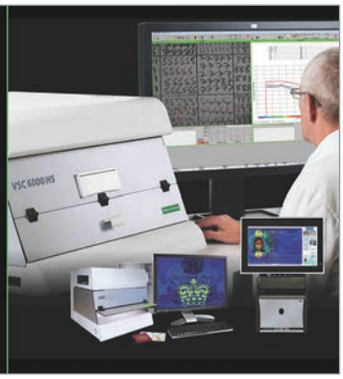

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Dr Catherine Fankhauser
Sales Director ISS – Identity Security Solutions
Identity & Document Security Solutions

Security Inks Solutions

Direct +41 21 627 59 56
Mobile +41 78 817 34 96
catherine.fankhauser@sicpa.com

SICPA SA
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Chief Executive Officer

Veridos GmbH
Truderinger Str. 15, 81677 Munich, Germany
Phone: +49 89 41197-100
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