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## **Meeting the Challenge: Consolidating IOM's Commitment to Intensified ICAO TRIP Strategy Implementation**

**IOM Action Plan for ICAO TRIP Implementation Assistance for the 2018-2020 Triennium**

### **Executive Summary**

The conclusion of the Memorandum of Understanding (MoU) between IOM and ICAO in November 2016 presents a strategic opportunity to intensify ICAO Traveller Identification Programme (ICAO TRIP) Strategy implementation world-wide. The MoU provided the basis to combine:

- ICAO's solid mandate rooted in the Chicago Convention, regulatory powers and excellence in developing global SARPs, with
- IOM's global operational project implementation capabilities in the field, liaison with donor programmes and technical expertise on border and identification management.

This paper is based on the recognition that, as a matter of policy, successful ICAO TRIP implementation partnership calls each concerned UN Agency to be used to its main strengths and specialization and that the 2016 ICAO-IOM MoU sets the solid basis for much intensified concrete cooperation between the two organizations in this field.

IOM has a clear mandate, the needed will and the necessary operational capacity to boost ICAO TRIP SARPs implementation in its 169 Member States and other interested States in line with IOM's own Constitution and programming objectives. IOM, through its Immigration and Border Management (IBM) programming currently amounting to around 200 projects worldwide, has already been implementing over previous years many activities relevant to the ICAO TRIP Strategy. Subject to the mobilization of necessary funding, IOM aims at expanding its IBM portfolio programming considerably to better serve the goals of the ICAO TRIP Strategy – by supporting and guiding its more than 150 field missions worldwide to include priority ICAO TRIP elements into their project development and implementation assistance to States.

IOM is building on the success and recent growth of its IBM programming, based on the MoU with ICAO, to become a key implementing partner of the ICAO TRIP Strategy globally.



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**Over the last year, IOM and ICAO have been jointly exploring options how to best structure the efforts to further the implementation of the ICAO TRIP Strategy with IOM as a strategic partner, to articulate joint priorities and measurable targets, explore possibilities for concrete, joint ICAO-IOM projects and outline the way forward to yet closer cooperation on ICAO TRIP implementation.**

**Following consultations with the ICAO Secretariat and Implementation and Capacity-Building Working Group (ICBWG) of TAG/TRIP, this Action Plan outlines thematic areas that have emerged for IOM's programming, thereby enhancing ICAO TRIP implementation worldwide.**

## **1. Scope and purpose**

This paper presents a business case for intensifying IOM and ICAO joint efforts in implementing the ICAO TRIP Strategy. For decades, IOM's global Immigration and Border Management (IBM) programme has been working in numerous areas within the scope of the ICAO TRIP Strategy, however without specifically seeking to promote and deliver the Strategy's comprehensive goals. This Action Plan provides a summary of IOM's global implementation capacity, current technical assistance activities relevant to the TRIP Strategy, and TRIP-related areas that are being expanded. It explores the best options for utilizing IOM's global project development and operational capacity to strengthen support to States for the implementation of the ICAO TRIP Strategy and to more comprehensively deliver its facilitation and security benefits to Member States.

## **2. Context**

The ICAO Traveller Identification Programme (ICAO TRIP) Strategy was endorsed at the 38th ICAO General Assembly in October 2013. Responding to global drivers and the needs of Member States, the Strategy provides a holistic, coherent and coordinated approach to the traveller identification management process.

The vision of the ICAO TRIP Strategy is that "all Member States can uniquely identify individuals." The Strategy notably emphasizes an overall approach to identification management in relation to travel documents and border controls to maximize facilitation as well as security benefits. It contributes to States' capacity to uniquely identify individuals by providing authorities with tools and guidance on how to establish and verify the identity of travellers.

Being a high-level policy document, the ICAO TRIP Strategy needs to be operationalized by means of a roadmap articulating its implementation. The holistic and inclusive scope of the TRIP Strategy makes it unrealistic to be implemented by a single agency: it calls for close cooperation of

numerous national and international institutions, under the leadership of ICAO and its Technical Advisory Group on the Traveller Identification Programme (TAG/TRIP). In July 2017, ICAO launched the first TRIP Implementation Roadmap for Member States. The roadmap provides guidance on the entities responsible at the national level for implementing the TRIP Strategy and also describes actions, resources and timescales related to the implementation of all of the elements of the TRIP Strategy. ICAO has disseminated the Roadmap to all of its Member States by means of State Letter EC 6/8 – 17/96 dated 11 August 2017.

On 15 November 2016, ICAO and IOM concluded a Memorandum of Understanding (MoU) that formalizes enhanced collaboration on shared priorities, including traveller identification management. The MoU strengthens the two global agencies' efforts to respond in a coordinated way to current and emerging challenges such as security requirements, accessibility to safe transport modes for migrants and refugees, increased international cross border mobility, health challenges linked to international mobility, as well as security and facilitation in global air travel.

In particular, the MoU highlights the common interest of IOM and ICAO to increase cooperation related to ICAO's work on security and facilitation and within the framework of the ICAO TRIP Strategy, including joint development and implementation of capacity-building projects.

### **3. Business case for intensified cooperation on TRIP Strategy implementation**

While both being UN Agencies, IOM and ICAO operate along different policy and legal frameworks, and each contributes with its own unique strengths. The IOM-ICAO MoU provides an opportunity to combine:

- ICAO's solid mandate rooted in the Chicago Convention, regulatory powers and excellence in developing global Standards and Recommended Practices (SARPs) with
- IOM's global operational project development and implementation capabilities in the field, fund-raising liaison with donor programmes and its technical expertise on migration, border and identification management.

This is a partnership with great potential for making global borders more secure while enhancing the facilitation of legitimate flows of travelers. The TRIP framework – and its successful implementation in practice – are of essential importance to assist in achieving both of these aims.

The IOM-ICAO partnership offers a perfect strategic-operational nexus, with global coverage, for the intensified implementation of the ICAO TRIP Strategy, including through the use of the ICAO regional office resources.<sup>1</sup>

It is vital to ensure that such a partnership remains closely aligned with the ongoing work in the framework of the ICAO TAG/TRIP, including its ToR in general, and specifically its task 4) to 'explore ways of broadening assistance and capacity-building support to Member States in the traveller identification and travel document areas, including a proactive leadership role for ICAO in facilitating and coordinating such assistance in the international community, in close cooperation with other experts of Member States, international organizations and the private sector.'

#### 4. IOM at a glance

- The United Nations Migration Agency, 169 Member States
- IOM has solid and proven capacity to implement large-scale technical assistance projects round the world
- IOM scale of programming: 2300 projects with total budget almost USD 1.4 Billion (2015)
- IOM worldwide presence: offices in over 150 States. With global presence in over 400 field locations, IOM has demonstrated ability to deliver results in States facing significant political, economic, social and security challenges
- IOM's Immigration and Border Management (IBM) portfolio with a total current budget of around USD 220 Million in around 200 projects (including multiannual projects)
- As part of its IBM global portfolio, IOM has already been implementing technical assistance projects covering many components of the ICAO TRIP Strategy, thereby gaining great experience and its technical know-how
- IOM is now looking forward to building on this success of its IBM programming – and becoming a key partner to States to build capacity to implement the elements of the ICAO TRIP Strategy around the world.

IOM's operating model is based primarily on donor-funded international assistance projects for States. IOM presents more than 65 years of experience in managing solid trilateral partnerships:

- Political and technical dialogue with Member States that need technical assistance. Hence IOM's comprehensive knowledge of IBM capacity gaps and needs in the field
- Close working partnerships with donor States and programmes that fund international aid and development

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<sup>1</sup> ICAO AVSEC/Facilitation regional officers in each regional office (Mexico City, Lima, Paris, Dakar, Nairobi, Cairo and Bangkok).

- IOM's pool of technical expertise related to border management and travel documents, both in-house and with partner agencies.

IOM is well placed to use its global project implementation capacity to make ICAO TRIP Strategy, SARPs and best practices a reality in Member States. This notably includes support for the implementation of the Strategy in developing and transition states, as well as in more fragile situations for States that face particular security and economic challenges but nevertheless need to comply with international norms on border management and traveller documentation.

Through its technical assistance projects, IOM contributes to economic development and sustainable results:

- Effective border and identification management is a powerful tool for addressing trans-border crime (including terrorism) and enhancing national and regional security. Security is a pre-condition for sustainable development and stabilization for States in transition.
- Development without security is impossible, security without development would be only temporary. By recognizing and addressing the security-development nexus, IOM aims at strengthening the sustainability of the implementation of TRIP Strategy globally.

IOM also adds the following specific aspects to the implementation of the TRIP Strategy:

- The human and migrant dimensions: Based on its broad migration management mandate, IOM also focuses on the needs of migrants, who as cross-border travellers are the ultimate users of TRIP SARPs and new technologies in the fields of identification management, MRTDs and border controls.
- The humanitarian dimension: extending the benefits of the TRIP framework and new technologies also to vulnerable groups in need of protection such as displaced persons, stranded migrants, victims of natural disasters or armed conflicts, etc.
- Sustainable development: adding the development angle to providing technical assistance to States in need, ensuring that the results are more sustainable and long-term, in line with the UN Sustainable Development Goals.
- New funding opportunities: IOM has a well-developed working relationship with the donor community and is specialized in developing and implementing donor-funded international assistance projects globally.
- Good governance: having effective institutions and modern technologies in identity and border management is important but not sufficient. Good governance also calls for integrity, transparency and accountability as key principles along which government institutions operate. In its IBM technical assistance projects, IOM supports States in strengthening their client-focused attitude, executive control, parliamentary oversight, respect for human rights and the rule of law, and other key values of the United Nations.



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- Going beyond aviation: the TRIP Strategy and TRIP SARPs, while developed by ICAO with aviation in mind, can be extended to land and sea border controls at no or only little extra cost, enhancing security and facilitation benefits to Member States in these other sectors/at these borders as well
- Laying infrastructure foundations for TRIP implementation: in many developing States, MRTD and border management institutions lack the basics, such as stable electricity, water, internet, dust-free premises able to support IT systems, and reliable telephone or radio connectivity. By supplying the basic infrastructure, IOM IBM projects create a durable foundation on which more advance components of the TRIP strategy can be built, such as MRTD issuance, proper reading of MRTDs/eMRTDs at the border, integration with Advance Passenger Information (API), Public Key Infrastructure (PKI), international alert lists, and similar.

IOM further offers a number of state-of-the-art tools for use at various phases of border controls within the framework of the ICAO TRIP Strategy:

- IOM's Migration Information and Data Analysis System (MIDAS) is a high-quality, user-friendly and fully customizable solution for States in need of a cost-effective and comprehensive border management information system. Currently operational in 20 countries, MIDAS has been designed to be compliant with international standards. A customizable system, MIDAS is compatible with ICAO Public Key Directory (PKD) and can be integrated with the PKI, API, INTERPOL's Stolen and Lost Travel Document (SLTD) database, alert lists, Electronic Travel Systems (ETS), visa-on-arrival issuance, national passport databases and other border management tools.
- Travel document examination and combatting identity fraud is another area where IOM has developed significant in-house expertise and capabilities. IOM's Passport Examination Procedure Manual (PEPM) 2nd edition serves as a flagship training manual in travel document examination and border management fields. The PEPM manual is complementary to ICAO's STP 'Control of the Authenticity and Validity of Travel Documents at Airport Borders – Level 1.' In particular, the PEPM 2<sup>nd</sup> edition addresses in detail passport production and covers all border management environments (air, land, sea). Further, it is not a stand-alone course but a module which is part of a much larger IOM border management capacity-building scope that links border management with health, Security and Counter Terrorism, Trade facilitation, Counter Trafficking, Crisis Management and similar trans-border issues.
- IOM runs the African Capacity Building Centre (ACBC) on Migration and Border Management in Moshi/Tanzania, which is playing an important role in strengthening technical capacity of immigration and border management in beneficiary States on the African continent. ACBC infrastructure, including staff and mobile training resources, can support enhanced TRIP implementation in Africa, especially as regards assistance components that require training, meetings and technical consultations. This can also



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serve to support the TRIP-related objectives of ICAO's Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL Plan and MID SECFAL Plan).

- IOM has developed a global lead role through the implementation of its in-house developed concept of Humanitarian Border Management (HBM), a framework that structures border management operations before, during and after humanitarian crises which trigger mass migration. HBM interventions improve preparedness for sudden changes in cross-border movements in order to protect migrants and their human rights while maintaining national sovereignty and security. HBM overlaps with a number of TRIP components such as biometric registration of travellers in distress, issuing ID cards, Convention and emergency travel documents.



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## 5. IOM's IBM work (current and future) as it relates to the ICAO TRIP Strategy



Figure 1. The five elements of the ICAO TRIP Strategy





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Note: In below form, the names of States mentioned after work items indicate IOM's current or past involvement in this area. Work items without names of States indicate additional potential areas for IOM's future involvement in ICAO TRIP Strategy implementation.

	<ul style="list-style-type: none"><li>• Infrastructure building: civil registries and more secure birth certificates (Ukraine)</li><li>• Awareness raising and training of civil registry and vital statistics staff (Armenia, Georgia, Ukraine)</li><li>• Promotion of best practices in identification management: social footprint, more secure breeder documents and prevention of identity fraud – aligned with ICAO Guide Towards Better Practice in National Identification Management (Armenia, Belarus, Georgia)</li><li>• Building inter-agency cooperation and data sharing to combat identity fraud (Ukraine, Georgia)</li><li>• Information campaigns encouraging population to participate in civil registration programmes</li><li>• Assessments of national identification management practices, producing recommendations – aligned with ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents (Armenia, Belarus, Afghanistan)</li></ul>
	<ul style="list-style-type: none"><li>• Tenders and roll out of national Passports and ePassports (Afghanistan, Armenia, Timor Leste, Belarus, Belize)</li><li>• Tenders and roll out of ID cards (national and regional, e.g. ECOWAS region, Armenia, Belarus, Cambodia, others)</li><li>• Tenders and production of visa foils (Afghanistan, others)</li><li>• Promoting best practices of MRTD procurement, to ensure ICAO compliance and document security – aligned with ICAO Guide for Collection of Best Practices For</li></ul>



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Acquisition of MRTD Goods and Services (East Timor, Afghanistan, Armenia, Belarus)


- Assessments of MRTDs – security and compliance issues (Nepal, Mongolia, Indonesia)
- Technical consultations and feasibility assessments for upgrading MRTDs to eMRTDs
- After ICAO Doc 9303 compliance mechanism is developed, promoting it to interested States for contacting ICAO Secretariat and having their MRTD compliance assessed
- (in coordination with UNHCR) providing assistance to States in producing ICAO-compliant Convention Travel Documents – aligned with ICAO-UNHCR Guide for Issuing Machine Readable Convention Travel Documents for Refugees and Stateless Persons
- Awareness raising about MRTD photo specifications – aligned with Doc 9303 provisions (Sri Lanka)



- Assessments of the integrity of MRTD issuance process – aligned with ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents (Armenia, Belarus, Belize, Sri Lanka, Azerbaijan, Cambodia, Afghanistan)
- Advocacy and sharing best practices on the integrity of MRTD issuance (Sri Lanka)
- Promoting good governance and preventing corruption through project activities (Georgia, Ukraine, Cambodia)
- Facilitating visa applications on behalf of visa issuing governments (55 Visa Application Centres world-wide)
- Advocacy and training on best practices of handling SLTDs, including the reporting of national cases to INTERPOL's SLTD (Armenia)




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	<ul style="list-style-type: none"> <li>• Promoting international sharing of travel document samples to prevent travel document fraud – aligned with ICAO Guide for Circulating Specimen Travel Documents</li> <li>• Roll-out of a biometric registration system including at migrant accommodation centers, allowing the issuance of ID cards to undocumented migrants (Libya, Iraq, Jordan, Tanzania) to enhance their protection</li> </ul>
	<ul style="list-style-type: none"> <li>• Installing MIDAS border information management systems (implemented in 19 beneficiary States - 125 border crossing points): Guinea, Nigeria, Congo, Mauritania, Liberia, Mali, Burkina Faso, Niger, Tanzania, Uganda, Somalia, Burundi, Djibouti, South Sudan, DR Congo, Malawi, Chad, Belize and Paraguay)</li> <li>• Integrating MIDAS system in beneficiary states with PKI (including ICAO PKD)</li> <li>• Advocacy of joining ICAO PKD; projects supporting PKD membership – aligned with ICAO PKD guidance materials</li> <li>• Building border control infrastructure: providing border crossing points with electricity, information management systems, office equipment, transport (Armenia, Belarus, Ukraine, Haiti, Cambodia, Mali, Mauritania, Niger, Nigeria, Burkina Faso, Azerbaijan, Kenya, Georgia)</li> <li>• Providing professional training to border officials – especially on the basics of travel document production and in-depth trainings on travel document examination and impostor recognition. Ensuring sustainability through Training the Trainers and enhancing in-house training capacities on document fraud (Afghanistan, Armenia, Azerbaijan, Cambodia, Chad, Philippines, Egypt, Sudan, Thailand, Belarus, Trinidad and Tobago, Azerbaijan, Kenya, Uganda, Georgia, Ukraine, Turkmenistan, Ghana, Turkey, etc.)</li> <li>• Joint ICAO – IOM training initiatives on travel document examination and impostor recognition (Tanzania, Eastern Africa)</li> </ul>



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	<ul style="list-style-type: none"> <li>• Establishing forensic labs for travel document examination and supplying them with passport reference systems (Afghanistan, Cambodia, Trinidad and Tobago, Azerbaijan, Uganda, Bangladesh, Burma, Thailand, Tanzania)</li> <li>• Providing border control agencies with HF/VHF radio communications, VSAT and telephone connectivity (Haiti, Cambodia, Mali, Niger, Burkina Faso, Belarus, Kenya)</li> <li>• Installing eVisa and Electronic Travel Systems (ETS) – aligned with current and emergent specifications in Doc 9303</li> <li>• Installation of Automated Border Controls (ABCs) through IBM technical assistance projects</li> <li>• Advocacy and technical consultations on ABC feasibility, including the prospects of linking ABCs to ICAO PKD and watch-lists and the Interpol's SLTD</li> <li>• Providing specialized English language training for border control staff (Armenia, Haiti, Cambodia, Romania, Lithuania, Mauritania, Mali, Ukraine, Estonia)</li> </ul>
	<ul style="list-style-type: none"> <li>• Integrating border systems in beneficiary States with the Interpol's SLTD and national, regional international watch-lists (Belize, Paraguay, Armenia, Philippines, Sri Lanka, Bangladesh, Ukraine)</li> <li>• Integrating border systems in beneficiary States with API (Sri Lanka)</li> <li>• Advocacy of using traveller data (API and/or PNR) for enhancing security and facilitation - aligned with WCO-ICAO-IATA guidance material and UN SCR 2178</li> <li>• Assistance to Member States in implementing PNR</li> <li>• Advocacy, technical consultations and workshops on inter-agency and cross-border cooperation and information sharing for border controls (over 100 States world-wide)</li> </ul>



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## 6. Stakeholders and partnerships

Effective identification management, MRTD integrity and security and border management are broad whole-of-government objectives that go beyond the responsibility of a single government institution. Instead, the realization of such objectives requires a range of government departments working in a concerted manner, relying on joint information and knowledge, and protocols for data sharing and joint action as may be needed. In particular, ICAO Annex 9 – *Facilitation* requires Member States to establish a national air transport facilitation programme, National Air Transport Facilitation Committee, Airport Facilitation Committees<sup>2</sup> and recommends their structure to ensure that all relevant stakeholders are engaged.<sup>3</sup> The ICAO TRIP Strategy is a timely reinforcement of the importance of involving all relevant actors in its implementation and ensuring their cooperation.

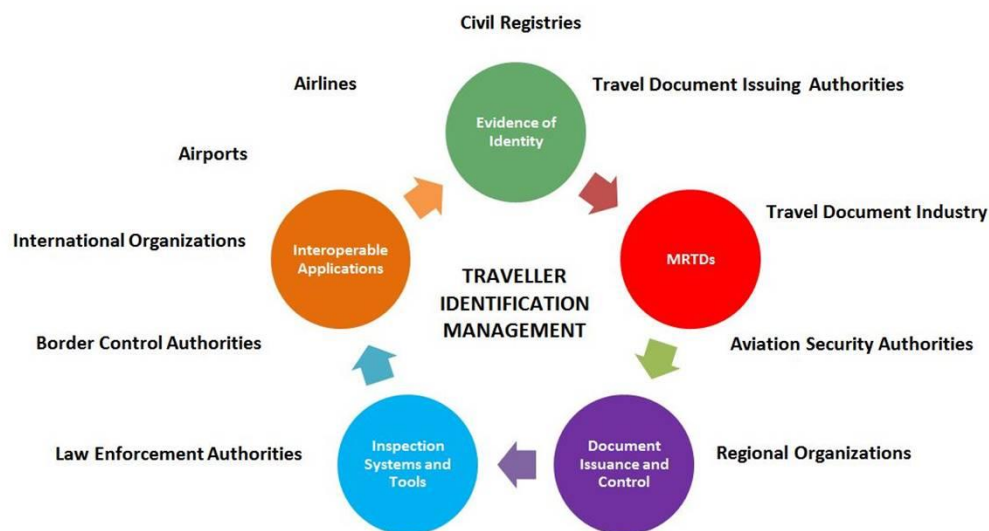


Figure 2: Main actors and stakeholders of the ICAO TRIP Strategy

<sup>2</sup> Standards 8.17 and 8.19.

<sup>3</sup> Recommended Practices 8.18.1 and 8.21.

IOM's Immigration and Border Management (IBM) technical assistance projects involve numerous IBM actors because of their inter-agency nature. Given the diversity and large number of IBM institutions, it is helpful to categorize them as core, central and marginal partners in IBM implementation, as depicted in the diagram below. Importantly, IOM's IBM implementation partners involve all – and go beyond – the members of National and Airport Facilitation Committees, as required by Annex 9 – *Facilitation*.

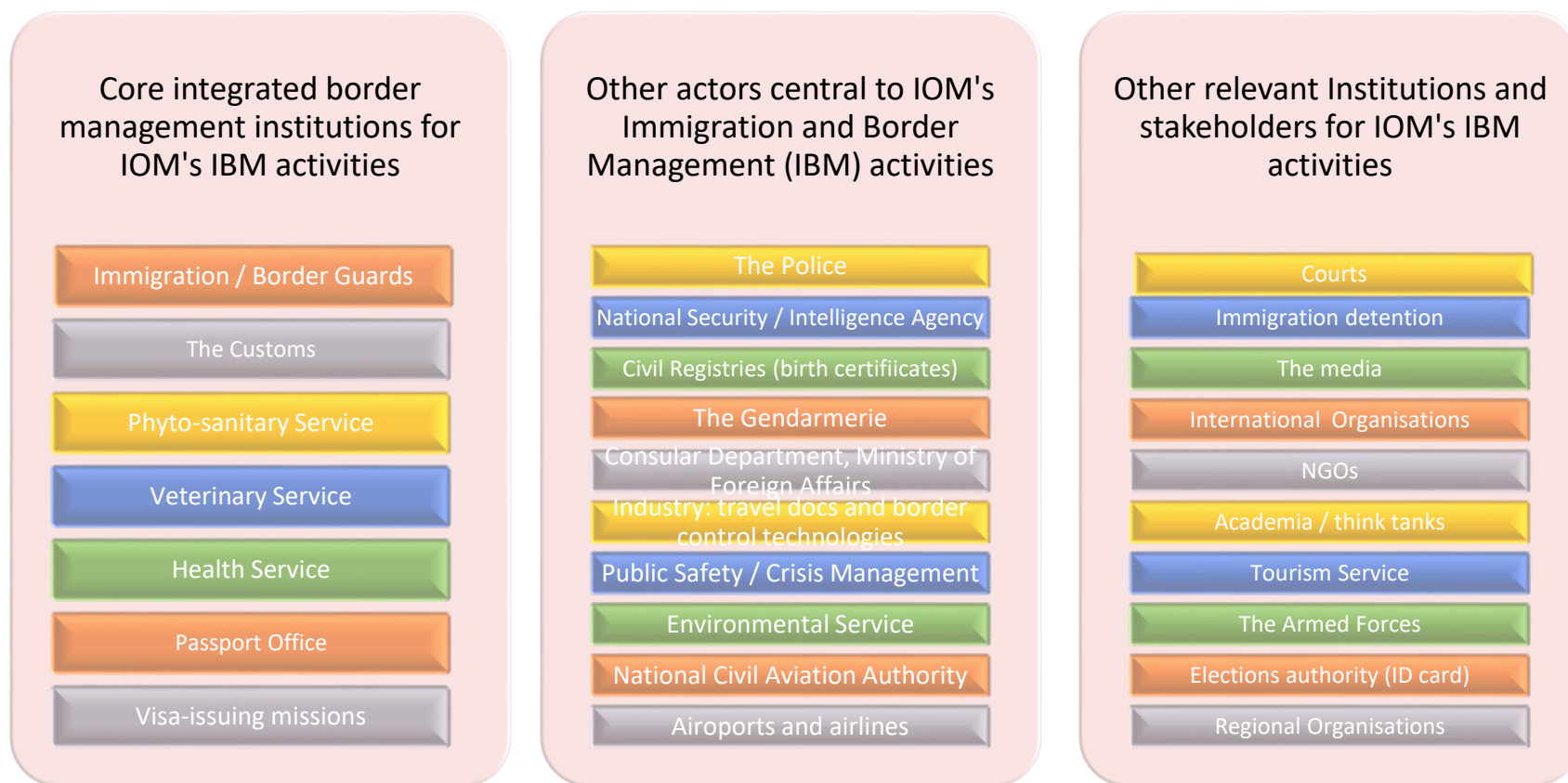


Figure 3: Partners and stakeholders in IOM's IBM project implementation

ICAO's primary interlocutors in Member States are National Civil Aviation Authorities, which are not always the most relevant contact points for matters related to the elements of the TRIP Strategy. IOM's well-established communication channels with Immigration and Border Management (IBM) institutions and stakeholders in its 169 Member States and other partner countries offers an additional strong opportunity to streamline communication when needed for implementing projects related to the ICAO TRIP Strategy. Direct working links with TRIP-focused agencies in Member States ensure time delivery of messages to target audiences, and complement ICAO's official communication channels.

## 7. Closing Points and the Way Forward

The conclusion of the MoU between IOM and ICAO presented a strategic opportunity to intensify TRIP implementation world-wide. IOM has both political will and operational capacity to boost TRIP implementation in its 169 Member States.

IOM, through its IBM programme, has been already implementing globally many activities relevant to the ICAO TRIP Strategy. IOM still has the potential of expanding its IBM work considerably in a more structured manner – through guiding its IBM staff in 150 missions world-wide to include priority TRIP elements into their project development and implementation.

IOM has been building on the success of its Immigration and Border Management (IBM) programme – and becoming a key implementer of the elements of the ICAO TRIP Strategy in its Member States around the world.

IOM and ICAO have been jointly exploring how to best further the implementation of the TRIP Strategy, including fine-tuning the roles and articulating priorities and measurable targets. Based on consultations with the ICAO Secretariat and Implementation and Capacity-Building Working Group (ICBWG) of TAG/TRIP, the **following thematic areas emerged for IOM's focus on enhancing TRIP implementation worldwide:**

**7.1 MRTD procurement** – especially passport and ePassport tenders and roll out, but also visa foil and national ID card tenders. The main needs are ensuring ICAO compliance of new MRTDs and eMRTDs, assisting States in getting good value for money, and promoting MRTD procurement best practices. IOM has strong procurement capacity and - with further expertise from ICBWG and relying on the ICAO MRTD Procurement Guide - IOM can play a major assistance role in MRTD procurement field. eMRTD implementation assistance also includes technical support in establishing the PKI. This work item could also include tenders and implementation of Convention Travel Documents, where ICAO compliance rate is still relatively low. A related area is the need to develop a cost/benefit analysis framework for



ePassport procurement for small and developing states, which can be integrated into future IOM IBM projects to mutual advantage.

**Related ICAO TRIP Implementation Roadmap Actions:<sup>4</sup>**

- Completion of Machine Readable Passports implementation
- Implementation of ePassports, when a State chooses to do so
- Assessment of compliance with travel document Standards and specifications
- Implementation of machine readable Convention Travel Documents
- Issuance of Emergency Travel Documents (ETDs)

**7.2 Evidence of Identity (Eol).** The ICBWG has completed the final draft of Eol guidance materials that will guide and inform IOM's future advocacy activities related to Eol. In addition to advocacy and awareness raising, IOM – supported by ICBWG experts - can assist States in setting up the right processes and workflows to strengthen Eol. A related area is IOM's IBM assistance to help States with strengthening civil registries, the security of breeder documents (birth certificates, etc.), digitizing manual civil registry records, and installing civil registry infrastructure and communication capabilities between offices.

**Related ICAO TRIP Implementation Roadmap Actions:**

- Implementation of a national strategy or framework related to evidence of identity involving the tracing, linkage and verification of identity against breeder documents to ensure the authenticity of identity
- Application of evidence of identity principles: identity exists, identity is living, applicant links to identity, applicant is the sole claimant, applicant uses the identity in the community (linkage between Birth and Death registers)
- Verification of applicant against birth and death registries during travel document issuance process
- Application of security features to breeder documents, such as birth certificates

**7.3 Supplying States with border management information systems,** either MIDAS or others, depending on the needs and preferences of the beneficiary State. Installing border management systems also offer the possibility of linking them with other Inspection Systems and Tools and Interoperable Applications - such as PKI and the ICAO PKD, INTERPOL's SLTD (and other watch lists) and API. Such system implementation also includes the creation of a National PKD for States that already are or intend to become ICAO PKD participants.

**Related ICAO TRIP Implementation Roadmap Actions:**

- Use of inspection systems and tools for the secure reading and verification of MRTDs

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<sup>4</sup> The actions refer to the current (July 2017) ICAO TRIP Implementation Roadmap. If a new TRIP Roadmap is adopted, this IOM Business Plan will be updated to incorporate any new action items.





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- Use PKD to validate ePassports at border control
- Use of facial recognition comparison capability of ePassports
- Use of globally interoperable applications and protocols linking MRTD holders to available watch lists and databases
- Check passports against the INTERPOL SLTD database

**7.4 PKD promotion and increasing the number of members** offers a broad range of assistance activities. Advocacy and awareness raising - national/regional workshops about the ICAO PKD, its benefits and links to the PKI – and PKD participant technical consultations (only for states that have already expressed commitment to join the PKD). Study visits / technical consultations for national senior decision-makers to ICAO to talk to PKD staff directly (can be combined with attending the TRIP Symposium). A related possibility is facilitating travel for developing states to participate in meetings of PKD Board during the time of projects.

**Related ICAO TRIP Implementation Roadmap Actions:**

- Participate in the ICAO Public Key Directory (PKD)
- Use PKD to validate ePassports at border control
- Implementation of travel document inspection using Automated Border Controls (ABCs)

**7.5 Providing professional training to border officials**, especially on the foundations of travel document production and in-depth training on travel document examination and impostor recognition. Ensuring sustainability through Training the Trainers and enhancing in-house training capacities on document fraud. IOM's ACBC training centre in Tanzania, and its curricula and trainers' resources, provide a solid foundation for delivering such training in Africa. Joint ICAO–IOM training initiatives on travel document examination and impostor recognition are also being explored.

**Related ICAO TRIP Implementation Roadmap Actions:**

- Application of processes and protocols for document issuance and controls to prevent theft, tampering and loss
- Determine vulnerabilities in issuance processes and identify measures to rectify such deficiencies
- Use of inspection systems and tools for the secure reading and verification of MRTDs
- Use of globally interoperable applications and protocols linking MRTD holders to available watch lists and databases

**7.6 Assessments** of national identification management practices and producing recommendations – aligned with ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents. For border controls, a new assessment framework – the ICAO TRIP

Guide on Border Control Management – has been developed by the Secretariat as part of the ICAO Canada-funded Caribbean TRIP project. Both Guides can be used for assessments in the future as well as reference tools for workshops and seminars addressing those areas. IOM also has its own in-house border management assessment framework that is used in performing border assessments. Importantly, assessments provide not just recommendations about corrective action needed, but identify capacity gaps that can be addressed through future project development.

**Related ICAO TRIP Implementation Roadmap Actions:**

- Application of processes and protocols for document issuance and controls to prevent theft, tampering and loss
- Use of biometrics for travel document entitlement adjudication
- Determine vulnerabilities in issuance processes and identify measures to rectify such deficiencies
- Use of inspection systems and tools for the secure reading and verification of MRTDs
- Participate in the ICAO Public Key Directory (PKD)
- Use PKD to validate ePassports at border control
- Use of facial recognition comparison capability of ePassports
- Implementation of travel document inspection using Automated Border Controls (ABCs)
- Use of globally interoperable applications and protocols linking MRTD holders to available watch lists and databases
- Check passports against the INTERPOL SLTD database
- Ensure linkage of MRTDs and their holders to relevant data in the course of travel and inspection operations such as Advance Passenger Information (API), Passenger Name Record (PNR), watch lists, information sharing, etc.

**7.7 Helping States with document issuance and personalization** and biometric data capturing, especially **in emergency and crisis environments to people in distress**, which is a major area on IOM's humanitarian assistance agenda. This includes advocacy and awareness raising through national or regional workshops about Emergency Travel Documents and their issuance. Another area is providing assistance to Member States in producing ETDs and issuance systems aligned with relevant ICAO specifications and guidance materials. This area can be developed further in close coordination with ICAO, UNHCR and the ICRC.

**Related ICAO TRIP Implementation Roadmap Actions:**

- Application of evidence of identity principles: identity exists, identity is living, applicant links to identity, applicant is the sole claimant, applicant uses the identity in the community (linkage between Birth and Death registers)

- Verification of applicant against birth and death registries during travel document issuance process
- Assessment of compliance with travel document Standards and specifications
- Implementation of machine readable Convention Travel Documents
- Application of processes and protocols for document issuance and controls to prevent theft, tampering and loss
- Use of biometrics for travel document entitlement adjudication
- Determine vulnerabilities in issuance processes and identify measures to rectify such deficiencies
- Issuance of Emergency Travel Documents (ETDs)

**7.8 Passenger data**, mainly **API** but potentially also PNR. Assistance to States in API implementation tenders and building capacity to exploit traveller data through strengthened intelligence and risk assessment capabilities.

**Related ICAO TRIP Implementation Roadmap Actions:**

- Ensure linkage of MRTDs and their holders to relevant data in the course of travel and inspection operations such as Advance Passenger Information (API), Passenger Name Record (PNR), watch lists, information sharing, etc.
- Use of globally interoperable applications and protocols linking MRTD holders to available watch lists and databases
- Implementation of travel document inspection using Automated Border Controls (ABCs)

Some items on the TRIP agenda are important but can be overshadowed by items of greater urgency. ICAO-compliance of passport photos, handling SLTDs, handling ePassports that fail to read, good practices in issuing Emergency Travel Documents, etc. – all such relatively minor yet important areas can be included into IOM IBM seminars and workshops globally to promote awareness and best practices.

The above focus areas do not exclude IOM from contribution to other ICAO Secretariat TRIP activities along the lines of the joint MoU: ad hoc assessment missions, seminars and workshops, joint training or research events, and similar.

While TRIP implementation challenges are global, certain regions are in a far greater need of assistance for infrastructure and technical expertise. In developing TRIP-related IBM project proposals, IOM furthers the ICAO ‘No Country Left Behind’ initiative and focuses on States where assistance needs are the greatest.

In particular, it is important to ensure that IOM's TRIP-related technical assistance work is aligned with the work items of ICBWG. If the work plans are well-aligned, working closely together is likely to provide considerable synergies and value added. The cooperation model between IOM and ICBWG is based along the following lines:

- ICBWG would contribute with expertise of its members – and guidance material – to IOM TRIP-related IBM projects, both at the project formulation and implementation stages.
- IOM projects would allow ICBWG experts to integrate some of the work its sub-groups are doing into IOM project activities in the 'field environment'. While assisting the beneficiary States of such projects, the work of ICBWG experts would generate real-world knowledge and experience, which could be codified by ICBWG into further guidance materials. Also, involving ICBWG experts in project activities would offer an opportunity to promote and use some of the ICBWG guidance materials already developed.

Resource mobilization and donor liaison for TRIP-related IOM project proposals are in line with IOM's usual practices. Three main options are: (i) submitting proposals to formal Calls for Proposals, which is the practice with many well-established donor programmes, (ii) informal donor diplomacy, maintaining liaison with embassies of donor states and advocating TRIP-related proposals, and (iii) proactive resource mobilization events such as convening a donor conference or briefing on TRIP assistance matters. Another future option to consider is launching an IOM-ICAO joint Appeal to Donors for expanding and accelerating TRIP technical assistance world-wide.

26 July 2018

IOM HQ in Geneva (IBM Division) coordinated with ICAO HQ (Facilitation Section) in Montreal



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## Annex I

### Action Plan: IOM's Engagement in Intensified ICAO TRIP Strategy Implementation for the 2018-2020 Triennium

Note: IOM's ICAO TRIP Strategy implementation deliverables are subject to successful mobilization of donor funding.

No	Focus area	Activities	Target Outputs
1.	MRTD procurement	<ul style="list-style-type: none"> <li>• Training government officials in travel document procurement – workshops and training courses</li> <li>• Supporting governments with managing new travel document implementation (either the whole procurement cycle or its parts)</li> <li>• Relevant study visits to advanced Member States</li> <li>• Supporting participation in ICAO TRIP Symposium and Regional Seminars</li> <li>• Technical assistance for establishing the PKI for eMRTD issuance</li> </ul>	<ul style="list-style-type: none"> <li>• 210 government officials trained in managing MRTD procurement</li> <li>• Assistance provided to 10 MRTD tenders (full or partial)</li> <li>• 30 officials took part in study visits</li> <li>• 75 officials received assistance to attend ICAO TRIP events</li> <li>• 6 States receive assistance for establishing the PKI</li> </ul>
2.	Evidence of Identity (EoI).	<ul style="list-style-type: none"> <li>• Training government officials in EoI principles – workshops</li> <li>• Capacity building of civil registries: infrastructure, staff training, guidance material (incl. digitizing manual civil registry records, and installing civil registry infrastructure and communication capabilities between offices)</li> <li>• Strengthening the security of breeder documents (birth certificates, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>• 210 officials trained in EoI principles</li> <li>• 12 States assisted in strengthening the capacity of Civil Registries</li> <li>• 6 States assisted with enhanced security of breeder documents</li> </ul>



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		<ul style="list-style-type: none"> <li>Developing a national identification management strategy</li> </ul>	<ul style="list-style-type: none"> <li>6 States assisted with developing their national identification management strategy</li> </ul>
3.	Border Management Information Systems: MIDAS	<ul style="list-style-type: none"> <li>Pilot implementation of MIDAS at selected BCPs</li> <li>Integrating new or already installed MIDAS with API, ETA, PKD, Interpol SLTD, watchlists, etc.</li> </ul>	<ul style="list-style-type: none"> <li>MIDAS implemented in 9 new States</li> <li>MIDAS integrated with interop apps in 12 new States</li> <li>MIDAS used as a National PKD for proper authentication of ePassports at the border in 5 new States</li> </ul>
4.	PKD promotion	<ul style="list-style-type: none"> <li>Advocacy and awareness raising - national/regional workshops about the PKD, its benefits and what constitutes proper reading of an ePassport at the border</li> <li>Technical consultations on PKD accession (only for States that have already expressed commitment to join the PKD)</li> <li>Study visits / technical consultations for senior decision-makers to ICAO Secretariat to discuss PKD membership</li> <li>Facilitating travel for developing states to participate in meetings of PKD Board during the project</li> </ul>	<ul style="list-style-type: none"> <li>300 government officials trained in the role of PKD and ePassport reading</li> <li>90 government officials from 12 States trained on administrative, financial and technical aspects of PKD membership</li> <li>30 government officials visited ICAO Secretariat to discuss PKD membership</li> <li>12 government officials from new PKD user States attended the PKD board meetings</li> </ul>
5.	Document Examination Training to Border Officials	<ul style="list-style-type: none"> <li>Delivering the ICAO Control of the Authenticity and Validity of Travel Documents at Airport Borders - Level 1 training – (with IOM's PEPM2 or without)</li> </ul>	<ul style="list-style-type: none"> <li>240 government officials trained using the ICAO training package and IOM training resources</li> </ul>



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		<ul style="list-style-type: none"> <li>• Training beneficiary government officials to become ICAO certified trainers in the above</li> <li>• Translating and publishing PEP2 in new languages</li> </ul>	<ul style="list-style-type: none"> <li>• 15 government officials trained to become ICAO certified trainers</li> <li>• PEP2 published in 3 new languages</li> </ul>
6.	Assessments	<ul style="list-style-type: none"> <li>• Assessments of the integrity of passport issuance process and environment</li> <li>• Assessments of border control management</li> <li>• Developing technical assistance project proposals based on assessment recommendations</li> </ul>	<ul style="list-style-type: none"> <li>• Assessments (integrity of passport issuance process) in 14 States</li> <li>• Assessments (BCM) in 14 States</li> <li>• Technical assistance project proposals developed for 20 States</li> </ul>
7.	Document issuance and personalization in emergency and crisis environments to people in distress	<ul style="list-style-type: none"> <li>• Advocacy and awareness raising - national/regional workshops about Emergency Travel Documents and their issuance</li> <li>• Assistance to Member States in producing ETDs and issuance systems aligned with relevant ICAO specifications and guidance materials</li> </ul>	<ul style="list-style-type: none"> <li>• 120 government officials trained about Emergency Travel Documents and their issuance</li> <li>• 9 States receive assistance in producing ETDs and issuance systems aligned with international specifications</li> </ul>
8.	Passenger data: API, etc.	<ul style="list-style-type: none"> <li>• Advocacy and awareness raising - national/regional workshops about API, its uses and regulatory framework</li> <li>• Needs assessments and developing a national API implementation roadmap</li> <li>• Legal assessment and recommendations for API implementation (a subset of above)</li> <li>• Supporting governments with managing new API implementation tender (either the whole procurement cycle or its parts)</li> </ul>	<ul style="list-style-type: none"> <li>• 240 government officials trained about API, its uses and regulatory framework</li> <li>• Needs assessments and national API roadmap developed in 12 States</li> <li>• Legal recommendations for API implementation produced: 6 States</li> <li>• 12 States supported with managing a new API implementation tender</li> </ul>



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		<ul style="list-style-type: none"><li>• Developing border agencies' intelligence capabilities to perform full intelligence cycle and exploit data and information for enhancing both the security and facilitation of border controls</li></ul>	<ul style="list-style-type: none"><li>• 12 States assisted with strengthening their border agencies' intelligence capabilities with focus on exploiting passenger data</li></ul>
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