



**TECHNICAL ADVISORY GROUP ON MACHINE READABLE  
TRAVEL DOCUMENTS (TAG/MRTD)**

**TWENTIETH MEETING**

**Montréal, 7 to 9 September 2011**

**Agenda Item 3: Activities of the ICBWG**

**Agenda Item 3.3: Doc 9303 Compliance Programme**

**DOC 9303 COMPLIANCE PROGRAMME**

(Presented by the ICBWG)

**1. BACKGROUND**

1.1 Since 1980, ICAO has published multiple editions of Doc 9303 — *Machine Readable Travel Documents*, detailing specifications to increase security, improve facilitation, and ensure global interoperability for machine readable travel documents (MRTDs).

1.2 Significant time and resources from both the public and private sectors has gone into the development of these specifications. Despite this investment, States still have no ability to test whether their MRTDs comply with Doc 9303.

1.3 States have increasingly approached ICAO seeking official confirmation of Doc 9303 compliance for their MRTDs, which indicates that a clear need of the travel document community is not being met.

1.4 A certification process, designed, overseen and endorsed by ICAO and the TAG/MRTD, will meet this need. Such a scheme can provide assurance to States that their MRTD investment will achieve its intended outcome – a Doc 9303 compliant travel document.

1.5 This paper provides a high-level outline of how an MRTD certification process might work, as well as a general description of the roles and responsibilities of the parties involved.

**2. OBJECTIVES**

2.1 ICAO shall offer a Doc 9303 Compliance Programme to Member States or vendors (applicants) upon request. The fee based programme shall be agreed upon by Member States.

2.2 ICAO shall issue a Doc 9303 Compliance Certificate or a Non-Compliance Notice to applicants, indicating the degree of Doc 9303 compliance of the MRTDs under review. Initially, the programme shall be limited to testing only machine readable passports (MRPs) and electronic MRPs.

2.3 ICAO shall own and manage the Doc 9303 Compliance Programme, taking advantage of existing MRTD certification services offered by test authorities and individual experts, under the condition that these services are endorsed by the ICBWG.

### 3. IMPLEMENTATION CONCEPT

3.1 Targeted application scenarios:

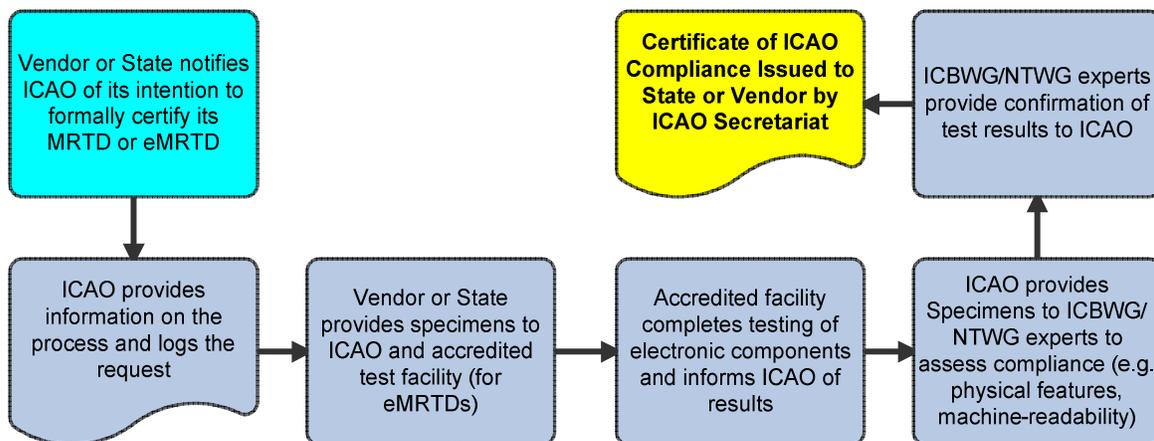
- a) an issuing authority or vendor has an existing MRTD or electronic (eMRTD) and wishes to verify Doc 9303 compliance and subsequently be certified;
- b) an issuing authority is going to market for an MRTD or eMRTD and wishes the vendors to pay for and arrange Doc 9303 compliance and certification as part of the contract award and/or the delivery phase; and
- c) an issuing authority or vendor has an existing MRTD and wishes to verify Doc 9303 compliance without requesting an official ICAO compliance certificate (note: for the sake of simplicity, this variation is not included in the diagram at paragraph 3.3).

3.2 The Doc 9303 Compliance Programme shall be administered, supported and executed by the following stakeholders, adhering to the workflow in paragraph 3.3.

<b>Roles</b>	<b>Responsibilities</b>
ICAO – Administrator	ICAO provides the legal framework for the programme. The ICAO Secretariat manages all administrative tasks within the programme, and is responsible for: <ol style="list-style-type: none"> <li>a) promotion of the programme;</li> <li>b) administration of the application process, including cash management and book keeping;</li> <li>c) legal management;</li> <li>d) coordination with the ICBWG;</li> <li>e) administration of the issuance of compliance certificates;</li> <li>f) approval of accredited test authorities and individual experts; and</li> <li>g) management of relationships with Member States.</li> </ol>
ICBWG – Support	The ICBWG – represented by the Chairperson – supports the programme, and is responsible for: <ol style="list-style-type: none"> <li>a) developing test procedures and quality standards in cooperation with the New Technologies Working Group;</li> <li>b) maintaining a list of experts to undertake the testing of the MRTD component of the assessments;</li> <li>c) recommending test authorities and experts;</li> <li>d) verifying whether the test report provided by the selected test authority formally complies with defined quality standards; and</li> <li>e) arranging for MRTD assessment and reporting.</li> </ol>
Test laboratory – Test Authority	Test laboratories may be both government and commercial bodies with proven expertise and experience in testing MRTDs and eMRTDs. It is expected that ICAO accreditation for test authorities will be based purely on Member States' advice. Test laboratories issue test reports showing the degree of Doc 9303 compliance in a detailed manner, and test authorities take liability for any results. A single test laboratory is responsible for all

	tests required by an applicant, such as physical security elements of a booklet or electrical and logical testing of a radio frequency chip. Where available, a test laboratory executes the tests based on ICAO test standards. In other cases, such as Doc 9303 Volume 1 testing, a panel of experts evaluate the MRTD under review. Test laboratories may sub-contract to individual experts.
Individual Experts	Where ICAO test standards or others are not applicable (i.e. internationally agreed standards are not available), testing should be based on the extensive experience of a test expert. Where appropriate, these experts are paid out of the ICAO fee.

3.3 The following figure shows the proposed high-level workflow for the Doc 9303 Compliance Programme:



**Figure 1. Doc 9303 Compliance Programme Workflow**

#### 4. ACTION BY THE TAG/MRTD

4.1 The TAG/MRTD is invited to:

- a) endorse the guidelines proposed for MRTD compliance and certification;
- b) direct the ICBWG to develop an operational plan for commencing this programme in sufficient detail, and to conduct beta tests with cooperating Member States or Organizations; and
- c) approve that the ICBWG continue to undertake ad hoc assessments while the proposed certification programme is being developed.