

# ICAO

INTERNATIONAL CIVIL AVIATION ORGANIZATION



Vol. 8, No. 1 – Spring 2013

# MRTD REPORT

## THE NEW eUNLNP

The United Nations launches its  
ICAO-compliant electronic Laissez-Passer



### In this issue

Coverage of Eighth Symposium on MRTDs, Biometrics and Security Standards  
Travel Documentation, Human Rights and the Promise of Development  
Antigua Sub-Regional Workshop on Capacity Building  
Zimbabwe Regional MRTD Seminar



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**ICAO MRTD REPORT  
VOLUME 8, NUMBER 1, 2013**

**Editorial**

MRTD Programme—Aviation Security  
and Facilitation Policy Section

Editor-in-Chief: Mauricio Siciliano

Tel: +1 (514) 954-8219 ext. 7068

E-mail: msiciliano@icao.int

Coordinator: Erik Slavenas

Tel: +1 (514) 954-8219 ext. 2822

E-mail: eslavenas@icao.int

Coordinator: Nathalie Teatin

Tel: +1 (514) 954-8219 ext. 6056

E-mail: nteatin@icao.int

**Content Development**

KDH Communications

Assistant Editor: Kathlyn Horibe

Tel: +1 (514) 697-8654

E-mail: khoribe@videotron.ca

**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**

Keith Miller, Advertising Representative

Tel: +1 (514) 954-8219, ext. 6293

Fax: +1 (514) 954-6769

E-mail: kmiller@icao.int

**Submissions**

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# Technical Advisory Group on Machine Readable Travel Documents (TAG/MRTD)

Member	Nominated by	Member	Nominated by
Mr. R. Tysoe	Australia	Mr. J. Verschuren	Netherlands
TBC	Canada	Ms. A. Offenberger	New Zealand
Ms. M. Cabello	Chile	TBC	Nigeria
Mr. M. Vacek	Czech Republic	Mr. Y. Xuefeng	People's Republic of China
Ms. M. Pujau-Bosq	France	Mr. C. Ferreira Gonçalves	Portugal
Dr. E. Brauer	Germany	Mr. O. Demidov	Russian Federation
Mr. A. Manickam	India	Mr. S. Tilling	Sweden
Mr. J. Nugent	Ireland	Mr. R. Vanek	Switzerland
Mr. H. Shimizu	Japan	Mrs. K. Mitchinson	United Kingdom
		Mr. M. Holly	United States

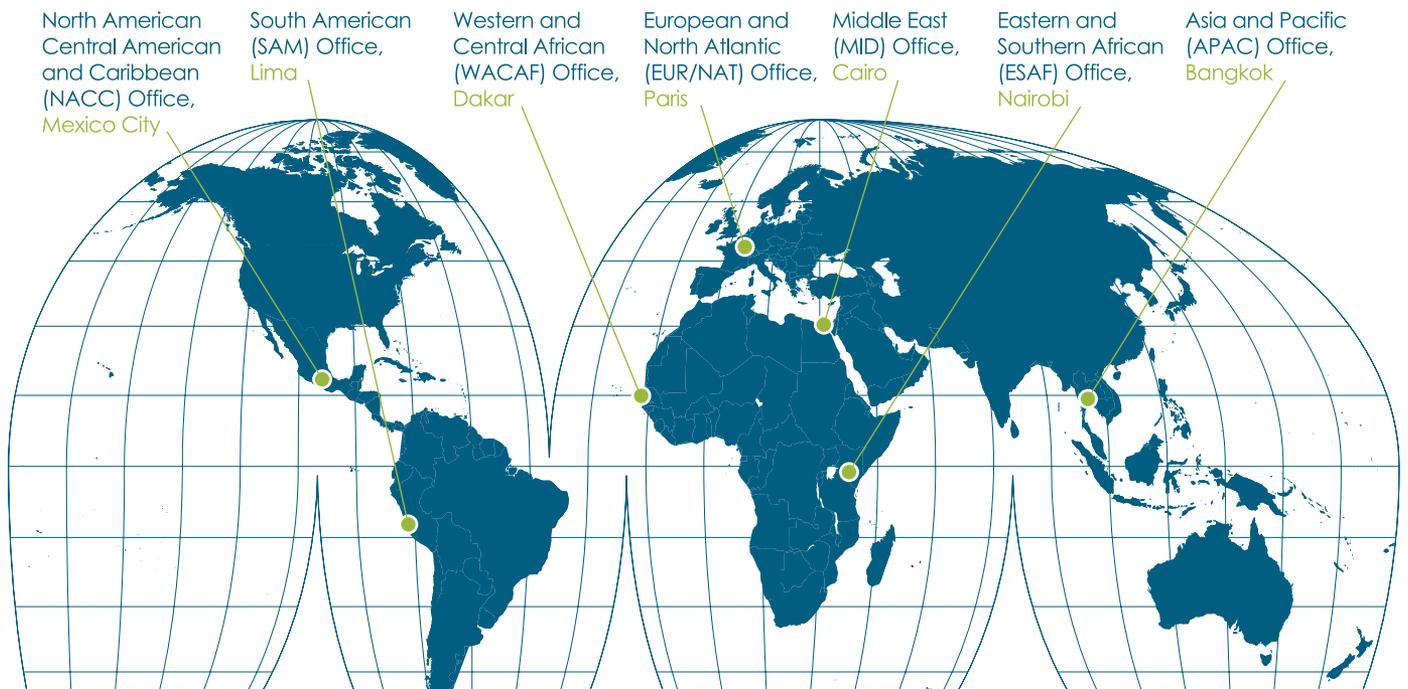
The TAG/MRTD is appointed by the Secretariat, which reports on its progress to the Air Transport Committee.

The TAG/MRTD develops specifications for machine readable passports, visas and official travel documents, electronic machine readable travel documents and guidance material to assist States in implementing these specifications and exploiting modern techniques in inspection systems.

## Observer organizations

- Airports Council International (ACI)
- International Air Transport Association (IATA)
- International Criminal Police Organization (INTERPOL)
- International Labour Organization (ILO)
- International Organization for Standardization (ISO)
- Organization for Security and Cooperation in Europe (OSCE)
- International Organization for Migration (IOM)
- United Nations (UN)
- Organization of American States (OAS) - Inter-American Committee on Terrorism (CICTE)

## ICAO's Global Presence



# WELCOME TO THE SPRING ISSUE OF THE *MRTD REPORT*



✈ The ICAO High-level Conference on Aviation Security took place in September 2012, paving the way for policy decisions at the upcoming ICAO Assembly (24 September to 4 October 2013). The Conference focused on priority areas of aviation security policy, many of which were related to the assistance and capacity building agenda. The Conference, among other things, acknowledged the progress made in the implementation of the ICAO Aviation Security Assistance and Capacity Building Strategy and requested ICAO to strengthen its efforts, with additional focus given to air cargo and mail security capacity building activities. In particular, the Conference encouraged ICAO Member States to enhance aviation security by standardising formats for travel documents and for the electronic transmission of passenger data to State authorities, while ensuring the protection of passengers' privacy and civil liberties and the enhancement of travel document security by participating in the ICAO Public Key Directory (PKD).

In line with promoting advocacy and technical dialogue with Member States and the Machine Readable Travel Document (MRTD) community, two recent major capacity building events took place in 2012: the annual MRTD Symposium (10 to 12 October) in Montréal and the MRTD Regional Seminar and Exhibition in Zimbabwe (27 to 29 November). The MRTD Symposium focused on the humanitarian dimension. Its

programme explored global humanitarian assistance efforts, where reliable identification and issuance of travel documents play an important role in post-disaster or post-conflict rehabilitation. A number of case studies were presented by relief organisations and international aid programmes, with reference to identity management and travel documents. The Zimbabwe event had a strong regional focus and addressed capacity building and technical assistance challenges in Africa. Its workshop was devoted to the integrity of the passport issuance process using the ICAO Assessment Guide in practice. A session of particular interest was on travel document security and border security, moderated by the Representative of Uganda on the Council of ICAO. Keynote speeches at the Symposium are presented to the readers of the *MRTD Report* issue. The Symposium and Zimbabwe Seminar presentations are available for reference on the MRTD website.

Another important event, the 21<sup>st</sup> Meeting of the Technical Advisory Group (TAG/MRTD/21), took place from 10 to 12 December 2012. The TAG/MRTD Meeting covered a diverse and challenging MRTD agenda, examining the progress of current work packages and approving new directions for future technical and policy work for MRTD progressive development. Particular attention was paid to the revision of Doc 9303 *Machine Readable Travel Documents*, adopting a new user-friendly structure and incorporating all adopted technical reports of the recent past. A matter of particular importance was deliberations on the MRTD Strategy to be presented to the ICAO Council and Assembly in 2013. The proceedings and final report of the TAG/MRTD/21 Meeting is available on the MRTD website.

This issue also highlights the launch (September 2012) of the United Nations new electronic Laissez Passer (eUNLP). The eUNLP is an identity document for UN officials travelling on official duty. The UN became a PKD member making available worldwide information required to validate and authenticate this travel document. The eUNLP, implemented in close partnership with ICAO, is a fine example of a state-of-the-art electronic travel document taking full advantage of PKD security benefits.

These are the latest items on our agenda. The ICAO Assembly in 2013 will take a number of decisions based on the current policy agenda for the years to come.

Keep following the *MRTD Report* to stay informed about new developments. ■

# THE NEW eUNLP: A MORE SECURE TRAVEL DOCUMENT FOR A SAFER WORLD



## ELIZABETH O'ROURKE

*She has been involved with the UNLP Programme for eight years, representing the UN at all but one MRTD Symposium. She designed custom UNLP management software and served as project manager for the upgrade to eUNLP. O'Rourke was appointed to the newly created post of Travel Documents Systems Officer.*

✈️ **With the April 2010 mandate for issuing fully compliant Machine Readable Travel Documents fast approaching, it became imperative that the United Nations move from a United Nations Laissez-Passer (UNLP) that staff carried when travelling on official business to an eUNLP, an electronic machine readable document. Elizabeth O'Rourke, Travel Documents Systems Officer, relates the challenges and advantages for the UN in adopting eMRTD technology and complying with Doc 9303, the advice and support received from ICAO and the successful launch of the eUNLP in August 2012.**

The United Nations Laissez-Passer (UNLP) is the official travel document of the UN Common System including the Secretariat, Funds and Programmes such as UNICEF and specialised agencies such as the World Health Organization and ICAO.

The UNLP is carried by staff when travelling on official business under the Convention of Privileges and Immunities of either the United Nations or the United Nations Specialized Agencies. When travelling on behalf of the UN, staff are travelling as international civil servants, not as nationals of their home country. For this reason, details such as nationality and place of birth are not represented on the UNLP data page. Exceptions for these elements of the data page are explicitly spelled out in Document 9303, ensuring the UNLP can meet the same specifications as all national passports.

Even though the UNLP has been issued in machine readable format since 2001, it had been noncompliant with Doc 9303 on two points. First, the expiry date on the data page was physically renewed on another page of the document in line with contract extensions. Secondly, dependents of staff were allowed on the UNLP of the staff member to facilitate official travel of the family, such as for relocation.

With the April 2010 mandate for issuing fully compliant Machine Readable Travel Documents fast approaching, the United Nations was anxious to correct these two issues. Even though procedural changes alone would have been an easier solution, we took the opportunity to examine the state of the entire programme. The review concluded that the design and secure printing features of the book itself could be improved. Also, for numerous security reasons, the Member States of ICAO were moving towards ePassport technology. With each new country that launches an ePassport, the technology becomes more stable and a non eUNLP becomes a softer target for fraud. Furthermore, only 33% of Member States accept the UNLP for visa waiver, which hampers the rapid deployment of skilled staff in a crisis. If the UN did not keep up with the internationally recognised best practices, it risked undermining the integrity of its travel document. Since a trustworthy UNLP supports the necessary travel of staff on mission, it became imperative that the UN move to an electronic machine readable document.

As we later learned, the decision to adopt eMRTD technology would be the easiest part of the process. Issuing roughly 15,000 UNLPs a year, the United Nations is on par with low volume Member States' travel document programmes. Since only a handful of UN staff worldwide are involved in UNLP issuance, we were not resourced to learn everything we

needed to know to make such a technological leap. What we did know was that the UN could not afford to fail, so we turned to our colleagues at ICAO for advice.

### ICAO'S LOGISTICAL SUPPORT

The United Nations has a unique relationship with ICAO. As mentioned earlier, ICAO is a specialised agency of the United Nations and therefore we issue UNLPs to their staff for official travel. Holding the long-standing position as a travel document issuance authority, the United Nations is also an observer to ICAO and the MRTD Technical Advisory Group (TAG). ICAO recognised the importance of this project from the start, pledging its full support and expertise. An eUNLP would not only advance the goals of ICAO to facilitate secure interoperable travel documents among its members, but would also benefit the entire system of UN organisations, including ICAO, allowing for faster and safer travel for staff on their missions. With this unique perspective, various branches of the ICAO Secretariat including the ICAO procurement office, the ICAO travel office and, especially the MRTD Programme, offered tremendous logistical support. Even ICAO Secretary General Raymond Benjamin contributed by helping to raise visibility of the project among UN management and security personnel. ICAO was also able to partner us with an expert consultant, Barry Kefauver, who guided us through the technical nuances of the procurement, design and implementation processes.

We see this partnership as a joint commitment, not only to adopt eMRTD technology, but to meet and exceed the best standards for it, such as participating in the Public Key Directory (PKD). We also hope that our experiences can serve as a template for smaller States looking to move to an ePassport. Following the UN model, it can be done to the highest standards even on a small scale.

As ICAO's expert consultant, Kefauver observed the UN's operations to best understand its needs and remained on board throughout a multi-year procurement process and the eventual deployment of the



Front Gold Emboss Detail

eUNLP. He helped draft the technical terms of the UN tender document ensuring the appropriate requirements were included so that the new eUNLP would meet ICAO Doc 9303 Standards as well as industry best practices. Kefauver also ensured the personalisation system purchased with the new books would meet the unique needs of a relatively small operation such as the UN. He assisted in evaluating the technical aspects of the bids helping the UN weigh the merits of the various printing and PKI features proposed. Once a contract was awarded to De La Rue, Kefauver continued to advise on any technical questions, while working out the new book design features with the vendor. He also assisted in a similar capacity, while a separate contract (awarded to Entrust) was pursued for CSCA managed services and a facial recognition engine to help us further vet applicants.

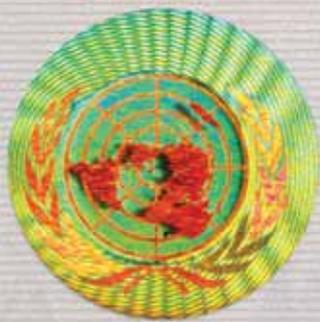
About the time the United Nations approached ICAO for assistance, TAG voted to create the Implementation and Capacity Building Work Group (ICBWG). Kefauver was able to put us in touch with members of the ICBWG to share their experiences with practical questions, such as how much of the PKI infrastructure to keep in-house or outsource. He also directed us to exceptionally useful documents issued by TAG such as the 'ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents'.

### NEW POLICIES AND PROCEDURES

While the procurement, award, design and implementation process for the new eUNLP booklets and related systems plugged along, the UN had been attending ICAO symposiums and TAG meetings and heard the message of ICAO Member States. Having a book that is very difficult to forge like an eMRTD is not enough. The integrity of a travel document is only as strong as the integrity of the enrolment and issuance processes surrounding it. Launching a new more secure book was the perfect opportunity to implement new tighter policies and procedures. We redrafted our issuance procedure document following closely the best practices section of the 'ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents'.



Inside Front Intaglio Print Detail



Hologram Image

We also added strong language and penalties for misuse of the eUNLP document right in the book.

With improvements to our global IT infrastructure, the UN has been making continual upgrades to its enrolment software since 2007. The geographic distribution of our staff requiring travel documents prevents us from completely centralising the operation to one location. However, prior to the eUNLP launch, the UN reduced its issuing stations from three to two, making it easier to enforce consistent policies and reduce the risk of moving blank stock materials. The two issuance offices operate on the same central database with software that runs an algorithm to look for duplicate identities in real time. This eliminates the potential problem of an individual applying in two locations simultaneously to obtain two documents. As more administrative databases become available through improvements in infrastructure, we can further cross reference applicants' current employment and travel status in real time. These checks are now performed manually by trusted 'Certifying Officers' who have access to the Human Resources files of applicants in their administrative domain and are registered with the issuing stations. These certifying officers also work with the applicants and will continue to provide the valuable service of checking the photographs of the applicants to prevent photo substitution.

In August 2012, the United Nations launched its eUNLP travel document—fully compliant with ICAO Doc 9303. The eUNLP is now issued with a fixed five-year duration and dependents of staff members are no longer included in the book. This new eUNLP employs full PKI, uses Basic Access Control and a facial image biometric. The secure printing features include a bespoke multi-tonal cylinder mould-made watermark, a conical laser perforated serial number, a custom complex hologram as well as Intaglio, fluorescent and microtext printing elements.

An additional feature reminds us of the humanitarian nature of travel facilitated by the document. Each visa page is screened with the preamble to the UN Charter in one of the six official languages. This concisely captures the premise for all work carried out by the organisation:

We, the peoples of the United Nations, determined

- to save succeeding generations from the scourge of war, which twice in our lifetime has brought untold sorrow to mankind, and
- to reaffirm faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women and of nations large and small, and
- to establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained, and
- to promote social progress and better standards of life in larger freedom...

#### ICAO PKD

In June 2012, the United Nations became the 31<sup>st</sup> participant of the ICAO PKD and uploaded its first certificate in October 2012. We felt strongly that participation in the PKD was essential to reaping the benefits of an eMRTD. The investment made in the chips and Public Key Infrastructure is wasted if States have no way to independently verify that an eUNLP was actually issued by the UN.

Even though the UN has never had a problem with falsely obtained documents, we would like to keep that perfect record. As the new eUNLP becomes better known and trusted throughout the world, it becomes a more valuable target for fraud. In addition to continually improving identity checking algorithms, we are in the process of deploying a facial recognition engine to further mitigate the risk of individuals obtaining documents under false pretences. On the other end of the document lifecycle, the UN is also reporting lost and stolen eUNLPs to the INTERPOL Stolen Lost Travel Documents database.

The move to an eUNLP was arduous, but necessary to retain the trust of the 64 States that grant visa waiver to staff carrying the document on official business. It is our sincere hope that all States take a fresh look at the new eUNLP documents and consider it for visa waiver in their own territory. In doing so they are supporting the Conventions on Privileges and Immunities to facilitate the safe and efficient travel of UN staff who often put themselves in harm's way to carry out the mandates of the organisation. Our small operation could not have made such a leap without the dedicated assistance of the ICAO Secretariat, our devoted consultant Barry Kefauver and the tireless efforts of experts around the world who contribute through TAG. ■



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# OVERVIEW OF THE EIGHTH MRTD SYMPOSIUM



*The ICAO Eighth Symposium and Exhibition on MRTDs, Biometrics and Security Standards took place at ICAO headquarters in Montreal on 10 to 12 October 2012. As always, this flagship global event focused on the latest highlights and policy developments in ICAO MRTD Standards and specifications, identity management best practices and related border security issues. The 2012 Symposium continued the*

*tradition of being the global MRTD event. However, this Symposium was a little different. It focused on the humanitarian dimension, exploring global humanitarian assistance efforts where reliable identification and issuance of travel documents play an important role in post-disaster or post-conflict rehabilitation. Numerous case studies were presented by relief organisations and international aid programmes, with reference to identity management and travel documents. The Symposium agenda also built on the ICAO MRTD Programme's ongoing—and enhancing—successful cooperation with the United Nations High Commissioner for Refugees (UNHCR) addressing the needs of refugees and stateless persons. In particular, the annual Symposium was a symbolic launch of the Machine Readable Convention Travel Document guide developed by the ICAO Implementation and Capacity Building Working Group (ICBWG).*

# OPENING REMARKS OF THE REPRESENTATIVE OF CAMEROON ON THE ICAO COUNCIL



Englebert Zoa Etundi, Representative of Cameroon on the Council

 The guest of honour delivering the Symposium opening speech was Englebert Zoa Etundi, Representative of Cameroon on the Council. His speech outlined a number of key areas of today's MRTD and border control priorities. In particular, the *MRTD Report* editors believe he hit the nail on the head by capturing the current capacity building needs and dynamics.

The *MRTD Report* is pleased to publish his speech in full, presenting it to readers as a fine set of reflections on MRTD and border control management highlights, with particular reference to the ongoing urge to enhance technical assistance efforts that aid ICAO Member States in need.

It is a great pleasure and privilege to welcome you to ICAO's Eighth Symposium and Exhibition on MRTDs, Biometrics and Security Standards.

This important annual event addresses state-of-the-art developments in MRTD Standards and specifications, identity

management and border security issues. It highlights ICAO's global leadership in aviation security, facilitation and related areas. Such leadership is only possible thanks to the support of the government, ISO and other international organisations and industry experts that make up the Technical Advisory Group on Machine Readable Travel Documents (TAG/MRTD).

This year's Symposium focuses on the human dimension. It will explore global humanitarian assistance efforts where reliable identification and issuance of travel documents play an important role in post-disaster or post-conflict rehabilitation. The contribution of the ICAO MRTD Programme will be highlighted. Case studies will be presented by relief organisations and international aid programmes, with reference to identity management and travel documents. The human dimension also builds on the MRTD Programme's ongoing cooperation with UNHCR addressing the special needs of refugees and stateless persons.

While the world in which we live is becoming increasingly secure, our fundamental human needs—such as safety, dignity and freedom from fear—remain unchanged. Speakers at this Symposium will go beyond national security and look into human security issues, the need to ensure human rights and freedoms and create an environment where people can maximise their economic and societal potential. The Symposium programme also explores the security-development nexus and ongoing efforts to assist the developing world with strengthening identity management capacity and promoting best civil registration practices.

Meanwhile, on the traditional MRTD agenda, the central theme remains the importance of implementing the ePassport issuance projects to achieve their full security and facilitation benefits, including ensuring their proper reading at borders. Current specifications for issuing ICAO-compliant electronic passports provide a solid foundation for assuring the most secure and robust travel document ever issued. Over 104 States claim they are currently issuing ePassports with about 400 million ePassports in circulation—close to a third of all passports worldwide. And these numbers continue to increase.

Given the intensity of ePassport implementation worldwide, does it mean that the conventional machine readable passport is becoming the legacy of the past? Does it mean that the world is ready for a universal standard requiring States to switch to issuing ePassports?

In practice, not quite yet, as significant work remains to be completed by States before ePassports provide their full security and facilitation benefits.

An ePassport is only as secure as the biometric information contained in its chip and useful only if the data can be validated quickly and securely. Not all ePassports are fully compliant with ICAO specifications yet. This prevents issuing States from capitalising on full security and facilitation benefits that ePassports are meant to deliver.

Indeed, there is a big difference between a properly implemented ePassport and a passport with a chip. The first presents the most secure travel document the world has ever known. The second is a giant of clay feet that, if not implemented properly, presents security vulnerabilities and a deceptive illusion of security. The difference between the two is enormous. Hence the importance of getting the ePassport right.

The importance of the MRTD Programme and the issuance of electronic travel documents are not limited to States. In August 2012, the United Nations launched the electronic Laissez-Passer (eUNLP) fully compliant with ICAO Standards. The UN has also become a member of ICAO's Public Key Directory (PKD) making available worldwide information required to validate and authenticate this travel document.

The eUNLP is an identity document for UN officials travelling officially on duty to promote the principles and objectives of the United Nations. The eUNLP, implemented in close partnership with ICAO, has been a shining example of a state-of-the-art electronic travel document taking full advantage of PKD security benefits. Given this momentous security upgrade, I encourage all States to recognise the eUNLP to facilitate the official travel of UN staff.

Implementation assistance to States has gained considerable momentum, is a major area of ICAO's ongoing work and features as an important item on the Symposium programme. There remain considerable technical assistance needs related to MRTDs and border controls. ICAO speakers will explore current global capacity gaps and challenges, look into the present and future of ICAO's technical assistance related to MRTDs and border controls and reflect on the prospects and priorities of enhancing capacity building assistance to Member States.

The final session of the Symposium focuses on the policymaking process at ICAO. It explores the roles of the ICAO Assembly, Council and its Committees and other bodies to provide an insider's perspective on how ICAO Standards and Recommended Practices are developed. The purpose of this session is to empower members of the MRTD to make their voice heard in ICAO deliberations and decision-making.

This Symposium presents a challenging and exciting programme that will capture your full attention for the next three days. I sincerely thank you for having taken the time to join us here and wish you a very successful and productive MRTD Symposium. ■



**LEADING SUPPLIER OF HARDWARE, SOFTWARE AND INFORMATION REFERENCE SYSTEMS  
OF TRAVEL DOCUMENTS FOR BORDER CONTROL SOLUTIONS**



# COOPERATION BETWEEN UNHCR AND ICAO FOR MACHINE READABLE TRAVEL DOCUMENTS FOR REFUGEES AND STATELESS PERSONS

## *UNHCR'S VIEW OF THE GLOBAL CONTEXT AND CHALLENGES AHEAD*



Furio De Angelis, UNHCR Representative in Canada

 For most of us in the MRTD community, travel documents are about forensic security features, ICAO compliance, passport reading machines at the border, cutting-edge technology, the Public Key Directory, biometrics, preventing cross-border terrorism or dangerous trans-border crime such as smuggling of arms or drugs.

Not for everyone, though.

For some, possessing a current travel document can make the difference between life and death. For many, travel and ID documents are indispensable to secure their human rights and fundamental freedoms.

Travel documents play a key role in the human security dynamics, acknowledging the global consensus that travel documents and identification management are crucial factors in ensuring the global United Nations' values of development, prosperity, peace and freedom from fear.

ICAO MRTD Standards and technologies mirror the norms of the most developed States in the world. They outline the best that money can

buy. They provide top security and facilitation benefits to their citizens who cross borders holding state-of-the-art ICAO-compliant passports.

The MRTD Programme at ICAO Headquarters is always pleased to hear about success stories in implementing cutting-edge ICAO-compliant travel documents and the latest technologies. However, we remind the world that the overall rosy success story should not distract attention from the special human security needs that still exist round the world.

Victims of natural disasters such as tsunamis or earthquakes, victims fleeing from armed conflicts, internally displaced persons, convention refugees, stateless persons, individuals desperately seeking medical help, relief and security and safety for themselves and their children. Often, they are the most vulnerable groups of the global population: women, children, the elderly and persons fleeing from the fear of persecution.

Diverse as these people in distress may be, they have one thing in common: they must realise their human right to an identity and have ID and travel documents to empower them to rebuild their lives and move onto a meaningful economic, human and empowering future, towards the realisation of their full potential.

The ICAO MRTD Programme cannot solve all global humanitarian challenges overnight. However, it has joined forces with the United Nations High Commissioner for Refugees (UNHCR) to address the needs of refugees and stateless persons to ensure their travel documents entitle them to internationally agreed norms of security and facilitation when crossing international borders.

Furio De Angelis, UNHCR Representative in Canada, provided opening remarks as Guest of Honour at the opening of the Eighth ICAO MRTD Symposium. He spoke on enhancing the level of inter-agency cooperation between UNHCR and ICAO and, more importantly, the benefits of such cooperation as far as persons in need of special protection are concerned. His thoughts and insights are reproduced below in full.

The topic of this Symposium is dear to the UNHCR as it touches upon one of the fundamental rights of refugees and stateless persons: the right to obtain and use travel documents and exercise their right to freedom of movement.

But, firstly, allow me to spend a few minutes to introduce UNHCR and give you some basic information on its work at a global level.

UNHCR was created more than 61 years ago, in December 1950, by the General Assembly of the United Nations to lead and coordinate international action to protect refugees and resolve refugee problems worldwide. The 1951 Refugee Convention and its 1967 Protocol relating to the Status of Refugees are the international treaties that provide the foundation of our work to help and protect the world's refugees. Signatory states—149 at present—undertake to cooperate with UNHCR in the exercise of its functions. While our primary purpose is to safeguard the rights and well-being of refugees and asylum seekers, UNHCR's work has gradually expanded to include other vulnerable groups, such as internally displaced persons (people displaced within their own countries), victims of conflicts and, more recently and on special occasions, victims of natural disasters. UNHCR has also a global and unique mandate from the General Assembly to reduce and prevent statelessness and to protect stateless persons.

UNHCR has grown with the growing challenges of global displacement. It is now present in 125 countries, employs almost 6,700 staff (87% of them in field locations) and, for the first time in 2011, reached an expenditure of US\$2.18 billion. The last 18 months have been an eventful period for UNHCR: six colleagues killed in the line of duty, new crises and conflicts in the Ivory Coast, Libya, South Sudan, Syria, Mali overlapping with old crises that never die, such as Afghanistan, Democratic Republic of the Congo (DRC), Somalia.

An average of more than 2,000 refugees per day crossed an international border last year—higher than at any time in the last decade. The reality is that the numbers of displaced people do not stop growing. For the fifth consecutive year, their number worldwide exceeded 42 million. In 2005, that number was 19.2 million. Of these 42.5 million, 15.2 million are refugees, 895,000 asylum seekers and 26.4 million internally displaced persons. Statistics on statelessness are more difficult to compute. There is estimation that statelessness affects up to 12 million people worldwide, while data captured by governments and communicated to UNHCR were limited to 3.5 million individuals living in 64 countries.

UNHCR has a strictly humanitarian and non-political mandate that is being fulfilled through close collaboration with governments and some 762 non-governmental organisations representing the civil society as well as international organisations and UN sister agencies, such as, among many others, ICAO.

Coming to the main subject of today's event, UNHCR is certainly an unusual guest at this Symposium. So, why do I stand today in front of you?

It is because we are concerned here with travel documents! And, of course, not any travel documents but travel documents for refugees and stateless persons.

I believe no one will contest the importance of travel documents in a world where global mobility has become a characteristic of our time and where government public policies are so prominently influenced by security concerns.

And while you may primarily focus on security Standards and features, technical specifications and developments, it is to the credit of ICAO that this year we will also look at travel documents from a different point of view.

In fact, session two of tomorrow's programme is devoted to the human dimension: travel documents and identity management in relief operations, international development and humanitarian assistance. A number of speakers will address the topic from different angles. UNHCR and our concern for travel documents for refugees and stateless persons is only one item.

ICRC, the International Committee of the Red Cross, will present the crucial issue of emergency travel documents and applicable standards. UNHCR has a particular interest in this topic because refugees are among the main beneficiaries of this long-standing humanitarian service provided by the ICRC.

The issue of emergency travel documents reflects probably at best one particularly important aspect of the human dimension to travel documents: that there are sometime humanitarian imperatives, including situations of life and death, that need not only to be 'taken into account' but that need to prevail.

To be clear, this is not a migration debate. This can be the subject of another Symposium. This is about forced displacement where individuals have or see no other choice than to cross an international border in order to reach safety. Safety from war, from persecution, but we may also think of safety from natural disasters and the effects of climate change.

Situations of humanitarian crises are characterised by chaos. Essential services (security, shelter, health, education, traffic, food, etc.) are unavailable, destroyed or not functioning properly. Meeting high technological standards, for instance, issuing MRTDs, is already a challenge in a number of developing countries. It becomes even more challenging in chaotic situations of humanitarian crises.

Before I turn to UNHCR's role and rationale for being and speaking at this conference, let me take up the notion of the human dimension of travel documents. Is there and, if so, what is the human dimension to travel documents? Certainly there is. Travel documents are for human beings.

More important for their human dimension is probably their purpose. There is a lot of security talk around travel documents and you may think of identity verification by border guards as an important purpose of travel documents—in particular when thinking of the security Standards they should meet. The same title of the Symposium: Biometrics and Security Standards reminds us of the primary focus of our gathering.

But when thinking about the human dimension of travel documents, the starting point should be that they enable the holder to enjoy a fundamental freedom that is enshrined in the Universal Declaration of Human Rights and numerous human rights treaties: 'Everyone has the right to leave any country, including his own, and to return to his country.' (Article 13 (2) UDHR). There is no right to enter any country—that may depend on visa policies and requirements—but in order to leave any country and to return to one's own country, we need a travel document. Travel documents are an essential means for the exercise of a fundamental human right. I'm not suggesting that ICAO is therefore a human rights agency, but the language in Article 37 of the 1944 Chicago Convention and certainly its Annex 9 on Facilitation could also be understood as facilitating not only air navigation but indeed the exercise of the human right of freedom of movement.

It is good to be aware of this human dimension of travel documents as the practical significance of enjoyment of the right to cross international borders can assume different forms: travel documents can be used for family visits and reunifications, for education, training or studies, employment, medical care, business, leisure, permanent resettlement for refugees. This opens up the understanding of the issue we in UNHCR want to address in particular at this Symposium: travel documents for refugees and travel documents for stateless persons.

Refugees and stateless persons often don't have passports. Stateless persons have lost or never had a nationality. They have no country to turn to for requesting a passport. Should they therefore be deprived of the possibility to travel?

No, the above-mentioned human right says: everyone, not only citizens. The 1954 Convention relating to the Status of Stateless Persons explicitly requires Contracting States to issue travel documents.

For refugees, it's different. They have fled their country of nationality because of a well-founded fear of persecution. This is what the definition in Article 1 of the 1951 Refugee Convention says. They may still have their nationality. They may also have lost it but this is not a criterion for refugee status.

Fleeing one's country may well be a well-planned decision but, even if it is so, because of the fear of persecution, a refugee may have lost every trust in his government and therefore didn't dare request a passport. More often, refugees never had a passport or paid large sums of money to a smuggler for a false passport. The point is they had to get out of their country of origin no matter how.

By the way, a special provision in the Geneva Convention provides that refugees should not be penalised for entering a country of asylum illegally. The humanitarian need should prevail over immigration regulations.

However, once they are in the country of asylum and once established that they indeed are refugees, they cannot turn to their embassies in order to request a national passport. The country of origin would immediately know where they are and the refugees and their family or other persons still in the country of origin may be in serious danger.

Therefore, the Geneva Refugee Convention also provides that refugees be granted a travel document.

From an historical point of view, it is also important to note that the provision of a travel document was one of the first legal arrangements adopted by the first High Commissioner for Refugees under the League of Nations, Dr. Fridtjof Nansen, in July 1922, to provide identification for onward travel to Russian refugees. The so-called 'Nansen Passport' was a single sheet of paper and was not, like later refugee travel documents, in booklet form resembling a national passport. The document was ultimately ratified by 52 States and represented the first concrete legal measure for the protection of refugees in modern times.

Now I would like to say a few words on the cooperation between ICAO and UNHCR.

A few years ago, when we found out that there is a need to update travel documents for refugees, also called Convention Travel Documents (CTDs), we contacted ICAO. From the very beginning from ICAO's side, Mauricio Siciliano, Erik Slavenas and the MRTD team were open and supportive to the issue of CTDs and UNHCR's concerns. This Symposium is in a way a culmination of this cooperation.

However, the forum where cooperation actually took place and still takes place is ICAO's Implementation and Capacity Building Working Group (ICBWG) of the Technical Advisory Group (TAG/MRTD). Under the leadership of David Philp, he himself a key supporter of the ICAO-UNHCR cooperation, UNHCR today fully participates in the ICBWG where a CTD Sub-group worked on a specific MRCTD Guide. I am extremely pleased to launch this ICAO-UNHCR co-production at this Symposium.

Until the last minute, colleagues in UNHCR Geneva and members of the ICBWG, lawyers and technical experts have worked on this important publication, which should serve States and companies not only in designing MRCTDs that meet all relevant international Standards but also to set up effective processes for book production, entitlement, personalisation and issuance procedures. This Guide reflects what has been called in the past 'Chicago meets Geneva'.

Last year, TAG endorsed the cooperation between UNHCR and the ICBWG. Earlier this year, UNHCR invited the Chair of the ICBWG, David Philp, to the June meeting of the Standing Committee of UNHCR's Executive Committee in Geneva. In a very impressive and convincing presentation in front of government delegations, he made the case that CTDs need to be machine readable.

Today's launch of the first joint ICAO-UNHCR product, the MRCTD Guide, is of course not the end of a fruitful cooperation. It is hopefully the beginning of a new course where many more States will move towards the issuance of MRCTDs. It's still a long way to go and the compliance date of November 2015, after which only MRCTDs will be considered valid travel documents for refugee and stateless persons, is getting closer and closer. Whether government or representatives of private companies, you all may contribute to the implementation of the MRCTD Guide. The world's refugees and stateless persons need it. ■



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# MRTD ASSISTANCE TO STATES: BUILDING ON THE SUCCESS OF AVIATION SECURITY TECHNICAL COOPERATION



David W. Tiedge, Chief, Implementation, Support and Development Section-Security Section

 In his presentation, the latest ICAO policy developments and challenges regarding MRTDs, identification management and border controls were outlined by David W. Tiedge, Chief, Implementation, Support and Development Section-Security Section. He also briefed delegates on the current ICAO assistance framework for aviation security and the emerging direction of ICAO assistance efforts.

ICAO plays an important role in the provision of aviation security capacity building assistance to Member States. The process through which assistance is delivered has recently gained considerable momentum through the production of concrete results, while addressing the needs of States and helping them resolve their aviation security deficiencies to strengthen their overall aviation security system.

It is important to note that aviation security deficiencies and the need for technical assistance are not limited to the aviation security sector. A number of States stress the need for assistance towards implementing SARPs (Standards and Recommended Practices) and guidance materials related to

MRTDs, identification management and border control. A State that has not yet implemented up-to-date MRTD Standards presents a weakness to global security and a single failure can compromise the worldwide travel document and border security regime.

This situation raises a fundamental question: how can we ensure that ICAO MRTD SARPs and specifications are implemented and integrated worldwide? What assistance and capacity building support is needed and how can ICAO ensure a central role in providing such assistance?

I would like to give you a quick overview regarding the latest ICAO policy developments and discuss the main challenges focused on MRTDs, identification management and border controls. I would also like to brief you about the current ICAO assistance framework for aviation security and share with you some thoughts about the emerging direction of ICAO assistance efforts.

The ICAO High-level Conference on Aviation Security took place last September and focused on priority areas in the current aviation security policy debate—many of which were related to assistance and capacity building activities. In particular, the Conference stressed the need for ICAO to:

- ensure the best usage of ICAO audit results for defining and targeting assistance;
- strengthen efforts to air cargo and mail security; and
- maximise the benefits of partnership agreements for the delivery of capacity building activities.

The conference also encouraged Member States to enhance aviation security by standardising formats for travel documents and the electronic transmission of passenger data to State authorities, while ensuring the protection of passengers' privacy and civil liberties. With specific regard to MRTD efforts, the conference directed ICAO to enhance travel document security by participating in the electronic passport validation service known as the ICAO Public Key Directory (PKD).

## ...ICAO is adopting a more proactive stance in providing assistance to Member States.

While assistance to States and aviation security capacity building remain at the top of ICAO's agenda, I would like to take a closer look at why non-compliance with ICAO MRTD Standards still exists and discuss the main challenges.

Current ICAO MRTD SARPs and specifications reflect conditions and facilities found in the most developed States. Developing States often struggle to implement complex specifications because they lack technical expertise and/or funds. However, it is worth stressing that funding is not the only problem and MRTD implementation challenges are not limited to developing States.

According to the ICAO MRTD Implementation and Capacity Building Working Group, only half of the States issuing ePassports fully comply with ICAO specifications and can benefit from the ICAO PKD. Resolving capacity deficiencies requires a dialogue among States, intensified liaison with donor agencies and increased access to capacity building programmes.

During recent MRTD workshops and seminars worldwide, the message we received was loud and clear: capacity building needs are vast and Member States look forward to a more effective mechanism for mobilising technical assistance in travel document and border security.

In practical terms, there are several challenges and capacity deficiencies related to travel documents, identification management and border controls. Firstly, a number of States were unable to meet the 1 April 2010 deadline for the introduction of machine readable passports (MRPs) and some still do not. A considerable number of non-compliant passports are still in circulation but must expire, or be withdrawn, by 24 November 2015.

Secondly, there are weaknesses in overall identity management, Evidence of Identity framework, breeder documents and in the integrity of the passport issuance process. In some States, including those having ICAO-compliant MRTDs, passport controls are processed manually,

without the use of an automated database with MRTD-aligned passport and ePassport readers. There is often no watch list functionality which makes it impossible to detect known cases of document fraud and persons of interest.

Thirdly, in a number of States, immigration and passport officials appear to have insufficient knowledge of migrant processing and passport examination and generally have not undergone any specialised vocational training relevant to their daily duties.

Lastly, other challenges include how to enhance border security and secure ICAO-compliant travel documents with the use of electronic data, including Advance Passenger Information (API)/Passenger Name Record (PNR).

Under the Universal Security Audit Programme (USAP), ICAO assesses the implementation of Annex 17 and Annex 9 SARPs. Recognising that not all States have the necessary resources to achieve compliance with relevant SARPs, ICAO works with States towards the provision of assistance. This systems-based approach to overall aviation security enhancement is built on three pillars:

- SARPs to define performance expectations;
- the audit programme to assess performance; and
- the Implementation Support and Development Programme to assist States directly to improve their aviation security performance.

ICAO Assembly Resolution A37-17 acknowledges that some countries, particularly developing countries, lack aviation security oversight capacity and face difficulties in fully implementing preventive measures due to insufficient financial, technical and/or material resources. The Declaration on Aviation Security adopted by the 37<sup>th</sup> Session of the ICAO Assembly urges States to further enhance international cooperation to counter threats to civil aviation.

The Secretariat is actively assisting States to remedy deficiencies identified through ICAO audits. These efforts are guided by the ICAO Aviation Security Assistance and Capacity Building Strategy, which sets out the management framework and methodology for assisting States. Under the Strategy, State Improvement Plans (SIPs) are the principle tool used by ICAO to document with States on the respective roles and responsibilities, commitments, deliverables and outcomes. These detailed plans enable ICAO and States to have a single point of reference for coordinated action by all concerned stakeholders to remedy aviation security deficiencies.

Support for the regionalisation of assistance led to the development of ICAO's Cooperative Aviation Security Programme (CASP) model, in which the first programme was created for the Asia Pacific region. Comprised of regional partner States with shared aviation security objectives that have contributed financial resources, CASP provides targeted

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assistance and training to its members. Following the Joint Statement adopted by the Regional Conference in Bahrain, the Cooperative Aviation Security Programme (CASP) for the Middle East (MID) Region was created. The CASP-MID was established by 13 States and initiated activities in January 2013. The Secretariat welcomes opportunities to develop proposals with other regional groupings of States.

Aviation security training is an integral and long-standing component in the provision of assistance to States. Training provided by ICAO includes standardized courses and workshops on subjects ranging from basic technical subjects to entry-level management, while workshops focus on the development of aviation security programmes. A mechanism for continuous evaluation of ICAO's 23 Aviation Security Training Centres (ASTC) has been instituted in order to ensure the provision of high-quality training. ICAO also encourages States to directly utilise its Aviation Security Training Packages as part of their national training programmes.

What does all this mean for the ICAO's future role in providing assistance and capacity building in the areas of MRTDs, identification management and border controls? ICAO will continue to explore the possibility of expanding its activities to include the provision of assistance in the area of MRTDs,

identification management and border control. Such assistance would be built upon the success of aviation security capacity building and alignment with the current aviation security assistance framework including the use of CASPs and Aviation Security Regional Officers. Other areas of ICAO assistance could be the use of ICAO vocational training methodology and the ASTC network.

Existing MRTD challenges are a powerful reminder that border security does not exist in a vacuum. In this interconnected world, a breach of security on the other side of the planet may just as well be next door. Increased and effective capacity building assistance is a prerequisite for increased security. Weaknesses in travel document security constitute a global security challenge and States must adjust their international efforts to address it in a proactive manner. They must address it with political will and a strong commitment to action.

As the ICAO Secretary General has stressed on a number of occasions, ICAO is adopting a more proactive stance in providing assistance to Member States. Being the recognised global forum for international civil aviation, ICAO brings together States in need and donors and implementation agencies towards exploring new and better ways for States to build their MRTD and border security capacity. ■

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# MRTD AND BORDER CONTROL NEWS

## Canada

Starting in 2013, visitors, students and workers from certain visa required countries will need to provide their digital fingerprints and a photo upon application for a visitor visa, study permit or work permit to Canada.

## United Kingdom

UN World Tourism Organization (UNWTO) Ministers Summit at World Travel Market 2012 stressed a need for changes to national visa policies to maximise the travel industry's potential. Strong policy statements called for developing eVisa and electronic travel clearances to facilitate border controls.

## France

In October 2012, France personalised and issued its 10 millionth biometric passport.

## United Nations

In October 2012, the UN imported its Country Signing Certificate Authority (CSCA) into the ICAO PKD, the first non-State entity to submit a CSCA root certificate to ICAO. This enables validation of its new eUNLP and facilitates the travel of UN personnel.

## Israel

The Knesset approved a trial of its new biometric database and issuance of smart national identity cards, which began in January 2013 and will last for two years. Biometric information will consist of two fingerprints and a facial image in the database.

## Cuba

As of 14 January 2013, Cuba removed the requirement for its citizens to obtain exit permits to travel abroad.

## Senegal

UNHCR, in partnership with the Senegalese government, recently launched a campaign to provide digitised biometric ID cards to 19,000 refugees. These biometric ID cards include a picture of the holder and fingerprints and biographical data.

## Bolivia

The government is putting into place biometric technology for border controls. President Morales said the system would be used to register biometric data for everyone entering or exiting the country and checked against a criminal suspects list.

## Zimbabwe

The roll-out of a new biometric passport is expected in early 2013. Implementation work is well underway.

## Argentina

Airports in Buenos Aires replaced handwritten immigration forms with a new biometric identification system that uses fingerprints and facial features to identify travellers. The programme, which already has five million registered participants, allows travellers to register their biometric data.

## Republic of South Africa

The Home Affairs Department issued pilot smart ID cards and rolled out the cards in 2013. The new card replaces the existing civil and immigration identity systems, allowing the government to digitally capture all biometric and biographical data of South Africans in one single system.

# ePASSPORTS AND BIOMETRICS: CURRENT GLOBAL STATISTICS\*

- > **101 States** and economies issue ePassports.
- > An estimated **489,522,100 ePassports** have been issued. Of the estimated **483,929,100 ePassports** in circulation, **74% were issued** by **34 Issuing Authorities** participating in the ICAO PKD.
- > **47 States and economies** use only the **bearer's face** as the stored biometric.
- > **54 States** use the **face and fingerprints** as the stored biometrics.
- > **10 States** currently using the **face image** plan to begin including fingerprint images.
- > **23 States** currently use an **Automated Border Control (ABC) system** with the ePassport as the required token.
- > **57 States and economies** use biometrics as part of their **border management process**.
- > **Several States** characterise their passports as ePassports but they are non-compliant with one or more ICAO specifications. Because of this, their issuance number has not been counted in the estimated number of ePassports issued or in circulation.

## Finland

Finland began issuing its new generation ePassports at the end of August 2012.

## Ukraine

A new biometric ePassport law was adopted. Ukrainian biometric passports will contain, along with the usual biographical data, a digitised facial image and digitised signature.

## Afghanistan

New electronic identity cards are being implemented. The Ministry of Interior said this was a key step forward in eliminating identity fraud concerns of the Afghan Independent Election Commission. Old generation identity cards were issued on pieces of paper with few security features.

## Lebanon

A procurement tender for a new Lebanese biometric passport is to be launched in early 2013 and issued in 2014.

## Pakistan

Roll-out of new biometric identity cards has started. The new card has 36 security features and is said to be a big step forward in preventing identity fraud. The government plans enhancing its e-Government services with the new smart card system, using it to provide welfare services to citizens.

## Nepal

The Deputy Prime Minister created a taskforce to prepare a detailed proposal to replace some 2.5 million handwritten passports with new Machine Readable Travel Passports. ICAO Standards require Member States to ensure all non-compliant passports expire by 24 November 2015.

## Dubai

A newly launched M-Visa smartphone application enables users to apply for or renew their visas using mobile devices. Foreigners granted an M-Visa display the phone's text message of their visa status to the immigration officer upon arrival at Dubai International Airport.

## Maldives

Pakistan assisted the Maldives with the installation of biometric border security systems at its main international airport, which handles two million passengers annually.

## Indonesia

The Ministry of Interior reported the government achieved its objective to provide over 172 million Indonesians with a new biometric national ID card. The cards, entitled Kartu Tanda Penduduk Elektronik (eKTP), is used for voter registration, passport issuance, tax payments and to verify identity for social assistance.

## Australia

The Australian Customs and Border Protection Service, along with US Customs and Border Protection, announced Australia's SmartGate border control system is now available to US Global Entry members on a trial basis. Global Entry is a US programme that allows expedited clearance for pre-approved low-risk travellers.

## New Zealand

The Prime Minister presented a futuristic 'Face on the Fly' initiative. The programme aims at allowing trans-Tasmanian nationals to travel between New Zealand and Australia without passports due to sophisticated facial recognition software.



**Jim Marriott**, *Chief, ICAO Aviation Security Branch*

# RESULTS OF THE HIGH-LEVEL CONFERENCE ON AVIATION SECURITY: STRATEGIC DIRECTIONS FOR THE FUTURE OF THE MRTD PROGRAMME

 On behalf of Raymond Benjamin, Secretary General of ICAO, Jim Marriott, Chief, Aviation Security Branch, ICAO, welcomed delegates to the Eighth Symposium and Exhibition on ICAO MRTDs, Biometrics and Security Standards. In his presentation, Marriott outlined ICAO's continuing commitment to enhancing aviation security as a strategic objective and the outcomes of the recent High-level Conference on Aviation Security that added new momentum to its efforts to set the MRTD Programme on a course for continued success.

The ICAO Secretariat, working in collaboration with expert speakers, exhibitors and sponsors, has organised this event to address current issues of importance to the MRTD community, to showcase products and services and to promote continuous improvement toward MRTDs achieving their full security and travel facilitation potential. We are grateful to you for contributing to the success of this important annual event.

ICAO continues its commitment to enhance aviation security as a strategic objective of the organisation. When I say enhance aviation security, let there be no doubt that this includes facilitation and matters related to MRTDs, which are institutionally, organisationally and practically very closely connected to aviation security.

Next year at this time, the 38<sup>th</sup> Session of the ICAO Assembly—ICAO's highest level governing body—will convene in this room. The Secretary General has announced his intentions to underline the importance of facilitation to air transport and its connection to security by explicitly recognising aviation security and facilitation as an ICAO strategic objective in the next triennium. You will appreciate that this will help promote the importance of facilitation, including the MRTD Programme, in the priorities, activities and outcomes of the organisation.

But let's not get too far ahead of ourselves. Last month, from 12 to 14 September, ICAO convened the High-level Conference on Aviation Security to provide an opportunity for States and aviation stakeholders to engage in discussions on present and future challenges, reach global consensus on key aviation security priorities and ensure that commitments expressed by States during the series of regional conferences held in 2011 and 2012 culminated in harmonised implementation of the ICAO Declaration on Aviation Security through enhanced international cooperation.

The High-level Conference attracted over 700 participants from 132 States, including over 30 Ministers and 23 international organisations and industry associations. The agenda covered a broad range of critically important issues, including the adoption of a first-ever ICAO Global Risk Context Statement, enhancing air cargo security, combatting the insider threat, the evolution of the aviation security audit process, capacity building and technical assistance, ensuring the sustainability of security measures, the role of MRTDs, Advance Passenger Information and Passenger Name Record data and driving technology and innovation.

With respect to MRTDs, the Conference concluded that:

- With the development of progressively secure travel documents that are increasingly difficult to forge, security vulnerabilities in identity management pose a threat to the integrity of travel documents;

- The related expansion of the focus of the ICAO Technical Advisory Group on MRTDs from document fraud to identity fraud is welcome;
- It has become increasingly necessary to expand the mandate of the existing ICAO MRTD Programme and to define its future on the basis of outcomes to be achieved; and
- It would be premature to make ePassport issuance mandatory under the provisions of Annex 9.

The Conference recommended that:

- ICAO provide States with assistance and training on the introduction of ePassports;
- States consider issuing ePassports;
- States consider participating in the ICAO Public Key Directory and ICAO disseminate the requirements of the programme and assist States in understanding these requirements;
- States consider implementing automated travel document validation using ePassport readers;
- The proposed new strategy for the MRTD Programme be submitted to the Council for approval on the basis that it describes outcomes to be achieved; and
- The technical issues raised during the Conference be addressed during the seventh meeting of the Facilitation Panel (which met at ICAO from 22 to 26 October).

These recommendations will, with further inputs from the Facilitation Panel, the Technical Advisory Group on Machine Readable Travel Documents and others, including this Symposium, help shape the preparation of ICAO's MRTD work programme and budget proposals for the 2014 to 2016 triennium, which will be decided by the 38<sup>th</sup> Assembly next year.

The ICAO MRTD Programme is in excellent shape. It is moving forward on the strong foundation of:

- ICAO Standards, Recommended Practices and specifications;
- Partnerships and collaboration among and between States and international organisations in the public sector and private sector stakeholders, a number of whom are represented in the Exhibition; and
- The commitment of the MRTD community, as demonstrated by your engagement in this Symposium, the ICAO Regional Seminar held earlier this year in Rio de Janeiro and another held 27 to 29 November in Victoria Falls, Zimbabwe.

The outcomes of the recent High-level Conference on Aviation Security have added new momentum to ICAO's efforts to set the MRTD Programme on a course for continued success in the years ahead. We look forward to working with you directly and through ICAO's governing bodies to secure the future of the MRTD Programme. ■

# ICRC TRAVEL DOCUMENT: THE FUTURE OF A LONG-STANDING HUMANITARIAN SERVICE



**OLIVIER DUBOIS**  
Deputy Head, Central Tracing  
Agency of Protection Division of  
the International Committee of  
the Red Cross.

✈ The International Committee of the Red Cross (ICRC) Travel Document serves the specific humanitarian needs of asylum seekers, refugees, vulnerable migrants, displaced or stateless persons who lack the appropriate identity papers, explained Olivier Dubois, Deputy Head, Central Tracing Agency of Protection Division of ICRC, in his presentation to the Symposium. The ICRC Travel Document helps to facilitate their departure and travel, repatriate them or reunite families separated by armed conflicts or other situations. His speech is reproduced below.

This is the first participation of the ICRC to a Symposium organised by the ICAO MRTD Programme. I feel very privileged to be in front of you today. You will certainly understand what I may be feeling, speaking in front of you, when the emergency travel document we issue is not even machine readable.

## BENGHAZI, LIBYA

In March 2011, an Eritrean girl, aged 16, flees the combat around Misrata town in Western Libya. She is raped on her way to the eastern city of Benghazi. This city is controlled at the time by revolutionary brigades. They put her in a camp where sub-Saharan Africans are under watch as they are routinely suspected of supporting Colonel Kaddafi's forces. The ICRC starts providing humanitarian assistance to this displaced community. It appears quickly that our young Eritrean girl is again at high risk of sexual assault.

Recognised as a refugee by the UNHCR, she is eligible for resettlement abroad as part of a scheme offered to refugees facing immediate live threat. But she has no valid papers, only a UNHCR reference number. Within 24 hours, an ICRC delegate delivers her an ICRC Travel Document and drives her to the Egyptian border. From there she travels with the support of the International Organization for Migration (IOM) to a UNHCR-sponsored refugee transit camp in Romania. She is later resettled in a Western country.

This story shows the humanitarian value of the ICRC Travel Document, which serves the specific humanitarian needs of asylum seekers, refugees, vulnerable migrants, displaced or stateless persons who, due to the lack of appropriate identity papers, cannot return to their country of origin or habitual residence or go to a country willing to receive them either permanently or for temporary asylum. The ICRC Travel Document is issued only for a one-way trip and after the completion of visas and travel requirements.

Today, ICRC Travel Documents are used mainly to:

- enhance the protection of individuals who are granted temporary or permanent asylum by facilitating their departure and travel;
- facilitate the repatriation of individuals or their return to their country of habitual residence;
- facilitate family reunification, in particular for children and other vulnerable individuals who have been separated from their family by armed conflicts and other situations.

ICRC Travel Documents have therefore been welcomed by the many States that have been requested at various times to stamp exit, transit or entry visas on them. Since 1945 around 600,000 refugees, displaced or stateless persons carrying ICRC Travel Documents have been able to reach the country of their choice—thanks to the understanding of the concerned governmental authorities.

From 2000 to 2011, the ICRC has delivered 51,364 ICRC Travel Documents that benefited individuals of 121 various nationalities to make a single journey from 114 countries of departure to 114 countries of destination.

The main destinations are resettlement countries (USA, Canada, Australia), while the main nationalities of bearers are from war-torn countries (Sudan, Afghanistan, Somalia).

# The ICRC Travel Document is neither a passport nor an identity card.

## HISTORICAL BACKGROUND AND LEGAL BASIS

The ICRC Travel Document was devised in 1945 when many prisoners of war and internees were released without identification papers. In the absence of any diplomatic



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or consular services at their disposal, they turned to the ICRC for a document that would enable them to solicit the appropriate authorities for repatriation. From the onset, the ICRC Travel Document was handed to persons who had no identification papers and who were unable to obtain new ones.

The legal basis for the establishment of the ICRC Travel Document is not explicit in International Humanitarian Law but derives from the role expressly attributed by States to the ICRC to protect prisoners and civilians in armed conflicts.

#### CONDITIONS FOR ISSUING ICRC TRAVEL DOCUMENT AND PROCEDURAL REQUIREMENTS

An ICRC Travel Document shall only be issued when the following conditions are met:

- 1) The applicant does not have a valid passport and is unable to obtain or renew any other document that might permit travel. Furthermore, it is impossible for the receiving country to provide a travel permit.
- 2) The country to which the applicant wishes to travel and the transit country/countries have promised or already granted entry and transit visas.
- 3) An exit visa or safe-conduct to leave the country, if required, has been promised by the country whose territory the applicant wishes to leave.

These conditions make it clear that ICRC Travel Documents are issued only upon completion of all visas and travel arrangements. This requires the collaboration of all concerned authorities and the relevant organisations. Most of the ICRC Travel Documents are notably issued following UNHCR and IOM official requests—as a final step before the journey—after these organisations have completed all visas and travel requirements. Often countries, via their embassies that wish to welcome refugees on their territory, ask the ICRC for Travel Documents as well.

ICRC Internal Policy further defines the limited use and scope of ICRC Travel Documents:

- 1) The validity of the ICRC Travel Document is limited to a single journey to either the holder's country of origin, habitual residence or a receiving country. Its validity is short, generally three months. All expired ICRC Travel Documents should be returned to the ICRC headquarters in Geneva.
- 2) The ICRC Travel Document is neither a passport nor an identity card. It is also distinct from the Convention travel documents issued by the States signatories to the Conventions relating to the status of refugees or stateless persons, which replaces passports or ID cards.
- 3) The ICRC Travel Document does not establish nor alter the status or nationality of its holder.
- 4) The ICRC Travel Document is prepared on the basis of the applicant's statements and any document he can produce. It

# Today as yesterday, the ICRC relies on States to minimise the risk of forged identity or misuse of its travel documents.

- contains two sections enabling visa authorities to verify that the applicant and the bearer are one and the same person: one of these sections contains the applicant's fingerprints, the other his photograph. The Travel Document also contains the holder's description and the specification of the documentary evidence he may have furnished (for instance, a driver's licence) or testimonies establishing his identity (for example, a reference file number issued by government authorities, immigration services or the UNHCR).
- 5) ICRC Travel Documents are issued free of charge by ICRC delegates only.

#### FRAUD AND SECURITY

In 1951, Klaus Altmann is issued a travel document by an ICRC delegate based in Genoa, Italy. He had produced an exit visa from Italian authorities and an entry visa for Bolivia. He had as well an ID card from the Allied High Commission identifying him as a mechanic from Kronstadt. It later turned out that this man was a Nazi criminal and his real name was Klaus Barbie.

It is acknowledged that some Nazi officials and their secret supporters took shameless advantage of a humanitarian service that benefited half a million people—mostly survivors of concentration camps and refugees from Eastern Europe.

Today as yesterday, the ICRC relies on States to minimise the risk of forged identity or misuse of its travel documents.

In addition to the restrictions detailed before regarding conditions and the process for issuance, the ICRC document contains the following security features:

- two-colour guilloche background;
- rainbow printing;
- unique document number;
- UV inks;
- checks of supporting identity documents;
- records search capability;
- register of lost and stolen documents;
- good physical security arrangements;
- serial number on blank documents;
- secure transport of blank documents.

This is certainly not sufficient in today's world. We are willing to improve the security and are therefore happy to contribute to the work of a subgroup of the New Technologies Working

Group of the ICAO MRTD Programme that is examining the current practices regarding issuance and acceptance of emergency travel documents. Such documents are for the time being excluded from ICAO DOC 9303 and not subjected to any standard.

We welcome the ICAO initiative to set Standards or Recommended Practices in this matter insofar as it helps maintain trust in emergency travel documents and secure a wider acceptance by States of documents such as ours. We are seeking assistance from ICAO and the wider MRTD community in helping us to adapt to forthcoming Standards striking a right balance between different factors, such as:

- security;
- flexibility and rapidity for use in emergencies;
- decentralised individual issuance;
- bearable costs for a bit less than 5,000 one-way documents per year.

In other words, I would hope to be able to tell you another happy ending story for the next 16-year-old unaccompanied girl caught in the midst of the next humanitarian crisis. ■



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# EIGHTH SYMPOSIUM'S SIX RECURRING THREADS OF EMPHASIS



Barry Kefauver, ISO and NTWG expert

 The Eighth MRTD Symposium did not shy away from global challenges. These challenges included the ongoing global war on terror, continuing concerns about combating trans-border crime and identity fraud worldwide, breakthrough new technology developments and new border control challenges emerging regularly, the security and development nexus and humanitarian requirements of the population in need of protection that are hitting newspaper headlines daily.

The agenda for the UN and its specialised agencies has never been as broad, busy, complex and challenging as it is now. ICAO is no exception.

In addition to the customary agenda of the ICAO MRTD Programme, challenges in identification management and civil registries highlight the fact that, unless a solid robust national identification system is established, ICAO-compliant passports are likely to provide only an illusion of border security.

A passport with a chip without the use of the ICAO Public Key Directory (PKD) is perhaps even more dangerous as it evokes the enchanting tunes of the Greek Sirens by not just adding to the vulnerability of national border security but also luring passport-issuing authorities into an illusion of security, safety and comfort.

How the ICAO and MRTD professional community are to respond to those diverse and urgent challenges? In his closing remarks, Barry Kefauver, ISO and NTWG expert, extracted the essence from the Symposium debate, pointed out what to watch for in the future and shared it with the MRTD Symposium—and the *MRTD Report's* global readership.

To prepare today's summary, I looked back over the content and conclusions of the past several years. The summary of the Sixth Symposium two years ago observed that the focus and content were different from the then preceding five symposia.

Similarly, the Seventh Symposium last year had a much different shape, form and meaning. The format—in the overall sum total of four days of presentations and discussions—went toward conceptual anticipation and introspection, seeking a clearer sense of vision in a global frame. Those important foundation building deliberations were well leavened with presentations of a technical, operational and how-to-do-it nature. The 10<sup>th</sup> anniversary of the tragic events of 11 September 2001 also provided a very tangible and sobering point of departure that the Symposium met with both reflection and expectation.

This year, the Symposium forged a new direction that provided insight into an admittedly smaller but highly vulnerable segment of the world's travelling public, one representing compelling needs and urgent requirements: the human dimension of international development and humanitarian assistance.

With that as an introductory perspective, I will comment on and pull together some of these component pieces of this Symposium and draw them into a cohesive whole. That whole in its entirety looks out over the coming years in shaping and defining the global role, nature and purposes of Machine Readable Travel Documents with a conscious and tangible focus on humans in need.

## SUMMARY OF EIGHTH ICAO SYMPOSIUM

These past three days have been filled with many issues, concerns, successes, failures, needs and realities. That having been observed, this Symposium in my view has posed a challenge to 'summarise'. Usually the presentations and discussions will coalesce themselves into several rather clearly identifiable themes. This Symposium has covered a wide swath of the past as well as some hints of the future. While the information shared has many complexions, I will cite what I consider to have been the Symposium's six recurring threads of emphasis. Please note that these threads are in random order that in no way signifies importance.

### FIRST RECURRING THREAD

I will single out the **ICAO policy directions and the fit of the MRTD strategy**, which I feel is of pivotal, fundamental and critical importance for much of the other thematic aspirations to become realities. We heard the results of the High-level Conference on Aviation Security (HLCAS) and from that derived a sense of

purpose and direction. However, at last year's Symposium, we concluded that the ICAO MRTD Programme was at a crossroads; it still is. This observation from last year's Symposium has continued and perhaps has even stronger relevance at this year's Symposium—maybe resulting from having over the past decade accomplished so much with so little—the demands and consequent expectations on the MRTD resources in ICAO have never been greater. Nor have the opportunities to make significant change ever been greater. We have accomplished much in the past 10 years incorporating chips and biometrics into travel documents worldwide.

However, it is urgent for us to now look to the future and seek solutions that will carry us into the coming decade. Within ICAO's overarching institutional aviation security and safety reasons for being, the fit, role, relevance and mandate of the MRTD Programme needs sharpened clarity to insure full understanding and appreciation of the potential of this very visible constituency building programme. The preparations for the 2013 ICAO 38<sup>th</sup> Assembly should serve as the forum to chart the course of the travel document programme as envisioned by ICAO.

#### SECOND RECURRING THREAD

As it was at last year's Symposium, this year the very clear and increasingly urgent need is to **use properly the electronic**

**verification and integrity tools** that we have expended so much energy and time and money incorporating into the ePassports. Unless and until they are, the full return on the ePassport investments will not be realised, and, of perhaps greater concern, the use of the inadequately inspected document will yield a dangerous and false sense of credibility and security. This year, we heard a refreshingly simple yet comprehensive definition of border control: border control is all about facilitating the genuine and deterring the fraudulent. We also heard a clear and fundamental explanation that the PKD is one of the tools, an important tool, but only one aspect of a properly managed border control system that will provide the means to accomplish that simple yet far-reaching definition. With more than 420 million of these documents in circulation and growing each day, the Symposium—in terms of several speakers in precisely this term—strongly emphasised that the 'e' of ePassport become an upper case letter in our border management vocabulary.

#### THIRD RECURRING THREAD

Finally this year, we have formally placed the concepts of **civil registry** in the travel document evidence of identification lexicon and, moreover, have acknowledged that the effective capturing of civil data is inextricably linked to the larger social and development agenda. The work currently underway on the evidence of identification, the foundation that establishes trust in our



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## ...this Symposium emphasised human and humanitarian accomplishments of the ICAO MRTD Programme

documents, will strongly urge that those who must make eligibility and entitlement decisions go beyond documents and consult genesis sources of validation, especially civil registries. In this regard, the work of the Organization of American States is especially noteworthy and provides persuasive examples that this perennially vexing quandary of enhancement of the evidence of idea can, in fact, be addressed.

### FOURTH RECURRING THREAD

**Special needs that must be met with special purpose documents** could be considered the central focus of this Eighth Symposium. Deriving specific examples from the United Nations High Commissioner for Refugees (UNHCR), the International Committee of the Red Cross (ICRC) and the United Nations eUNLP, we have been provided with these very important examples of the ways in which the ICAO MRTD Programme can reach out to disparate and multifaceted elements of the world's travelling public and help solve very real human problems and make the world a better place. Just as the Convention Travel Document protocols will provide help for the UNHCR in fulfilling its goals, so shall the work underway on standardising emergency and temporary passports assist the ICRC in times of emergency and crisis.

In a different context, the work that has been carried out by the United Nations in launching its eUNLP serves two distinctly different valuable purposes. First, because the UN carried out to the fullest extent possible the deployment of its eDocument programme to insure the systems that issue the documents are as bulletproof as the documents themselves, this work of the UN can be looked upon as a model for countries to emulate in every way that insures the highest likelihood of a successful application. Also, insofar as the intended travel purpose, the document, because of the strength and care in its development and issuance integrity, will garner a widened acceptance embrace and respect, which will allow UN staff to deploy and travel easier and faster, especially in crisis situations, than ever before.

### FIFTH RECURRING THREAD

Another very important theme of this Symposium is **capacity building**. While not singled out as a specific theme at last year's Symposium, the important contributions and opportunities that are especially evident in addressing the need for capacity building have now been broadly acknowledged and, significantly, have been anointed with an organisational locus within the ICAO managerial structure. Recognised by the HLCAS as a legitimate contributing partner to the institutional objectives of comprehensive aviation

security, the capacity building aspects of the MRTD Programme knows intimately that the countries of greatest concern are among the most vulnerable and, at the same time, least equipped to deal with what needs to be done. We also need to always keep in mind that it is these same countries that are not able to avail themselves of the round-tables of expertise such as NTWG, ICBWG or this Symposium. The global interdependencies that have always been with us are now at new heights of importance. Just as the travel document community has reached out to help solve document needs with the UNHCR and ICRC, so must we also provide those in need with the capacity to meet the challenges of today's travel facilitation and security.

### SIXTH RECURRING THREAD

Another theme that surfaced in this Symposium is the degree to which the world has begun to **leverage existing eMRTD specifications/infrastructures into other identification applications**. We all know or have heard anecdotally that the ICAO specifications are being used for other applications. However, in this Symposium we learned that there are many examples of applying the Doc 9303 eMRTD specifications for other identification programmes. Cards of national identity, driver licences, voter registration and many others exemplify the convergence of e-government programmes with eMRTD and the alignment activity within the international standardisation community. This leverage of existing eMRTD specifications/infrastructures into other identification applications yields several benefits including interoperability between and among solutions within the community and the reuse of national infrastructures for regional identification programmes.

### CONCLUSIONS

Throughout the Symposium, but especially in the afternoon of the first day when senior ICAO officials spoke, the work of the MRTD Programme has been applauded and acknowledged as important and much needed—indeed even perhaps the most important work within the ICAO framework from a worldwide human impact. Certainly this Symposium emphasised these human and humanitarian accomplishments of the ICAO MRTD Programme. Just as last year, we heard the observation that we have done much but so much more remains yet to be done. True, but that crossroad still beckons and demands that we demonstrate we deserve the resources that have been so urgently sought in many of the presentations we have heard over the past few days. Hopefully we will have a presentation at the Ninth Symposium that summarises the work of the 38<sup>th</sup> Assembly as having laid the groundwork for an even more successful coming decade. ■

# DOCUMENTATION, HUMAN RIGHTS AND THE PROMISE OF DEVELOPMENT



## ABOUT BRAD K. BLITZ

*He received his Ph.D. from Stanford University and is currently Professor of Human and Political Geography at Kingston University, London, England. He is widely regarded as a leading expert on statelessness, migration, development and human rights.*

✈ People need documentation across their lifetime but documentation is just one part of a larger puzzle, explains Brad K. Blitz, Professor of Human and Political Geography at London's Kingston University. He cites the efficacy of different types of documentation and recent studies that indicate documentation has a demonstrable protection-generating function. He also calls attention to the plight of those living without documentation and protection and the significant livelihood challenges they face that result in high human costs of statelessness.

## INTRODUCTION

The starting point is the registration of birth since the act of registering births is a government's first acknowledgement of a child's existence. In practice, birth registration is often the foundation for ensuring that a child's human rights are respected—and indeed the subsequent rights of the adult. UNICEF has identified a large number of these rights and needs, including access to health care, attendance at school, protection against under age employment, early marriage and military service as well as securing the child's right to nationality and, with that, the other associated rights.

Until recently, there have been few empirical studies that affirm the importance of birth registration over the course of people's working lives. Critics, including some multilateral donors, have argued that birth registration is not a surefire remedy but only meaningful when there are transparent and effective governance structures in place—a condition that is often not met in many developing country contexts. Some maintain that, while birth registration may be helpful, any form of documentation that enables people to regularise their status before the State is useful. In this situation then, they ask, 'What is the specific value of birth registration?'

Emerging evidence by the Inter-American Development Bank (IDB) paints a more optimistic picture and shows how birth registration directly improves human capital development by facilitating access to education and vaccination centres. Other studies by the IDB have shown where birth registration may be ineffective and hence where reforms are needed, for example, by relocating some State administrative offices and registries to address the needs of rural populations. This research suggests that birth registration, when carried out effectively, is indeed a foundation for the future.

But if birth registration is the starting point in terms of affirming one's legal identity, it is not the end point—people need documentation across their lifetime. Many vulnerable people have difficulty obtaining documents and, in numerous situations, their documents may be lost or destroyed and, as a result, protection is not automatically guaranteed.

Relief situations are one instance where protection often hinges on documentation. Overall, the provision of documentation to refugees in mass influx situations is increasingly a major organised activity—in large part because of the way in which planning has been coordinated in response to geopolitical

# ...documentation is still just one part of a larger puzzle.

pressures that tend to ensure large numbers of refugees seek protection closer to home where camps and other settlements are set up. In such situations, the UN Refugee Agency, the United Nations High Commissioner for Refugees (UNHCR), is the go-to-agency that issues documents and relies on group determination procedures for those seeking protection.

Where it becomes more complicated, however, is when individuals seek asylum in other countries and where group determination does not apply. This introduces a host of challenges. For the asylum seeker, getting to a potential receiving State is a considerable achievement. They may need to risk everything—paying smugglers to help them transit through neighbouring States—they risk abuse and truly surrender their lives to criminal elements in the hope they will be able to get to safety. Yet for many, this is far from the reality.

Overwhelmingly asylum seekers now find it near impossible to enter the territory of a host State legally and, if they enter illegally, they may be removed. Those who are permitted to apply for asylum face an evidentiary challenge as they seek to demonstrate they have a well-founded fear of persecution. While UNHCR provides guidelines and some countries use advisory notes that provide details about the human rights context the asylum seeker claims to be fleeing, other countries do not have such information. In this situation, documentation—even if the asylum seeker is in possession of it—is not a guarantee of protection. Documents may be questioned for their authenticity and claims to persecution and being unable to return to one's home State may also be rejected.

In practice, the status of millions of asylum seekers—whether they do or do not hold documentation—is often challenged by the receiving State. Recent data on recognition rates in the EU paints a vastly contrasting picture. In 2007, the percentage of total positive decisions varied from 48.2% in Sweden to 11.5% in France, falling to 4.5% in Spain and a staggeringly 0.8% in Greece. Again, documentation is guarantee of protection.

This begs the question, 'What difference does documentation make?' Recent research suggests that while documentation may not guarantee the right to asylum in receiving States, in post-conflict contexts where migrants are not seeking asylum,

it has been found, under certain conditions, to improve the quality of people's lives.

Recent studies on the benefits of citizenship maintain that documentation has a demonstrable *protection-generating* function. In a 2011 study on the benefits of citizenship, which surveyed nine countries, Maureen Lynch and I (Blitz and Lynch) describe the ladders of documentation and how they open up spaces for development. In this study, several Plantation Tamils, the descendants of migrant workers brought to Sri Lanka from India to work on tea plantations and denied citizenship in the independent State, described how the granting of citizenship offered some new possibilities. They provide evidence of internal labour migration from the estates to the large cities of Colombo and Kandy, a trend noted by UNHCR.

In Bangladesh, formerly stateless Urdu speakers or 'stranded Pakistanis' living in unrecognised refugee camps reported their ID cards gave them a sense of national belonging and identity, which had opened doors to education and jobs. Others felt that discrimination continued or that nothing had changed because their poverty was simply insurmountable. Similarly, formerly excluded Nubians in Kenya reported being able to register the births of their children and travel to Mecca on the Hadj, though many also noted that societal discrimination and lack of economic prospects still seemed to undermine the promise of documentation.

In Mauritania, 'Black Mauritians' expelled to Senegal in 1989 and since returned found that ID cards enabled them to move freely between checkpoints. There were also some notable improvements in that birth certificates from either Mauritania or Senegal were sufficient for enrolling children in school and registering marriages. Many of those interviewed spoke of recovering their pride and self-respect as a result of their new documentation.

## DETERMINING THE BENEFITS OF CITIZENSHIP

Further evidence of the importance of documentation is borne out of Blitz and Lynch's more recent quantitative study on the costs of statelessness which, among other things, explore the impact of being without documentation on the livelihoods of 970 other stateless households in Bangladesh, Kenya, Slovenia and Sri Lanka.

When compared against those who had been born with full citizenship, the researchers found that those who had lived without documentation and protection fared significantly worse on several counts. In Kenya, the average per capita income of the formerly undocumented Nubian households was approximately 24.5% less than that of citizen households. In Sri Lanka, the average per capita income of the Plantation Tamil households was 11.5% lower than that of citizen households. While they reported no significant curtailment of freedoms and their happiness level presented no significant difference when measured against the control group, they had much lower levels of education. The results of the research suggest that, although many Sri Lankans in the country's estate sector, which includes Hill Tamils, face significant livelihood challenges, those who were still undocumented are at a further disadvantage in pursuing their livelihoods.

The overall results of the above study point to the high human costs of statelessness. They also provide evidence of how hardship and harm can be reduced or, in situations where nationality is granted, possible pathways to accelerate restoration of rights and development are provided through documentation.

## CONCLUSION

This article skims the surface of important debates on the efficacy of different types of documentation and indeed different statuses for protection and development. Documentation may improve rights when accompanied by effective governance, whether as a result of the UNHCR or national governments issuing ID cards or more broadly States operating in a non-discriminatory and rights-reinforcing fashion. Yet, documentation is still just one part of a larger puzzle.

The promise of mobility and freedom of movement impinges on other rights. This article calls attention to the challenges of protection, both in the context of refugee crises and more broadly in developing country contexts. Yet, establishing one's legal identity is even more significant. The provision of all sorts of documentation may have a transformative effect—well beyond the opportunity for travel or migration for work or indeed protection. It may have an impact on several development outcomes, including some of the ones noted above. Equally, it goes to the very heart of identity and hence the relationship between the individual and the State. That is a far more complex political issue and arguably one that must be constantly revisited. ■

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# SIX OAS MEMBER STATES CONVENE IN ANTIGUA FOR TRAVEL DOCUMENT SECURITY WORKSHOP

*Antigua and Barbuda through the Ministry of National Security & Labour hosted a three-day Sub-Regional Workshop and Consultations on Capacity Building in Travel Document Security and Identification Management. Held in St. John's, Antigua, from 5-7 September 2012, the Inter-American Commission Against Terrorism (CICTE) of the Organization of American States (OAS) partnered with ICAO, INTERPOL and the Government of Canada to deliver the workshop. Minister of National Security and Labour L. Errol Cort welcomed delegates from five regional territories of the Caribbean to the workshop. Participants were drawn from a cross section of agencies including Immigration and Passport and Citizenship Departments. Here are the opening remarks of OAS representative Jean Ricot Dormeus.*

 Let's call it a delight this kind of opportunity to advance our knowledge on security issues and build our capacity to address them effectively. It is prevention at work and, as you know, an ounce of prevention is worth a pound of cure. Today, participants from six Organization of American States Member States in the Caribbean region, namely Antigua and Barbuda, Bahamas, Barbados, Belize, Jamaica, and St. Lucia, have come together to explore ways, learn and share information to make travel documents more secure and sharpen tools to help better manage identities. The importance of this workshop cannot be overstated, for it comes down to the basics of law enforcement and the foundation of our communities.

I would like to thank the government of Antigua and Barbuda, in particular the Ministry of National Security, for graciously hosting this event—thus showing once more its commitment to work with other countries in the region to make our societies safer. I also wish to highlight the effective support of Minister of National Security Cort who takes every occasion to collaborate with the OAS in that regard.

The Inter-American Commission Against Terrorism (CICTE) of the OAS has partnered with ICAO, INTERPOL and the Government of Canada to deliver this sub-regional workshop and consultation. It is significant that we unite for a critical endeavour because in unity there is strength. It is a message to all stakeholders in international security matters: solitude can lead to loss of altitude.

It is our hope that come the end of this exercise, we will have exchanged information and experiences regarding Standards on travel documents, new technology, issuance and control of travel documents, improvement and modernisation of civil registries as well as the strengthening of border controls. We will study and fine-tune our expertise on topics such as machine readable and electronic passports, biometrics, secure birth certificates and other breeder documents and secure document issuance processes. That will equip us to prevent and detect these documents' alteration or fraudulent use.

Further, the skills we will be sharpening over these three days will help ensure compliance with laws of immigration, customs and passports. They will consolidate harmonised customs and immigration procedures and familiarise us even more with modern technologies and international standards on travel documents. Their impact seems obvious on the fight against terrorism, air navigation and crime prosecution.

However, the ramifications of secure documents and good ID management go beyond the security arena. They also inject and maintain confidence in society—and confidence appears to be a fertilizer to economic prosperity and effective governance. They entail the exercise of greater individual responsibility as consequences for wrongdoing will become more prompt and less uncertain. Thanks to efforts such as this workshop, fraudulent multiple IDs, easy forgery of documents and ID tampering will tend to turn into relics of the past.

We should not fear that IDs behave like chameleons changing as mood and circumstances dictate. They must be like the tigritude of the tiger, even though he does not proclaim it, it shows.

Let me mention that the OAS has been working with governments in our region to modernise the civil registries and document issuance processes. However, let me highlight that the programme is ongoing in Antigua and Barbuda, among others in our region. Very soon, we hope that this country will showcase a civil registry searchable database, secure paper certificates and an up-to-date document issuance process.

I believe this workshop on travel documents and ID management also creates value for you, the participants. It will instil in you more confidence in effecting change, thus overcoming resistance to change. It will also make you feel that your work is more appreciated and that the society as a whole benefits more and more from it. Therefore not only will you contribute more to maintain the social fabric of your respective countries, but you will evolve into an agent of change spreading the breeze of your reinforced skills to your workplace and circle of influence.

In closing, I want to reiterate the CICTE and OAS commitment to continue cooperating with the Member States in advancing the security and well-being of citizens in our hemisphere. I wish you a fruitful and pleasant capacity building session. ■

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# FOCUS ON AFRICA: REGIONAL SEMINAR ON MRTD AND EMRTD IMPLEMENTATION

 The ICAO Regional Seminar on MRTDs, Biometrics and Security Standards took place in Victoria Falls, Zimbabwe, on 27 to 29 November 2012. It was organised by ICAO in close partnership with the Civil Aviation Authority of Zimbabwe and the support of the Minister of Transport, Communications and Infrastructural Development, the Registrar General's Department, the Immigration Department, Tourism and National Road Authorities and the Commercial Bank of Zimbabwe. The event attracted over 200 government and industry participants from 29 States (from Northern, Southern, Eastern and Central Africa, Asia, Europe and the Middle East).

The successful Regional Seminar was the result of excellent cooperation between many parties. The Government of Zimbabwe provided enormous assistance and support in organising the event, selected a breathtaking geographical location and provided an astonishing and impeccable venue due to its commitment to making the event a success. The historical town of Victoria Falls provided convenient modern conference facilities, while introducing participants to Zimbabwe's charm and cultural activities and the cordial welcoming spirit of Zimbabweans throughout the Seminar.

This significant event addressed the current and emerging ICAO MRTD specifications, identity management best practices and related border security issues with particular reference to the African Region. The two main focuses of the Regional Seminar consisted of a hands-on experience using the ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents and a live demonstration from the Public Key Directory (PKD) Operator on the validation and authentication of an ePassport and the eUNLP using an ePassport reading system.

The Seminar participants were welcomed by Nicholas T. Goche, Minister of Transport, Communications and Infrastructural Development, Zimbabwe, and T. Mathuthu, Governor for Matabeleland and North Region, Zimbabwe, on behalf of the Government of Zimbabwe. Meshasha Belayneh, Director of the ICAO Regional Office in Nairobi, welcomed delegates on behalf of ICAO and addressed the participants on the work and global achievements of the MRTD Programme and the objectives of the Seminar. Chief keynote addresses were also provided by Advocate J. F. Mudenda, Board Chairman of the Civil Aviation Authority of Zimbabwe, and David Chawota, CEO of the Civil Aviation Authority.

The speakers and moderators addressed in detail the advantages and challenges of using biometric data in travel documents, points of importance with regard to implementing electronic passports, technical specifications, procurement issues, reading MRTDs and eMRTDs at the borders and the role of the ICAO PKD in achieving robust global security. The participation of ICAO officers, numerous experts from the Technical Advisory Group on MRTDs (TAG/MRTD), partner and regional organisations and ICAO Member States provided knowledge, expertise and informed discussions. Six industry partners complemented the



Nicholas T. Goche, Minister of Transport, Communication and Infrastructural Development, Zimbabwe, and Meshasha Belayneh, ICAO Regional Director, Eastern and Southern Africa, spoke at the Regional Seminar.



David Chawota, General Manager, Civil Aviation Authority of Zimbabwe (CAAZ).

Seminar, displaying a broad range of products and services related to MRTDs, biometric identification, travel document security applications and border inspection systems.

The ICAO MRTD Regional Seminar in Zimbabwe provided an opportunity to brief participants about the current MRTD specifications and new developments and clarify any specific questions and finer technical points. The Seminar also offered a

forum for discussions about the current and emerging needs of States, the region and other stakeholders. In particular, countries such as South Africa, Cameroon, Portugal and Zimbabwe and organisations like the African Union and INTERPOL shared their experiences, challenges and future projects on MRTD matters. On this occasion, participants benefitted from the participation of John Wycliffe Kabbs Twijuke, Representative of Uganda on the Council of ICAO. He provided an outstanding performance in moderating the session on Travel Documents Security and Border Security. The Seminar provided an opportunity to discuss practical ways on how to join forces to strengthen MRTD implementation and border security capacity, so that the African Region and ICAO Member States could benefit from enhanced security and facilitation that the MRTD Programme offers. In particular, participants highlighted the importance that government agencies and the private sector place on travel documents, border security and combating terrorism and trans-border crime. Some important messages and themes that emerged from the Seminar discussions included:

- The importance of implementing electronic passports, MRTD procurement issues, reading travel documents at borders and the role of the ICAO PKD in achieving robust global security. The speaker also addressed the reasons why the implementation of MRTDs and identification management remain a big challenge to a number of developing States and encouraged all stakeholders

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Speakers and participants at the Zimbabwe Regional Seminar.

- to work together in providing intensified technical assistance in this important area.
- Compliance with ICAO MRTD Standards and specifications is essential to maximising security and facilitation benefits for States and their citizens. ICAO has been updating and streamlining the structure of Doc 9303 and significantly enhancing its contents with the inclusion of current technical reports and information contained in the Supplement to Doc 9303.
  - The Seminar highlighted significant additional security and facilitation benefits that ePassports offer to States provided they are properly implemented, rely on the ICAO PKD and are correctly read at the borders. Discussions at the Seminar also highlighted a range of challenges that States often face in implementing or reading ePassports.
  - The session on the PKD stressed the importance of considering all the elements required to issue an ICAO-compliant ePassport, which includes the implementation of the PKD. A passport with a chip that simply ignores or overlooks this element cannot be called an ePassport according to the ICAO official definition.
  - The Seminar addressed fundamental questions that need to be asked before implementing an ePassport. One requires a realistic assessment and understanding what ePassports can and cannot do, what the cost and benefit implications are and what are the indispensable foundations of an effective ePassport system. These are key questions that policymakers and senior policy implementers must ask themselves before implementing an ePassport and the Seminar presentations and discussions provided a useful checklist and framework for decision-making.

- The security of the passport issuance process and Evidence of Identity require 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 will continue with the ongoing work of codifying good practices in secure issuance and identity management for the benefit of all States.

The Seminar in Victoria Falls highlighted the relevance of ICAO's MRTD Programme in reinforcing national and international security, including combating trans-border crime and terrorism, by preventing the movement of terrorists through effective border control and controls on the issuance of identity and travel documents. ■



Meshesha Belayneh, ICAO Regional Director, Eastern and Southern Africa.



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# MRTD EVENTS

## 2013

### Ninth Symposium and Exhibition on MRTDs, Biometrics and Security Standards

Montreal, Canada, 22 - 24 October 2013

For information and registration:

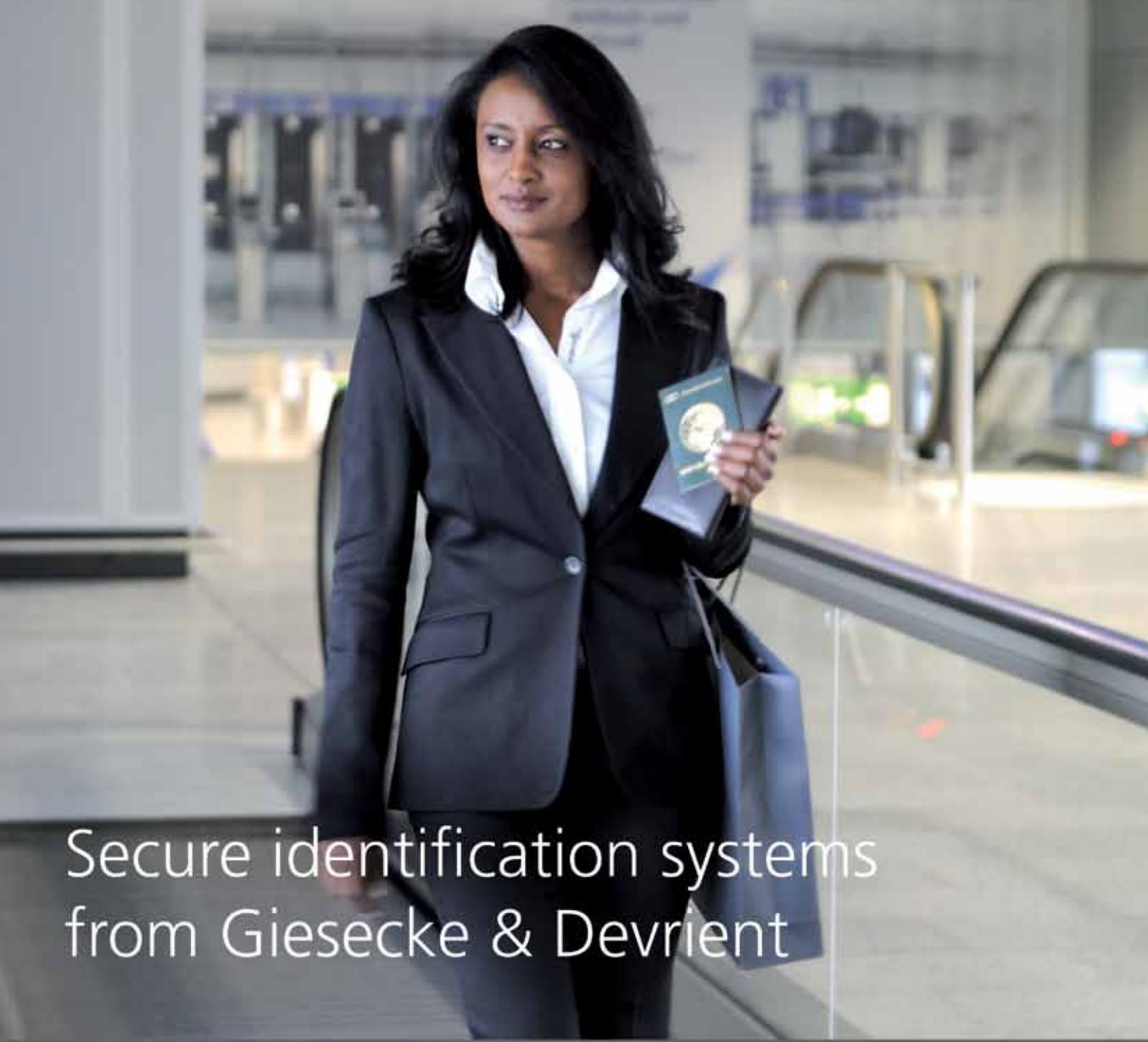
[www.icao.int/meetings/mrtd-symposium-2013](http://www.icao.int/meetings/mrtd-symposium-2013)

### Regional Seminar on MRTDs, Biometrics and Border Security

St. Maarten, 9-11 July 2013

For information and registration:

[www.icao.int/Meetings/mrtd-sintmaarten2013](http://www.icao.int/Meetings/mrtd-sintmaarten2013)



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