

PKD Board Annual Report 2016**PKD Board Discussion Paper**

Forwarded by: 2016 Chairperson

Reference Document(s): B-Pub/50 - PKD Board Annual Report 2013 dated 10.02.2014

BACKGROUND

The MoU, Attachment C, paragraph 1.2 states the following:

"1.2 The PKD Board is the standing body responsible for the ICAO PKD. Its duties will include:

...
j) submit to the Participants an Annual Report on its activities and other relevant issues in the preceding year on or before 31 October;"

PURPOSE

This Discussion Paper is intended to fulfil the MoU requirement.

URGENCY

The matter should be dealt with between meetings.

PROPOSAL**PKD Board Annual Report 2016****Purpose**

Based on, and in continuation of the previous PKD Board Annual Reports, the present Annual Report gives an overview over the development of the PKD as well as important activities of the PKD Board in the year 2016.

PKD Organization – PKD Board and Executive Body Meetings**1. Organization**

According to the Memorandum of Understanding (MOU), the PKD Board is tasked with the following major functions:

- responsible for overseeing PKD operations and is the responsible management body;
- responsible for setting the budget and has oversight over the finances; and
- addresses issues related to the implementation of the PKD and set its Rules of Procedure as required.

As participation continues to grow, operation of the PKD Service has become more demanding. Greater time and resources should be allocated to the oversight of PKD operations and should allow for detailed discussions with the PKD Operator on all

operational issues. Furthermore, the PKD Board should be directing more focus on strategic development and setting future goals, rather than managing the day-to-day administration.

With this perspective in mind, ICAO PKD Participants changed the applicable rules of procedure to introduce a PKD Executive Body (effective 1 January 2016).

At the second PKD Board Meeting of 2015, which took place 13 and 14 October 2015 in Montréal, three PKD Board Members were elected to serve for two-year terms as PKD Executive Body (EB) Members. The PKD Board Chairperson, the International Standards Organization (ISO), the ICAO Secretariat, the PKD Operator and experts invited by the Chairman will participate in EB meetings. The mandate of the EB will include the following tasks:

- discuss and evaluate PKD technical issues with the operator;
- exercise oversight over the operator (check reports, track mandates and projects);
- prepare policy and strategy decisions of the Board;
- prepare financial reports for the Board, check and approve intermediate financial statements;
- report its work to the PKD Board;
- follow technical and other developments in PKD/PKI matters and liaise with the ICAO NTWG and ICBWG as well as with ICAO; and
- execute the mandates given to it by the PKD Board.

2. PKD Board

The PKD Board held the 23rd ordinary meeting (Luxembourg, from 14-15 October). In the course of the meeting, seven Board members positions were expiring, six PKD Board members were re-elected for a three year term (Australia, Canada, Great Britain, Japan, New Zealand, and United States) and a new PKD Participant, Luxembourg, became a Board member.

3. Executive Body

The Executive Body (EB) was established at the 22nd PKD Board meeting (13-14 October 2015) and the 1st EB meeting was held in Bangkok in the ICAO Regional Office, Thailand on 29-30 June 2016. Although improvements are possible and more experience is needed, this new working format was considered as appropriate. Netherlands, New Zealand and Switzerland are the elected Executive Body Members for a two-year term.

Operational Contract

The ICAO tender for the new operation contract for the PKD operator was prepared in 2014. In March 2015, the contract for the provision of the ICAO PKD was signed with Bundesdruckerei GmbH as prime Contractor for the complete design, development and operation of the PKD.

Under this new contract, that came into force on 22 March 2016 and will be operational for five years, the registration fees for new PKD participants will decrease from USD 56 000 to USD 15 900 and, similarly, the Operator annual fees for existing active participants has been reduced.

45 Participants	USD 29 900
50 Participants	USD 27 000
55 Participants	USD 24 500
60 Participants	USD 22 500
65 Participants	USD 20 900

Technology

1. Non-Conformant Branch

During the 23rd PKD Board meeting, the PKD Board agreed to the Executive Body proposal that non-conformant certificates should not be published in a separate non-conformant branch any longer. All certificates shall be published in only one branch. However, the certificate should still be tested before publishing. If there are non-conformances that would not cause a security threat, the certificate would be published in the directory with the error codes and the other information on the certificate. The issuer would also be informed of the non-conformance. Certificates that cause a security threat would not be published.

2. ICAO CSCA Master List

States and other authorities participating in the ICAO PKD upload their respective DSCs and CRLs to the ICAO PKD directly. In contrast, CSCA Certificates, which are the trust root or trust anchor, are distributed via two methods: diplomatic bilateral exchange or through CSCA Master Lists as described in Appendix C. Many States have found it challenging to acquire CSCA Certificates through bilateral exchange and have expressed interest in a Master List compiled and published by ICAO.

Given ICAO's status as a neutral international organization, an ICAO CSCA Master List is being developed. This Master List issued under the ICAO Intellectual Property and brand is expected to be an enhancement to the ICAO PKD that would increase its value for participants and contribute to the long-term relevance and sustainability of the ICAO PKD. For some States that are not yet PKD participants, this additional service may assist in justifying investment in the ICAO PKD, as it will provide receiving States with a "one-stop shop" of all the information needed for ePassport validation.

A prerequisite for this solution is that the Master List signed by ICAO would also need to be counter signed by a country signing certificate for it to be interoperable with border systems. As the United Nations (UN) issues e-UN Laissez-Passer and currently holds the only non-state country signing certificate in the PKD, ICAO has requested that the UN Office of Central Support Services, shares its country signing certificate

authority with ICAO for the sole purpose of counter signing the ICAO Master List. This service should become available by fall 2017.

3. PKD download used by Commercial entities

Recently, there have been several requests and enquiries from commercial entities as well as recognised companies that provide services and hardware in the border processing arena to access to the ICAO PKD download for commercial use. Based on the evolution of the market, a wider use of the data stored in the PKD is needed by commercial entities. Discussions are on-going on the technical feasibility of opening the PKD download for commercial use. Although this new option would enhance the use of the PKD, there is a need to analyse the technical and financial impacts of the implementation.

Participation / PKD Usage

In the course of 2016, nine new PKD Participants (Benin, Botswana, Finland, Georgia, Iceland, Kuwait, Oman, Romania and Turkey) were welcomed.

Together with Australia, New Zealand, the United States, Canada, the United Kingdom, Japan, Singapore, Germany, Republic of Korea, France, China, Kazakhstan, India, Nigeria, Switzerland, Ukraine, Latvia, the Czech Republic, Macao/China, the United Arab Emirates, Hong Kong/China, Slovakia, Netherlands, Morocco, Austria, Hungary, Norway, Bulgaria, Luxembourg, Sweden, United Nations, Spain, the Russian Federation, Malaysia, Argentina, Thailand, Ireland, Moldova, Belgium, Brazil, Qatar, Seychelles, Uzbekistan, Philippines, Iran, and Colombia, there were fifty four PKD Participants at the end of 2016.

Based on figures made available by the ICAO New Technologies Working Group (NTWG), the CSCA Certificates of about 80% of all ePassports issued are available through the PKD.

Also the number of available certificates has been growing and the numbers of PKD “Downloaders” has increased as presented in the following table.

	Certificates	CRLs	CSCA MasterLists	Number of Participants imported CSCAs
October 2016	7838	31	5	41
November 2016	7914	31	5	44
December 2016	7967	31	5	44

Events

In October 2016, a PKD Session was held within the 12th TRIP Symposium and Exhibition on ICAO MRTDs, Biometrics and Security Standards in Montréal. In April, May and September 2016, PKD presentations were delivered within the AFI SEC FAL Ministerial Conference in Windhoek, Namibia, during the ICAO TRIP Regional Seminar on MRTDs, Biometrics and Border Security in Kish Island, I.R. of Iran and during the 39th Session of the ICAO General Assembly.

Administration

The Procedure to determine the PKD Board composition has been applied in all meetings. The changes in the composition showed that representation of a PKD Participant by a PKD Board Member can neither be taken for granted nor is it impossible to reach.

Keeping in mind the growing participation, the PKD Board mandated the EB to propose options on how to open up the PKD Board to more participants. This should allow for a broader participation in discussions, but also give more participants the opportunity to take over functions, like Chair, EB-Member, Sub-group Leader, within the ICAO PKD Organization.

Conclusion

In 2016, participation showed a constant growth over time. With growing participation, the PKD Board will have to reflect on the way of conducting business and its organization.

Mr. Roman Vanek
2016 Chairperson
(on behalf of the ICAO PKD Board)

13 January 2017

RECOMMENDATION

The PKD Board is invited to agree to the PKD Board Annual Report 2016.

The PKD Board is invited to agree to the publication of the PKD Board Annual Report 2016 on the PKD web site for download(cf. <http://www.icao.int/Security/FAL/PKD/Pages/default.aspx>).
