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## WORKING PAPER

### ASSEMBLY — 36TH SESSION

#### ECONOMIC COMMISSION

#### Agenda Item 39: Facilitation

#### **PROGRESS MADE IN IMPLEMENTING RESOLUTION A35-18, APPENDIX D, SECTION III: INTERNATIONAL COOPERATION IN PROTECTING THE SECURITY AND INTEGRITY OF PASSPORTS**

(Presented by the Council of ICAO)

#### **EXECUTIVE SUMMARY**

This working paper presents a report on the implementation of Resolution A35-18, Appendix D, Section III: International cooperation in protecting the security and integrity of passports. It describes the work accomplished by the Organization since the last session of the Assembly.

Amendment 19 to Annex 9 adopted in March 2005, includes, *inter alia*, Standards that require Contracting States to issue only machine readable passports (MRPs) by 1 April 2010. In September 2006, the sixth edition of Doc 9303, Part 1 – *Machine Readable Passports* was published in which Volume 2 specifies ePassport standards to be used worldwide. A specially tailored public key infrastructure (PKI) project has been specified in order to protect the signed data contained in the ePassports from counterfeiting or unauthorized alteration. In May 2005, the Council confirmed the development of a public key directory (PKD) which would distribute the public keys of the ePassports. A Memorandum of Understanding for participation in the PKD was approved by the Council and became effective in March 2007. The secure PKD Office was opened at ICAO Headquarters in March 2007.

To assist States which have not yet begun issuing MRPs, ICAO set up a project on Universal Implementation of Machine Readable Travel Documents (UIMRTD) with the objective of universal implementation ahead of the April 2010 deadline. In 2005 and 2006 assistance was provided to 15 States, and ten missions per year are planned for the 2008-2010 triennium. As part of this implementation project two worldwide MRTD/Biometrics Symposia with exhibitors were held at ICAO Headquarters and a third one, with an aviation security emphasis, is scheduled for October 2007.

**Action:** The Assembly is invited to request the Council and member States to continue their work in protecting the security and integrity of passports as a matter of high priority.

*Strategic Objectives:*

This working paper will further Strategic Objective B, Security, by enhancing the security of global civil aviation through the development, adoption and promotion of new or amended measures to improve security for air travellers worldwide while promoting efficient border-crossing procedures.

<i>Financial implications:</i>	The development of <i>Machine Readable Travel Documents</i> (Doc 9303) specifications is partially covered by the Regular Programme Budget until the end of 2007. Additional resources, or full integration into the Regular Programme, will be required henceforth. The Public Key Directory (PKD) is entirely self-financed and the Universal Implementation of the Machine Readable Travel Documents (UIMRTD) Project is financed by extra-budgetary funds.
<i>References:</i>	A36-WP/21, Consolidated statement of continuing ICAO policies in the air transport field Doc 9847, A35-EC, <i>Report of the Economic Commission</i> Doc 9848, <i>Assembly Resolutions in Force</i> (as of 8 October 2004)

## 1. INTRODUCTION

1.1 At the 35th Session of the Assembly, the Council reported on the progress made by ICAO on international cooperation in protecting the security and integrity of passports and other travel documents.

1.2 The Assembly noted the report and requested the Council to continue the work that had been undertaken to enhance the effectiveness of passport-fraud controls, including the possible preparation of necessary Standards and Recommended Practices (SARPs) and guidance material, to assist Contracting States in maintaining the integrity and security of their passports and other travel documents.

## 2. REPORT ON ACTIONS TAKEN FOLLOWING THE 35TH SESSION

### 2.1 SARPs on travel document security

2.1.1 On 8 March 2005, the Council adopted Amendment 19 to Annex 9 – *Facilitation*. The amendment incorporates recommendations which had been made by the Twelfth Session of the Facilitation Division (FAL/12) (Cairo, 2004), which include provisions for new SARPs to control passport and other travel document fraud and to enhance the security of travel documents. *Inter alia*, these provisions include Standards that require Contracting States to issue only machine readable passports (MRPs) by 1 April 2010, to regularly update security features in new versions of their travel documents, and to establish controls on the creation and issuance of travel documents. The Council adopted an additional Standard which requires Contracting States to ensure that all non-MRPs expire before 2015. A recommendation also advises States to incorporate biometric data in their MRPs and other machine readable travel documents as specified in Doc 9303, *Machine Readable Travel Documents*. The amendment became applicable on 24 November 2005.

### 2.2 ePassport specifications

2.2.1 In September 2006, ICAO published the two-volume, sixth edition, of Doc 9303, Part 1 – *Machine Readable Passports*. Developed by ICAO's Technical Advisory Group on Machine Readable Travel Documents (TAG/MRTD), the first volume is comprised of the specifications for the "ordinary" MRP. The second volume contains the specifications for the biometric-enhanced MRP (the "ePassport").

2.2.2 The ePassport standard specifies that the primary biometric to be used worldwide will be the face and that the compressed image of the face will be stored, along with the data from the machine readable zone of the passport, in a contactless integrated circuit (IC) chip. Such data will have to be programmed according to the Logical Data Structure as specified by ICAO. Finally, to assure the reader of the chip that the data therein, including the facial image, is valid, the data will be digitally “signed”. A specially tailored Public Key Infrastructure (PKI) project has been specified in order to protect the signed data from counterfeiting or unauthorized alteration by ensuring that any overwriting of data on the chip does not go undetected. The public keys (i.e. strings of characters used to encrypt or decrypt information) will be distributed through a central public key directory (PKD) that has been set up by ICAO.

2.2.3 The advent of the ePassport heralds a global revolution in the issuance of travel documents, inspection of people and identity management. Passport and identity inspection systems used by airlines and border control agencies at airports will be able to more precisely match documents to people, authenticate data in the documents, and more efficiently process travellers at checkpoints. The ePassport also offers substantial benefits to the rightful holder, by providing a more sophisticated means to confirm that the passport belongs to him or her and that it is authentic, without jeopardizing privacy. By March 2007, over 34 Contracting States had begun issuing ePassports to their citizens.

### 2.3 **Public Key Directory (PKD)**

2.3.1 The member States of the TAG-MRTD had recommended that ICAO be the designated organization to oversee the PKD because of its long track record as the developer of MRTD standards, its international stature as a United Nations agency and its substantial interest in document security. The oversight of a central, politically-neutral site overseen by ICAO was seen as essential to a cooperative, interoperable regime for passport security that would be accessible by all member States. Equally important is that a central PKD would be publicly accessible to any entity required to verify ePassports, such as airlines, who are on the “front lines” as the first to examine the passports of travellers. As a deterrent to the fraudulent alteration or counterfeiting of passports, or the use of stolen passports by imposters to gain access to aircraft, PKI is potentially a most effective anti-terrorism and aviation security measure.

2.3.2 Subsequently, in May 2005, the Council confirmed the development of a PKD, on a cost-recovery basis, under the aegis of ICAO. The development, implementation and operation of this project involves three major stakeholders: the PKD Operator, ICAO and the Participants (i.e. an ePassport-issuing State or entity that follows the arrangements for participation in the PKD). Each party performs certain functions from which arise various responsibilities and obligations.

2.3.3 In 2006, the overall design and development of the PKD was approved, various levels of testing were completed and approved, and review and acceptance of the planned PKD facility was finalized.

2.3.4 In February 2007, a Memorandum of Understanding (MoU) which set out the arrangements for participation in the PKD and for its establishment and operation, was approved by the Council. In March 2007, with the receipt of the fifth Notice of Participation in the PKD, the MoU became effective. The PKD Board, the governing body responsible for the oversight and supervision of the PKD, was formally convened in March 2007, and the secure PKD Office was opened at ICAO Headquarters.

## 2.4 Universal Implementation of the MRTD Project

2.4.1 ICAO has set up a special project to assist those States which have not yet begun issuing MRPs to convert their systems to produce MRPs, with the objective of universal implementation ahead of the mandatory April 2010 deadline as prescribed in Annex 9. In the interest of achieving this objective, ICAO provides assistance in the form of project planning, education and training, arrangements for financing, procurement assistance, start-up project management and/or system evaluation services upon requests from member States.

2.4.2 As part of this project, two self-financed, worldwide MRTD/Biometrics Symposia with exhibitors, were held at ICAO Headquarters in 2005 and 2006. A third Symposium, with an aviation security emphasis, is planned for October 2007 at ICAO Headquarters.

2.4.3 In June 2006, a biometrics and machine readable passport implementation workshop for the Asia-Pacific Region was held in the Hong Kong Special Administrative Region (SAR) of China, and a Latin American regional symposium on AVSEC-FAL, including MRTDs, was held in the Dominican Republic. In July 2007, a regional conference for European and some African Mediterranean States will be held in Vienna, in conjunction with the Organization for Security and Cooperation in Europe (OSCE), on document security and ICAO MRTD standards. Regional symposia for the Latin American and the African/Middle East regions are planned for 2007 and 2008.

2.4.4 In 2005, individual UIMRTD assistance projects were implemented in Bhutan, Brazil and Colombia, and in 2006 assistance was provided to 12 States. For the 2008-2010 triennium, ten individual UIMRTD missions to States are planned for each year.

2.4.5 Finally, as part of the MRTD implementation project, and to promote and educate on standards and specifications, ICAO published in 2006, two issues of a self-financed and widely-distributed magazine, entitled "ICAO MRTD Report". Bi-annual issues of the magazine are planned for each year and will be available online, on the dedicated MRTD web site, at [www.mrtd.icao.int](http://www.mrtd.icao.int), under "MRTD Report".

## 2.5 Financial Implications

2.5.1 The development of Doc 9303 specifications, has been partially covered by the Regular Programme Budget. Additional funding or full integration into the Regular Programme will be required for the next triennium.

2.5.2 The development, implementation and operation of the PKD is entirely self-financed with fees paid by the participants which include ICAO's costs related to the operation and supervision of the Directory.

2.5.3 The majority of the cost related to the UIMRTD Project is covered by extra-budgetary funds. The managerial cost of this project until the end of 2006 was partially covered by the Regular Programme Budget.