

**TECHNICAL ADVISORY GROUP ON  
MACHINE READABLE TRAVEL DOCUMENTS**

**Fifteenth Meeting**

(Montreal, 17 to 21 May 2004)

**Agenda Item 2: Report of the Document Content and Format Working Group**

**Agenda Item 2.3: Quality control and accountability**

**TERMS OF REFERENCE  
AUDIT METHODOLOGY FOR QUALITY OF ISSUED DOCUMENTS**

(Presented by the Document Content and Format Working Group (DCFWDG))

**1. INTRODUCTION**

1.1 This paper is intended to follow up on the discussion in the previous TAG meeting (TAG-MRTD/14-WPs/3 and 4) of a system to audit the production and quality of machine readable passports (MRPs).

1.2 The DCFWDG proposed that a formal evaluation program be established to assess the quality of MRPs and other issued products developed according to Doc 9303 specifications, and of the associated production process. Such a program was deemed necessary because of: (a) the growing number of governments contacting ICAO to seek assurances that their new passports and other travel documents meet ICAO specifications; and (b) informal reports received by the Secretariat that poor-quality machine readable passports are being supplied to States.

1.3 The TAG/MRTD agreed that there is a need for a formal evaluation function in the promotion of worldwide adoption of machine readable travel documents.

1.4 The TAG/MRTD invited comments on the proposed prototype evaluation criteria enumerated in the original WP and attached to this WP as Attachment 1. TAG/MRTD also requested an analogous set of questions to be developed on the issuance process be developed by the next TAG/MRTD/15.

**2. TERMS OF REFERENCE**

2.1 The proposed name for the evaluative group is to be the Facilitation Audit Standards Team (FAST).

2.2 The objective of the FAST team is to support the efforts of the FAL Section in the promotion of worldwide adoption of machine readable travel documents.

2.3 The team is to consist of a small number of government personnel known to possess the skills to perform the following evaluation and the tact to keep discreet about the information gained during this endeavour.

2.4 In carrying out this effort, the FAST may at the direction of the FAL Section perform the following activities:

- a) respond to general questions asked of ICAO concerning compliance of a given document or document system to ICAO Standards or guidance materials;
- b) respond to specific questions as to the agreement between document related factors such as dimensional characteristics, visual zone (VIZ) characteristics, machine readable zone (MRZ) characteristics, security features, or physical construction;
- c) with the concurrence of the inspected government or private sector entity, respond to general or specific questions concerning the issuance of machine readable passports and other travel documents, considering such factors as the process for blank (unpersonalized) document production and control, the passport application process, the passport adjudication process, identity verification and name clearance, biometric enrollment, passport printers, plant physical security, personnel standards, internal controls, audits and internal investigations, disposal of documents spoiled in production and senior management support;
- d) determine the compliance of contactless chip bearing passports with the current ICAO standards and guidance material for biometric data, data storage, and data protection; and
- e) refer back to the originating authority any indications of problems whose ramifications would involve a wider investigation, with suggestions as appropriate.

### 3. **ACTION BY THE TAG/MRTD**

3.1 The TAG/MRTD is requested to:

- a) establish the Facilitation Audit Standards Team to assist the FAL Section in undertaking an evaluative role in the promotion of worldwide adoption of machine readable travel document programs. Such team to consist of a small number of government personnel known to possess the skills to perform the above analyses and the tact to keep discreet about information gained during this endeavour;
- b) accept the proposed terms of reference for the FAST team; and
- c) evaluate the proposed criteria for appropriateness, adding or deleting lines of inquiry within the above framework.

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## ATTACHMENT 1

### 1. ICAO DOCUMENT AUDIT METHODOLOGY

1.1 Doc 9303 specification and all its Appendices and Annexes form the evaluation criteria for the quality of the delivered document. What follows is a series of questions pertaining to various aspects of machine readable travel document programmes. The following list of leading questions is meant to be suggestive and by no means exhaustive.

#### 1.2 Dimensional Characteristics:

Are the lateral dimensions of the document correct?  
Are the thickness dimensions of the document, and in particular the passport data page, correct?  
Are there any physical attributes that would detract from the book?

#### 1.3 Visual Zone Characteristics

Are all the mandatory data elements present?  
Are the fields in proper sequence with regard to personal and document data?  
Is optional data present? If so, is it in conformance with standard presentation?  
Are field names portrayed in correct format, font size and languages?  
Is entered data portrayed in correct format, font size and languages?  
Does the portrait conform to the specifications for size, position and quality?

#### 1.4 Machine Readable Zone Characteristics

Are all data fields populated correctly?  
Are check digits calculated correctly?  
Is the presentation of the person's name correct, including truncation?  
Is the MRZ located correctly in reference to the guide edges of the document?  
Is the print (OCR-B font) of the correct print quality and density?  
Does the document actually read in a standard OCR-B reader?  
Is the document checked for readability prior to issuance?  
Are readers maintained in accordance with proper procedures?

#### 1.5 Security Features

What security features are evident in the book? (First line)  
What security features are disclosed by magnification and/or special light (second line)?  
What additional features are present in the document?  
Are these in line with Annex in Section 3 on Document Security?  
Are additional methods of data storage present? If so what data is stored there, and is it stored in conformance to the Logical Data Structure?  
How easy would these features be to hack, in your judgment based on prior experience?

1.6 **Durability**

*(Without performing some battery of tests, it will be difficult to predict durability except comparatively to either past experience with similar materials, or with similar security techniques.)*

Are there obvious strengths or weaknesses in the construction of the document?

Does the document have physical attributes known to be vulnerable to certain specific kinds of attack?

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## ATTACHMENT 2

### 1. **ICAO DOCUMENT HANDLING AND ISSUANCE AUDIT METHODOLOGY PROGRAM**

#### 1.1 **Blank Book Control**

To what extent are security materials used in book construction?  
Are blank documents individually numbered and records kept?  
What daily accounting procedures are used?  
What spoilage accountability procedures are used?

#### 1.2 **Passport Application and Adjudication Process**

What are the primary documents of citizenship evidence?  
Are employees trained to spot fraud indicators?  
Are jobs rotated among staff?

#### 1.3 **Identity Verification and Name Check Process**

How many documents are required?  
Are acceptance agents used and what is their training?  
To what extent are attestations of identity used?  
Are names run against data bases of people ineligible for a passport?

#### 1.4 **Biometric Identification**

Is live capture used?  
Is there a quality check on the usability of the acquired biometric image?  
Is the biometric cross checked against any biometric data base for identity match?

#### 1.5 **Printers**

Do printers require a "two-person" rule for operation?  
Is printer log-on use monitored and retained?  
Are security materials kept in controlled access?

#### 1.6 **Physical Security of the Passport Issuing Facility**

Is access controlled and are records kept?  
Are security personnel visible?  
Is there a separate room for interrogation purposes?

1.7 **Personnel Standards**

What level of background check is performed on potential employees?  
What anti-fraud training is provided, and how often is it repeated?

1.8 **Internal Controls, Audit and Investigations**

What internal controls procedures are in place?  
Are internal control standards a part of the performance rating?  
How severely is detected fraud punished?

1.9 **Senior Level Support for Issuance Process Procedures**

What managerial steps specifically enhance the security of document issuance?  
How much budget is allocated for document and issuance security matters?  
Are fees in line with production costs and the production of a high quality document?

*Note. — The above questions are examples and not cast in stone. Many more questions would be proposed in the realization of such an audit testing program.*