



Technical Guideline TR-03110

# **Advanced Security Mechanisms for Machine Readable Travel Documents – Extended Access Control (EAC)**

Version 1.01

## History

Version	Date	Comment
1.00	2006-02-08	Initial public version.
1.01	2006-11-02	Minor corrections and clarifications.

# Contents

<b>1</b>	<b>Introduction</b>	<b>6</b>
1.1	Passive Authentication . . . . .	6
1.2	Active Authentication . . . . .	7
1.3	Access Control . . . . .	7
1.4	Terminology . . . . .	7
1.5	Abbreviations . . . . .	8
<b>2</b>	<b>Advanced Security Mechanisms</b>	<b>9</b>
2.1	Inspection Procedure . . . . .	9
2.1.1	Standard Inspection Procedure . . . . .	10
2.1.2	Advanced Inspection Procedure . . . . .	10
2.2	Public Key Infrastructure . . . . .	10
2.2.1	Country Verifying CA . . . . .	11
2.2.2	Document Verifiers . . . . .	11
2.2.3	Card Verifiable Certificates . . . . .	12
2.2.3.1	Certificate Scheduling . . . . .	12
2.2.3.2	Certificate Distribution . . . . .	13
2.2.4	Certificate Validation . . . . .	13
<b>3</b>	<b>Protocol Specifications</b>	<b>15</b>
3.1	Cryptographic Algorithms and Notation . . . . .	15
3.1.1	Key Agreement . . . . .	15
3.1.1.1	Keys . . . . .	15
3.1.1.2	Operations . . . . .	15
3.1.2	Signatures . . . . .	15
3.1.2.1	Keys . . . . .	15
3.1.2.2	Operations . . . . .	15
3.2	Chip Authentication . . . . .	16
3.2.1	Protocol Specification . . . . .	16
3.2.2	Security Status . . . . .	16
3.3	Terminal Authentication . . . . .	16
3.3.1	Protocol Specification . . . . .	17
3.3.2	Security Status . . . . .	17
<b>4</b>	<b>Security &amp; Privacy</b>	<b>18</b>
4.1	Chip Authentication . . . . .	18
4.1.1	Summarized Properties . . . . .	19
4.1.2	Remaining Risks . . . . .	19
4.2	Terminal Authentication . . . . .	19
4.2.1	Summarized Properties . . . . .	20
4.2.2	Remaining Risks . . . . .	20
4.3	Challenge Semantics . . . . .	20

<b>Appendices</b>	<b>21</b>
<b>A Key Management (Normative)</b>	<b>21</b>
A.1 Chip Authentication Key Pair . . . . .	21
A.1.1 Storage on the Chip . . . . .	21
A.1.2 Chip Authentication Object Identifier . . . . .	22
A.1.3 Chip Authentication with DH . . . . .	22
A.1.4 Chip Authentication with ECDH . . . . .	22
A.1.5 Encoding of Ephemeral Public Keys . . . . .	22
A.2 Terminal Authentication Key Pair . . . . .	22
A.2.1 Storage on the Chip . . . . .	22
A.2.2 Terminal Authentication Object Identifier . . . . .	23
A.2.3 Terminal Authentication with RSA . . . . .	23
A.2.4 Terminal Authentication with ECDSA . . . . .	24
A.3 Certificates and Requests . . . . .	25
A.3.1 CV Certificate Profile . . . . .	25
A.3.2 CV Certificate Requests . . . . .	25
A.3.3 Data Objects . . . . .	25
A.3.3.1 CV Certificate . . . . .	25
A.3.3.2 Certificate Body . . . . .	25
A.3.3.3 Certificate Profile Identifier . . . . .	26
A.3.3.4 Certification Authority Reference . . . . .	26
A.3.3.5 Public Key . . . . .	26
A.3.3.6 Certificate Holder Reference . . . . .	26
A.3.3.7 Certificate Holder Authorization . . . . .	26
A.3.3.8 Certificate Effective Date . . . . .	26
A.3.3.9 Certificate Expiration Date . . . . .	26
A.3.3.10 Discretionary Data . . . . .	27
A.3.3.11 Signature . . . . .	27
A.3.3.12 Authentication . . . . .	27
A.3.3.13 Object Identifier . . . . .	27
A.3.4 Authorization . . . . .	27
A.3.4.1 Relative Authorization . . . . .	27
A.3.4.2 Effective Authorization . . . . .	27
A.3.4.3 Access Rights . . . . .	28
A.4 CVCA Communication Channels . . . . .	28
A.4.1 Email . . . . .	29
A.4.1.1 Register . . . . .	29
A.4.1.2 CVCA Certificate . . . . .	29
A.4.1.3 DV Certification Request . . . . .	29
A.4.1.4 DV Certificate . . . . .	29
<b>B ISO 7816 Mapping (Normative)</b>	<b>30</b>
B.1 Chip Authentication . . . . .	30
B.1.1 MSE:Set KAT . . . . .	30
B.1.2 Secure Messaging . . . . .	30
B.2 Terminal Authentication . . . . .	31
B.2.1 MSE:Set DST/AT . . . . .	31
B.2.2 PSO: Verify Certificate . . . . .	31
B.2.3 Get Challenge . . . . .	32
B.2.4 External Authenticate . . . . .	32

B.2.5	Public Key Import . . . . .	32
B.3	Command Flow . . . . .	33
B.4	Extended Length . . . . .	33
<b>C</b>	<b>Basic Access Control (Informative)</b>	<b>34</b>
C.1	Document Basic Access Keys . . . . .	34
C.2	Protocol Specification . . . . .	34
<b>D</b>	<b>Challenge Semantics (Informative)</b>	<b>36</b>

## List of Figures

2.1	Extended Access Control PKI . . . . .	11
2.2	Certificate Scheduling . . . . .	12
3.1	Chip Authentication . . . . .	16
3.2	Terminal Authentication . . . . .	17
4.1	Cipher-based Authenticator . . . . .	19
4.2	Signature-based Authenticator . . . . .	19
B.1	Command Flow . . . . .	33
C.1	Basic Access Control . . . . .	35

## List of Tables

1.1	ICAO Security Mechanisms . . . . .	6
2.1	Inspection Procedures . . . . .	10
A.1	Algorithms and Formats for Chip Authentication . . . . .	22
A.2	Elementary File EF.CVCA . . . . .	23
A.3	Object Identifiers for Terminal Authentication with RSA . . . . .	24
A.4	Object Identifiers for Terminal Authentication with ECDSA . . . . .	24
A.5	CV Certificate Profile . . . . .	25
A.6	Encoding of Roles and Access Rights . . . . .	28

# 1. Introduction

The next generation of machine readable travel documents (MRTDs) will be equipped with a contactless RF-chip containing digitized biometrics of the holder. Given the nature of digital data, one can easily see that the authenticity (including integrity), originality, and confidentiality of the data stored on the MRTD chip must be appropriately protected. ICAO [6] has therefore specified *Passive Authentication*, *Active Authentication*, and *Access Control* as summarized in Table 1.1.

Table 1.1.: ICAO Security Mechanisms

Mechanism	Protection	Cryptographic Technique
Passive Authentication	Authenticity	Digital Signature
Active Authentication	Originality	Challenge-Response
Access Control	Confidentiality	Authentication & Secure Channels

While the implementation of Passive Authentication is mandatory, Active Authentication and Access Control are both optional. It directly follows that without implementing those or equivalent mechanisms the originality and confidentiality of the stored data cannot be guaranteed. Active Authentication and Access Control are therefore two important ingredients for a secure MRTD.

## 1.1. Passive Authentication

Passive Authentication uses a digital signature to authenticate all relevant data stored on the MRTD chip. This signature is generated by a Document Signer (e.g. the MRTD producer) in the personalization phase of the MRTD chip over a Document Security Object containing the hash values of all data groups stored on the chip. For details on the Document Security Object, Document Signers and Country Signing CAs the reader is referred to [6].

To verify data stored on an MRTD chip using Passive Authentication the inspection system has to perform the following steps:

1. Read the Document Security Object from the MRTD chip.
2. Retrieve the corresponding Document Signer Certificate and the trusted Country Signing CA Certificate.
3. Verify the Document Signer Certificate and the signature of the Document Security Object.
4. Compute hash values of read data groups and compare them to the hash values in the Document Security Object.

Passive Authentication enables an inspection system to detect manipulated data groups, but it does not prevent cloning of MRTD chips, i.e. copying the complete data stored on one MRTD chip to another MRTD chip. However, even with Passive Authentication, an inspection system can detect a cloned MRTD chip by carefully comparing the machine readable zone (MRZ) printed on the datapage to the MRZ stored in data group DG1 on the MRTD chip. This test, however, assumes that it is impossible to physically copy the datapage – which exclusively relies on its physical security features.

## 1.2. Active Authentication

Active Authentication is a digital security feature that prevents cloning by introducing a chip-individual key pair:

- The public key is stored in data group DG15 and thus protected by Passive Authentication.
- The corresponding private key is stored in secure memory and may only be used internally by the MRTD chip and cannot be read out.

Thus, the chip can prove knowledge of this private key in a challenge-response protocol, which is called Active Authentication. In this protocol the MRTD chip digitally signs a challenge randomly chosen by the inspection system. The inspection system recognizes that the MRTD chip is genuine if and only if the returned signature is correct. Active Authentication is a straightforward protocol and prevents cloning very effectively, but introduces a privacy threat: Challenge Semantics (see Appendix D for a discussion on Challenge Semantics).

## 1.3. Access Control

Access Control is not only required for privacy reasons but also mitigates the risk of cloning attacks. The MRTD chip protects the stored data against unauthorized access by applying appropriate access control mechanisms as described below:

- Less-sensitive data (e.g. the MRZ, the facial image and other data that is relatively easy to acquire from other sources) required for global interoperable border crossing is protected by *Basic Access Control*. For the reader's convenience, Basic Access Control is described in Appendix C.
- Sensitive data (e.g. fingerprints and other data that cannot be obtained easily from other sources at a large scale) must only be available to authorized inspection systems. Such data is protected by *Extended Access Control*.

Basic Access Control only checks that the inspection system has physical access to the travel document by requiring the MRZ to be read optically. Extended Access Control should additionally check that the inspection system is entitled to read sensitive data. Therefore, strong authentication of the inspection system is required. However, as Extended Access Control is not required for global interoperable border crossing, this protocol is not (yet) specified by ICAO.

## 1.4. Terminology

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [2].

## 1.5. Abbreviations

Name	Abbrev.
Card Verifiable	CV
Chip Authentication	CA
Chip Authentication Public Key	$PK_{PICC}$
Chip Authentication Private Key	$SK_{PICC}$
Country Signing CA	CSCA
Country Verifying CA	CVCA
Country Verifying CA Certificate	$C_{CVCA}$
Document Security Object	$SO_D$
Document Verifier	DV
Document Verifier Certificate	$C_{DV}$
Domain Parameters	$\mathcal{D}$
International Civil Aviation Organization	ICAO
Inspection System	IS
Inspection System Certificate	$C_{IS}$
Key Derivation Function	KDF
Logical Data Structure	LDS
Machine Readable Travel Document	MRTD
Proximity Integrated Circuit Chip	PICC
Proximity Coupling Device	PCD
Terminal Authentication	TA
Terminal Authentication Public Key	$PK_{PCD}$
Terminal Authentication Private Key	$SK_{PCD}$



## 2. Advanced Security Mechanisms

This document specifies two advanced security mechanisms for machine readable travel documents: *Chip Authentication* and *Terminal Authentication*. While Chip Authentication can be used as a stand-alone protocol, e.g. to replace Active Authentication, Terminal Authentication can only be used in combination with Chip Authentication. The usage of both protocols is required for Extended Access Control.

### Chip Authentication

This protocol is an alternative to the optional Active Authentication Protocol, i.e. it enables the inspection system to verify that the MRTD chip is genuine but has two advantages over the original protocol.

- Challenge Semantics are prevented because the transcripts produced by this protocol are non-transferable.
- Besides authentication of the MRTD chip this protocol also provides strong session encryption.

An MRTD chip that supports Chip Authentication **MUST** also enforce Basic Access Control.

### Terminal Authentication

This protocol enables the MRTD chip to verify that the inspection system is entitled to access sensitive data. As the inspection system **MAY** access sensitive data afterwards, all further communication **MUST** be protected appropriately. Therefore, the Chip Authentication Protocol **MUST** have been successfully executed before starting this protocol – which is enforced by the protocol itself.

### 2.1. Inspection Procedure

Depending on whether or not a device (i.e. an MRTD chip or an inspection system) is compliant to this specification the device is called *compliant* or *non-compliant*, respectively. Depending on the combination of an inspection system and an MRTD chip, either the *standard inspection procedure* or the *advanced inspection procedure* is used:

- A non-compliant inspection system uses the standard inspection procedure. The less-sensitive data stored on a compliant MRTD chip **MUST** be readable by every non-compliant inspection system.
- A compliant inspection system **SHALL** use the advanced inspection procedure if the MRTD chip is compliant. Otherwise the standard inspection procedure **SHALL** be used.

Table 2.1 gives an overview on the inspection procedures to be used.

**Note:** As described in Section 1.1 Passive Authentication is a continuous process that requires the computation of a hash value of each data group read from the chip and its comparison to corresponding hash value contained in the Document Security Object. While this continuous process is assumed to be applied in the following procedures, it is not explicitly described.

Table 2.1.: Inspection Procedures

Inspection system	MRTD chip	
	compliant	non-compliant
compliant	Advanced	Standard
non-compliant	Standard	Standard

### 2.1.1. Standard Inspection Procedure

The standard inspection procedure consists of the following steps:

1. Basic Access Control (Conditional)
2. Passive Authentication (started) (OPTIONAL)
3. Reading of less-sensitive data (OPTIONAL)

If Basic Access Control is enforced by the MRTD chip, this step **MUST** be performed prior to all other steps. If the MRTD chip does not enforce Basic Access Control, this step **MUST NOT** be used. The order of the remaining steps is irrelevant.

### 2.1.2. Advanced Inspection Procedure

The advanced inspection procedure consists of the following steps:

1. Basic Access Control (REQUIRED)
2. Chip Authentication (REQUIRED)
3. Passive Authentication (started) (REQUIRED)
4. Reading of less-sensitive data (OPTIONAL)
5. Terminal Authentication (OPTIONAL)
6. Reading of sensitive data (OPTIONAL)

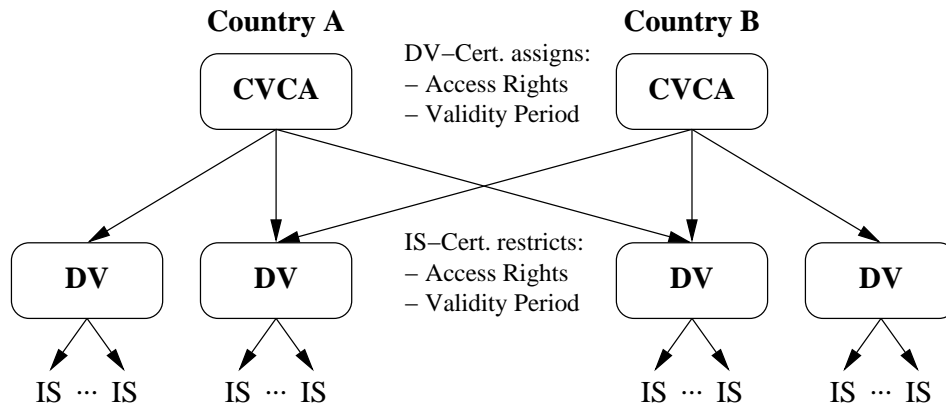
Mandatory steps **MUST** be performed in the order indicated. The order of optional steps is irrelevant, however, Terminal Authentication **MUST** be successfully performed before sensitive data can be read. This **MUST** be enforced by the MRTD chip.

**Note:** After a successful execution of Chip Authentication strong session encryption is established rendering the decryption of an eavesdropped communication computationally impossible. However, only after a successful Passive Authentication the MRTD chip may be considered genuine.

## 2.2. Public Key Infrastructure

Terminal Authentication requires the inspection system to prove to the MRTD chip that it is entitled to access sensitive data. Such an inspection system is equipped with at least one *Inspection System Certificate*, encoding the inspection system's public key and access rights, and the corresponding private key. After the inspection system has proven knowledge of this private key, the MRTD chip grants the inspection system access to sensitive data as indicated in the Inspection System Certificate.

The PKI required for issuing and validating Inspection System Certificates consists of the following entities:



Arrows denote certification.

Figure 2.1.: Extended Access Control PKI

1. Country Verifying CAs issuing Country Verifying CA Link-Certificates and Document Verifier Certificates.
2. Document Verifiers issuing Inspection System Certificates.
3. Inspection systems accessing MRTD chips.

This PKI forms the basis of Extended Access Control. It is illustrated in Figure 2.1.

### 2.2.1. Country Verifying CA

Every State is required to set up one trust-point that issues Document Verifier Certificates: the *Country Verifying CA* (CVCA).

**Note:** The Country Signing CA issuing Certificates for Document Signers (cf. [6]) and the Country Verifying CA MAY be integrated into a single entity, e.g. a Country CA. However, even in this case, separate key pairs MUST be used for different roles.

A CVCA determines the access rights to “its” MRTD chips for all DVs (i.e. its own DVs as well as the DVs of other States) by issuing certificates for DVs entitled to access some sensitive data. The conditions under which a CVCA grants a DV access to sensitive data is out of the scope of this document. It is however RECOMMENDED that those conditions are stated in a certificate policy published by the CVCA.

Document Verifier Certificates MUST contain information, such as which data a certain DV is entitled to access. To diminish the potential risk introduced by lost or stolen inspection systems Document Verifier Certificates MUST contain a short validity period. The validity period is assigned by the issuing CVCA at its own choice and this validity period may differ depending on the Document Verifier the certificate is issued to.

### 2.2.2. Document Verifiers

A *Document Verifier* (DV) is an organizational unit that manages inspection systems belonging together (e.g. inspection systems operated by a State’s border police) by – inter alia – issuing Inspection System Certificates. A Document Verifier is therefore a CA, authorized by the national CVCA to issue certificates for national inspection systems. The Inspection System Certificates issued by a DV usually inherit

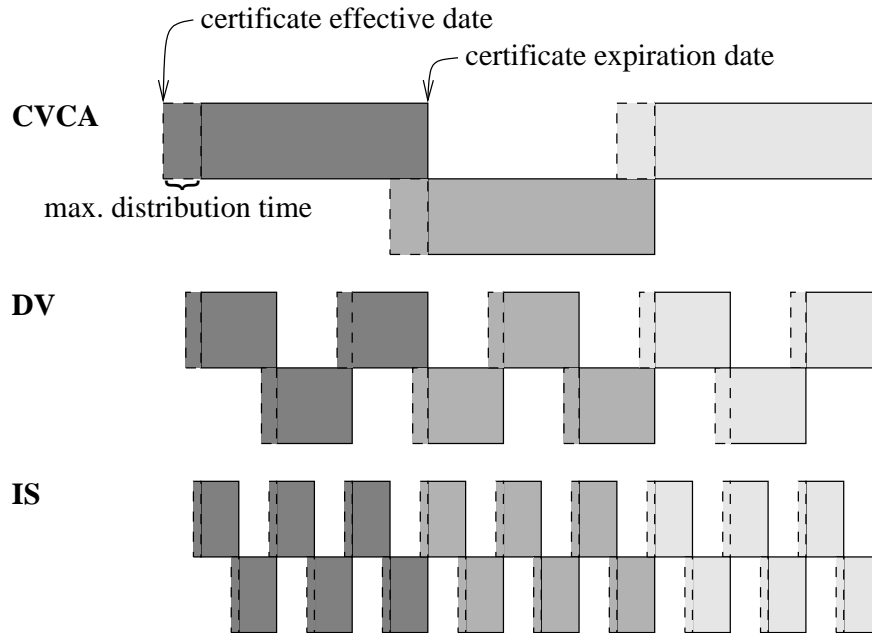


Figure 2.2.: Certificate Scheduling

both the access rights and the validity period from the Document Verifier Certificate, however, the Document Verifier **MAY** choose to further **restrict** the access rights or the validity period depending on the inspection system the certificate is issued for.

If a Document Verifier requires its inspection systems to access sensitive data stored on other States' MRTD chips, it **MUST** send a Certification Request (containing its Public key) to the respective State's CVCA in order to receive the required Document Verifier Certificate.

The Document Verifier **MUST** also ensure that all received Document Verifier Certificates are forwarded to the inspection systems within its domain.

### 2.2.3. Card Verifiable Certificates

CVCA Certificates, DV Certificates, and IS Certificates are to be validated by MRTD chips. Due to the computational restrictions of those chips, the certificates **MUST** be in a card verifiable format:

- The certificate format and profile is specified in Appendix A.3.1.
- The signature algorithm, domain parameters, and key sizes to be used are determined by the CVCA of the issuing State, i.e. the same signature algorithm, domain parameters and key sizes **MUST** be used within a certificate chain.<sup>1</sup>
- CVCA link certificates **MAY** include a public key that deviates from the current parameters, i.e. the CVCA **MAY** switch to a new signature algorithm, new domain parameters, or key sizes.

#### 2.2.3.1. Certificate Scheduling

Each certificate **MUST** contain a validity period. This validity period is identified by two dates, the *certificate effective date* and the *certificate expiration date*.

**Certificate Effective Date:** The certificate effective date **SHALL** be the date of the certificate generation.

<sup>1</sup>As a consequence Document Verifiers and inspection systems will have to be provided with several key pairs.

**Certificate Expiration Date:** The certificate expiration date MAY be arbitrarily chosen by the certificate issuer.

When generating certificates the issuer MUST carefully plan the renewal of certificates, as sufficient time for propagation of certificates and set up of certificate chains MUST be provided. Obviously, a new certificate must be generated before the current certificate expires. The resulting *maximum distribution time* equals the certificate expiration date of the old certificate minus the certificate effective date of the new certificate. Certificate scheduling is illustrated in Figure 2.2.

#### 2.2.3.2. Certificate Distribution

For distribution of CVCA and DV Certificates between States the communication channels specified in Appendix A.4 SHALL be used. The distribution of IS Certificates and the propagation of CVCA and DV Certificates within a State is out of the scope of this specification.

#### 2.2.4. Certificate Validation

To validate an IS Certificate, the MRTD chip must be provided with a certificate chain starting at the MRTD chip's trust-point. This trust-point is a more or less recent public key of the MRTD chip's CVCA. The initial trust-point is stored in the MRTD chip's secure memory in the production or (pre-) personalization phase.

As the key pair used by the CVCA changes over time, CVCA link certificates have to be produced. The MRTD chip is REQUIRED to internally update its trust-point according to received valid link certificates.

The MRTD chip MUST only accept *recent* IS Certificates. As the MRTD chip has no internal clock, the *current date* is approximated as described below. Thus, the MRTD chip only verifies that a certificate is *apparently* recent (i.e. with respect to the approximated current date).

**Current Date:** The current date stored on the MRTD chip is initially the date of the (pre-) personalization. This date is then autonomously approximated by the MRTD chip using the most recent certificate effective date contained in a valid CVCA Link Certificate, a DV Certificate or a domestic IS Certificate.

The following validation procedure MAY be used to validate a certificate chain. For each received certificate the MRTD chip performs the following steps:

1. The MRTD chip verifies the signature on the certificate. If the signature is incorrect, the verification fails.
2. The certificate expiration date is compared to the MRTD chip's current date. If the expiration date is before the current date, the verification fails.
3. The certificate is valid and the public key and the relevant attributes contained in the certificate are imported.
  - a) For CVCA Certificates:

The new CVCA public key is added to the list of trust-points stored in the MRTD chip's secure memory. The new trust-point is then *enabled*.
  - b) For DV and IS Certificates:

The new DV or IS public key is temporarily imported for subsequent certificate verification respectively Terminal Authentication.
4. For CVCA, DV, and domestic IS Certificates:

The certificate effective date is compared to the MRTD chip's current date. If the current date is before the effective date, the current date is *updated* to the effective date.

5. Expired trust-points stored in the MRTD chip's secure memory are *disabled* and may be removed from the list of trust-points.

The operations of *enabling* or *disabling* a CVCA public key and the operation of *updating* the current date MUST be implemented as an atomic operation.

**Note:** Due to the scheduling of CVCA certificates (cf. Figure 2.2), at most two trust-points need to be stored on the MRTD chip.

## 3. Protocol Specifications

In this section cryptographic protocols for Chip Authentication and Terminal Authentication are specified assuming an arbitrary communication infrastructure. A mapping to ISO 7816 commands is given in Appendix B.

### 3.1. Cryptographic Algorithms and Notation

The protocols are executed between two parties: the MRTD chip (PICC) and the inspection system (PCD). The following cryptographic operations and notations are used.

#### 3.1.1. Key Agreement

The keys and operations for key agreement are described in an algorithm-independent way. A mapping to DH and ECDH can be found in Appendix A.1.

##### 3.1.1.1. Keys

- The MRTD chip has a static Diffie-Hellman key pair (or Chip Authentication Key Pair). The public key is  $PK_{PICC}$ , the corresponding private key is  $SK_{PICC}$ , the domain parameters are  $\mathcal{D}_{PICC}$ .
- The inspection system generates an ephemeral Diffie-Hellman key pair for every new communication using the MRTD chip's domain parameters  $\mathcal{D}_{PICC}$ . The ephemeral public key is  $\widetilde{PK}_{PCD}$ , the corresponding private key is  $\widetilde{SK}_{PCD}$ .

**Note:** It is RECOMMENDED that the MRTD chip validates the ephemeral public key received from the inspection system.

##### 3.1.1.2. Operations

- Generating a shared secret  $K$  is denoted by  $\mathbf{KA}(SK_{PICC}, \widetilde{PK}_{PCD}, \mathcal{D}_{PICC})$  for the MRTD chip and  $\mathbf{KA}(\widetilde{SK}_{PCD}, PK_{PICC}, \mathcal{D}_{PICC})$  for the inspection system.

#### 3.1.2. Signatures

The keys and operations for signatures are described in an algorithm-independent way. A mapping to RSA and ECDSA can be found in Appendix A.2.

##### 3.1.2.1. Keys

- The inspection system has a static authentication key pair. The public key is  $PK_{PCD}$ , the corresponding private key is  $SK_{PCD}$ .

##### 3.1.2.2. Operations

- Signing a message  $m$  is denoted by  $s = \mathbf{Sign}(SK_{PCD}, m)$ .
- Verifying the resulting signature  $s$  is denoted by  $\mathbf{Verify}(PK_{PCD}, s, m)$ .

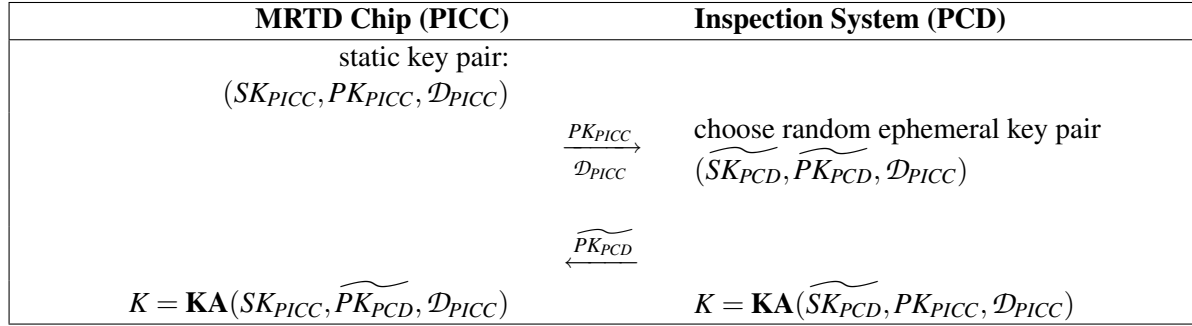


Figure 3.1.: Chip Authentication

## 3.2. Chip Authentication

The Chip Authentication Protocol is an ephemeral-static Diffie-Hellman key agreement protocol that provides secure communication and implicit unilateral authentication of the MRTD chip.

### 3.2.1. Protocol Specification

The following steps are performed by the inspection system and the MRTD chip, a simplified version is also shown in Figure 3.1:

1. The MRTD chip sends its static Diffie-Hellman public key  $PK_{PICC}$ , and the domain parameters  $\mathcal{D}_{PICC}$  to the inspection system.
2. The inspection system generates an ephemeral Diffie-Hellman key pair  $(\widetilde{SK}_{PCD}, \widetilde{PK}_{PCD}, \mathcal{D}_{PICC})$ , and sends the ephemeral public key  $\widetilde{PK}_{PCD}$  to the MRTD chip.
3. Both the MRTD chip and the inspection system generate the shared secret

$$K = \mathbf{KA}(SK_{PICC}, \widetilde{PK}_{PCD}, \mathcal{D}_{PICC}) = \mathbf{KA}(\widetilde{SK}_{PCD}, PK_{PICC}, \mathcal{D}_{PICC}).$$

4. The MRTD chip hashes the inspection system's ephemeral public key and stores  $H(\widetilde{PK}_{PCD})$ .

To verify the authenticity of the  $PK_{PICC}$  the inspection system SHALL perform Passive Authentication directly after Chip Authentication.

### 3.2.2. Security Status

If Chip Authentication was successfully performed Secure Messaging is restarted using session keys derived from  $K$ . Otherwise, Secure Messaging is continued using the previously established session keys (Basic Access Control).

**Note:** The genuineness of the MRTD chip is **implicitly verified** by its ability to perform Secure Messaging using the **new** session keys. This is accomplished by Passive Authentication as described above.

## 3.3. Terminal Authentication

The Terminal Authentication Protocol is a two move challenge-response protocol that provides explicit unilateral authentication of the inspection system.



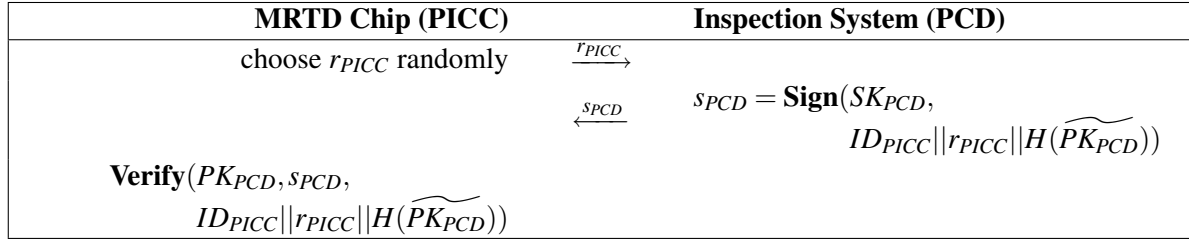


Figure 3.2.: Terminal Authentication

### 3.3.1. Protocol Specification

The following steps are performed by the inspection system and the MRTD chip, a simplified version is also shown in Figure 3.2:

1. The inspection system sends a certificate chain to the MRTD chip. The chain starts with a certificate verifiable with the CVCA public key stored on the chip and ends with the inspection system's IS Certificate.
2. The MRTD chip verifies the certificates and extracts the inspection system's public key  $PK_{PCD}$ . Then it sends the challenge  $r_{PICC}$  to the inspection system.
3. The inspection system responds with the signature

$$s_{PCD} = \text{Sign}(SK_{PCD}, ID_{PICC} || r_{PICC} || H(\widetilde{PK_{PCD}})).$$

4. The MRTD chip checks that

$$\text{Verify}(PK_{PCD}, s_{PCD}, ID_{PICC} || r_{PICC} || H(\widetilde{PK_{PCD}})) = \text{true}.$$

In this protocol  $ID_{PICC}$  is the MRTD chip's Document Number as contained in the MRZ and  $H(\widetilde{PK_{PCD}})$  is the hash value of the inspection system's ephemeral Diffie-Hellman public key from the Chip Authentication Protocol.

**Note:** All messages MUST be transmitted with secure messaging in Encrypt-then-Authenticate mode using session keys derived from the Chip Authentication Protocol.

### 3.3.2. Security Status

If Terminal Authentication was successfully performed, the MRTD chip grants access to the stored sensitive data according to the effective authorization level of the authenticated inspection system.

**Note:** Secure Messaging is not affected by Terminal Authentication.

## 4. Security & Privacy

In this section the formal correctness of the protocols is shown. Following the ideas proposed in [1] a transition from the *Authenticated Link Model* to the *Unauthenticated Link Model* is used to prove the security of the protocols.

**Authenticated Link Model:** The Authenticated Link Model is an idealized setting where all messages are a priori authenticated.

**Unauthenticated Link Model:** The Unauthenticated Link Model is the real-world setting where messages are unauthenticated.

The Authenticated Link Model restricts the adversary to attacks on the cryptographic primitive itself and to attacks that do not have impact on the security of the protocol (e.g. denial of service attacks). In this model key agreement would be sufficient to set up the secure channel. The security of the underlying Diffie-Hellman protocol is directly based on the assumption that the Computational Diffie-Hellman Problem is hard.

The transition from the Unauthenticated Link Model to the Authenticated Link Model is done by applying appropriate *Authenticators*, turning unauthenticated messages into authenticated messages. Actually, Chip Authentication and Terminal Authentication are such authenticators. Unfortunately, there is no clear definition of the properties of an authenticator in the literature and the corresponding security proofs are quite blurred. To make such proofs more transparent, we give a definition of an authenticator:

**Authenticator:** A message sent from an originator to a recipient shall be authenticated. It directly follows that the following three properties are sufficient for authentication of the message:

- **Origin:** The recipient must be able to identify the sender of the message.
- **Destination:** The originator must be able to indicate the intended recipient of the message.
- **Freshness:** The recipient must be able to check that the message is not a copy of a previous message.

### 4.1. Chip Authentication

Chip Authentication is similar to the cipher-based authenticator proposed in [1], also shown in Figure 4.1. It is a two-move protocol that is used to protect the message  $m_{P_{ICC}}$  sent from the MRTD chip to the inspection system by authenticating the message with a MAC.

To make the transition resulting from the application of the cipher-based authenticator to the basic Diffie-Hellman protocol more clear, consider that the encryption  $e_{PCD} = \mathbf{E}(PK_{P_{ICC}}, K)$  can be safely replaced by the ephemeral key  $\widetilde{PK_{PCD}}$ , because this is actually an encryption of  $K = \mathbf{KA}(\widetilde{SK_{PCD}}, PK_{P_{ICC}}, \mathcal{D}_{P_{ICC}})$  (see also Proposition 5 and Remark 1 in [1]).

- **Origin:** Computation of the MAC requires knowledge of the authentication key  $K$ . It directly follows from the Computational Diffie-Hellman assumption that only the MRTD chip (and the inspection system) can generate  $K$  from  $\widetilde{PK_{PCD}}$ .

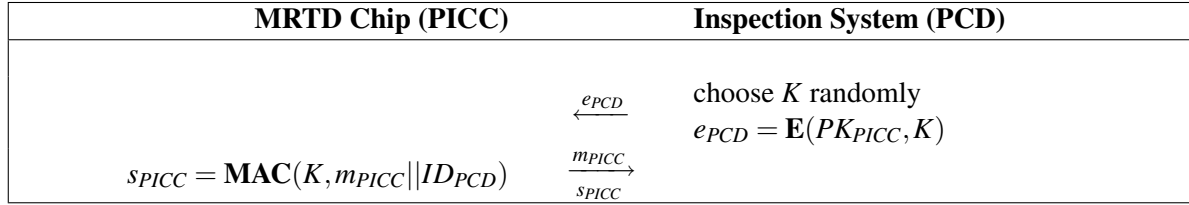


Figure 4.1.: Cipher-based Authenticator

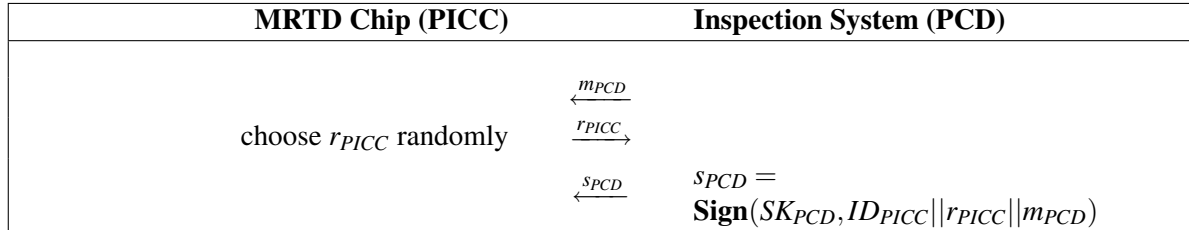


Figure 4.2.: Signature-based Authenticator

- **Destination:** The chip includes the identity of the inspection system in the MAC. If the inspection system remains anonymous, the distinguishing identifier  $ID_{PCD}$  can be removed from the MAC. In this case the message is intended for the inspection system that is able to verify the MAC (and thus has knowledge of  $K$ ).
- **Freshness:** If the the inspection system chooses the ephemeral key pair  $(\widetilde{SK_{PCD}}, \widetilde{PK_{PCD}})$  randomly and uniformly, the authentication key  $K$  is also generated randomly and uniformly.

#### 4.1.1. Summarized Properties

Chip Authentication has the following properties:

1. Implicit authentication of the MRTD chip.
2. Secure messaging with forward secrecy.<sup>1</sup>

#### 4.1.2. Remaining Risks

Chip Authentication alone does not necessarily guarantee that the MRTD chip contained in a presented travel document is genuine. To preclude sophisticated attacks Chip Authentication **MUST** be used in combination with Passive Authentication **and** by checking that the printed MRZ and DG 1 of the LDS [5] are equal.

### 4.2. Terminal Authentication

Terminal Authentication is the signature-based authenticator proposed in [1], also shown in Figure 4.2. It is a three-move protocol that is used to protect the integrity of the message  $m_{PCD}$  sent from the inspection system to the chip by authenticating the message with a signature.

- **Origin:** Computation of the signature  $s_{PCD}$  requires knowledge of the private key  $SK_{PCD}$ . Thus, only the inspection system can generate the signature.
- **Destination:** The inspection system includes the identity of the chip in the signature.

<sup>1</sup> Assuming that the inspection system chooses  $\widetilde{PK_{PCD}}$  randomly and erases the secret key  $\widetilde{SK_{PCD}}$  directly after generating the session keys, a compromise of the inspection system's static key pair does not affect the secrecy of past sessions.

- **Freshness:** If the chip chooses the challenge randomly and uniformly it is guaranteed that the signature  $s_{PCD}$  is recent, as the challenge is included in the signed data.

#### 4.2.1. Summarized Properties

Terminal Authentication has the following properties:

1. Explicit authentication of the inspection system.
2. Key confirmation for secure messaging.

#### 4.2.2. Remaining Risks

Terminal Authentication mitigates the risk introduced by lost or stolen inspection systems by authorizing an inspection system to access sensitive data only for a short period of time. Due to the approximation of the current date, sensitive data may be theoretically read by an already expired inspection system.

On the one hand, an infrequently used travel document is obviously more affected by such an attack. On the other hand, the attack is more difficult to mount on infrequently used travel document, as access to an MRTD chip still requires consent of the bearer which is enforced by Basic Access Control.

Furthermore, what cannot be prevented is an attacker being able to subvert an inspection system and gain access to sensitive data.

### 4.3. Challenge Semantics

Terminal Authentication is a challenge-response protocol based on digital signatures, which is obviously not free from challenge semantics. This potential attack is however less important, as the terminal is usually not concerned about its privacy.

Therefore, we only have to show that Chip Authentication and the cipher-based authenticator provide a non-transferable proof of knowledge. This can be done by showing that the protocol is simulatable without the chip's private key, and that the simulated transcript is indistinguishable from a real transcript. The simulation is trivial:

**Input:** The chip's static public key  $PK_{PICK}$ , the domain parameters  $\mathcal{D}_{PICK}$ , and a message  $m_{PICK}$ .

**Output:** The authenticated message  $s_{PICK} = \text{MAC}(K, m_{PICK} || ID_{PCD})$ , where the authentication key is  $K = \text{KA}(\widetilde{SK_{PCD}}, PK_{PICK}, \mathcal{D}_{PICK})$  and  $\widetilde{SK_{PCD}}$  is a randomly chosen ephemeral private key of the inspection system.

In other words, Chip Authentication is free from challenge semantics because the MAC is based on symmetric cryptography. Any party being able to verify the MAC is also able to compute the MAC.

## Appendix A.

# Key Management (Normative)

The Object Identifiers used in the following Appendices are contained in the subtree of bsi-de:

```
bsi-de OBJECT IDENTIFIER ::= {  
    itu-t(0) identified-organization(4) etsi(0)  
    reserved(127) etsi-identified-organization(0) 7  
}
```

### A.1. Chip Authentication Key Pair

#### A.1.1. Storage on the Chip

The Chip Authentication Key Pair **MUST** be stored on the MRTD chip.

- The Chip Authentication Private Key is stored in the MRTD chip's secure memory.
- The Chip Authentication Public Key is made available in DG 14 of the LDS [5].<sup>1</sup>

The content of DG 14 is the DER encoded `ChipAuthenticationPublicKeyInfos` specified as follows:

```
ChipAuthenticationPublicKeyInfos ::= SET of  
    ChipAuthenticationPublicKeyInfo  
  
ChipAuthenticationPublicKeyInfo ::= SEQUENCE {  
    protocol OBJECT IDENTIFIER,  
    chipAuthenticationPublicKey SubjectPublicKeyInfo,  
    keyId INTEGER OPTIONAL  
}
```

The data elements contained in a `ChipAuthenticationPublicKeyInfo` data structure have the following meaning:

- The `protocol` identifies the type of protocol to be used with this public key. Valid Object identifiers can be found below.
- The `chipAuthenticationPublicKey` contains the public key in encoded form. The specification of `SubjectPublicKeyInfo` can be found in [4].
- The optional `keyId` indicates the local id of the corresponding private key. This field **MUST** be used, if the private key to be used is not implicitly known to the MRTD chip.

---

<sup>1</sup>DG 14 is a reserved data group that was kindly assigned by ICAO for Chip Authentication.

Table A.1.: Algorithms and Formats for Chip Authentication

Algorithm / Format	DH	ECDH
Key Agreement Algorithm	PKCS#3 [17]	KAEG [8, 10, 3]
Public Key Format	PKCS#3 [17]	ECC [3]
Key Derivation Function	ICA0 3DES KDF [6, 3]	
Ephemeral Public Key Hash	SHA-1 [15]	X-Coordinate
Ephemeral Public Key Validation*	RFC 2631[16]	ECC [3]

\*Note that the validation of ephemeral public keys is OPTIONAL.

### A.1.2. Chip Authentication Object Identifier

The following Object Identifiers are used to identify the algorithm suite (i.e. public key format, key agreement algorithm and key derivation function) for Chip Authentication:

```
id-CA OBJECT IDENTIFIER ::= {
    bsi-de protocols(2) smartcard(2) 1
}

id-CA-DH OBJECT IDENTIFIER ::= {id-CA 1}
id-CA-ECDH OBJECT IDENTIFIER ::= {id-CA 2}
```

### A.1.3. Chip Authentication with DH

For Chip Authentication with DH the respective algorithms and formats from Table A.1 MUST be used.

**Note:** The algorithm recommended for the optional validation of ephemeral public keys requires the MRTD chip to have a more detailed knowledge of the domain parameters (i.e. the order of the used subgroup) than usually provided by PKCS#3.

### A.1.4. Chip Authentication with ECDH

For Chip Authentication with ECDH the respective algorithms and formats from Table A.1 MUST be used. The elliptic curve domain parameters MUST be described explicitly in the `SubjectPublicKeyInfo` structure, i.e. named curves and implicit domain parameters MUST NOT be used.

### A.1.5. Encoding of Ephemeral Public Keys

Ephemeral public keys MUST be described as plain, unstructured, BER encoded public key values, i.e. for DH the public key is an `INTEGER` [17] and for ECDH the public key is an uncompressed `ECPoint` [3].

**Note:** The domain parameters contained in the `SubjectPublicKeyInfo` structure of DG 14 MUST be used by the inspection system for the generation of an ephemeral public key.

## A.2. Terminal Authentication Key Pair

### A.2.1. Storage on the Chip

For each Terminal Authentication Public Key permanently or temporarily stored on the MRTD chip (c.f. Section B.2.5) the following additional data MUST be stored<sup>2</sup>:

---

<sup>2</sup>The format of the stored data is operating system dependent and out of the scope of this specification.

Table A.2.: Elementary File EF.CVCA

<b>File Name</b>	EF.CVCA
<b>File ID</b>	0x011C
<b>Short File ID</b>	0x1C
<b>Content</b>	$CAR_i[  CAR_{i-1}][  0x00..00]$

- The name of the public key.
- The effective role (i.e. CVCA, DV, or IS) and the effective authorization of the holder of the corresponding private key (cf. Appendix A.3.4).
- The certificate effective date.
- The certificate expiration date.

Furthermore, the MRTD chip **MUST** make the names of trusted CVCA public keys available to inspection systems in a transparent elementary file as specified in Table A.2. This file contains a sequence of Certification Authority Reference data objects (cf. Appendix A.3.3.4) structured as follows:

- It **SHALL** contain at most two Certification Authority Reference data objects.
- The most recent Certification Authority Reference **SHALL** be the first data object in this list.
- The file **MAY** be padded by appending zeros.

### A.2.2. Terminal Authentication Object Identifier

The following Object Identifiers are used to identify the algorithm suite (i.e. public key format, signature algorithm and signature format) for Terminal Authentication:

```

id-TA OBJECT IDENTIFIER ::= {
    bsi-de protocols(2) smartcard(2) 2
}

id-TA-RSA OBJECT IDENTIFIER ::= {id-TA 1}
TA-RSA-v1_5-SHA-1 OBJECT IDENTIFIER ::= {id-TA-RSA 1}
TA-RSA-v1_5-SHA-256 OBJECT IDENTIFIER ::= {id-TA-RSA 2}
TA-RSA-PSS-SHA-1 OBJECT IDENTIFIER ::= {id-TA-RSA 3}
TA-RSA-PSS-SHA-256 OBJECT IDENTIFIER ::= {id-TA-RSA 4}

id-TA-ECDSA OBJECT IDENTIFIER ::= {id-TA 2}
TA-ECDSA-SHA-1 OBJECT IDENTIFIER ::= {id-TA-ECDSA 1}
TA-ECDSA-SHA-224 OBJECT IDENTIFIER ::= {id-TA-ECDSA 2}
TA-ECDSA-SHA-256 OBJECT IDENTIFIER ::= {id-TA-ECDSA 3}

```

Further details on the algorithms and formats are specified in the following sections.

### A.2.3. Terminal Authentication with RSA

For Terminal Authentication with RSA the following algorithms and formats **MUST** be used:

**Signature Algorithm:** RSA [14, 18] as specified in Table A.3.

Table A.3.: Object Identifiers for Terminal Authentication with RSA

OID	Signature	Hash	Parameters
TA-RSA-v1_5-SHA-1	RSASSA-PKCS1-v1_5	SHA-1	N/A
TA-RSA-v1_5-SHA-256	RSASSA-PKCS1-v1_5	SHA-256	N/A
TA-RSA-PSS-SHA-1	RSASSA-PSS	SHA-1	default
TA-RSA-PSS-SHA-256	RSASSA-PSS	SHA-256	default

Table A.4.: Object Identifiers for Terminal Authentication with ECDSA

OID	Signature	Hash
TA-ECDSA-SHA-1	ECDSA	SHA-1
TA-ECDSA-SHA-224	ECDSA	SHA-224
TA-ECDSA-SHA-256	ECDSA	SHA-256

**Public Key Format:** The public key consists of three mandatory DER encoded data objects in fixed order (cf. [13]):

- The respective Object Identifier from Table A.3 (Tag 0x06)
- The composite modulus  $n$  (Tag 0x81)
- The public exponent  $e$  (Tag 0x82)

The length of the modulus  $n$  SHALL be at least 1024 bit and a multiple of 512 bit.

#### A.2.4. Terminal Authentication with ECDSA

For Terminal Authentication with ECDSA the following algorithms and formats MUST be used:

**Signature Algorithm:** ECDSA with plain signature format [8, 9, 3] as specified in Table A.4.

**Public Key Format:** The public key consists of two mandatory DER encoded data objects and six optional domain parameters<sup>3</sup> in fixed order (cf. [13, 3]):

- The respective Object Identifier from Table A.4 (REQUIRED, Tag 0x06)
- The prime modulus  $p$  (OPTIONAL, Tag 0x81)
- The first coefficient  $a$  (OPTIONAL, Tag 0x82)
- The second coefficient  $b$  (OPTIONAL, Tag 0x83)
- The base point  $G$  (OPTIONAL, Tag 0x84)
- The order of the base point  $r$  (OPTIONAL, Tag 0x85)
- The public point  $Y$  (REQUIRED, Tag 0x86)
- The cofactor  $f$  (OPTIONAL, Tag 0x87)

Domain parameters SHALL be taken from [3].

---

<sup>3</sup>All optional domain parameters MUST be either present or absent. If the domain parameters are omitted, they are assumed to be implicitly known.



Table A.5.: CV Certificate Profile

Data Object	Cert	Req
CV Certificate	m	m
Certificate Body	m	m
Certificate Profile Identifier	m	m
Certification Authority Reference	m	x
Public Key	m	m
Certificate Holder Reference	m	m
Certificate Holder Authorization	m	x
Certificate Effective Date	m	x
Certificate Expiration Date	m	x
Signature	m	m

m: mandatory, x: must not be used

### A.3. Certificates and Requests

#### A.3.1. CV Certificate Profile

The certificates  $C_{CVCA}$ ,  $C_{DV}$  and  $C_{IS}$  are self-descriptive Card-Verifiable Certificates (CV certificates). For details on CV certificates see [11, 12, 13]. Those certificates are defined as a sequence of DER encoded data objects (with fixed order) as specified in Table A.5. The signature is created over the **complete** certificate body (i.e. including tag and length).

#### A.3.2. CV Certificate Requests

A CV Certificate Request **Req** is a reduced, self-signed CV certificate. The sequence of data objects (with fixed order) is also specified in Table A.5. The signature is created over the **complete** certificate body (i.e. including tag and length).

If a DV applies for a successive certificate, the DV MUST sign the request with the private key of the previous key pair registered with that CVCA. An authentication data object is used to nest the CV Certificate and the additional signature created over the **complete** CV Certificate (i.e. including tag and length).

#### A.3.3. Data Objects

In the following sections the format and encoding of data objects used in CV Certificates is described in more detail.

##### A.3.3.1. CV Certificate

<b>Tag</b>	0x7F21
<b>Purpose</b>	Nests certificate body and signature.
<b>Format</b>	-

##### A.3.3.2. Certificate Body

<b>Tag</b>	0x7F4E
<b>Purpose</b>	Nests data objects of the certificate body.
<b>Format</b>	-

**A.3.3.3. Certificate Profile Identifier**

<b>Tag</b>	0x5F29
<b>Purpose</b>	Version of the certificate format, MUST be 0 (Version 1).
<b>Format</b>	Binary encoding in 1 byte.

**A.3.3.4. Certification Authority Reference**

<b>Tag</b>	0x42
<b>Purpose</b>	Uniquely identifies the issuing CA's signature key pair.
<b>Format</b>	An ISO 8859-1 encoded string of up to 16 characters. It consists of a concatenation of the ISO 3166-1 ALPHA-2 country code of the issuer, the name of the issuer, and the sequence number of the key pair.

**A.3.3.5. Public Key**

<b>Tag</b>	0x7F49
<b>Purpose</b>	Stores the encoded public key.
<b>Format</b>	The format for RSA and ECDSA public keys is specified in the Appendices A.2.3 and A.2.4, respectively.

**A.3.3.6. Certificate Holder Reference**

<b>Tag</b>	0x5F20
<b>Purpose</b>	Associates the public key contained in the certificate with a unique name.
<b>Format</b>	An ISO 8859-1 encoded string of up to 16 characters, which consists of a concatenation of the ISO 3166-1 ALPHA-2 country code of the certificate holder, the name of the certificate holder, and the sequence number of the key pair.

**A.3.3.7. Certificate Holder Authorization<sup>4</sup>**

<b>Tag</b>	0x7F4C
<b>Purpose</b>	Encodes the role of the holder (i.e. CVCA, DV, IS) and assigns read/write access rights to data groups storing sensitive data
<b>Format</b>	An Object Identifier concatenated with a discretionary data object (cf. Appendix A.3.4).

**A.3.3.8. Certificate Effective Date**

<b>Tag</b>	0x5F25
<b>Purpose</b>	The date of the certificate generation.
<b>Format</b>	YYMMDD (GMT) encoded as unpacked BCDs. The year YY is encoded in two digits and to be interpreted as 20YY, i.e. the year is in the range of 2000 to 2099.

**A.3.3.9. Certificate Expiration Date**

<b>Tag</b>	0x5F24
<b>Purpose</b>	The date after which the certificate expires.
<b>Format</b>	YYMMDD (GMT) encoded as unpacked BCDs. The year YY is encoded in two digits and to be interpreted as 20YY, i.e. the year is in the range of 2000 to 2099.

---

<sup>4</sup>Note: The tag 0x7F4C is not yet defined by ISO/IEC 7816. The allocation is requested.

**A.3.3.10. Discretionary Data**

<b>Tag</b>	0x53
<b>Purpose</b>	Data to determine the authorization of the certificate holder.
<b>Format</b>	Identified by an Object Identifier.

**A.3.3.11. Signature**

<b>Tag</b>	0x5F37
<b>Purpose</b>	Digital Signature produced by an asymmetric cryptographic algorithm.
<b>Format</b>	Binary encoding.

**A.3.3.12. Authentication**

<b>Tag</b>	0x67
<b>Purpose</b>	Nests a certificate request for a successive certificate with an additional signature.
<b>Format</b>	-

**A.3.3.13. Object Identifier**

<b>Tag</b>	0x06
<b>Purpose</b>	Unique identifier for various purposes.
<b>Format</b>	BER encoded ASN.1 Object Identifier. Note that the tag 0x06 is already part of the BER encoding.

**A.3.4. Authorization**

The authorization of the holder of the private key corresponding to a certificate is encoded in the Certificate Holder Authorization. The Object Identifier contained in this data object specifies the format and the rules for the evaluation of the authorization level. For Terminal Authentication, the following Object Identifier SHALL be used:

```
id-role-EAC OBJECT IDENTIFIER ::= {
    bsi-de applications(3) mrttd(1) roles(2) 1
}
```

**A.3.4.1. Relative Authorization**

The *relative authorization* of a certificate holder is encoded in single byte which is to be interpreted as binary bit map as shown in Table A.6. In more detail, this bit map contains a role and access rights. Both are relative to the authorization of all previous certificates in the chain.

**A.3.4.2. Effective Authorization**

To determine the *effective authorization* of a certificate holder, the MRTD chip MUST calculate a bitwise Boolean 'and' of the *relative authorization* contained in the current certificate and effective authorization of the previous certificate in the chain. As the certificate chain always starts with the CVCA public key stored on the MRTD chip, the initial value for the effective authorization is set to the (relative) authorization of the CVCA stored on the chip.

Table A.6.: Encoding of Roles and Access Rights

7	6	5	4	3	2	1	0	Description
x	x	-	-	-	-	-	-	<b>Role</b>
1	1	-	-	-	-	-	-	CVCA
1	0	-	-	-	-	-	-	DV (domestic)
0	1	-	-	-	-	-	-	DV (foreign)
0	0	-	-	-	-	-	-	IS
-	-	x	x	x	x	x	x	<b>Access Rights</b>
-	-	0	0	0	0	-	-	RFU
-	-	-	-	-	-	1	-	Read access to DG 4 (Iris)
-	-	-	-	-	-	-	1	Read access to DG 3 (Fingerprint)

#### A.3.4.3. Access Rights

The effective authorization is to be interpreted by the MRTD chip as follows:

- The effective role is a CVCA:
  - This link certificate was issued by the national CVCA.
  - The MRTD chip MAY update its internal trust-point, i.e. the public key and the effective authorization.
  - The certificate issuer is a trusted source of time and the MRTD chip MUST update its current date using the Certificate Effective Date.
  - The MRTD chip MUST NOT grant the CVCA extended access to sensitive data (i.e. the effective access rights SHOULD be ignored).
- The effective role is a DV:
  - The certificate was issued by the national CVCA for an authorized DV.
  - The certificate issuer is a trusted source of time and the MRTD chip MUST update its current date using the Certificate Effective Date.
  - The MRTD chip MUST NOT grant a DV extended access to sensitive data (i.e. the effective access rights SHOULD be ignored).
- The effective role is an IS:
  - The certificate was issued by either a domestic or a foreign DV.
  - If the certificate was issued by a domestic DV, the issuer is a trusted source of time and the MRTD chip MUST update its current date using the Certificate Effective Date.
  - The MRTD chip MUST grant the **authenticated** IS extended access to sensitive data according to the effective access rights.

### A.4. CVCA Communication Channels

A robust communication channel is required for all key management tasks (e.g. distribution of new CVCA link certificates and DV Certificate Requests/Responses). Email SHALL be the primary communication channel with a CVCA, however States MAY specify additional online or offline communication channels at their own discretion.

### **A.4.1. Email**

If email is used as communication channel, messages with the following format and where appropriate MIME compliant attachments **MUST** be used. It is further **RECOMMENDED** that the sender of a message requests a receipt to ensure that the message was received correctly. If a receipt was requested but no response is received within an appropriate time interval the sender **MAY** resend the message on the primary or on any secondary communication channel.

**Note:** Receipts are not signed, and therefore not guaranteed to be authentic.

#### **A.4.1.1. Register**

Subject: Register

Body: URLs to be used to contact this state

Attachments: none

#### **A.4.1.2. CVCA Certificate**

Subject: CVCA Certificate

Body: Unspecified

Attachments: CVCA Link Certificate(s)

#### **A.4.1.3. DV Certification Request**

Subject: DV Certification Request

Body: Unspecified

Attachments: Certificate Request(s)

#### **A.4.1.4. DV Certificate**

Subject: [Reply to] DV Certification Request

Body: The reason for not issuing a DV certificate (if a certificate was not issued)

Attachments: DV Certificate(s) (if at least one certificate was issued)

## Appendix B.

### ISO 7816 Mapping (Normative)

In this Appendix the protocols for Chip Authentication and Terminal Authentication are mapped to ISO 7816 APDUs (Application Program Data Units) [11].

#### B.1. Chip Authentication

The Chip Authentication Protocol is implemented by the following commands.

##### B.1.1. MSE:Set KAT

###### Command

CLA	0x0C	
INS	0x22	Manage Security Environment
P1	0x41	Set for computation
P2	0xA6	Key Agreement Template
Lc		Length of subsequent data field
Data	0x91	Random number data object containing the encoded $\widetilde{PK_{PCD}}$ (cf. Section A.1).
	0x84	Private key reference data object. This data object is REQUIRED if the private key is ambiguous, i.e. more than one key pair is available for Chip Authentication.
Le	–	Absent

###### Response

Data	–	Absent
Status Bytes	0x9000	The key agreement operation was successfully performed.
	0x6A80	The validation of the ephemeral public key has failed (“Incorrect Parameters in the command data field”).

##### B.1.2. Secure Messaging

Only **after** a successful MSE:Set KAT secure messaging is restarted using the new session keys derived from the key agreement operation, i.e.

- The old session keys and the old SSC are used to protect the response of the MSE:Set KAT command.
- The Send Sequence Counter is set to zero (SSC=0).
- The new session keys and the new SSC are used to protect subsequent commands/responses.

## B.2. Terminal Authentication

Terminal Authentication is implemented by the following commands.

### B.2.1. MSE:Set DST/AT

#### Command

CLA	0x0C	
INS	0x22	Manage Security Environment
P1	0x81	Set for verification / external authentication
P2	0xB6 or 0xA4	Digital Signature Template or Authentication Template, respectively.
Lc		Length of subsequent data field
Data	0x83	Control reference data object containing the ISO 8859-1 encoded name of the public key to be set.
Le	–	Absent

#### Response

Data	–	Absent
Status Bytes	0x9000	The key was selected for the given purpose. Note that some operating systems accept the selection of an unavailable public key and return an error only when the public key is used for the selected purpose.
	0x6A88	The selection failed as the public key is not available (“Referenced data not found”).

### B.2.2. PSO: Verify Certificate

#### Command

CLA	0x0C	
INS	0x2A	Perform Security Operation
P1	0x00	
P2	0xBE	Verify Certificate, self-descriptive
Lc		Length of subsequent data field
Data	0x7F4E 0x5F37	The body of the certificate to be verified. The corresponding signature.
Le	–	Absent

#### Response

Data	–	Absent
Status Bytes	0x9000	The certificate was successfully validated and the public key was imported.
	other	If the certificate was not accepted, the MRTD chip responds with an operating system dependent error code.

### B.2.3. Get Challenge

#### Command

CLA	0x0C	
INS	0x84	Get Challenge
P1	0x00	
P2	0x00	
Lc	–	Absent
Data	–	Absent
Le	0x08	

#### Response

Data	<i>r<sub>PICC</sub></i>	8 bytes of randomness.
Status Bytes	0x9000	Normal operation.

### B.2.4. External Authenticate

#### Command

CLA	0x0C	
INS	0x82	External Authenticate
P1	0x00	Algorithm implicitly known
P2	0x00	Key implicitly known
Lc		Length of subsequent data field
Data		Signature generated by the inspection system.
Le	–	Absent

#### Response

Data	–	Absent
Status Bytes	0x9000	Access to data groups will be granted according to the effective authorization of the corresponding verified certificate.
	other	If the authentication was not successful, the MRTD chip responds with an operating system dependent error code.

### B.2.5. Public Key Import

Public keys contained in CVCA link certificates SHALL be **permanently** imported by the MRTD chip. An expired permanently imported public key MAY be overwritten by a subsequent permanently imported public key (cf. Section 2.2.4).

Public keys contained in DV and IS certificates SHALL be **temporarily** imported by the MRTD chip. A temporarily imported public key SHALL fulfill the following conditions:

- It SHALL NOT be selectable or usable after a power down of the MRTD chip.
- It MUST remain usable until the subsequent cryptographic operation is successfully completed (i.e. PSO: VERIFY CERTIFICATE or EXTERNAL AUTHENTICATE).
- It MAY be overwritten by a subsequent temporarily imported public key. An inspection system MUST NOT make use of any temporarily imported public key but the most recently imported.

Further (card OS specific) mechanisms that may be used to handle imported public keys (e.g. MSE: RESTORE) are out of the scope of this specification and SHOULD NOT be used by inspection systems.



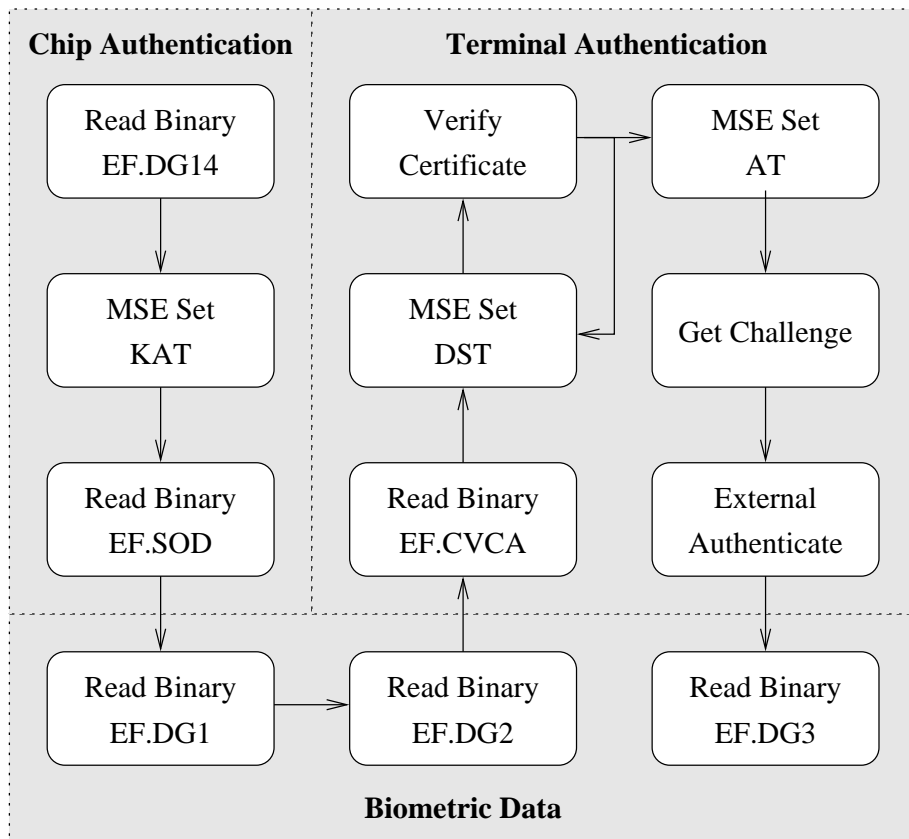


Figure B.1.: Command Flow

### B.3. Command Flow

The sequence of ISO 7816 commands required to implement the Advanced Inspection Procedure described in Section 2.1 is illustrated in Figure B.1. In this example the MRZ (DG1), the facial image (DG2), and the fingerprints (DG3) are read from the MRTD chip. It is assumed that the LDS application is already selected and Basic Access Control was successfully performed.

### B.4. Extended Length

Depending on the size of the ephemeral Chip Authentication Public Key and/or CV Certificates, APDUs with extended length fields **MUST** be used to send this data to the MRTD chip. For details on extended length see [11].

While all inspection systems **MUST** support extended length, MRTD chips need not support extended length unless the cryptographic algorithms and key sizes selected by the issuing state require the use of extended length.

If the MRTD chip supports extended length this **MUST** be indicated in the historical bytes of the ATR/ATS or in the EF.ATR as specified in [11].

## Appendix C.

### Basic Access Control (Informative)

The protocol for Basic Access Control is specified by ICAO [6]. Basic Access Control checks that the inspection system has *physical* access to the MRTD's data page. This is enforced by requiring the inspection system to derive an authentication key from the *optically* read MRZ of the MRTD. The protocol for Basic Access Control is based on ISO/IEC 11770-2 [7] key establishment mechanism 6. This protocol is also used to generate session keys that are used to protect the confidentiality (and integrity) of the transmitted data.

#### C.1. Document Basic Access Keys

The Document Basic Access Keys  $K_{ENC}$  and  $K_{MAC}$  stored on the RF-chip in secure memory, have to be derived by the inspection system from the MRZ of the MRTD prior to accessing the RF-chip. Therefore, the inspection system optically reads the MRZ and generates the Document Basic Access Keys by applying the ICAO KDF [6] to the most significant 16 bytes of the SHA-1 [15] hash of some fields of the MRZ. As reading the MRZ optically is error-prone, only the fields protected by a check-digit are used to generate the Basic Access Key(s): Document Number, Date of Birth, and Date of Expiry. As a consequence the resulting authentication key has a relatively low entropy. The actual entropy mainly depends on the type of the Document Number. For 10 year valid travel document the **maximum** strength of the authentication key is approximately:

- 56 Bit for a numeric Document Number ( $365^2 \cdot 10^{12}$  possibilities)
- 73 Bit for an alphanumeric Document Number ( $365^2 \cdot 36^9 \cdot 10^3$  possibilities)

**Note:** Especially in the second case this estimation requires the Document Number to be randomly and uniformly chosen. Depending on the knowledge of the attacker, the actual entropy of the Document Basic Access Key may be lower, e.g. if the attacker knows all Document Numbers in use or is able to correlate Document Numbers and Dates of Expiry.

Given that in the first case the maximum entropy (56 Bit) is relatively low, calculating the authentication key from an eavesdropped session is possible. On the other hand, this still requires more effort than to obtain the same (less-sensitive) data from another source.

#### C.2. Protocol Specification

The Basic Access Control Protocol is shown in Figure C.1. For better readability encryption and message authentication are combined into a single authenticated encryption primitive

$$\mathbf{E}_K(S) = \mathbf{E}'_{K_{ENC}}(S) || \mathbf{MAC}_{K_{MAC}}(\mathbf{E}'_{K_{ENC}}(S)),$$

where  $K = \{K_{ENC}, K_{MAC}\}$ .

1. The MRTD chip sends the nonce  $r_{PICC}$  to the inspection system.

MRTD Chip (PICC)	Inspection System (PCD)
choose $r_{PICC}$ and $K_{PICC}$ randomly	read MRZ optically and derive $K$ choose $r_{PCD}$ and $K_{PCD}$ randomly
$\xrightarrow{r_{PICC}}$	$\xleftarrow{e_{PCD}}$
$r'_{PCD}    r'_{PICC}    K'_{PCD} = \mathbf{D}_K(e_{PCD})$ check $r'_{PICC} = r_{PICC}$	$e_{PCD} = \mathbf{E}_K(r_{PCD}    r_{PICC}    K_{PCD})$
$e_{PICC} = \mathbf{E}_K(r_{PICC}    r'_{PCD}    K_{PICC})$	$\xrightarrow{e_{PICC}}$
	$r'_{PICC}    r''_{PCD}    K'_{PICC} = \mathbf{D}_K(e_{PICC})$ check $r''_{PCD} = r_{PCD}$

Figure C.1.: Basic Access Control

- The inspection system sends the encrypted challenge

$$e_{PCD} = \mathbf{E}_K(r_{PCD} || r_{PICC} || K_{PCD})$$

to the MRTD chip, where  $r_{PICC}$  is the MRTD chip's nonce,  $r_{PCD}$  is the inspection system's randomly chosen nonce, and  $K_{PCD}$  is keying material for the generation of the session keys.

- The MRTD chip performs the following actions:

- It decrypts the received challenge to  $r'_{PCD} || r'_{PICC} || K'_{PCD} = \mathbf{D}_K(e_{PCD})$  and verifies that  $r'_{PICC} = r_{PICC}$ .
- It responds with the encrypted challenge  $e_{PICC} = \mathbf{E}_K(r_{PICC} || r'_{PCD} || K_{PICC})$ , where  $r_{PICC}$  is the MRTD chip's randomly chosen nonce and  $K_{PICC}$  is keying material for the generation of the session keys.

- The inspection system decrypts the encrypted challenge to  $r'_{PICC} || r''_{PCD} || K'_{PICC} = \mathbf{D}_K(e_{PICC})$  and verifies that  $r''_{PCD} = r_{PCD}$ .

After a successful authentication all further communication MUST be protected by Secure Messaging in Encrypt-then-Authenticate mode using session keys derived according to [6] from the common master secret  $K_{PICCB} = K_{PICC} \oplus K_{PCD}$ .

**Note:** The keys  $K_{PICC}$  and  $K_{PCD}$  are different from  $K_{PICC}$  and  $K_{PCD}$  in the rest of the paper.

## Appendix D.

### Challenge Semantics (Informative)

Consider a signature based challenge-response protocol between an MRTD chip (PICC) and an inspection system (PCD), where the MRTD chip wants to prove knowledge of its private key  $SK_{PICC}$ :

1. The inspection system sends a randomly chosen challenge  $c$  to the MRTD chip.
2. The MRTD chip responds with the signature  $s = \mathbf{Sign}(SK_{PICC}, c)$ .

While this is a very simple and efficient protocol, the MRTD chip in fact signs the message  $c$  without knowing the semantic of this message. As signatures provide a transferable proof of authenticity, any third party can – in principle – be convinced that the MRTD chip has indeed signed this message.

Although  $c$  should be a random bit string, the inspection system can as well generate this bit string in an unpredictable but (publicly) verifiable way, e.g. let  $SK_{PCD}$  be the inspection system's private key and

$$c = \mathbf{Sign}(SK_{PCD}, ID_{PICC} || \text{Date} || \text{Time} || \text{Location}),$$

be the challenge generated by using a signature scheme with message recovery. The signature guarantees that the inspection system has indeed generated this challenge. Due to the transferability of the inspection system's signature, any third party having trust in the inspection system and knowing the corresponding public key  $PK_{PCD}$  can check that the challenge was created correctly by verifying this signature. Furthermore, due to the transferability of MRTD chip's signature on the challenge, the third party can conclude that the assertion became true: The MRTD chip was indeed at a certain date and time at a certain location.

On the positive side, countries may use Challenge Semantics for their internal use, e.g. to prove that a certain person indeed has immigrated. On the negative side such proves can be misused to track persons. In particular since Active Authentication is not restricted to authorized inspection systems misuse is possible. The worst scenario would be MRTD chips that provide Active Authentication without Basic Access Control. In this case a very powerful tracking system may be set up by placing secure hardware modules at prominent places. The resulting logs cannot be faked due to the signatures. Basic Access Control diminishes this problem to a certain extent, as interaction with the bearer is required. Nevertheless, the problem remains, but is restricted to places where the travel document of the bearer is read anyway, e.g. by airlines, hotels etc.

One might object that especially in a contactless scenario, challenges may be eavesdropped and reused at a different date, time or location and thus render the proof at least unreliable. While eavesdropping challenges is technically possible, the argument is still invalid. By assumption an inspection system is trusted to produce challenges correctly and it can be assumed that it has checked the MRTD chip's identity before starting the Active Authentication Protocol. Thus, the eavesdropped challenge will contain an identity different from the prover's identity who signs the challenge.

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