

# UN/CEFACT Recommendation 14 Revision Working Group

## “Authentication of Trade Documents”

**Dr. Lance THOMPSON**, Conex &  
Rec14 Revision W.G. Chair

**Josephine BAIAMONTE**, US-CBP &  
Rec14 Revision W.G. Editory

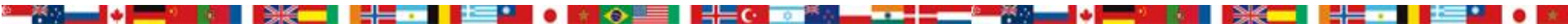
Public Review  
UN/CEFACT Forum Sardinia  
October 15, 2014 morning



# Recommendation 14 revision WG meeting

## Proposed schedule

- |       |   |
|-------|---|
| 09:00 | Presentation of Rec14 final draft                   |
| 09:20 | Public Review Procedure                             |
| 09:30 | Project of Repository of Annex B                    |
| 09:45 | NIPA project on e identification & interoperability |
| 10:30 | Coffee break  |
| 11:00 | Discussion on e-signature / e-ID within UN/CEFACT   |
| 12:00 | Other points  |



# Main recommended practice

- 1979 version of this recommendation:
  - Seeks to encourage the use of electronic data transfer in domestic & cross border trade
  - Remove (all methods of) signatures where possible
  - Meet requirements through authentication methods or guarantees that can be electronically transmitted



# Main recommended practice

- 2013 (/2014) version of this recommendation:
  - removal of the requirement for a signature (manual or its functional equivalent) except where essential for the function of the document
  - introduction of other methods to authenticate documents
  - creation of a legal framework that permits and gives equal status to authentication methods other than manual-ink signature
  - regular review of documentation used for domestic and cross border trade, possibly by a joint public and private sector effort



# Recommendation title

- 1979 title:
  - “Authentication of Trade Documents by Means Other Than a Signature”
- Revised title:
  - “Authentication of Trade Documents”
- Result of this change:
  - Some delays to enter public review
  - Will probably become a “new” recommendation (with a new number)



# Definitions and terms

- Aligned as much as possible to UNCITRAL key terms
- Compliant with existing UN/CEFACT Recommendations
- Some of the key terms:
  - Signature (definition & functions)
  - Authentication/Authenticate
  - Electronic Signature
  - Digital Signature



# Electronic signature vs. Digital signature

- These two terms are NOT interchangeable.
- Electronic signature:
  - A generic term which makes no reference to any technological choice.
- Digital signature:
  - Implies a technological choice (solutions with asymmetrical encryption such as Public Key Infrastructure, PKI)
  - A “digital signature” is a form of electronic signature.



# Levels of reliability

- Reliability was chosen over the words
  - Authentication (which is a term used by ISO and “levels of authentication” already have a specific meaning in this context)
  - Trust (which is a term that has specific meaning in the electronic authentication environment and implies a higher level of reliability from the outset)
- This choice was motivated by the UNCITRAL Model Law on Electronic Commerce:
  - The chosen method of authentication should be “as reliable as was appropriate for the purpose for which the data message was generated or communicated, in the light of all the circumstances, including any relevant agreement.”
    - Article 7.1, UNCITRAL “Model Law on Electronic Commerce with Guide to Enactment 1996 with additional article 5 bis as adopted in 1998” United Nations, New York, 1999, p.5-6. Available as of March 2013 at [http://www.uncitral.org/uncitral/en/uncitral\\_texts/electronic\\_commerce/1996Model.html](http://www.uncitral.org/uncitral/en/uncitral_texts/electronic_commerce/1996Model.html).





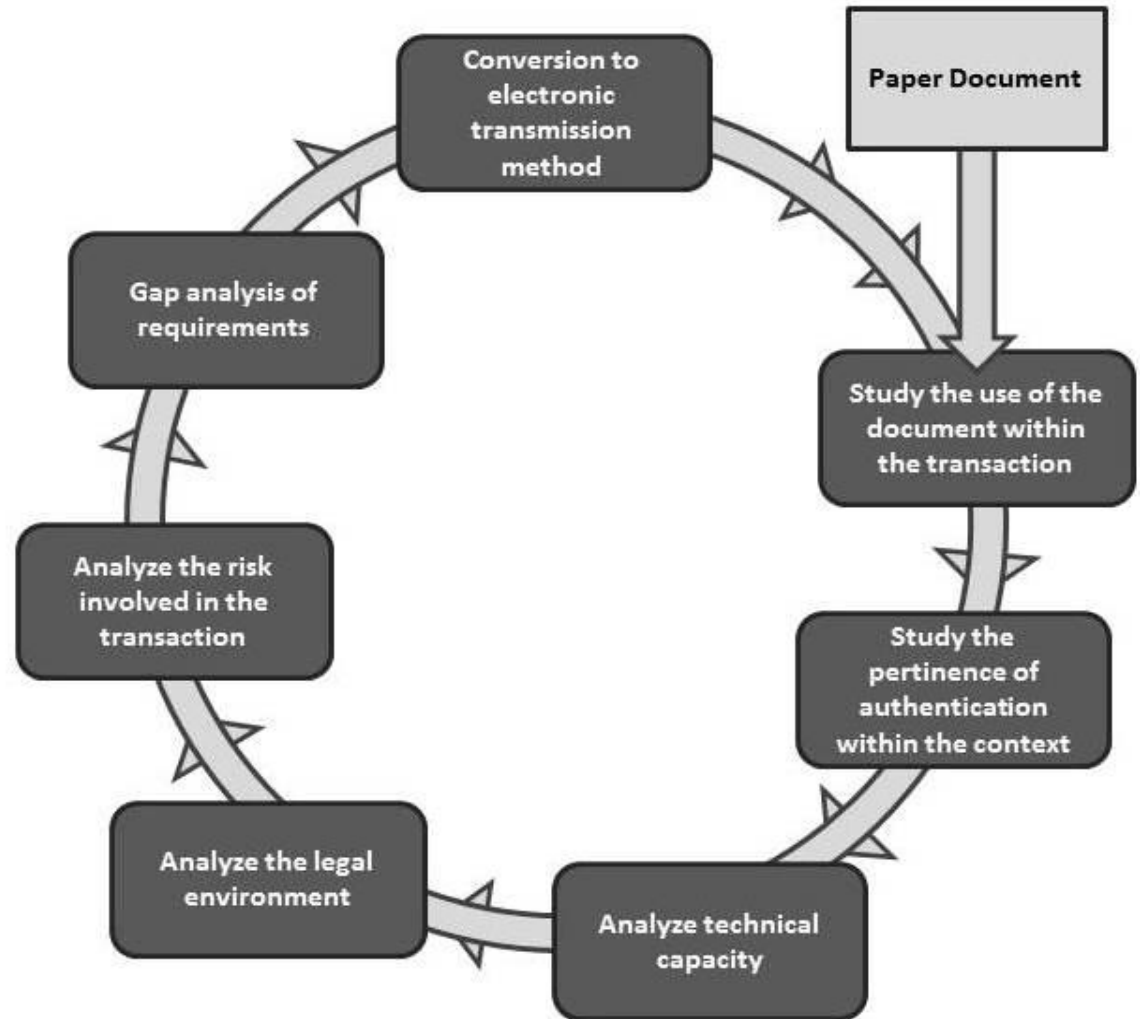
# Technology neutrality

- UN/CEFACT (as well as UNCITRAL) promotes technology neutrality.
  - Legislation should not discriminate between forms of technology.
  - Technological guidance should be based on minimal requirements – with the possibility of responding to these requirements with various functionally equivalent solutions
- The recommendation lists some technical implementations, but provides no preference for any of these.



# Regular Document Review

- Annex A2, we have suggested a 'virtuous circle' for documentation review.
  - This schema was developed in view of being reused in other recommendations in the future.

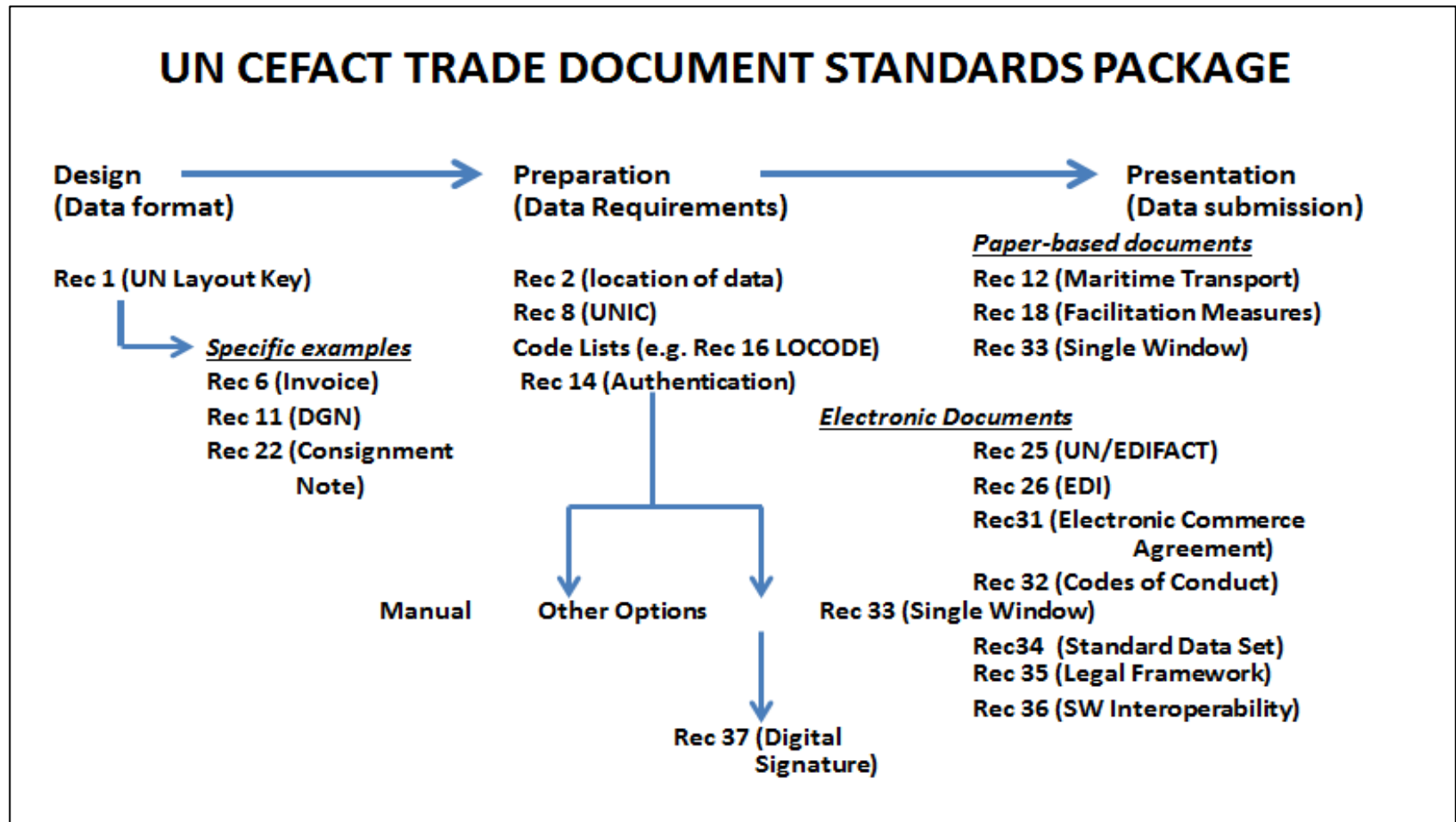


# Legally Enabling Environment

- In part 7c, some guidance is provided to create the necessary legal environment.
  - Acceptability in court of solutions
  - Benchmarking & Gap analysis
  - Guidance
  - Mandate
  - Regular Review
- A checklist is provided in Annex A1



# Relation of this recommendation to other UN/CEFACT recommendations



# Technical Implementation Checklist

- The following key points should be taken into consideration when determining the needs of authentication.
- This list should be applicable to transactions with government authorities as well as business to business transactions.
  - Context considerations
  - Technological considerations
  - Legal considerations
  - Relationship considerations



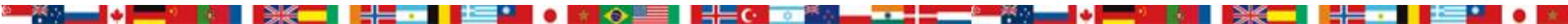
# Public Review Procedure

- UN/CEFACT Open Development Process (ODP)
  - **Project Inception**
  - Requirements Gathering
  - Draft Development
  - Public Review
  - **Project Exit**
  - **Publication**
  - Maintenance



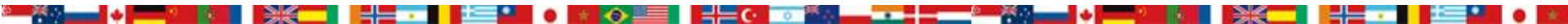
# Public Review Procedure

- The draft text was finalized in July, but entered the Public Review period beginning of September.
- The Public Review is planned until November 30th.
- All comments are logged (using the appropriate template) on the Confluence webpage and will be addressed individually by the working group.
  - Two conference calls will be organized:
    - Beginning of November
    - Beginning of December
- All comments should be sent before November 30th (midnight Paris/Geneva time) to:
  - [lance.thompson@conex.net](mailto:lance.thompson@conex.net)



# Annex B Repository

- Repository of actual implementations in each typology
- Must have a significant amount of response from each typology (in order to respect technology neutrality)
- This was dissociated from the rest of the recommendation because there was not a sufficient amount of response.
- Launching of a separate project was agreed during the last two conference calls (May/June).







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## Current projects

Trade and Transport Facilitation

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Project name

Project status

[Cargo Tracing and Tracking](#)

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[Consultation Models for Public and Private Sector Consultation](#)

active

[Dangerous Goods Declaration](#)

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[Revision of Recommendation 14 - Authentication of Trade Documents by Means other than Signature](#)

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[Recommendation N°36 - Single Windows Interoperability](#)

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[Transport Core Components](#)

on hold

[Transport Instructions](#)

on hold

[Transport Status Reporting](#)

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[Transport Waybill](#)

on hold



## Project Information

ODP Stage	ODP Name	Stage Start Date	Stage End Date	Stage Status	Meetings / Minutes	Relevant Documents
1	<a href="#">Project Inception</a>		15.08.2012	Call of Participation		<p> <a href="#">P1003 - ODP 1 - Project Inception</a></p> <p> <a href="#">P1003 - Project Inception</a></p> <p><a href="#">Rec14 - v1979</a>  <a href="#">Rec14 Revision Project Proposal</a>  <a href="#">Rec14 Revision Background Paper</a></p>
2	<a href="#">Requirements Gathering</a>	15.08.2012	24.10.2012	Finalized	<p><a href="#">Vienna 2012-10 minutes</a>  <a href="#">Vienna 2012-10 slides</a></p>	<p> <a href="#">P1003 - ODP 2 - Requirements Gathering</a></p> <p><a href="#">UN/CEFACT Expert Registration Form</a>  <a href="#">UN/CEFACT Code of Conduct</a>  <a href="#">UN/CEFACT IPR Policy</a>  <a href="#">UNCITRAL Model Law on Electronic Commerce (MLEC)</a>  <a href="#">UNCITRAL Model Law on Electronic Signatures (MLES)</a>  <a href="#">UNCITRAL Promoting Confidence in Electronic Commerce</a>  <a href="#">UNCITRAL Convention on Use of Electronic Communications... (ECC)</a>  <a href="#">Rec37 Project on Digital Sign Interoperability</a>  <a href="#">Rec37 Project on Digital Sign Interoperability - Explan.Notes</a></p>
3	<a href="#">Draft Development</a>	24.10.2012		Call for Contribution	<p><a href="#">Conf-Call 1 minutes 2012-10</a>  <a href="#">Conf-Call 2 minutes 2012-11</a>  <a href="#">Conf-Call 3 minutes 2012-12</a>  <a href="#">Conf-Call 4 minutes 2013-01</a>  <a href="#">Conf-Call 5 minutes 2013-02</a></p> <p><a href="#">Geneva Forum 2013-04 Registration</a></p>	<p>No content found for label(s)  P1003_odp3_doc.</p> <p><a href="#">Rec14 Drafting Log updated comments as of 2013-01-15</a>  <a href="#">Rec14 Consolidated Outline 2012-12-20</a>  <a href="#">Rec14 Annex-A submission request &amp; template 2013-01</a>  <a href="#">Rec14 Annex-B submission request 2013-01</a></p> <p><a href="#">Rec14 Draft Text version 0.5</a></p>

Thank you.

For any comments until November 30<sup>th</sup> contact:

**Dr. Lance THOMPSON**

International Development Manager, Conex  
Recommendation 14 Revision W.G. Chair

Conex, 19, rue d'Orléans, 92523 Neuilly-sur-Seine cedex FR

+33 1 47 59 09 62

+33 6 78 84 29 33

[lance.thompson@conex.net](mailto:lance.thompson@conex.net)



# NIPA Presentation



*National IT Industry Promotion Agency*



# Other projects in UN/CEFACT

- Trade/Transport PDA – ITPD
  - Rec 14 Annex B Repository
  - NIPA e-identity project
- Agriculture PDA
  - eCert electronic signature
- Regulatory PDA – e-Procurement
  - Standard for SDC
  - Standard for time-stamping
- Methodology & Technology PDA
  - Trusted Trans-boundary project
  - 4 corner model for interoperability of authentication
- Supply Chain PDA
  - Recommendation 37



# Other projects in UN/CEFACT

- ITPD should request that the Bureau and the Plenary put some order into these overlapping projects.
- It would be a good idea to request that each project proposes a complete background paper with their scope and purpose with any relevant examples in order to more easily compare the projects and understand where they overlap and where they are unique.
- Projects which are not technologically neutral should clearly make this understood to the Bureau so that they may make informed decisions.

