



**TECHNICAL ADVISORY GROUP ON MACHINE READABLE
TRAVEL DOCUMENTS (TAG/MRTD)**

TWENTIETH MEETING

Montréal, 7 to 9 September 2011

Agenda Item 3: Activities of the ICBWG

Agenda Item 3.5: Draft Interim Business Plan 2011 to 2012

**IMPLEMENTATION AND CAPACITY BUILDING WORKING GROUP (ICBWG)
DRAFT INTERIM BUSINESS PLAN 2011 to 2012**

(Presented by the ICBWG)

1. INTRODUCTION

1.1 The ICBWG developed its first Business Plan 2009 to 2011, based on the strategic objectives contained in ICAO's Business Plan 2008 to 2010.

1.2 ICAO Secretariat is currently reviewing the strategic direction of the MRTD programme. This directly impacts ICBWG's ability to develop its own plan, which is based on the focus and objectives of the broader programme.

1.3 ICAO has identified a new vision and mission statement, to which ICBWG remains aligned.

1.4 ICBWG has developed a draft Interim Business Plan 2011 to 2012, which has recently been considered at the Seventh ICBWG Meeting. The ICBWG seeks the TAG/MRTDs endorsement of the draft plan.

2. ICBWG BUSINESS PLAN OVERVIEW

2.1 The draft Interim Business Plan outlines the ICBWG's focus for 2011 to 2012. It includes the strategy that drives the Working Group, which remains aligned with the wider strategic focus of ICAO. The focus of the plan is on tasks and activities for the coming year. The draft Plan is attached at Appendix A.

2.2 The key tasks and activities within the plan remained focussed on identifying and addressing non-compliance, and developing a certification scheme.

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

The TAG/MRTD is invited to:

- a) note the content of the draft Interim ICBWG Business Plan 2011-12 at Appendix A.
- b) endorse the direction and activities outlined in the draft Interim ICBWG Business Plan 2011 to 2012.

APPENDIX A



International Civil Aviation Organization
Implementation and Capacity Building
Working Group
Interim Business Plan
2011-2012



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DRAFT

Introduction

Overview

This document is an interim business plan for the International Civil Aviation Organization's Implementation and Capacity Building Working Group (ICBWG). The Business Plan outlines the Group's desired outcomes, and the activities that will work towards these outcomes in the period 2011-2012.

The Plan only covers a short period as ICAO is currently reviewing the strategic direction of its MRTD programme. Once this review is complete and a new strategic position formulated, the ICBWG will complete a business plan based on the proposed priorities, outcomes and overall strategic direction of the MRTD program.

Environmental Scan: Current Status of States

Background

The focus of the ICBWG in its Business Plan 2009-11 was the April 2010 deadline for MRPs. Non-MRP issuing States were deemed to be the most obvious targets for capacity building. The ICBWG committed significant effort to establish the current Status of States, to determine where ICBWG could offer expertise.

Maintaining up-to-date information on the status of States in relation to MRPs remains a key ongoing task for ICBWG.

Machine-Readable Passports

Through consultation with a variety of informative sources, there is only a small number of ICAO contracting States not currently issuing MRPs.

Non-MRP States

Country	Comments
Afghanistan	Currently assisted by the Australian government. No expected date available.
Algeria	eMRP expected in 2011.
Central African Republic	CEMAC MRP expected in 2011.
Djibouti	Keesing shows Diplomatic/Service and Official are MRP, but ordinary passports are non-MRP. No expected date for full implementation.
Equatorial Guinea	CEMAC MRP expected in 2011
Kiribati	Currently assisted by the Australian government. Targeting July 2012 at the latest.
Libya	eMRPs now expected 2011/12, though recent political unrest may affect this date.
Mauritania	National ID system (including ePassports and PKI) expected 2011
North Korea (DPRK)	Keesing shows Diplomatic/Service and Official are MRP, but ordinary passports are non-MRP. No expected date for full implementation.

Assisting States to implement machine-readable passports was the initial focus of the ICBWG. As all States are currently progressing towards MRPs, it is expected that the ICBWG will assist upon request with States' implementation projects.

Non-compliant MRPs

In the course of monitoring MRP status, the ICBWG has identified a small number of States confirmed as having issues that affect, or may affect, the compliance status of their MRP. The ICBWG, through the Secretariat, has made written contact with the five States listed below, drawing attention to the issues with the documents, and offering assistance.

States Contacted to Date

Country	Comments
Benin	Letter sent by ICAO Secretariat outlining non-compliant features
Congo (Brazzaville)	Letter sent from ICAO Secretariat outlining non-compliant features
Guinea Bissau	Letter sent from ICAO Secretariat outlining non-compliant features
Iran	Letter sent from ICAO Secretariat regarding feature that may impact on MRZ
Tajikistan	OSCE has worked with the government to resolve the issue

There are a small number of States where intelligence from border authorities, anecdotal reports, or visual inspections using resources such as Keesing Document Checker, indicate there may be a compliance issue. These include: Laos; East Timor, Guinea Conakry; Somalia. The ICBWG is undertaking further investigation with regard to these States.

Strategic Context

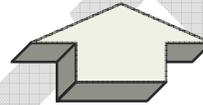
ICAO Strategic Objectives

In its ongoing mission to foster a global civil aviation system that consistently and uniformly operates at peak efficiency and provides optimum safety, security and sustainability, ICAO has established three Strategic Objectives the period 2011-2013:

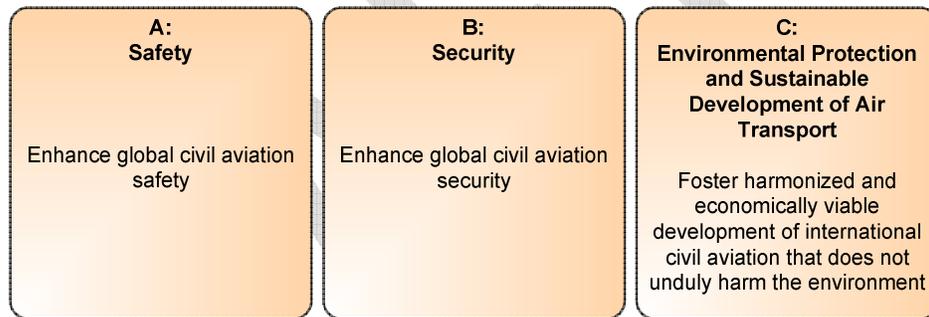
Vision and Mission Statement

As the global forum for cooperation among its Member States and with the world aviation community, the International Civil Aviation Organization (ICAO) sets standards and recommended practices for the safe and orderly development of international civil aviation.

To foster a global civil aviation system that consistently and uniformly operates at peak efficiency and provides optimum safety, security and sustainability.



Strategic Objectives of ICAO 2011-2013



The ICBWG contributes directly to the achievement of ICAO **Strategic Objective B: Enhancing global civil aviation security.**

ICBWG Outcome Framework

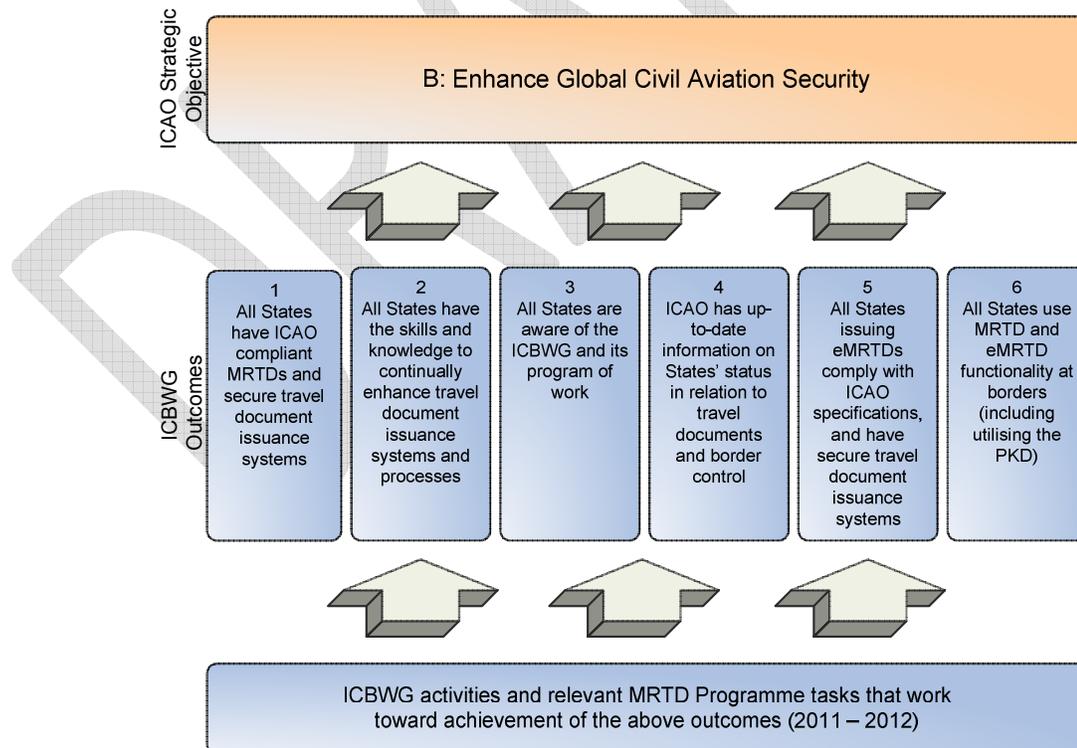
ICBWG contribution to ICAO Strategic Results and Objectives

In 2009, the ICBWG defined six outcomes that contributed directly to ICAO's **Strategic Objective B: Enhancing global civil aviation security.**

These outcomes have been retained for the interim Business Plan 2011-12, as they are still aligned with ICAO's strategic direction, and the current activities of the ICBWG.

The six ICBWG outcomes are as follows:

1. All States have ICAO compliant MRTDs and secure travel document issuance systems
2. All States have the skills and knowledge to continually enhance travel document issuance systems and processes
3. All States are aware of the ICBWG and its program of work
4. ICAO has up-to-date information on States' status in relation to travel documents and border control
5. All States issuing eMRTDs comply with ICAO specifications and have secure travel document issuance systems
6. All States use MRTD and eMRTD functionality at borders (including utilising the PKD).



The six outcomes above are best understood as a future state, which the ICBWG is working towards. These outcomes are not necessarily intended to be achieved within the duration of this Business Plan - but rather, will remain as a long-term strategic focus for group activities.

ICBWG Outcomes and Activities

Outcome 1: All States have ICAO compliant MRTDs and secure travel document issuance systems

Outcome Description

All member States have ICAO compliant Machine-readable Passports. This includes ensuring the existence of robust and secure travel document issuance systems and processes.

Strongly linked to this outcome are the systems and processes associated with Integrated Border Management. Assistance projects working towards Outcome 1 will need to consider an integrated border model in any MRTD implementation project.

Activities overview

Annex 9 to the Chicago convention requires that all member States issue machine-readable passports in accordance with the specifications of Doc 9303. As most States have projects underway, it is expected ICBWG will contribute to projects as required, based on requests for assistance made through the Secretariat. The focus of the ICBWG over the coming period will be identifying and addressing MRPs that are non-compliant.

Activities

	ACTIVITY	TARGET DATE	TASK OWNER
1	Maintain a register of requests for assistance from non-MRP States, and inform ICBWG of capacity building requests that require working group involvement.	Ongoing	ICAO Secretariat
2	Provide advisory assistance to States on compliance, and secure issuance systems and processes.	Ongoing	ICBWG
3	Continue to work with UN High Commission for Refugees to develop guidance for States on the issuance of Doc 9303 compliant UNCTDs.	June 2012	John Mercer
4	Continue identifying non-compliant MRPs, and proactively contacting the relevant States to address issues.	Ongoing	Dwight MacManus (CBN)
5	Provide experts to undertake assessments of Doc. 9303 compliance, either as an ad hoc request or as part of any official ICAO Certification Program.	Ongoing	ICBWG

Outcome 2: All States have the skills and knowledge to continually enhance travel document issuance systems and processes

Description

All States have the skills and knowledge to continually enhance issuance systems and processes. This includes:

- ongoing training support for member States on travel document-related systems and processes (including integrated border management); and
- increased coverage, range and quality of manuals and guidance materials related to the issuance of travel documents and integrated border control systems.

Activities overview

The delivery of training and production of guidance material will involve collaboration with ICAO and other agencies.

Activities

	ACTIVITY	TARGET DATE	TASK OWNER
1	Maintain a register of requests for capacity building assistance from States, and inform ICBWG of requests that require working group involvement.	Ongoing	ICAO Secretariat
2	Develop programme and material for the workshop on procurement at the MRTD Symposium.	September 2011	New Zealand
3	With ICAO Procurement, develop a collaborative approach for the provision of MRTD-related procurement guidance material and advice.	June 2012	Chair
4	Continue to contribute to the NTWG guidance material on evidence of identity.	June 2012	NTWG
5	Develop new sections on citizenship registers and online process for ICAO Guide for Assessing Security Standards for the Handling and Issuance of Travel Documents.	March 2012	TBC
6	Incorporate additional material into the ICAO Guide for Assessing Security Standards for the Handling and Issuance of Travel Documents.	June 2012	Canada

Outcome 3: All States are aware of the ICBWG and its program of work

Description All States are aware of the ICBWG and its program of work. This includes:

- the development of the ICBWG's profile within ICAO (representatives of member States)
- the promotion of ICBWG among international passport and border control agencies

Activities overview ICBWG communications will be driven out of the Secretariat as part of the MRTD Communications Plan.

Key messages will include how ICBWG can assist States' to comply with ICAO mandates and/or specifications.

Activities

	ACTIVITY	TARGET DATE	TASK OWNER
1	Inclusion of ICBWG in ICAO Strategic Communications Plans and communications.	Ongoing	ICAO Secretariat
2	Contribute to ICAO Secretariat's communication strategy regarding the November 2015 deadline for non-MRPs.	June 2012	Chair

Outcome 4: ICAO has up-to-date information on States' in relation to travel documents and border control

Description

ICAO has up-to-date information on States' capacity and capability in relation to travel documents and border control systems and processes. This includes a broad range of data such as:

- type of passport issued (MRTD, eMRTD or other)
- and whether the State
- routinely reads document MRZs or ePassports (including what information a State captures at the border and how the information is used)
 - has secure issuance systems and processes
 - has a PKI infrastructure and/or uses the PKD.

Information and analysis regarding other aspects that may affect ICBWG work (including political situation and security risk) will also be captured.

Activities overview

In order to provide assistance in relevant areas, ICAO and the ICBWG need to be aware of States' status on an ongoing basis. The ICBWG will be focussed on developing the necessary mechanisms for this information exchange to occur, and developing the criteria used to assess status. The short term focus of the group has been on gathering information on States that do not issue MRTDs, and States that issue non-compliant MRTDs.

The ICBWG group will work with NTWG to maintain a combined list/database reflecting the current status of States in relation to travel documents. This will also eventually extend to border control. Scanning the environment yearly and documenting findings will also assist in keeping the ICBWG up-to-date with broader issues that affect the Group.

Activities

	ACTIVITY	TARGET DATE	TASK OWNER
1	Maintain a comprehensive and ongoing database of States' current status in relation to travel documents and border control.	Ongoing	New Zealand / NTWG
2	Develop a contact list for passport and border authorities to enable effective communication between ICAO and States.	December 2011	ICBWG / ICAO Secretariat

Outcome 5: All States issuing eMRTDs comply with ICAO specifications and have secure travel document issuance systems

Description

All States issuing eMRTDs comply with ICAO specifications and maintain secure issuance systems and processes that follow best practice guidelines.

Strongly linked to this outcome are the systems and processes associated with Integrated Border Management. Advisory assistance under Outcome 5 will need to consider an integrated border model.

Activities overview

With MRTD capacity building in developing nations as the focus of the previous ICBWG business plan, the group has spent a limited amount of time considering eMRTD-related capacity building. However, the development of a certification scheme is likely to be a key piece of work for the group in the short-medium term. eMRTDs will be a central component of the scheme.

Activities

	ACTIVITY	TARGET DATE	TASK OWNER
1	Provide advisory assistance to States on eMRTD compliance, and secure issuance systems and processes.	Ongoing	ICBWG
2	Complete a matrix outlining issues of current ePassport non-compliance in member States.	Ongoing	Dwight MacManus (CBN)
3	Develop a scheme for assessing and certifying compliance of (e)MRTDs	TBC	ICBWG

Outcome 6: All States use MRTD and eMRTD functionality at borders (including utilising the PKD)

Description All States use the full functionality of MRTDs and eMRTDs at borders (including utilising the Public Key Directory) to realise the full facilitation and security benefits of the document.

Activities overview ICBWG activities in this outcome are intended to promote the benefits of using MRTD and eMRTD functionality at the border (including use of the PKD).

The focus of the activities is on providing advisory assistance and guidance material.

Activities

	ACTIVITY	TARGET DATE	TASK OWNER
1	Continue to promote the benefits of using MRTD and eMRTD functionality at the border (including use of the PKD).	Ongoing	ICBWG

APPENDIX ONE: ICBWG formation and mandate

Formation of the ICBWG The formation of the ICBWG was approved at the eighteenth meeting of the ICAO Technical Advisory Group on Machine-readable Travel Documents (TAG/MRTD) in May 2008.

Mandate The ICBWG has a mandate to:

1. Assist the Secretariat:
 - Identify and implement projects related to the issuance and use of Machine-readable Travel Documents (MRTDs) and Electronic Machine-readable Travel documents (eMRTDs) in States and regions
 - Carry out capacity building outreach activities in conjunction with States, other international organizations, inter-governmental bodies and the private sector
 - Develop guidance material for implementing MRTDs and eMRTDs standards and specifications.
2. Serve as a forum for discussing and providing feedback on implementing and operating MRTD and eMRTD standards and specifications.¹

Functions The functions of the ICBWG, as agreed by TAG, are to:

1. Assist the Secretariat in establishing and implementing the strategy for the ICAO TAG MRTD programme based on the ICAO Business Plan and Operational Plan that will support ICAO's strategic objectives in the field of MRTDs. This includes assistance to States in meeting ICAO mandates related to travel documents and border control, and further supporting States in the implementation of MRTD programs and use of MRTDs in border control functions
2. Develop guidance material for implementing MRTD and eMRTD standards and specifications
3. Coordinate and facilitate provision of assistance in the form of project planning, education and training, arrangements for financing, procurement assistance, start-up project management and/or system evaluations services upon requests from member States
3. With prior approval of the Secretariat, promote partnership with International Organizations and Inter Governmental forums in assisting States in implementing MRTD programmes and their use in securing borders and facilitating travel

¹. The description of the ICBWG's mandate and function is sourced from TAG-MRTD/18-WP/15.

5. Promote eMRTD programmes to ensure the full functionality of eMRTDs are utilised (e.g. the effective use of the Public Key Directory)
 6. Serve as a forum for providing feedback on implementing standards and technical specifications on MRTD or eMRTD issuance and border control matters
 7. Other initiatives as directed by the ICAO Secretariat or TAG/MRTD.
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**ICBWG
membership
and
governance**

ICBWG membership will comprise of representation from the ICAO Secretariat, TAG members, observers and other organizations as deemed necessary.

Contracting States, and organizations that work with ICAO in the field, are automatically eligible to participate as members of the ICBWG. Members from the vendor community must be ISO affiliated. Experts that are not ISO affiliated may attend the group by invitation, at the discretion of the ICBWG Chair.

The ICBWG reports to TAG-MRTD and will meet the business planning requirements prescribed for the ICAO Secretariat.

— END —