



ICAO

SECURITY & FACILITATION



ICAO TRIP Guidance Material Case Study: Procurement

David Philp

*Chair, ICAO Implementation and Capacity Building
Working Group*

*General Manager, Te Pou Manawa (Partners and
Products), Department of Internal Affairs – New
Zealand*

June 5-7, Brasilia





Suite of Guidance Covering 5 Elements of TRIP

- Border Control Management Guide
- UNHCR Guide for Issuing Machine-Readable Convention Travel Documents
- TRIP Compendium
- Photo Guidelines
- Guide for Optical Machine Authentication



- Guide on Evidence of Identity
- Roadmap for Implementation of New Specifications for MRTDs
- ***Collection of Best Practices for the Acquisition of MRTD Goods and Services (Procurement)***
- Guide for Assessing the Security of Handling and Issuance of Travel Document
- Guide for ETD Issuance
- Guide for Circulating Specimens





ICAO

SECURITY & FACILITATION



Collection of best practices for acquisition of Machine Readable Travel Document (MRTD) Goods and Services

For Publication on the ICAO Website



Collection of Best Practices For Acquisition of Machine Readable Travel Document Goods and Services

DISCLAIMER: All reasonable precautions have been taken by the International Civil Aviation Organization to verify the information contained in this publication. However, the published material is being distributed without warranty of any kind, either express or implied. The responsibility for the interpretation and use of the material lies with the reader. The International Civil Aviation Organization is liable for damages arising from its use. This publication contains the collective views of an international group of experts and does not necessarily represent the decision or the policies of the International Civil Aviation Organization, which can be consulted at <https://www.unsdsn.org/areas/public/pubs/channels/PCH.pdf>

Version: Release 1

March 2016

File: Collection of Best Practices For Acquisition of Machine Readable Travel Document (MRTD) Goods and Services
Author: Subgroup of the Implementation and Capacity Building Working Group (ICBWG), Working group of the Technical Advisory Group on the Traveller Identification Programme (TAG/TRIP)

Focus of *this* presentation is on procurement tips, and the ICAO Guide



Figure 1. Points to watch defining the needs for an MRTD related system

Having gained clarity on the requirements of the new MRTD system, the authority may also evaluate different types of delivery of the solution, such as:

- Procuring products and system integration services separately;
- Procuring the turnkey project and gain ownership from the start;
- Procuring the solution as a build, operate, transfer/lease (BOT) having the service provider operate the system for a defined period of time;
- Procuring part of the solution on a service mode, where the supplier leases and maintains the solution on fees per month or fee per transaction mode.

Which type of delivery is often a question of the capacity of the supplier lease and maintains the solution on fees. The higher the price may be.

Authorities should not allow vendors to develop or to influence the development of the requirements specifications. Members of the authority should analyse the offers in the market (e.g. by going to conferences and exhibitions or benchmarking on past similar markets) or requesting a Request for Information (RFI), but the final decision on what goes into the specifications must remain with the authority members only.

3.2 Preparing Tender Process

It is the duty of the procurement department of public authorities to run a tender process, following the national procurement law. It can be genuine procurement process or requesting a Request for Information (RFI), but the final decision on what goes into the specifications must remain with the authority members only.

3.2.1 Procurement Plan

The Procurement Plan – which is for internal use only – explains how procurement is to be undertaken, covering items such as:

- a description of the procurement;

Source: David Price, Chair of the ICBWG, "Getting Procurement Right", Presentation at ICAO MRTD Symposium, Montreal, September 2011

Source: World Trade Organization, WTO Agreement on Government Procurement (AGP), 1994

*By making an RFI, authorities are requesting vendors to submit information about their latest offerings, without providing a binding commitment offer.



Procurement of passport issuance systems/books

- Complex process that needs to be driven by Government and not the vendor
- Significant work required up front to ensure desired end result
- Often Governments have mandatory or recommended procurement guidelines
- ICAO Guide works is designed to work alongside – contains tips and advice learned through experience



Procurement Strategy

- For passport procurement, the strategy should reflect the following key factors:
 - High Cost/High Risk
 - Complex product that is a critical service for citizens and the State's reputation
 - Long-term relationships with suppliers are common
 - High-level purchasing and technical skills are required to establish and manage the procurement process



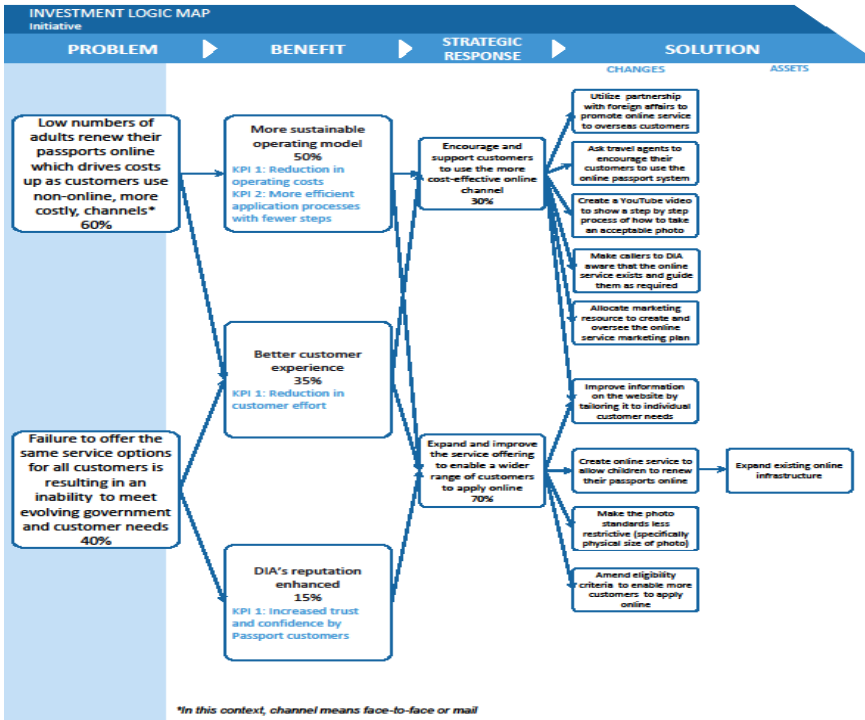
- Develop ROI and RFP specifications in line with ICAO Doc. 9303 and other relevant ICAO guidelines
- Worthwhile undertaking a re-assessment of current processes / technologies using *ICAO Guide for Assessing the Security of Handling and Issuance of TDs*
- Consider using an Investment Logic Map



Department of Internal Affairs (DIA)

Improving service offering and reducing operational costs in Passports

Investment Logic Mapping:
What is the problem you are trying to solve and to what extent will the investment solve it?





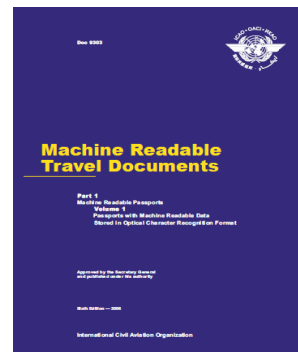
- Take a structured approach to requirements gathering and system architecture design
 - Methodologies available
 - Model of system architecture based on requirements means future decision processes are less susceptible to vendor-driven needs
- **Vendors want to sell/implement what they have – not necessarily what you want**



- Always include a draft contract with your ROI/RFP
 - Economic and political pressures can cause an Travel Document projects to move forward quickly
 - Customers can lose leverage once suppliers are embedded
 - Can use response to draft contract as part of evaluation process
- **Don't let the vendor write your contract**



- Link contract explicitly to ICAO Doc 9303 and associated guidance material
- Demand proof of concept
 - Evidence they can deliver the product and/or system
- Single lead vendor where possible (accountable for overall outcome)





- Price should not be the single determining factor
- Price should be considered last – does it knock them out of contention?
- Vendor references must be credible, and should be analysed closely
- Decision-making matrix with evaluating factors and weighting elements
- Make allowances for ‘gut-feeling’ contributions





- Should set out entire commercial understanding between customer and supplier
 - Technical and operational specifications
 - Rules relating to relationship governance and logistics
 - Transferring ownership of assets, licenses and technologies embedded in the Travel Document
 - Future risk mitigation and liability issues
 - Support



- Time and location for all aspects of eMRTD delivery (software, design, features etc)
- Phased testing and acceptance of components/packages
 - Testing methodology and criteria for success/failure
- Change management/pricing changes
 - **Price in your own currency to deal with volatile currency or fluctuations**



- Intellectual Property Rights and Patents
 - Protected from patents owing
 - Licenses/technologies in perpetuity
 - **Own and control your data**
- Warranty and liability
 - eMRTD often composite in nature
 - Vendor must be ultimately accountable
 - Define penalties for non-performance





- Contract should be outcome focused
 - Reflect what the State is trying to achieve
 - **ICAO Compliant Travel Document (Doc. 9303)**
- The State should stipulate conditions/tests to measure the final product, and ensure the vendor delivers an ICAO compliant product
 - Testing by a certification authority
 - Systems can be certified as ISO compliant 'Information Security Management System' (ISO/IEC 27001)



ICAO

SECURITY & FACILITATION



Guides under development:

- *Public Key Directory and Public Key Infrastructure*
- *Using Advanced Passenger Information (API) and Passenger Name Record (PNR) Data*
- *Economic Case for the ePassport – Cost vs Benefit*





ICAO

SECURITY & FACILITATION



ICAO

North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montréal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok



THANK YOU

David Philp
Department of Internal Affairs, New Zealand
Chair - ICAO ICBWG
david.philp@dia.govt.nz