2ⁿᵈ Symposium on ICAO-Standard MRTD's, Biometrics and Security

Issuance of Machine Readable Travel Documents (MRTD's) and Identity Management

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Issuance of MRTD's is not just about producing a secure, machine-readable, book.

MRTD issuance requires many considerations prior to developing the issuance procedure. A legal framework to work within, agreed standards, analysis of workflow processes and internal controls are essential.

Prerequisites for MRTD Issuance

- Broad legal framework;

- Standards:

  - Service delivery and fees;

  - Security provisions;

  - Integrity of processes (internal and external);

  - Protection of personal information;

  - Internal fraud mitigators;

  - Audit processes.

Legal Framework

- Empowering legislation with:

    - Delegated authority;

    - Provisions enabling information to be shared nationally and internationally;

    - Effective privacy provisions;

    - Legal right of review.

- Penalties that deter fraudulent activity.

Standards

- Service delivery and fees:
  - Internal and external time and processing expectations documented and agreed;
  - Fees that place service level choice with the customer and therefore modify customer behaviour.

- Security:
  - Personnel background checking;
  - Building access;
  - Information technology.

Standards CONTD.

- Integrity of processes (both internal and external):
  - Clearly documented policies and procedures that are easily accessed by staff;
  - Code of conduct and integrity awareness;
  - Standardised training procedures.

Standards CONTD.

- Protection of personal information:

  - Deter staff from misusing personal information.

- Internal fraud mitigators:

  - Comprehensive internal controls.

- Audit:

  - Regular and random auditing of processes.

Issuance of MRTD's requires more than entering data and producing a secure document.

Successful MRTD issuance requires integrated workflow processes, including segregated phases/duties, ongoing assessment of technology, internal controls and security management.

Process: Workflow Management

- Know how your business operates:
  - Capacity planning and scalability;
  - Performance measures;
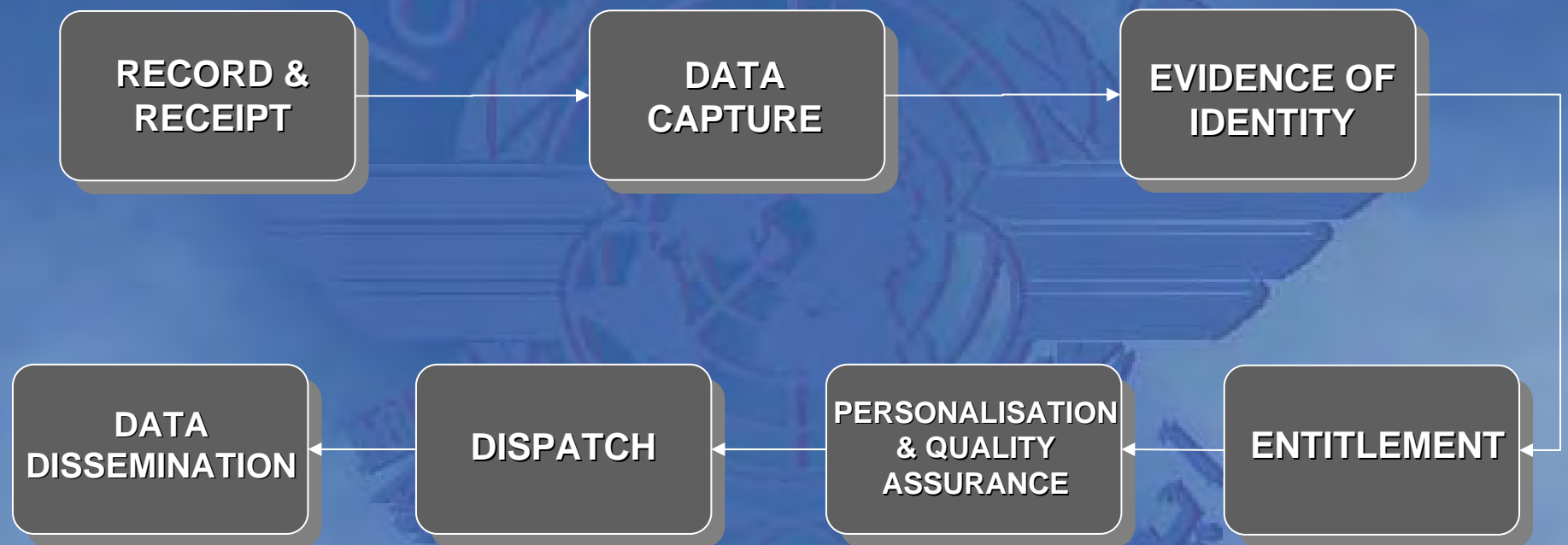 - Monitoring of work in progress.

Process: Segregation of Duties

- Independent approval process:
  - Provides an additional quality check;
  - Internal fraud mitigator;
  - Creates 'team' responsibility.

Process: Regular Review

- Processes need to be implemented to allow for regular review of issuance procedures:
  - Consider intelligence-led changes;
  - Consider technology-based changes;
  - Consider event-based changes.

Procedure Outline

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RECORD &        →   DATA        →   EVIDENCE OF
RECEIPT             CAPTURE         IDENTITY
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DATA           ←   DISPATCH   ←   PERSONALISATION   ←   ENTITLEMENT
DISSEMINATION                     & QUALITY
                                  ASSURANCE
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Procedure: Record and Receipt

- Initiate workflow and processing standards by creating records and receipting payment.

Procedure: Data Capture

- What personal information is required:
    - For the passport itself;
    - To confirm identity.

- Application of technology for data capture:
    - Application form design;
    - Text and photographs (standards and processing).

Procedure: Evidence of Identity

Require evidence of identity to gain a high level of confidence that:

- The claimed identity exists;

- The claimed identity is a living identity;

- The applicant is the legitimate claimant of the identity;

- The applicant can demonstrate use of the claimed identity in the community.

Evidence of Identity CONTD.

- Some methods of satisfying identification requirements:
    - Independent verification of the information provided;
    - Source verification of document authenticity.

- Processes need to be in place to investigate suspected fraud:
    - Know your risks;
    - Understand human behaviour.

Evidence of Identity CONTD.

- Data mining possibilities:

  - Greater verification against source data;

  - Information pattern recognition (eg. many applicants with the same referee);

  - Use of biometric identifiers:

    - One to one matches;

    - One to some matches (eg. watchlist);

    - One to many matches;

  - Use of biometrics to increase productivity.

Procedure: Entitlement

- Ensure the applicant is entitled to the travel document:

    - Match with citizenship / birth records (if not part of the EOI process);

    - Check against legislative requirements;

    - Link applications with prior records:

        - Use of person-centric databases;

        - Cancelling previous travel documents.

- Require reporting and recording of lost / stolen travel documents.

Procedure: Personalisation

- Stock control, including secure manufacture and storage of blank documents:

    - Limited access;

    - Daily / batch stock reconciliation;

    - Accurate tracking and accounting of spoilt documents and consumables.

Personalisation CONTD.

- Unique travel document:
    - Design and artwork that enhance document security;
    - Secure printing and (where applicable) chip encoding methods;
    - Public Key Infrastructure (PKI);
- Centralised or decentralised issuance:
    - Balance between security / business efficiency and service accessibility.

Procedure: Quality Assurance

- Final visual quality assurance check prior to issuance;

- Systems developed and regularly analysed to record and analyse incorrect documents returned after issuance.

Procedure: Dispatch

- Issuance of the document recorded;

- Secure mode of delivery:
    - Trusted vendor / service;
    - Track and trace of mail/courier packs;
    - Signature required.

- Customer collection:
    - Biometric comparison.

Procedure: Data Dissemination

- Travel document data shared nationally and internationally:
    - Relevant government agencies (eg. immigration);
    - Relevant international bodies (eg. Interpol and ICAO);
    - Multi-Lateral partners (eg. APEC RMAL initiative)
- Movement towards real time positive validation of travel documents.