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What is Evidence of Identity

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ICAO – the background and context

- **Chicago Convention** on International Civil Aviation - drafted in 1944 by 54 nations. The core principles permitting international transport by air, and led to the creation of ICAO on 4 April 1947.
- Today - more than 12,000 international *standards and recommended practices* (SARPs), agreed by consensus by ICAO's now 191 Member States (Annexures).
- **Annex 9** to the Chicago Convention - SARPs and guidance material for facilitation of landside formalities - aircraft and passengers clearance - customs, immigration, health and agriculture.



ICAO and identification



- The **FAL** Panel (FALP) - critical role to ensure that Annex 9 is kept current. Thirty-two Member States, as well as ACI and IATA.
- The ICAO Traveler Identification Program (**TRIP**) strategy and its five elements.
- *New Technology Working Group (NTWG) and Implementation and Capacity Building Working Group (ICBWG)* – among others, support formulating SARPS for the TRIP strategy.
- Finally adopted and implemented by the States.

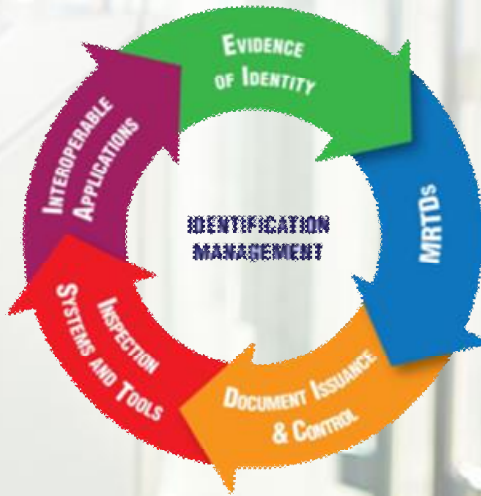


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Five elements of the TRIP strategy





Presentation title

Five elements of the TRIP strategy - details

- API and iAPI
- PNR
- PKI and ICAO PKD
- eMRTD biometric ID verification
- Interpol SLTDs
- International watchlists

- Visa and ETS
- Document Readers
- Biographic ID verification
- Biometric ID verification
- National Watchlists
- Entry and Exit databases
- Automated Border Controls

Area of major concern.



- ICAO Doc 9303
- ISO-IEC/JTC 1/SC 17/WG 3

- Guide for assessing the security of handling and issuance of Travel Documents



Why is Eol Important ... and challenging

- Significant progress on other aspects of the Identity life-cycle
- Evidence of Identity (Eol) is currently the most vulnerable
- Most fraud arises out of manipulating instruments of Eol

- Eol is a broad subject – legal, human rights, policy, administrative, technical
- Eol is scattered and not under a single administrative control
- Eol is impacted by history, geography, war, and culture
- Eol is a powerful state instrument, often politically contested

- Commensurate multi-disciplinary effort is required to strengthen Eol-related processes



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How does EoI work?

- Founded in the country's constitution, laws, and practices
- Affects in various ways - citizens, nationals, residents, refugees, asylum seekers and the stateless
- Closely linked to Civil Registration
- Breeder Documents – birth, death, marriage / separation, adoption, naturalization, name-change
- Connected to specific passport-related laws and rules
- Applied to the verification and authentication processes
- Affects the decision to issue the Travel Document
- *Freedom of Movement (travel) is enshrined in the Universal Declaration of Human Rights, 1945 (Article 13) as well as international treaties and national Constitutions*



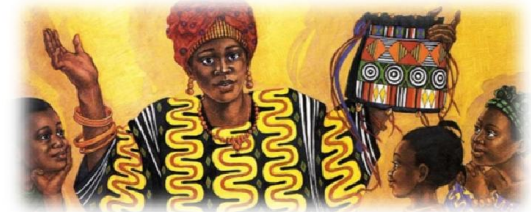
Does EoI make you worried?

- Is this birth certificate genuine?
- Are these two names the same, from different languages / spellings?
- Do all these supporting records add up?
- Is this person the same as the person in the document?
- What if the identity is fake or forged?

- Am I taking adequate precautions against issuing travel documents to terrorists?
- Am I upholding the basic rights of the people of my country?
- Am I sensitive to humanitarian issues?



A Benin bronze



The GRIOTS who recite your ancestor's names

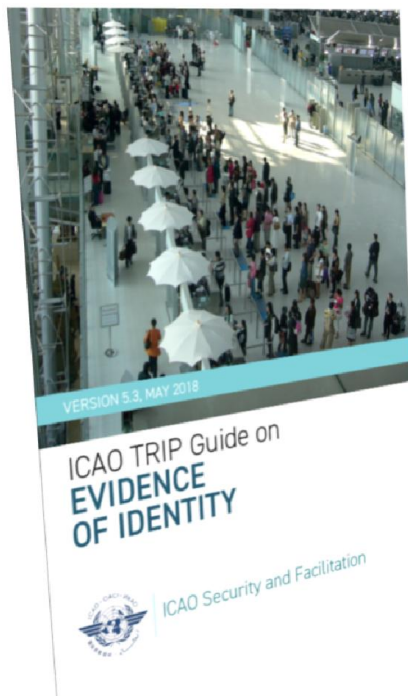


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Don't worry – help is at hand!



The ICAO TRIP Guide on **EVIDENCE OF IDENTITY**

Released in May 2018

Supported by ICBWG

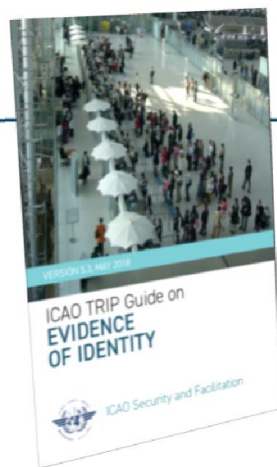
Available at: <https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx>

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The new EoI at work

Principle 1
Identity is Genuine

Objective A
To determine if the Identity exists (i.e. is not fictitious)

Objective B
To determine the identity is a living identity

Principle 2
Presenter links to Identity

Objective C
To determine that the presenting person links to the identity

Objective B
To provide confidence the identity is unique to the authority's system and the presenter is the sole claimant

Principle 3
Presenter uses the claimed identity

Objective E
To provide confidence of the presenters use of the identity in the community

- Biometrics - to authenticate physical identity
- Biographics - to establish legal identity (civil registration)
- Robust breeder documents
- Social footprint

- No silver bullet, no single solution
- Combination of factors to minimize risk

- New laws & amendments to existing laws (e.g. privacy)
- Increased engagement with digital identity & online data access

- New set of SARPs from ICAO



Eol Objectives

Objective A Identity Exists

- 1-2 Documents, where available have been validated against sources records, or authenticated by staff trained in document recognition.
- OR
- Verification of information against 1-2 source records, e.g. birth record or part of civil registration.

Objective B Identity is Living

- Verification against the State's Death Register (part of Civil Registration).
- OR
- An in-person component to the application process combined with process/es to meet Objective C.

Objective C Person Links to Identity

- In-person verification with interview and/or against photo identification.
- OR
- Assertion by a trusted referee, preferably known to the authority, and able to be verified.
- OR
- Biometric recognition against the agency database, and/or other relevant databases.



EoI Objectives

Objective D
Identity is Unique
to system and is
Sole claimant

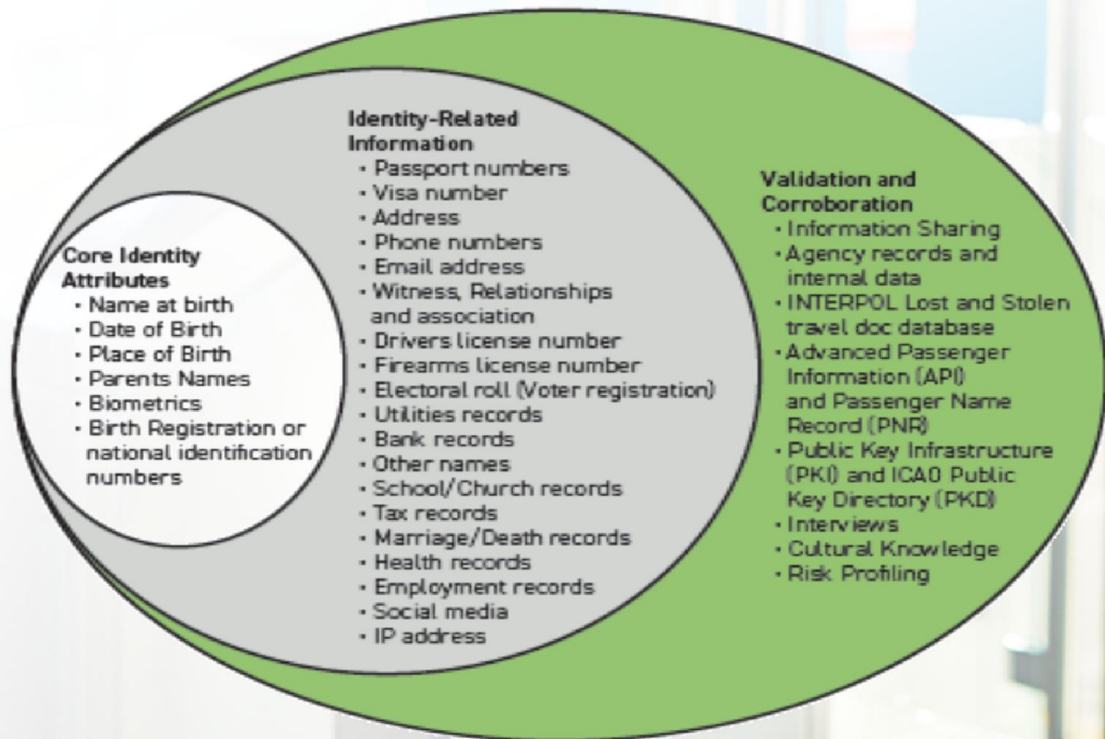
- Check against authority's own records for matching biometrics.
- OR
- Check authority's records for matching biographical details such as similar names, addresses, contact details or other information collected.

Objective E
Identity is used in
the Community

- Evidence from reliable third parties to show the identity in use for the majority of the customer's life.
- OR
- Statements from trusted referees confirming use in the community.
- OR
- At least 2 supporting documents/records (e.g. electoral roll, banking and utilities statements).
- OR
- Where a previous passport is held, validation against agency records.
- OR
- Interview of the applicant, if required to help build confidence due to lack of evidence in other areas, or suspicions raised during application process.

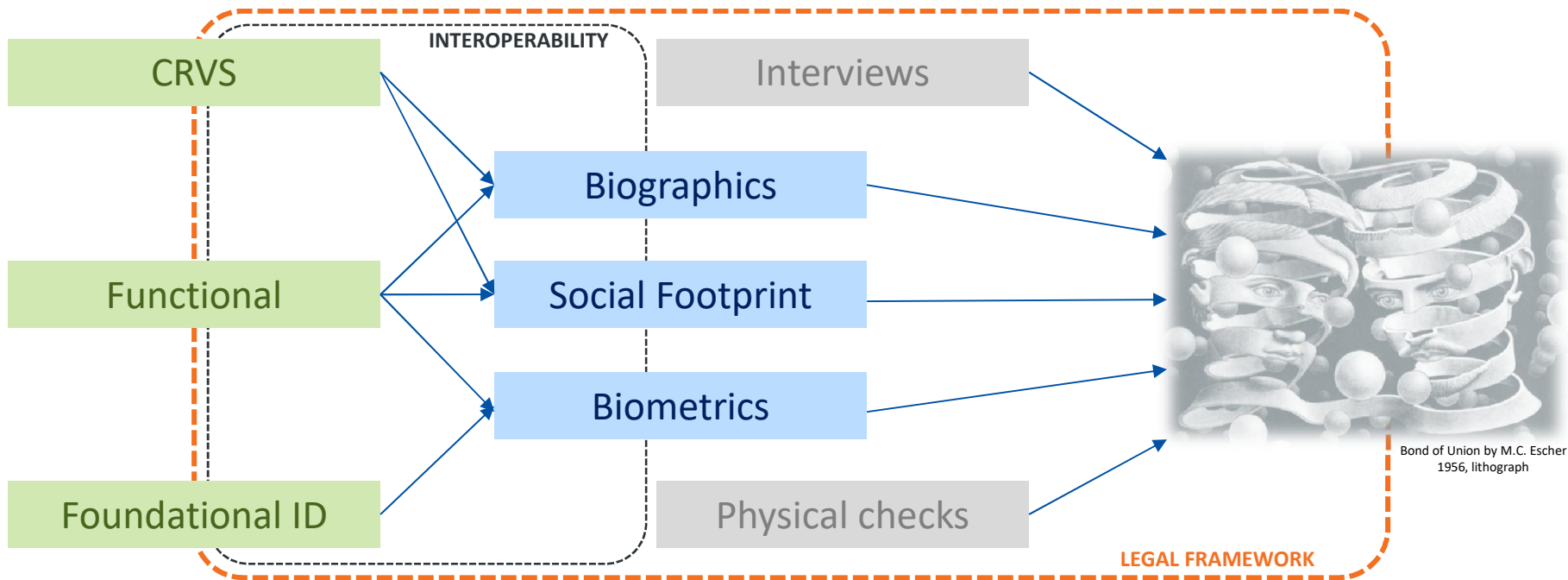


The New Eol - ecosystem





The New EoI – Process overview



Bond of Union by M.C. Escher 1956, lithograph

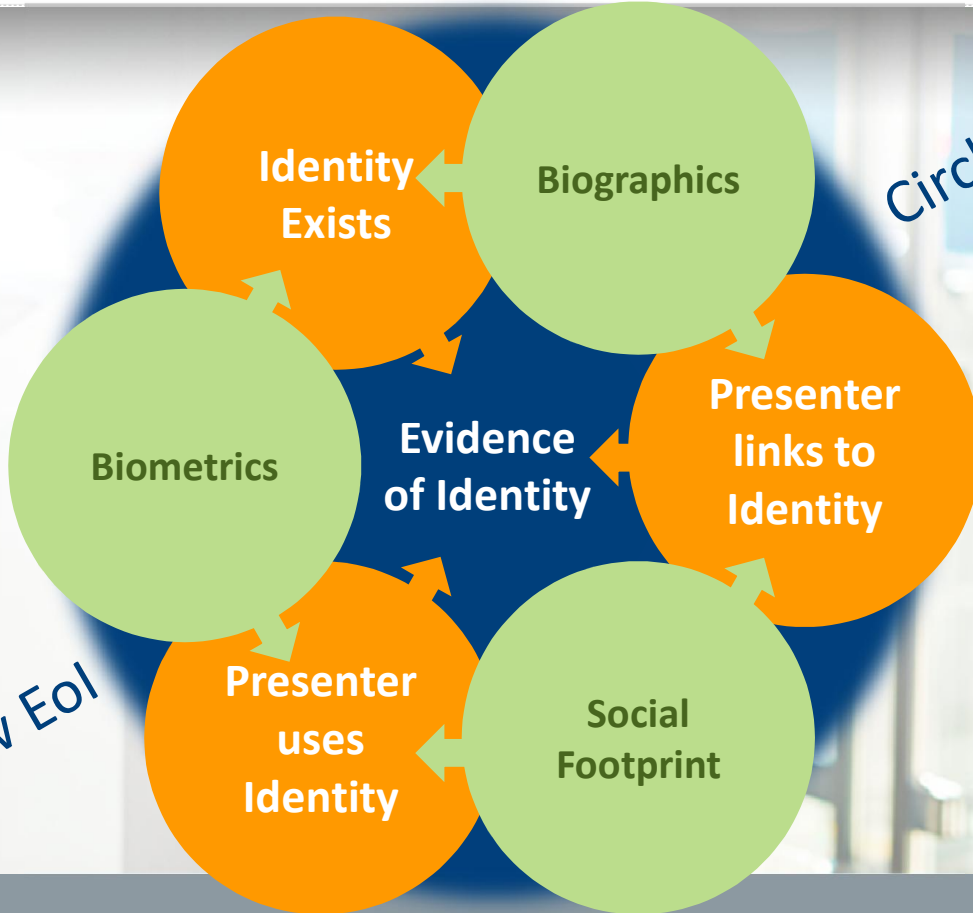


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The New EoI



Circle of Trust





Eol and other international organizations

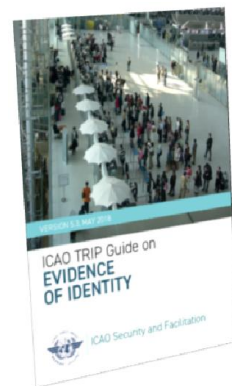
- OSCE / ODIHR – Compendium of Evidence of Identity (57 States)
- World Bank – ID4D various documents (SDG 16.9 deficient countries – CRVS & civil ID)
- IOM – Regional travel documents & borders
- UNHCR – refugees & stateless persons
- UNICEF / WHO - focus on the child and health
- EU – VIS, SIS, Eurodac, ECRIS-TCN, EES, ETIAS + national programs
- CEN/TC 224/WG 19 – Breeder Documents (EU)
- UN DESA / UNSD
- Other



Together, we need to land at the right place!

- Review existing Eol processes
- Review the Eol legal framework
- Undertake capacity building and training

- Also review BCM and other related ICAO TRIP guidelines
- Keep in mind - facilitation, security and human rights – go together





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THANK YOU

