Evidence of Identity – Taking Off

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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, for putting together SARPS for the TRIP strategy.

- Adoption and implementation by the States

Evidence of Identity

- 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

EVIDENCE OF IDENTITY

INTEROPERABLE APPLICATIONS

MRTDs

IDENTIFICATION MANAGEMENT

INSPECTION SYSTEMS AND TOOLS

DOCUMENT ISSUANCE & CONTROL

- ICAO Doc 9303
- ISO/IEC-JTC1/SC17-WG3
- Guide for assessing the security of handling and issuance of Travel Documents

Five elements of the TRIP strategy

Why is EoI Important … and challenging

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

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

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

How does EoI work?

- Founded in the country's constitution, laws, and practices
- Works in various ways for citizens, nationals, residents, refugees, stateless persons etc.
- 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 (or not) a <u>Travel Document</u>

- *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?

Portrait of Dr. Gachet By Vincent Van Gogh
Two versions painted by the artist in June 1890

Don't worry – help is at hand!

Soon to be released
ICAO's Evidence Of Identity Guide
supported by ICBWG

Contents
- **Introduction**
  - ICAO's mandate on EOI

- **Evidence of Identity (EOI) approach**
  - Identity Chain vs Identity ecosystem
  - Principles of EOI
  - Types of Evidence
  - Meeting EOI objectives
  - A - Identity exists
  - B - Identity is a living identity
  - C - Applicant links to the identity
  - D - Is unique to the system
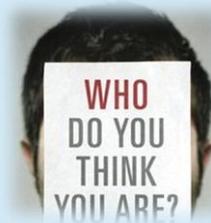 - E - Applicant uses the identity
  - Role of Biometrics

- **Operational Considerations**
  - Contextual factors
  - Identity of children
  - Risk considerations
  - Supporting documentation
  - Legislation
  - Data & information sharing

- **Appendix**
  - A - Case studies
  - B - From birth to border (EOI practices)
  - C - Civil Registration – good practices
  - D - Assessment of available evidence
  - E - Trusted Referees
  - F - Risk Assessment

The new EoI at work

- Biometrics to authenticate physical identity
- Biographics to link with civil registration
- Robust breeder documents
- Social footprint

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

- Amendments to existing laws and new laws (e.g. privacy) might be required
- New set of SARPs from ICAO
- Increased engagement with digital identity & online data access
- Interoperability will be key

✓ Claimed Identity Exists
✓ Presenter links to the Identity
✓ Presenter uses the claimed Identity

The new EOI ecosystem

Identity-related Information
- Passport number
- Visa number
- Address
- Phone numbers
- Email addresses
- Witnesses, relationships and associations
- Driver licence number
- Firearms licence number
- Electoral roll (voter registration)
- Utilities records
- Bank records
- Other names
- School and church records
- Tax records
- Marriage and death records
- Health and immunization records
- Employment records
- Social Media
- IP Addresses

Validation and corroboration
- Information sharing
- Agency records and internal data
- INTERPOL Lost and Stolen Travel Doc. Database
- Advance Passenger Information (API) and Passenger Name Record (PNR)
- Public Key Infrasrtructure (PKI) and ICAO Public Key Directory (PKD)
- Interviews
- Cultural knowledge
- Risk profiling

Core Identity Attributes
- Name at birth
- Date of Birth
- Place of Birth
- Parent's names
- Biometrics
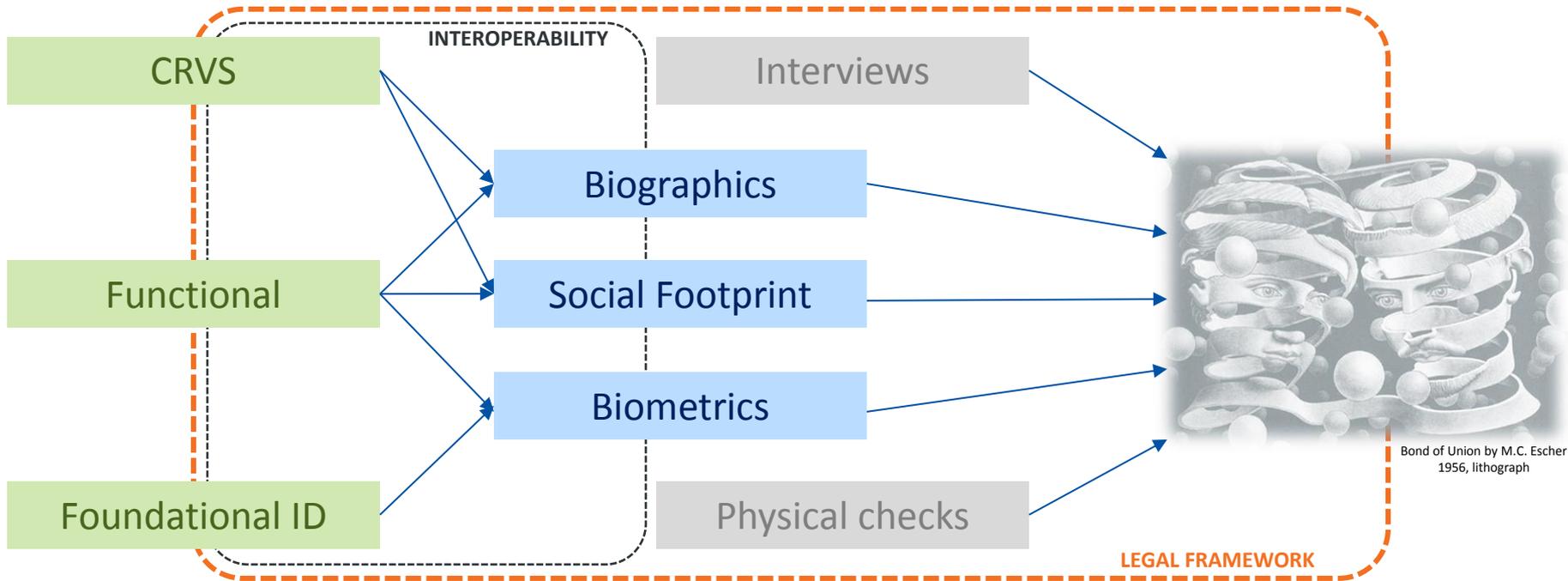- Birth registration or national identification numbers

Some Questions

- How good is your country's Civil Registration (CRVS) System? – <u>LEGAL IDENTITY</u>
    - Are the registers up-to-date?
    - Can a birth certificate be unambiguously authenticated? – <u>BREEDER DOCUMENTS</u>
    - Is digital access available or likely to be available?

- How good is your country's Foundational ID system? – <u>PHYSICAL IDENTITY</u>
    - Does it include biometrics?
    - Is digital access available or likely to be available?

- What other kinds of records are accessible? – <u>SOCIAL FOOTPRINT</u>
    - Education – school & university
    - Residence – utility bills
    - Bank statements
    - Employment records

The New EoI – Process overview

INTEROPERABILITY

CRVS

Functional

Foundational ID

Interviews

Biographics

Social Footprint

Biometrics

Physical checks

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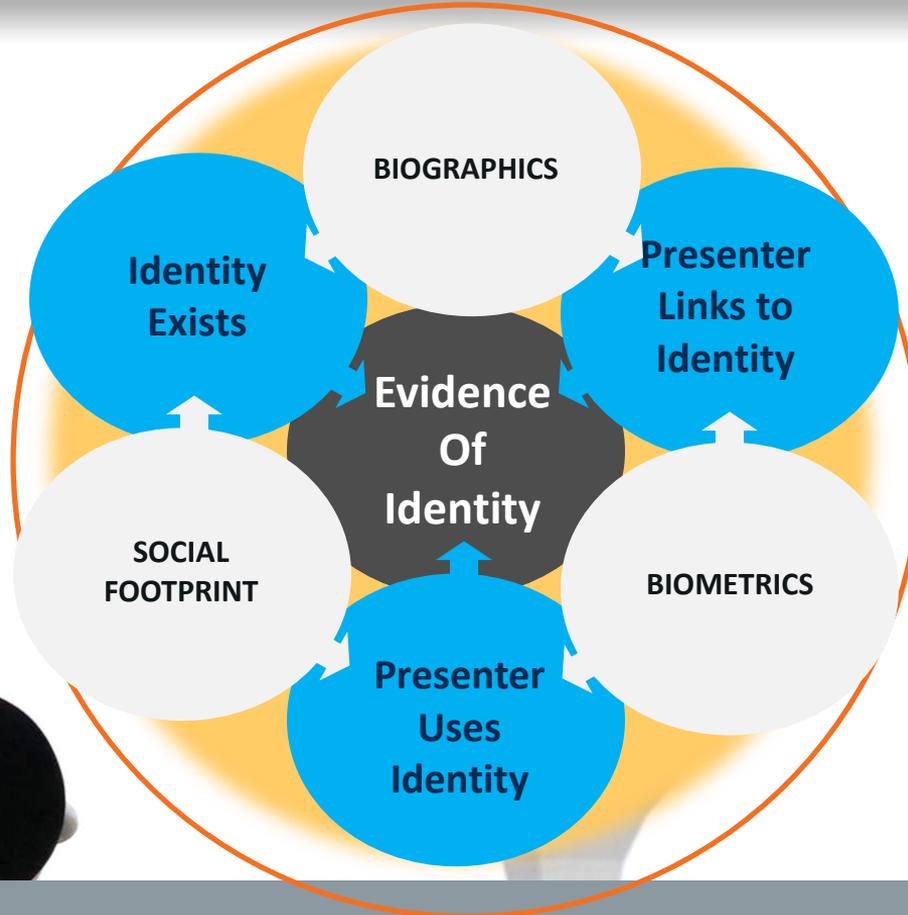
Bond of Union by M.C. Escher
1956, lithograph

Other organizations and EoI

- OSCE / ODIHR – Compendium of Evidence of Identity (57 States)
- World Bank – ID4D various **documents** (SDG 16.9 deficient countries – national ID)
- IOM – Regional travel documents & borders
- UNHCR – refugees & stateless persons
- WHO / UNICEF - focus on the child
- EU – VIS, SIS, Eurodac, ECRIES-TCN, EES, ETIAS + national programs
- CEN/TC224 WG19 – Breeder Documents
- Other

The new EoI

BIOGRAPHICS

Presenter Links to Identity

Identity Exists

Evidence Of Identity

Circle of Trust

SOCIAL FOOTPRINT

BIOMETRICS

Presenter Uses Identity

Together, we need to land at the right place!

- Review existing EoI processes
- Be in line with the BCM and other guidelines
- Review legal framework
- Initiate work on new EoI SARPS
- Capacity building and training
- Harmonize internationally
- Facilitation – Security – Human Rights

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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

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THANK YOU

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