ICAO TRIP: USING TRAVELLER ID FOR STREAMLINED BORDER CONTROLS

What is Evidence of Identity

Sanjay Dharwadker
Member ICBWG and ISO/IEC JTC 1/SC 17/WG 3

14th ICAO TRIP Symposium

Montreal 23-25 October 2018

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

Five elements of the TRIP strategy

Five elements of the TRIP strategy - details

Presentation title

Area of major concern.

- 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/JTC 1/SC 17/WG 3

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

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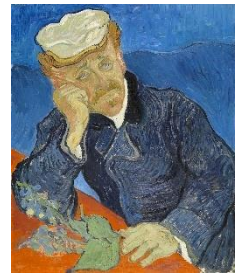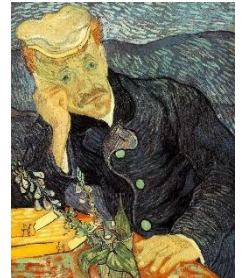
Portrait of Dr. Gachet By Vincent Van Gogh
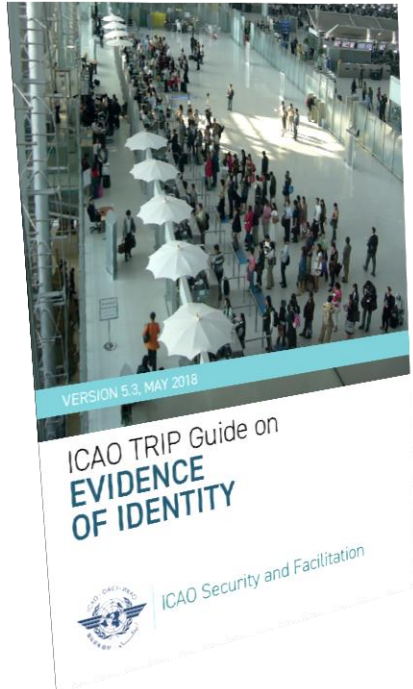Two versions painted by the artist in June 1890

Don't worry – help is at hand!

The ICAO TRIP Guide on **EVIDENCE OF IDENTITY**
Released in May 2018
Supported by ICBWG
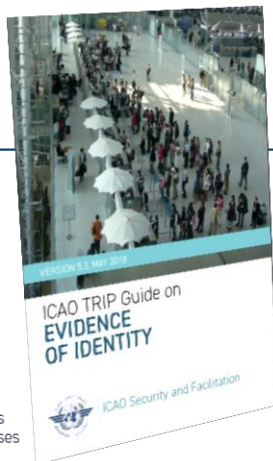Available at: https://www.icao.int/Security/FAL/TRIP/Pages/Publications.aspx

Download
https://www.icao.int/Security/FAL/TRIP/Documents/ICAO%20Guidance%20on%20Evidence%20of%20Identity.pdf

Contents

CONTENTS

ICAO TRIP Guide on
EVIDENCE
OF IDENTITY

ICAO Security and Facilitation

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

EoI 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 EoI - ecosystem

Presentation Title

Core Identity Attributes
- Name at birth
- Date of Birth
- Place of Birth
- Parents Names
- Biometrics
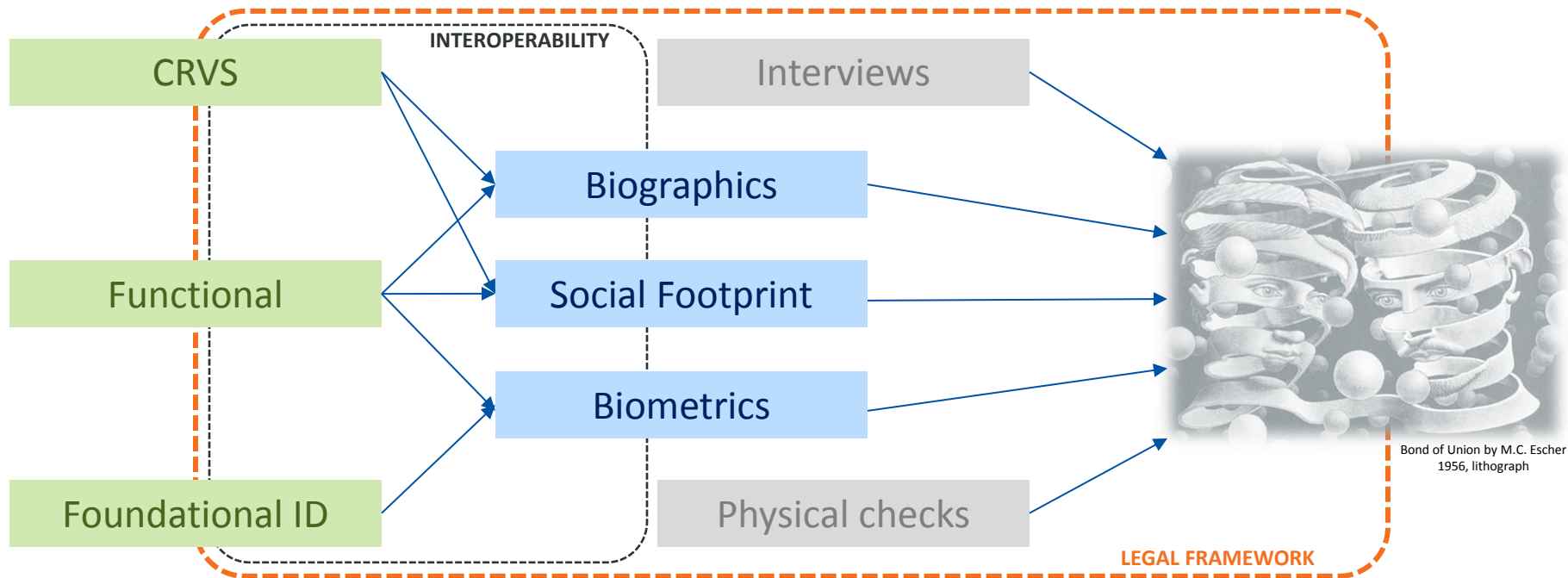- Birth Registration or national identification numbers

Identity-Related Information
- Passport numbers
- Visa number
- Address
- Phone numbers
- Email address
- Witness, Relationships and association
- Drivers license number
- Firearms license number
- Electoral roll (Voter registration)
- Utilities records
- Bank records
- Other names
- School/Church records
- Tax records
- Marriage/Death records
- Health records
- Employment records
- Social media
- IP address

Validation and Corroboration
- Information Sharing
- Agency records and internal data
- INTERPOL Lost and Stolen travel doc database
- Advanced Passenger Information (API) and Passenger Name Record (PNR)
- Public Key Infrastructure (PKI) and ICAO Public Key Directory (PKD)
- Interviews
- Cultural Knowledge
- Risk Profiling

The New EoI – Process overview

INTEROPERABILITY

CRVS

Functional

Foundational ID

Interviews

Biographics

Social Footprint

Biometrics

Physical checks

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

LEGAL FRAMEWORK
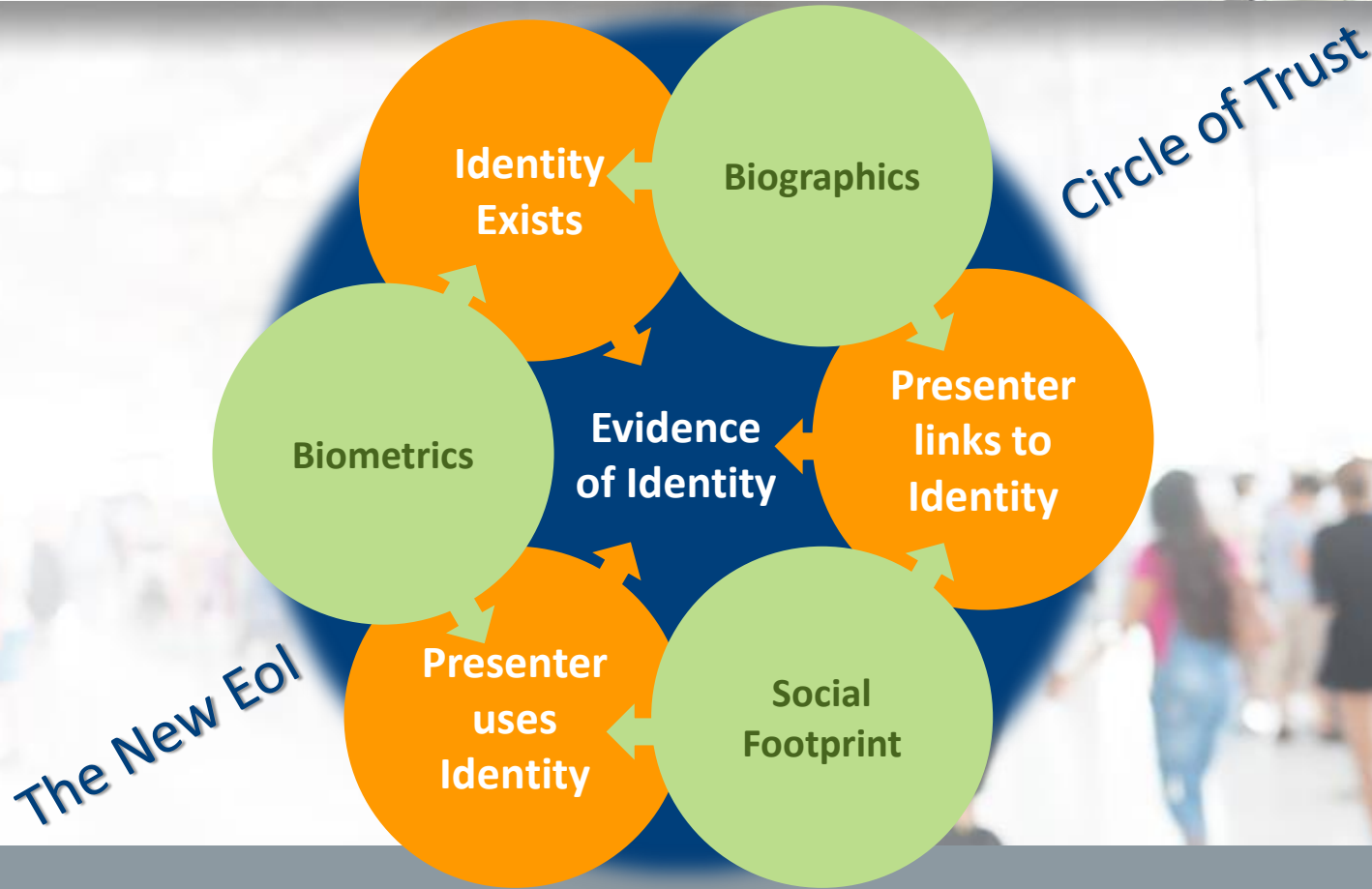
EoI and other international organizations

- 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, ECRIES-TCN, EES, ETIAS + national programs
- CEN/TC 224/WG 19 – Breeder Documents (EU)
- Other

Together, we need to land at the right place!

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

The States can:
- Review existing EoI processes
- Review legal framework for EoI
- Undertake relevant capacity building and training

Harmonize internationally:
- Also review BCM and other ICAO TRIP guidelines
- Support emerging SARPS on EoI
- Keep in mind - Facilitation, Security & Human Rights - together
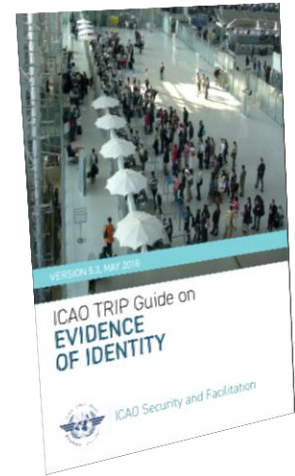
ICAO

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

Contact Details   Name : Sanjay Dharwadker   Email : sdharwadker@wcc-group.com