

Regional Seminar on MRTDs, Biometrics and Identification Management
Sint Maarten, 9-11 July 2013



EVIDENCE OF IDENTIFICATION

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Overview

- * Where are we?
- * ICAO Answer
- * Guide on Evidence of Identification
- * Identity Exists
 - * Biometrics
- * Person Links to Identity
 - * Social Footprint
- * Conclusions

WHERE ARE WE

Robust MRTD and Secure Travel
Document Issuance

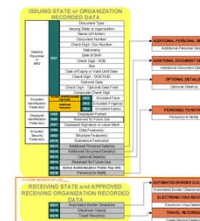
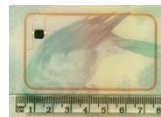
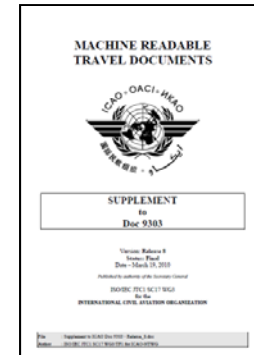
Issuance of MRTDs

MRP



MRP

ePassport



0111001001010

CHIP RFID
14443

IMAGE
FACE

LDS

PKI DIGITAL
SIGNATURE
4 PKD

ePassports

- Enhance Security & Facilitation
 - Issuance process
 - Document
 - Used for border control
- Biometrics for identity confirmation
- Difficult to tamper with
- Use of PKD increases capability for fraud detection

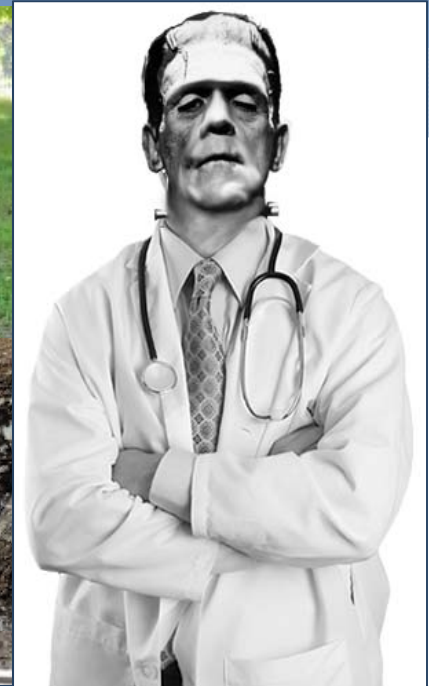
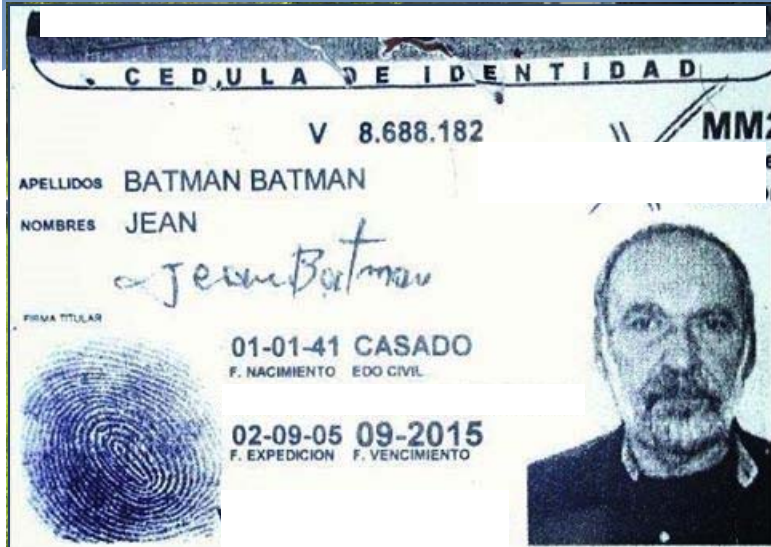


Weakest Link!

- * Fraudsters seek the path of least resistance
 - * Ex. the issuance process
- * Targeting of issuance process can damage reputational gains made by increasing the physical security of the travel document
- * Undermines the state's financial investment in improvement of secure technology
- * Fraudsters would use gaps in the process to secure a Falsely Obtained Genuine (FOG) document rather than forgery



Creating or “Reviving” an Identity



“It’s Alive! It’s Alive!”

Dr. Henry Frankenstein,
Frankenstein , (1931)

Civil Registry



REPUBLICA FEDERATIVA DO BRASIL
ESTADO DE SÃO PAULO
COMARCA, MUNICÍPIO E DISTRITO DE BOROÇABA
SERVIÇO DE REGISTRO CIVIL
REGISTRO CIVIL
Sra. MARIA INÊS DE ALMEIDA VIEIRA
Nascimento N.º 36-11 1911

CERTIFICO que, a fl. 212 11 de Livro N.º 18 111 de
foi lavrado hoje a assento de
neste de outubro de 1911, momentos e horas, na Maternidade do Hospital Santa Theresina de
de sexo feminino e de cor branca e
Mãe de Narcílio e
de Dona Ana
dita Viúva e de idade
materna Paulo e Matelvina
Foi declarado pai e mãe
Vivaldo e Hilmar

BIRTHS AND DEATHS REGISTRATION ACT, 1874.
CERTIFICATE of REGISTRY of BIRTH.

I, the undersigned, do hereby certify that the Birth of
Gladys Millington
born on the *4th* day of *November 1898*, has been duly registered
by me at No. *111* of my Register Book.

© Crown copyright

Witness my hand, this *13th* day of *December 1898*
John Saunders Registrar of Births and Deaths.
Charleston Sub-District.



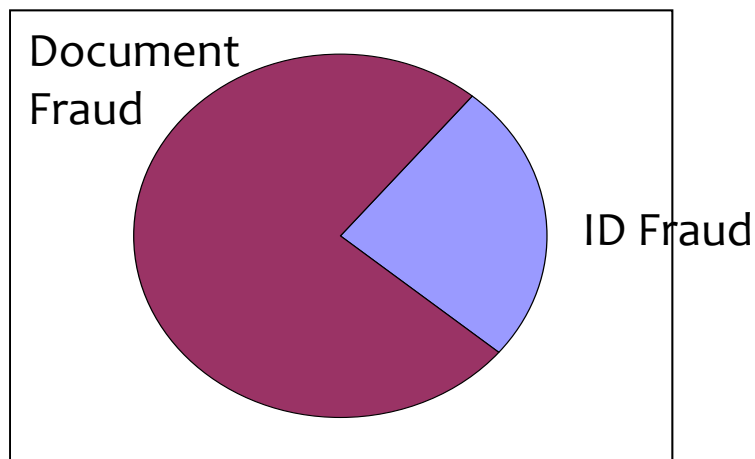
Lack of Integrated Systems and Cooperation



Shift to Identity Fraud

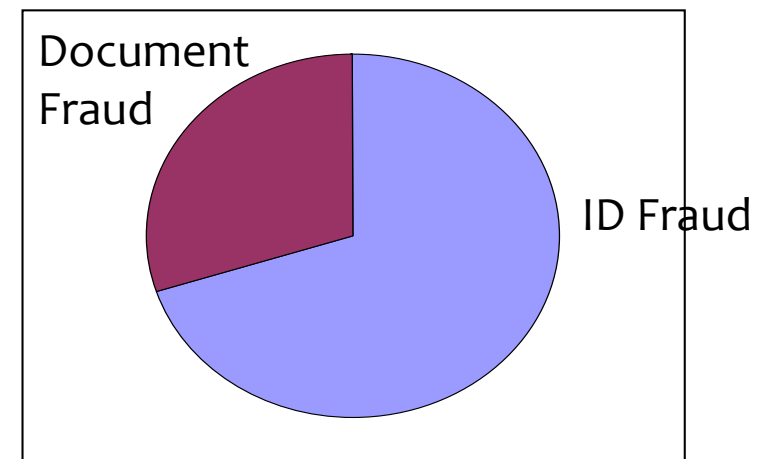
2006

- * Identity Fraud = 31%
- * Docum. Fraud = 54%
- * Remainder = 15%



2009

- * Identity Fraud = 71%
- * Docum. Fraud = 29%



MRTD Programme TRUST

- Aimed at producing standardized and interoperable specifications for issuance and verification of travel documents.
- **Build confidence in the reliability of travel documents.**
- Effective inspection procedures.
- Facilitates inspection formalities for the majority of travellers.

ICAO ANSWER

Establish Evidence of Identification
Guidance Material

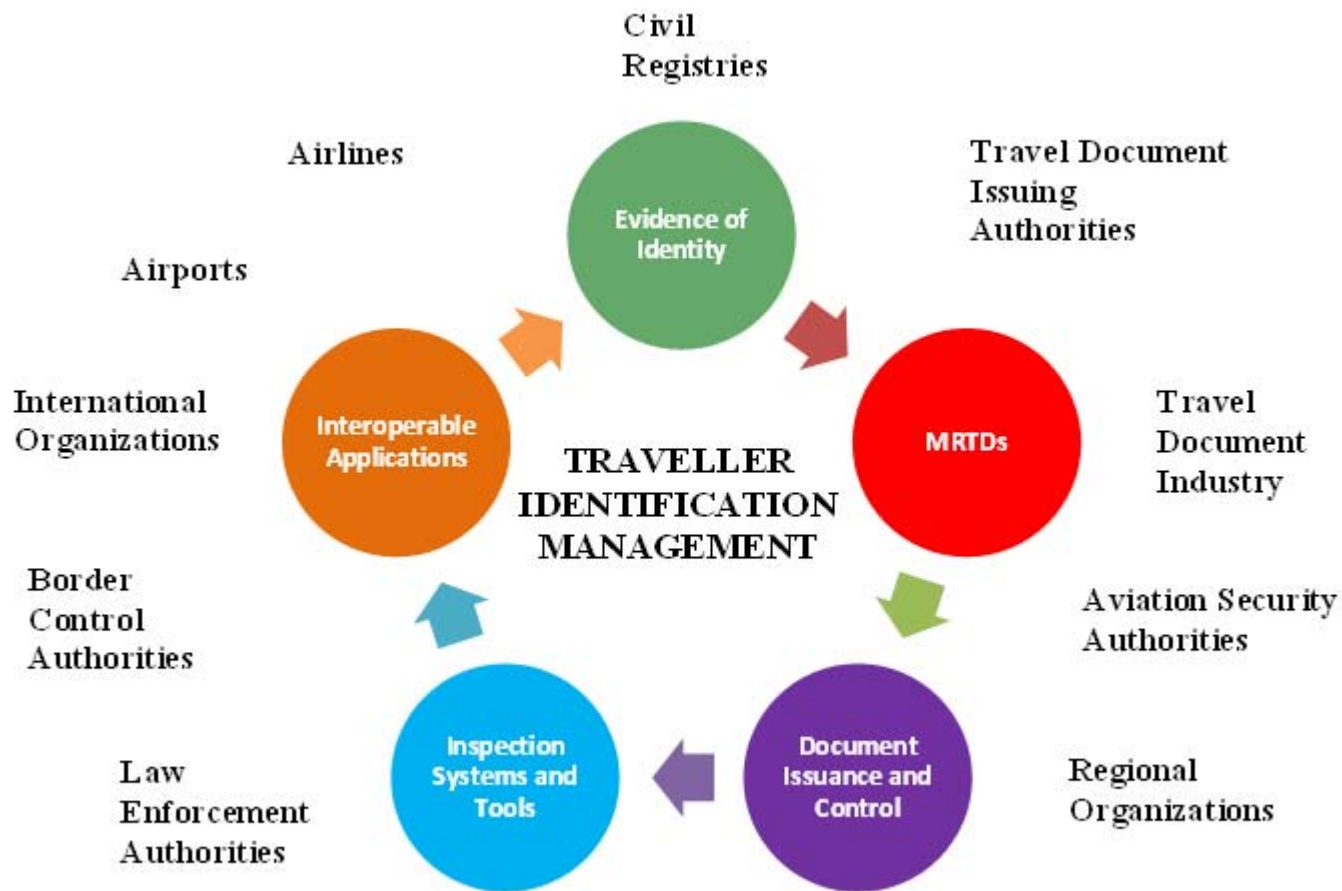
Enhancing the MRTD Programme

ICAO Traveller Identification Programme (ICAO TRIP)

- * Holistic approach to identification management and travel documents
- * Applicable to all mode of transports and borders
- * Integrates MRTDs, PKD and other elements of traveller identification management
- * **Submitted** to the 38th Session of the ICAO Assembly - for the final endorsement of the TRIP Strategy



Holistic Traveller Identification Management: Five Dimensions



Goal of ICAO on MRTDs

Need for security and integrity in the application and enrolment for travel documents to achieve a consistent level of security and integrity across the travel document continuum:

- * Travel document needs to be secure
- * Issuing processes need to be methodical and of high integrity
- * Checks made on a document at borders need to be thorough and trustworthy

Evidence of Identification

ICAO Mandate

- * To assist States to properly and uniquely identify individuals as part of the travel document issuance process or as they move across borders.
- * It is therefore the establishment of identity, and validation of identity, that ICAO is most focussed on – and largely for the purposes of security.

Evidence of Identification

ICAO Mandate

Recognize that a passport “...is the basic official document that denotes a person’s identity and citizenship and is intended to inform the state of transit or destination that the bearer can return to the state which issued the passport.”

ICAO Assembly Resolution A37-20, Appendix D – *Facilitation*, Section II

Evidence of Identification

ICAO Mandate

Assembly also underscored the importance of maintaining international confidence in the integrity of the passport as an essential function of the international travel system and that the veracity and validity of machine readable travel documents depends on the documentation and processes used to identify, confirm citizenship or nationality and assess entitlement of the passport applicant.

Evidence of Identification Scope

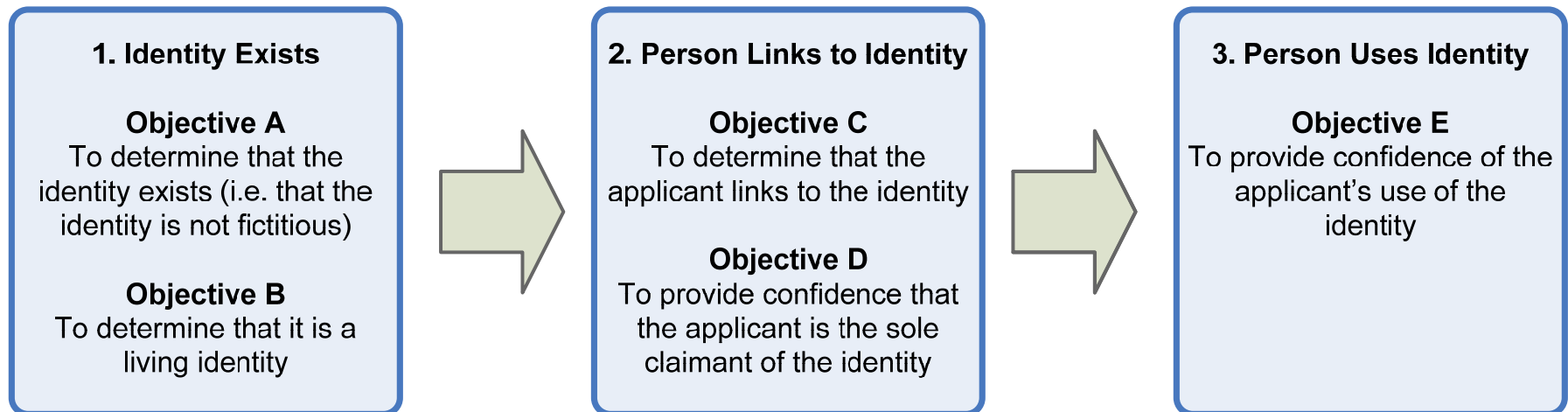
The scope of the Guide is to provide States with guidance on establishing evidence of identification in order to properly and uniquely identify individuals for the purposes of issuing trusted travel documents and contribute to overall security worldwide.

Evidence of Identification Purpose

- Provide guidance material; not to set Standards and Recommended Practices (SARPs)
- Intended to be used by individuals and agencies engaged in the full spectrum of identity management, including: staff of issuing authorities, inspection, police and immigration authorities.
- In particular, the Guide is especially relevant to those involved in civil registry and other vital records-related management activities

Evidence of Identification

Focuses on the need to achieve certain outcomes required for establishing identity and evidence that:



Evidence of Identification Vs. MRTDs

- * Different than issuing MRTDs - Interoperability
- * Impossible to be prescriptive on how to achieve these principles and their objectives as they are dependent on each state's customs, working practices and legal frameworks and will likely differ from one state to another

Identity Exists – “Proving”

1. Identity Exists

Objective A

To determine that the identity exists (i.e. that the identity is not fictitious)

Objective B

To determine that it is a living identity

- * Ask applicant for documents to prove that their identity exists (i.e. birth or citizenship certificate).
- * Validated them against source data to combat the risk of forged foundational documents
- * Check death records to guard against fraudulent applicants using the identity of a deceased person
- * In some states foundational documents may not be required due to the availability of electronic²³ access to birth records

Identity Exists – “Proving” Protocols for Documents Acceptance

1. Identity Exists

Objective A

To determine that the identity exists (i.e. that the identity is not fictitious)

Objective B

To determine that it is a living identity

- * Accept only original documents or copies certified by the issuing authority
- * Verify documents against electronic or other centrally-held records
- * Preferably accept only documents that are currently valid
- * Accept only full birth certificates
- * In general, only documents/records that are less than one year old
- * Require documented evidence of any name²⁴ change

Person Links to Identity – “Linking” Stopping Fraudsters

2. Person Links to Identity

Objective C

To determine that the applicant links to the identity

Objective D

To provide confidence that the applicant is the sole claimant of the identity

- * Check available agency databases to ensure there is no record of a duplicate applicant claiming that same identity (biometric matching is advised to detect whether the applicant has a travel document under a different name)

Person Links to Identity – “Linking” Biometrics

KEY FEATURES:

Facial Image Comparison
Against On-File Image

Lookout Check(s) using
Facial Image

Fraud Check(s)

3 Oct 2002
10:03:20

PASSPORT APPLICANT IDENTITY CONFIRMATION SYSTEM

RENEWAL NEW APPLICATION Log Off

Name NEWGUY
Primary Identifier JACK
Secondary Identifier (1)
Secondary Identifier (2)
Secondary Identifier (3)

Date of Birth 24 06 1942 Country of Birth CAN Sex M
dd mm yyyy

INQUIRY RESULTS

RECORD CHECK LOOKOUT ENHANCED BIOGRAPHICAL LOOKOUT FACE BIOMETRIC FRAUD CHECK CAPTURE PHOTO

1 POTENTIAL MATCH(ES)

JOEL SHAW
DOB: NAT: CAD

MANDATORY

IMAGE ON FILE CAPTURED IMAGE

IDENTITY CONFIRMED REFER TO SECURITY

Person Links to Identity – “Linking” Stopping Fraudsters

3. Person Uses Identity

Objective E

To provide confidence of the applicant's use of the identity

- * Undertake checks to establish the “social footprint” identity
- * (i.e. evidence that the person uses their claimed identity in the community by means of the electoral roll, banking and utilities statements, tax and social security numbers, healthcare registered, motor vehicle registration and education records

Person Links to Identity – “Linking” Social Footprint - Interviews

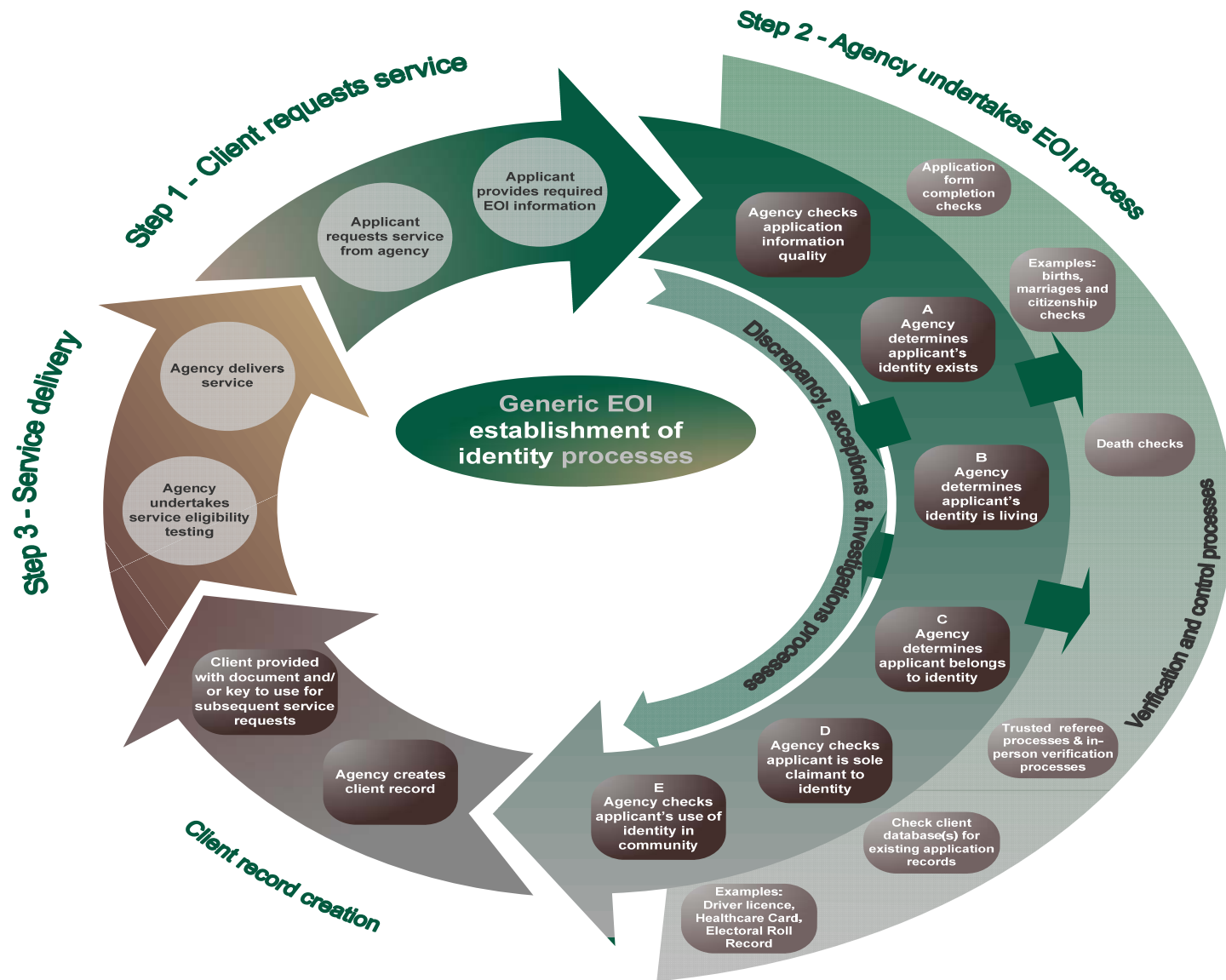
3. Person Uses Identity

Objective E

To provide confidence of the applicant's use of the identity

- * Attributed identity: consists of components of a person's identity that are given at birth, their full name, date and place of birth, and names of parents
- * Biometric identity: consists of attributes that are unique to an individual (e.g. fingerprints, voice, iris pattern and hand geometry).
- * Biographical identity: a person's **social footprint** which builds up over time. Covers life events and how a person interacts with society. Includes education, qualifications, electoral roll, employment history, healthcare and interactions with banks and public authorities

Evidence of Identification



Conclusions

- * Issuance of MRPs or ePassports implies that all processes, specifications, standards and best practices are fully implemented.
- * Any doubt or weak link jeopardizes the overall investments made.
- * Best investing on securing and achieving integrity of Evidence of Identification processes and system, and MRP issuance processes
- * Previous is required to properly implement ePassport Projects
- * Benefits are beyond travel documents
- * Participate in ICAO working groups

http://www.icao.int/Security/mrtd/Pages/Guides.aspx

The screenshot shows a web browser window with the address bar displaying www.icao.int/Security/mrtd/Pages/Guides.aspx. The page header features the ICAO logo and the text "INTERNATIONAL CIVIL AVIATION ORGANIZATION A United Nations Specialized Agency". Navigation links include "About ICAO", "Strategic Objectives", "Meetings & Events", "Publications", "Online Store", and "Employment". A search bar and social media icons are also present.

MRTD

- MRTD Overview
- What's New
- About Us
- Document 9303
- MRTD Glossary
- Events
- Downloads
- MRTD Report Magazine
- TAG/MRTD

ICAO > Security > MRTD > Guides

Guides

- ICAO Guide Towards Better Practice in National Identification Management V.3
- ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents
- ICAO MRTD Photo Guidelines

UNITING AVIATION 24 SEP - 4 OCT

THANK YOU

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