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Regional Seminar on MRTDs and Traveller Identification Management  
Tashkent, 8 to 10 April 2014

# ICAO Guidance Material on Identification Management

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ICAO MRTD Officer



# OVERVIEW

- Where are we?
- ICAO Mandate - Evidence of Identification
- Evidence of Identification Guide
  - 1) Identity Exists
  - 2) Person Links to Identity
  - 3) Person uses Identity
- Conclusions



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# WHERE ARE WE?

Robust MRTD and Secure  
Travel Document Issuance

# Issuance of MRTDs and eMRTDs

## MRP



## MRP

## ePassport



CHIP RFID  
14443



IMAGE  
FACE



LDS



0111001001010

PKI DIGITAL  
SIGNATURE  
PKD



# 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 BORGAMBA  
REGISTRO CIVIL

Mrs MARIA INES DE ALMEIDA VIEIRA  
Nascimento N.º 35-13 2222

CERTIFICO que, a 212 11 de Maio N. A. 18 222 de Registro de 1872  
foi lavrado hoje a assento de Dátora.

em 212 de outubro de 1872, no momento e idade e data  
horas, na Maternidade do Hospital. Bairro "Owiga Deste Substato

de sexo Feminino 111 em branco 111  
Mãe de Narcilio 11122  
de 008 Ana, "CET. Pais Deste Registro 111

ditos filhos 111 Mãe avta paterno. Alvaro  
e materno. Paulo e "Telvina

Foi declarado: 111 pai 111 e "Silva 111  
Vivado

London: Printed by Authority of the Registrar-General in St. Martin's Lane, A. Taylor, Stationer, 54, Strand, 1872, f. 20.

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

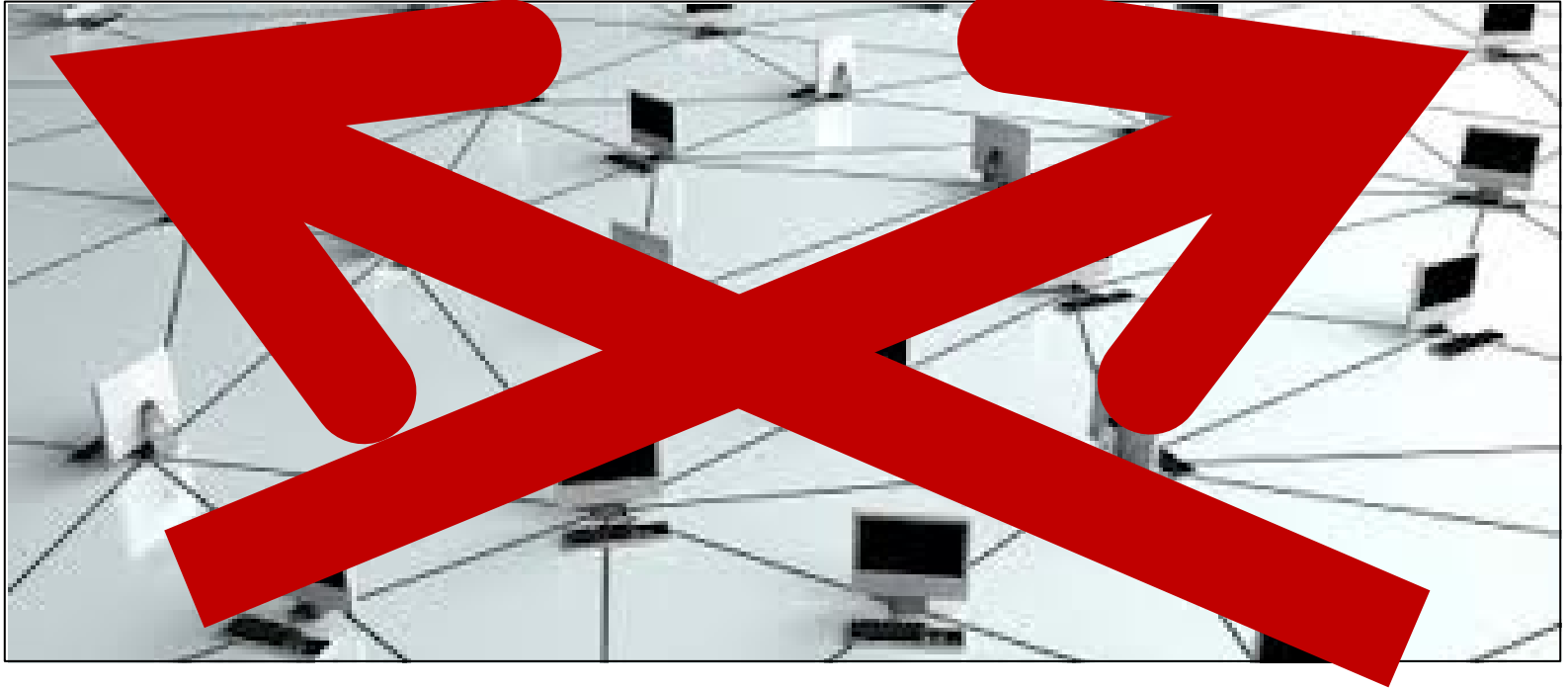
I, the undersigned, Do hereby certify that the Birth of  
*Gladys Millman*  
born on the *1<sup>st</sup>* day of *November* 18*98*, has been duly registered  
by me at No. *111* of my Register Book.

Witness my hand, this *13<sup>th</sup>* day of *December* 18*98*  
*John Saunders* Registrar of Births and Deaths.  
*Robertson* Sub-District.





# Lack of Integrated Systems and Cooperation

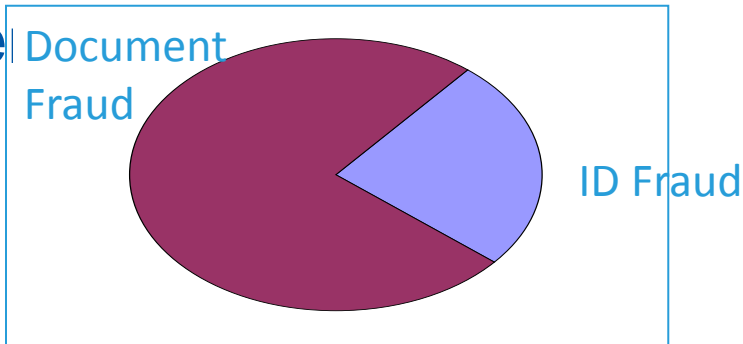




# Shift to Identity Fraud

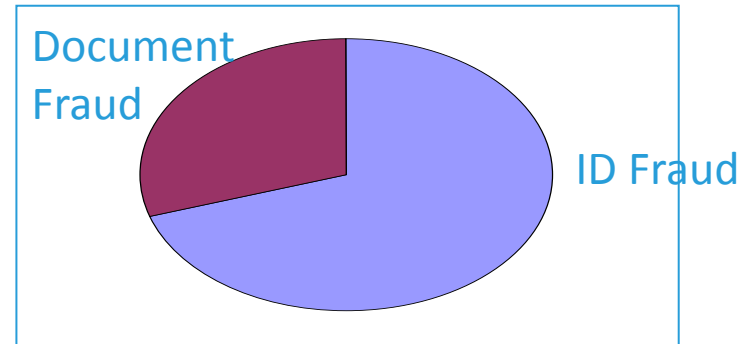
## 2006

- Identity Fraud = 31%
- Docum. Fraud = 54%
- Re



## 2009

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





# ICAO TRIP 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.



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# ICAO Mandate

## Evidence of Identification

ICAO Traveller Identification  
Programme (ICAO TRIP)





## Evidence of Identification - ICAO Assembly Resolution A38-16, Appendix B

- 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 Assembly Resolution A38-16, Appendix B

- “*Whereas* States recognize the relevance of traveller identification and border control management to aviation security and facilitation”;
- “*Whereas* States recognize that the ability to uniquely identify individuals requires a holistic and coordinated approach, which links the following five interdependent elements of traveller identification and border control management into a coherent framework”...



# Evidence of Identification - ICAO Assembly Resolution A38-16, Appendix B

- “*Whereas* States require capacity to uniquely identify individuals and require tools and mechanisms available to establish and confirm the identity of travellers”;



# Evidence of Identification Guide

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 Guide

## 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:

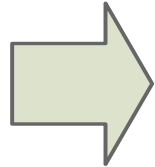
## 1. Identity Exists

### 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



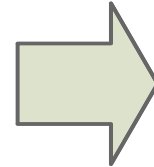
## 2. Person Links to Identity

### 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



## 3. Person Uses Identity

### Objective E

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

# 1) 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 electronic access to birth records

# 1) 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 name change**

## 2) 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)



# 2) Person Links to Identity – “Linking” Biometrics

## KEY FEATURES:

Facial Image Comparison  
Against On-File Image

Lookout Check(s) using  
Facial Image

Fraud Check(s)

**SECURIDENT™**  
PASSPORT APPLICANT IDENTITY CONFIRMATION SYSTEM

3 Oct 2002  
10:02:20

Log Off

RENEWAL NEW APPLICATION

Name

Primary Identifier

Date of Birth   Secondary Identifier (2)  
y of Birth   Sex  Secondary Identifier (3)

INQUIRY RESULTS

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

1 P

Joel Shaw  
DOB: NAT: CAD

MANDATORY

SIM: 95%

IMAGE ON FILE  
Similarity = 95%  
SIMILARITY

CAPTURED IMAGE

IDENTITY CONFIRMED REFER TO SECURITY

## 3) Person Uses Identity – “Stopping Fraudster”

### 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

## 3) Person Uses Identity – “Social Footprint-Interviews”

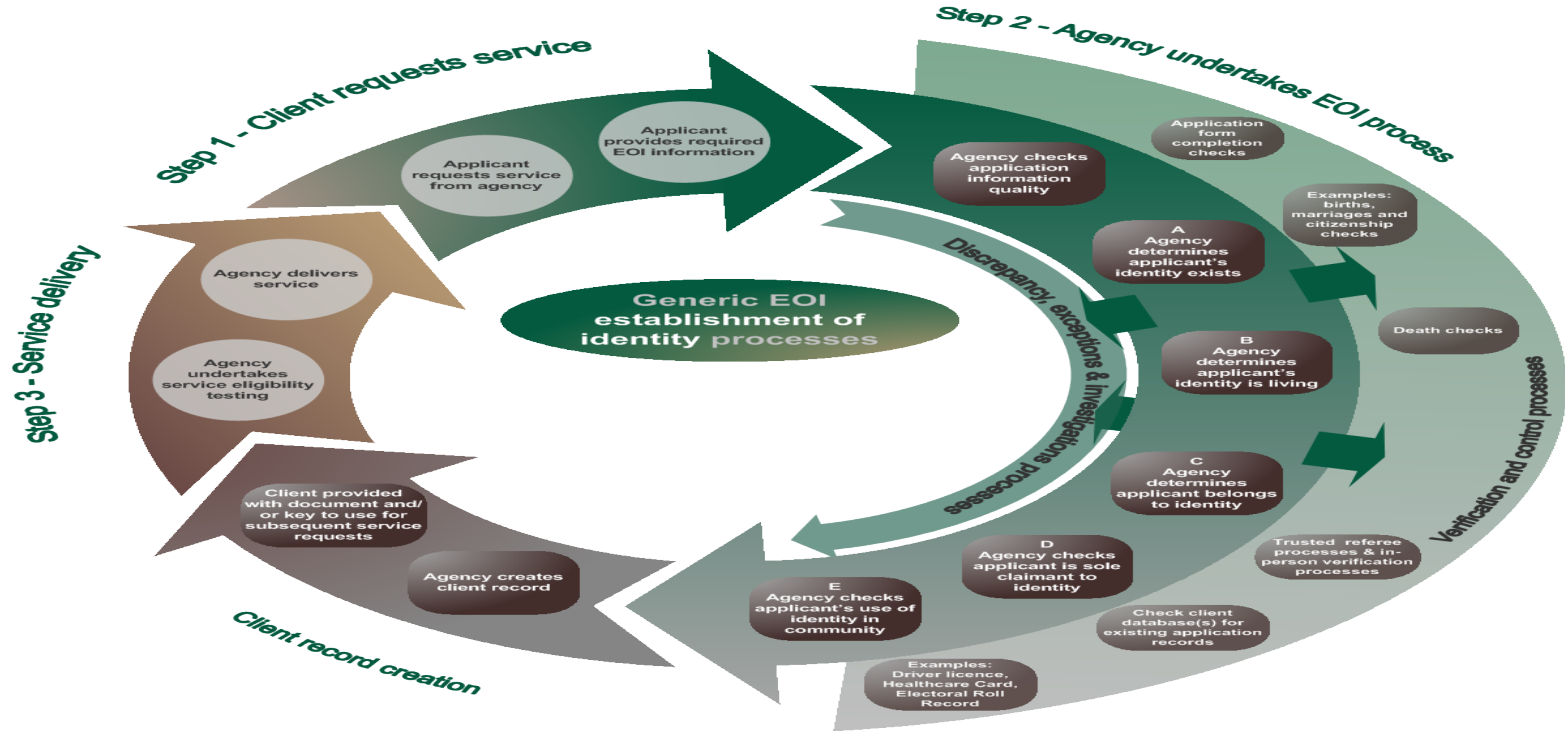
### 3. Person Uses Identity

#### 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

- 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



# Where to find the Eol Guide?

The screenshot shows a web browser window with the URL [www.icao.int/Security/mrtd/Pages/Guides.aspx](http://www.icao.int/Security/mrtd/Pages/Guides.aspx). The page header includes the ICAO logo and the text "INTERNATIONAL CIVIL AVIATION ORGANIZATION A United Nations Specialized Agency". There are social media icons for YouTube, Twitter, and RSS, along with a search bar and a "Sign up for updates" link. The main navigation menu includes "About ICAO", "Strategic Objectives", "Meetings & Events", "Publications", "Online Store", and "Employment". The left sidebar contains a "MRTD" section with links for "MRTD Overview", "What's New", "About Us", "Document 9303", "MRTD Glossary", "Events", "Downloads", "MRTD Report Magazine", and "TAG/MRTD". The main content area shows the breadcrumb "ICAO > Security > MRTD > Guides" and a "Guides" section with a list of documents:

- 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



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# THANK YOU !

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