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

ICAO Guidance Material on Identification Management

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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

WHERE ARE WE?

Robust MRTD and Secure Travel Document Issuance

Issuance of MRTDs and eMRTDs

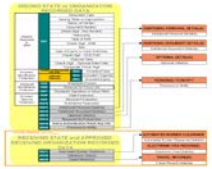
MRP

MRP

ePassport

CHIP RFID
14443

IMAGE
FACE



LDS

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PKI DIGITAL
SIGNATURE
PKD

Weakest Link!

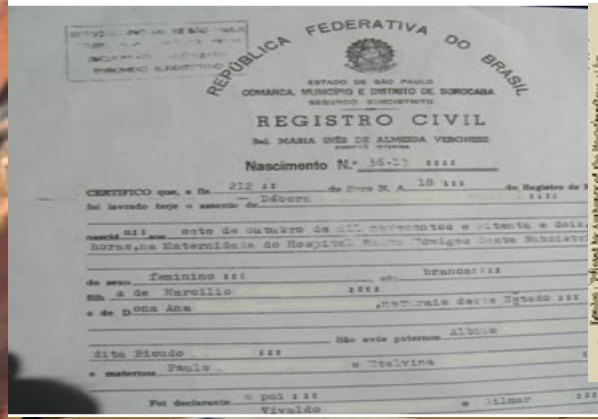
- Fraudsters seek the path of least resistance
  - Ex. the issuance process
- Targeting of issuance process can damage reputational gains made by increasing the physical security of the travel document
- Undermines the state's financial investment in improvement of secure technology
- Fraudsters would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

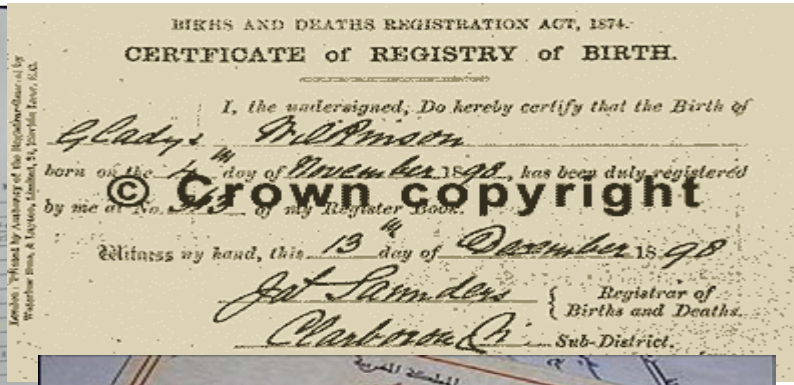
Creating or “Reviving” an Identity

“It’s Alive! It’s Alive!”

Dr. Henry Frankenstein,
Frankenstein , (1931)

Civil Registry





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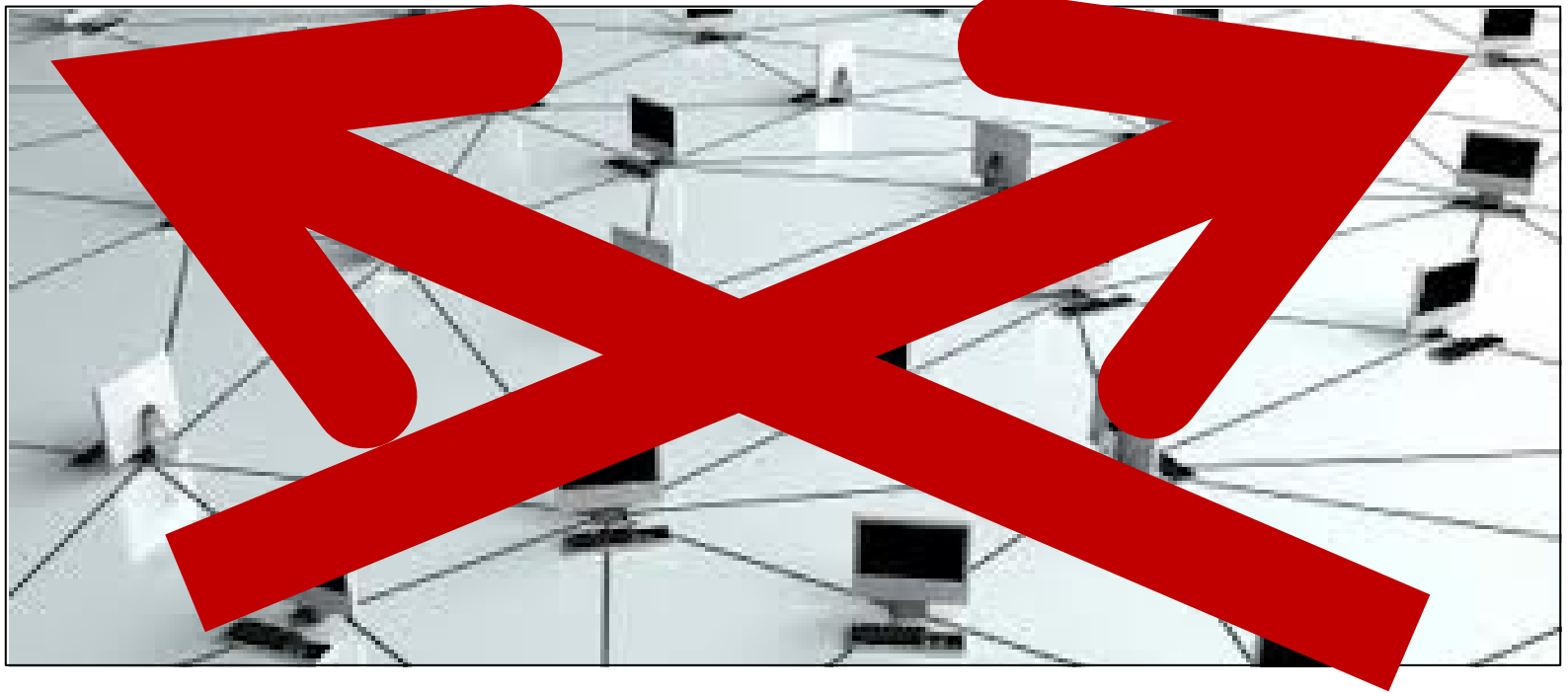
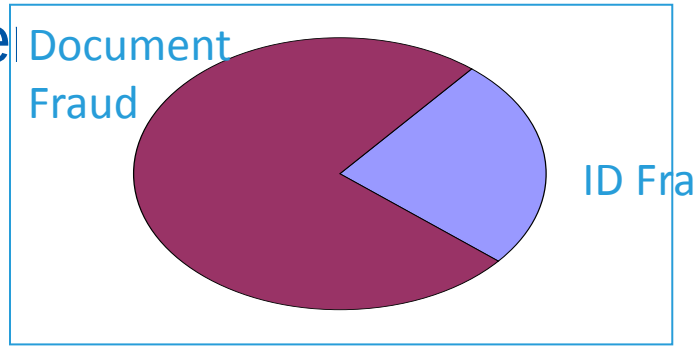
Lack of Integrated Systems and Cooperation



Shift to Identity Fraud

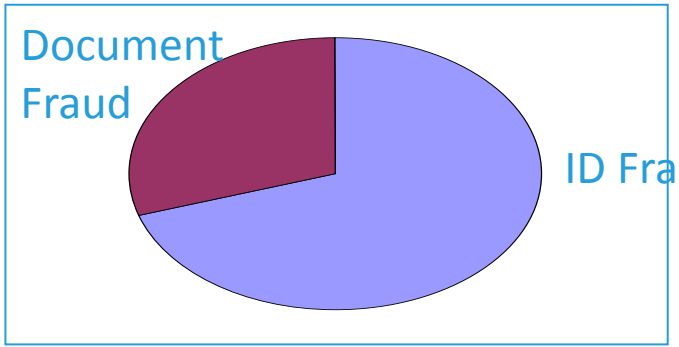
2006

- 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.

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

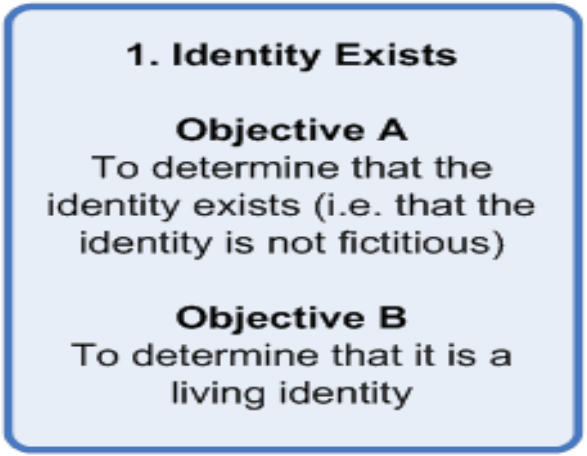
Objective C
To determine that the applicant links to the identity

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"



- 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:

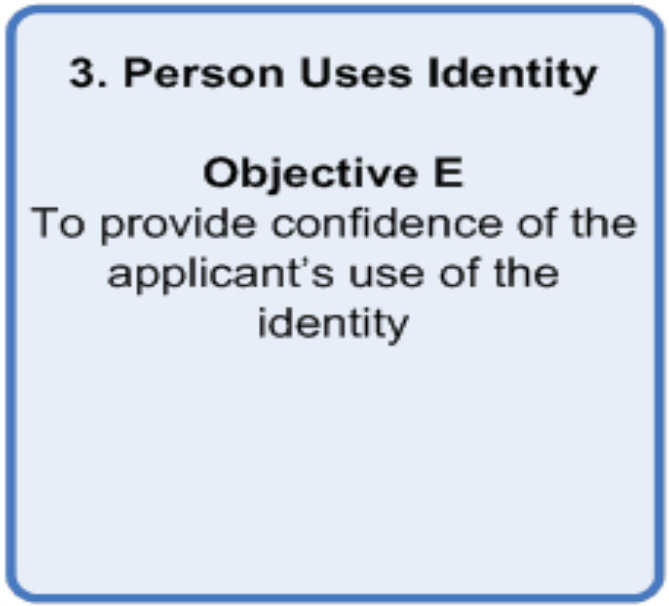
Facial Image Comparison Against On-File Image

Lookout Check(s) using Facial Image

Fraud Check(s)

MANDATORY

3) Person Uses Identity – "Stopping Fraudster"



- 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

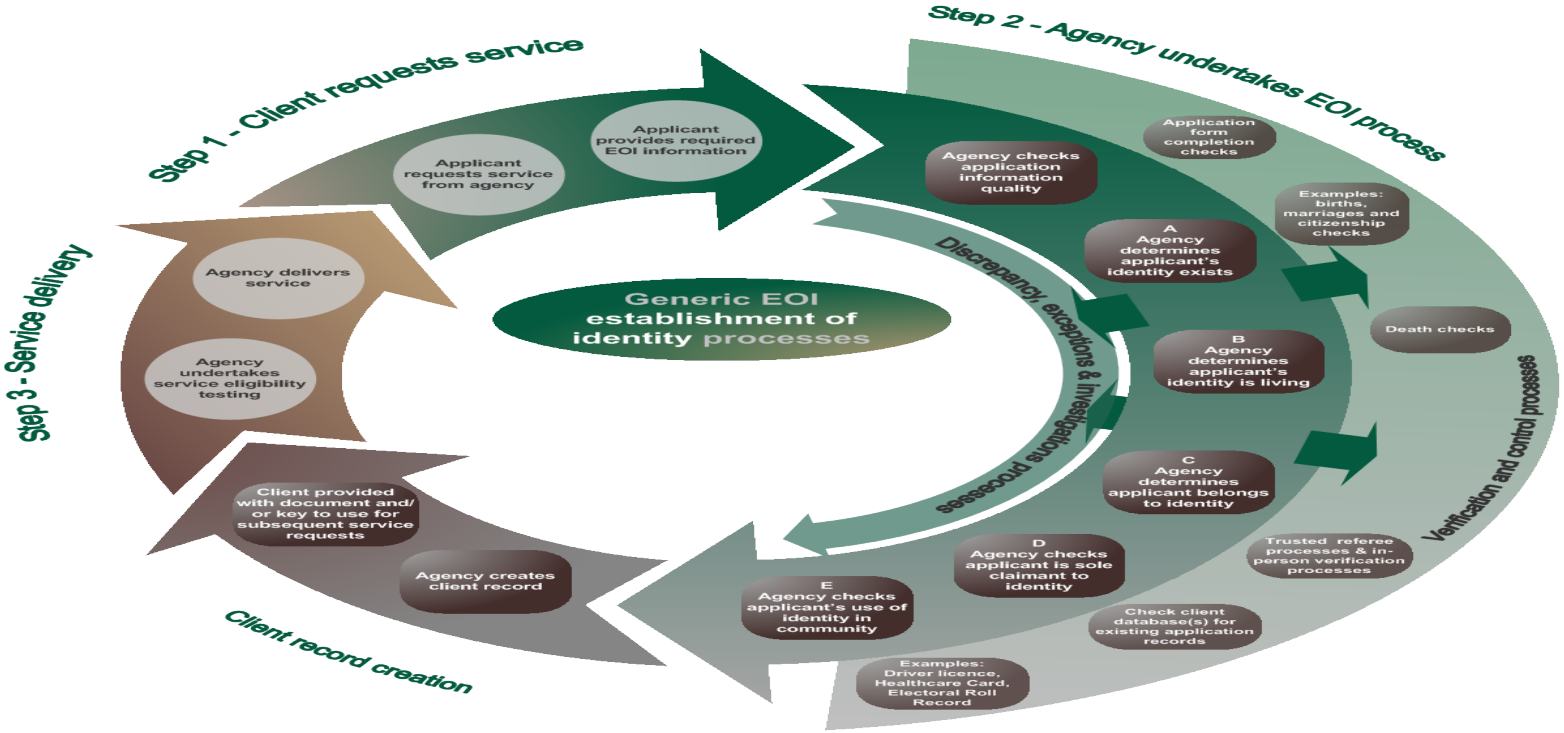
3) Person Uses Identity – "Social Footprint-Interviews"

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

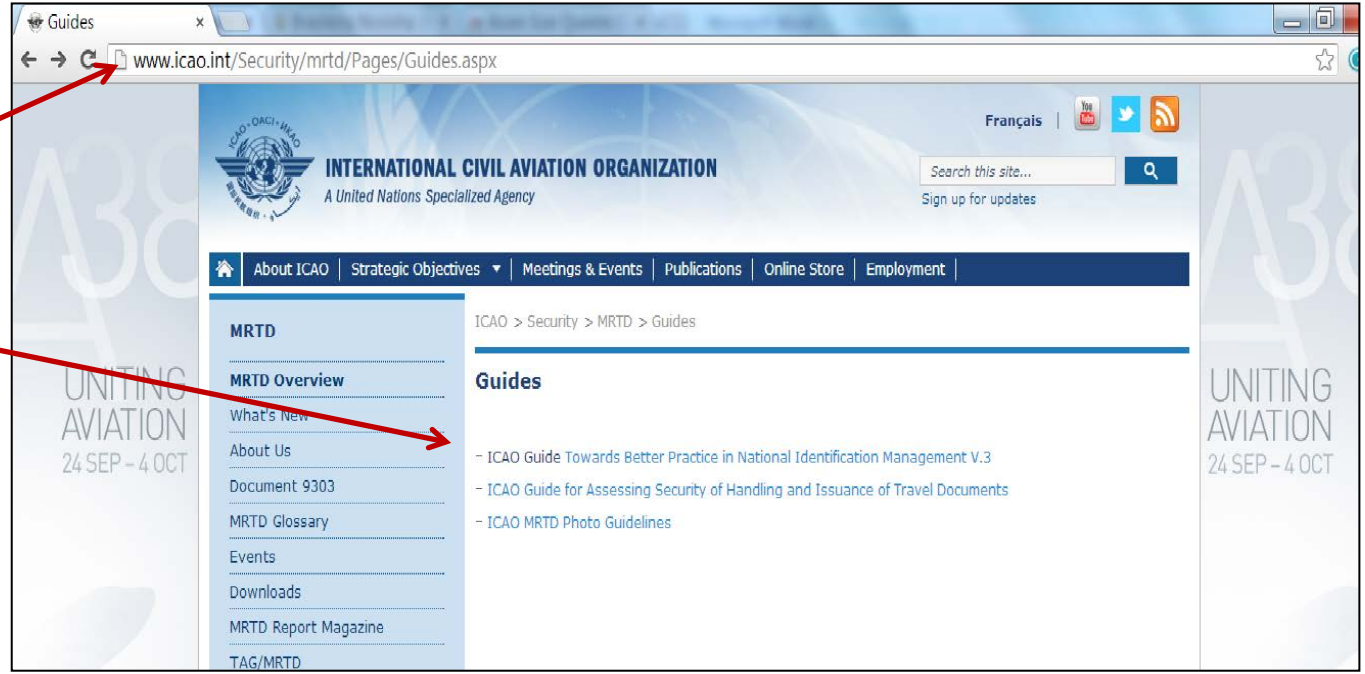
Evidence of Identification



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 EoI Guide?



THANK YOU !

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