

**Do you know who you are
dealing with?**

Using an Evidence of Identity Approach

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INTERNAL AFFAIRS

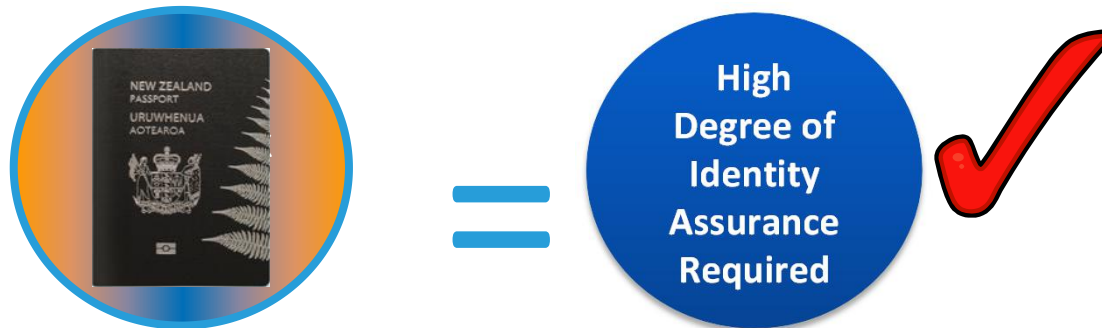


Te Tari Taiwhenua

New Zealand Government

The challenge of ID Management

- It is commonly understood that identity fraud facilitates a range of crimes that cause public harm, damage national reputation and have significant financial repercussions
- The risks and impacts of getting things wrong in the Travel Document and Border space means that **identity establishment and verification demand attention**



The identity problem

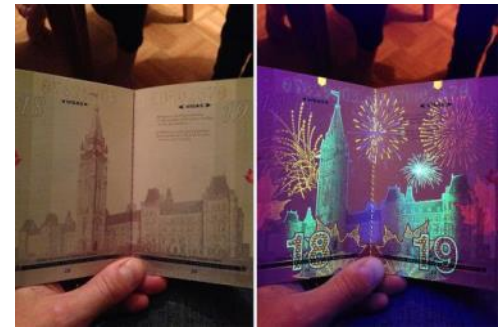
- As security and integrity of physical travel documents has improved, **weaknesses in their issuance processes** are increasingly being targeted
- Falsely obtained genuine passports are much harder to identify

To complicate matters further ...

- Air travel and border crossings are **increasing**, straining existing resources

“A false passport in the hands of a terrorist is as dangerous as a bomb”.

9/11 Commission Report



Fundamentals of Verification

- When people are presenting to claim and use an identity (passport and visa issuance, and at the border), we are generally verifying three key aspects:

What they “have”

**Documents
Tokens
Credentials**

What they “know”

**Verifiable information
associated with the
identity claimed**

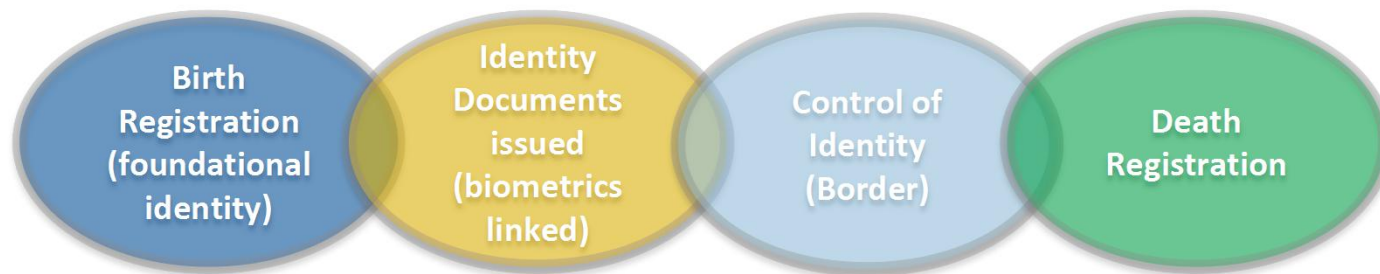
**Who they
“are”**

Biometrics



Identity Chain

- The “identity chain” underpinning identity verification fundamentals is traditionally **linear and uniformly understood**



- Relies on a belief that, with enough effort, each link can be made secure enough to ultimately provide **“proof” of identity beginning to end**



In Reality ...

- Every link in the traditional identity chain has weaknesses, and **these weaknesses are propagated through the chain**
- Identity is **diverse, dynamic and complex** and is subject to error and fraud
- Identity documents linked to biometrics may not provide enough assurance of the claim to a genuine identity
- There is **no “silver bullet”** and **no “one-size-fits-all”**



Evidence of Identity (EOI)

- EOI growing internationally as an area of focus, with national and international standards and frameworks emerging
 - comprehensive, risk-based approach to establishing and verifying an identity claim:
 - acknowledges complexity of modern identity management, and the challenges of different contexts
- ICAO Traveler Identification Programme (TRIP) – **properly and uniquely identify individuals** in the travel document issuance process or as they move across borders



The EOI approach

- Identity and identity-related information is broad, covering public and private sector, and **differs between cultures, countries and geographical regions**
- Identity is understood as an **eco-system**
- Can be applied to a **service, category of service, or a particular group or type of claimants** – depending on specific nature of identity risk



The EOI approach (2)

- Verifying identity is about **probabilities** – balancing risk with facilitation **(YES this includes biometrics)**
- Focussed on understanding and using information to gain a **level of confidence rather than proof – NO ABSOLUTES**
- Considers **continuity and longevity** of information
- **Structured** and **methodical** approach that works within the country's own context



EOI Authentication Principles

Principle 1 - Identity Exists

Objective A - The identity exists (i.e. is not fictitious)

Objective B - The identity is living

Principle 2 - Applicant links to Identity

Objective C - The presenting person links to the identity

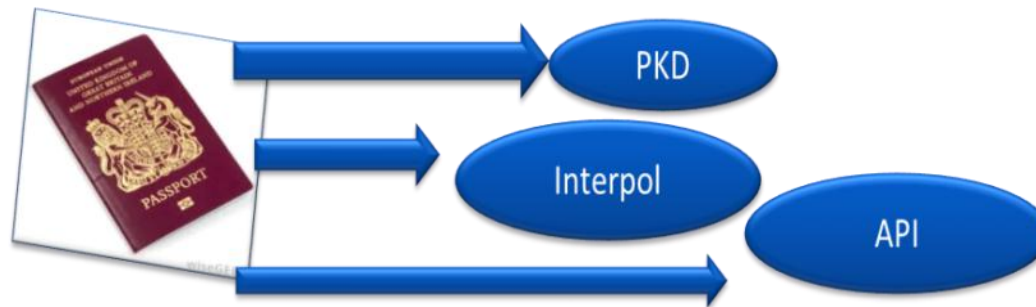
Objective D - The identity is UNIQUE to your system (i.e. only has one claimant)

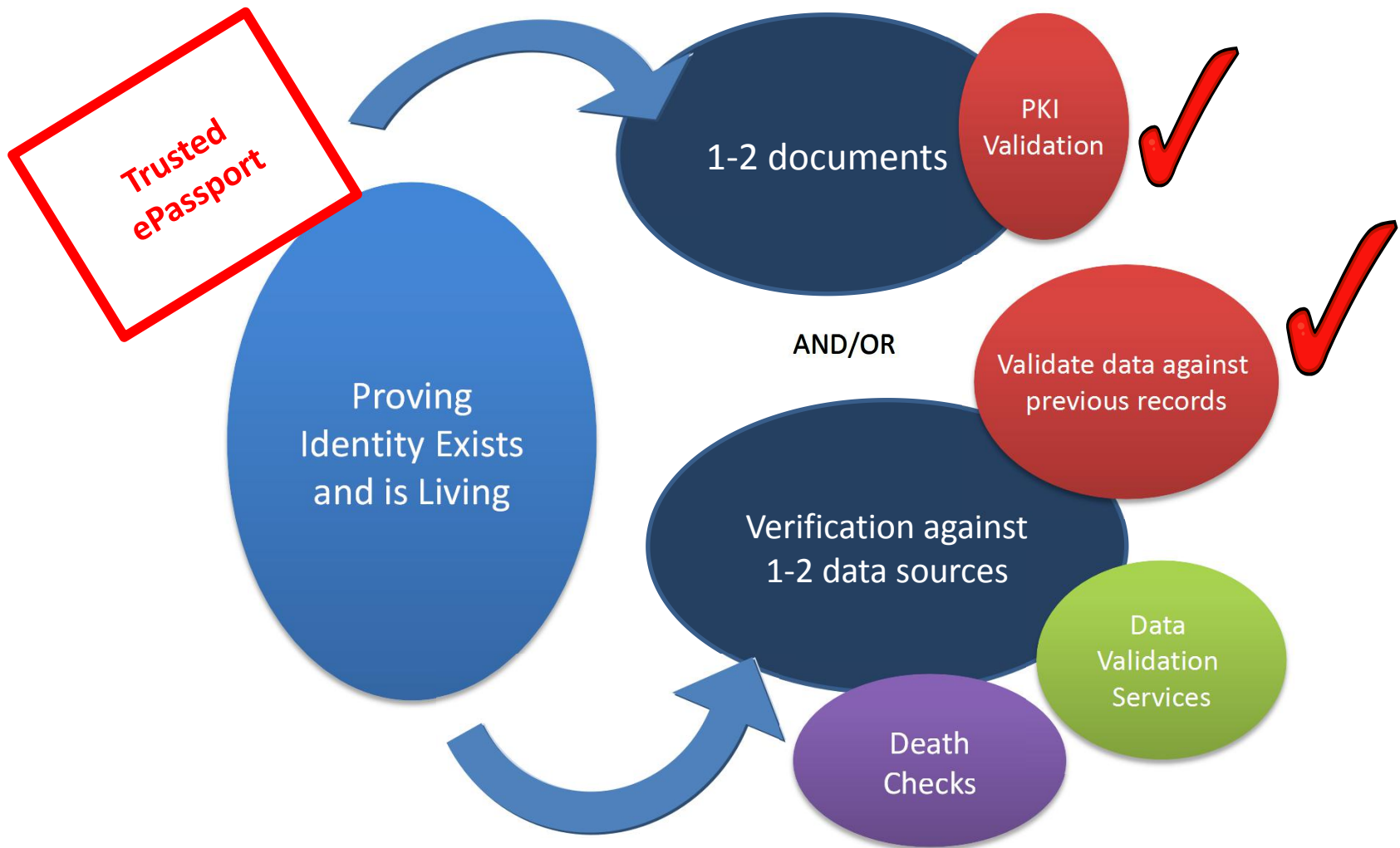
Principle 3 - Applicant uses Identity

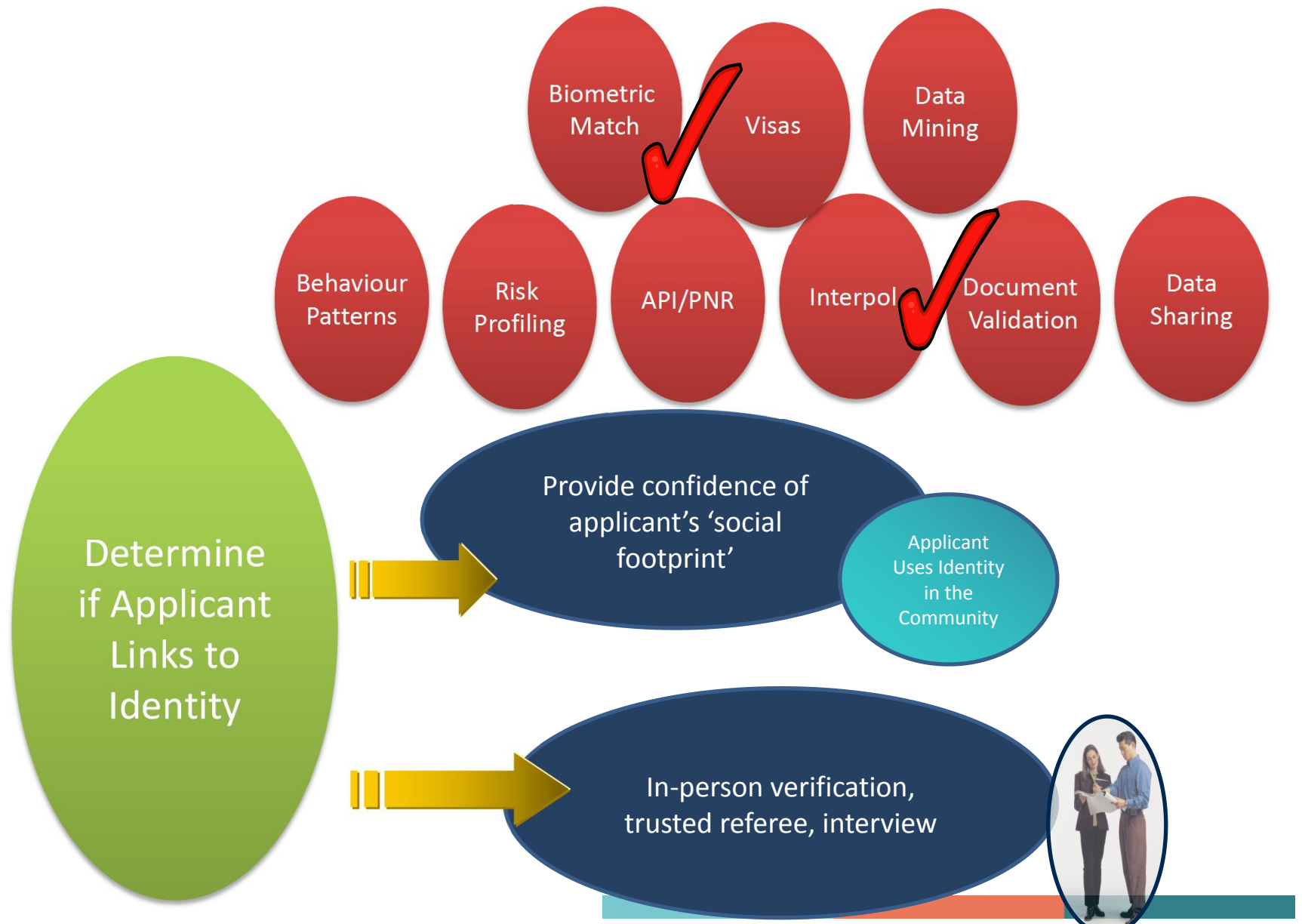
Objective E - To provide confidence of the presenter's use of the identity in the community

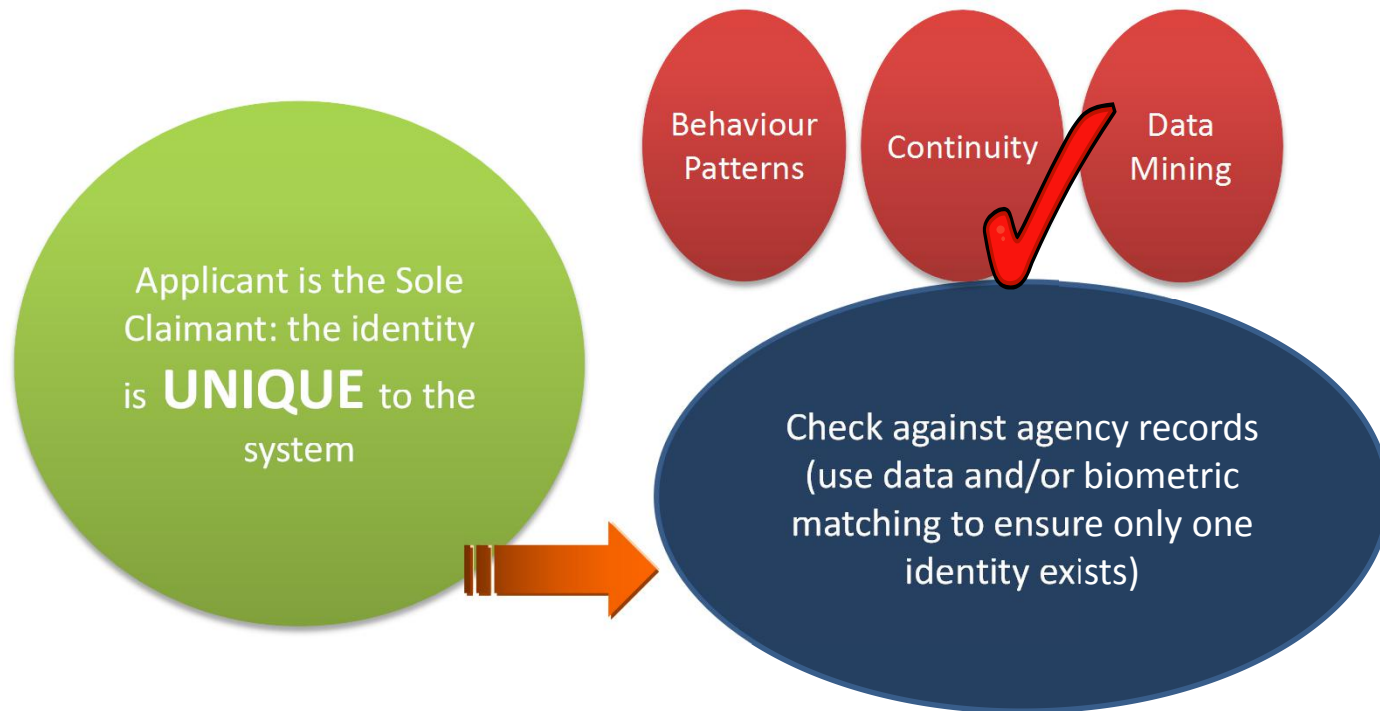
Building EOI Confidence:

- Establishing **UNIQUENESS** and **CONFIDENCE**
- **DATA** - looking to the social and financial footprint
- **VALIDATION** – make the document secure









- First-time interaction **MUST** be robust so that **subsequent contact can leverage** off initial EOI
- A well-understood EOI approach will enable **more effective targeting of resources** (people and system design)

EOI Information Stocktake

- Follow EOI principles to systematically document and understand your **'identity ecosystem'** and key risks
- **Analyse** ALL potential document, record or information sources available and its value in an EOI process (a matrix is helpful)
- Understand the security of “foundational” records, data and the issuance process that sits behind them
- Identify gaps and look to other areas of EOI to increase confidence



Context is important

- There are different risks and mitigations depending on the context

- Information from village chiefs/elders, educators and employees
- Staff knowledge of local accents, dialects and physical features etc.
- Evidence from other government sources like social services

Passport Issuance

Example 2

Summary

- Identity verification is **not absolute** – it is dynamic, based on context, **probabilities and levels of confidence**
- Broad EOI concepts are applicable to **any** organization with an identity component
- **UNIQUENESS** to your system, and **continuity** of information are keys to “one person one identity”
- Passport and Border authorities need to develop a framework – approach EOI in a **systematic** way





EOI Guidance Material

- New Zealand **EOI Standard** (available at www.dia.govt.nz)
- Australia Gold Standard **Enrolment Framework** (available at www.ag.govt.nz)
- ICAO Implementation and Capacity Building Working Group (ICBWG) **Guidance on Evidence of Identity**
 - *Towards Better Practice in National Identification Management*
 - *Guide for Evidence of Identity (Under Development and expected Mid 2017)*

