Do you know who you are dealing with?

Using an Evidence of Identity Approach

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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
Provide confidence of applicant’s ‘social footprint’

In-person verification, trusted referee, interview

Departments of Internal Affairs

- Biometric Match
- Visas
- Data Mining
- Interpol
- Document Validation
- Data Sharing

Behaviour Patterns
Risk Profiling
API/PNR

Applicant Uses Identity in the Community

Determine if Applicant Links to Identity
• 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)*
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