

Evidence of Identity Standard Additional Guidance Overview of Implementation of the Standard



OVERVIEW OF THE EVIDENCE OF IDENTITY STANDARD FOR AGENCIES WHO ARE IMPLEMENTING IT

There are four process steps that an agency must carry out when implementing or changing *evidence of identity* processes for services that require an individual's identity to be established and/or confirmed. They are:

Phase 1 – Risk assessment

Phase 2 – Design and operation

Phase 3 – Service delivery

Phase 4 – Monitoring and evaluation

To achieve the minimum requirements of the standard all four process steps must be implemented.

THE RISK ASSESSMENT PHASE

Agencies must carry out an assessment for **each** of their services (agencies often carry out multiple services with differentiating risks.)

First, they must establish the context, objectives and risk appetite for the agency's services, then; they must do an initial risk assessment to determine whether the service results in any of the following:

- Financial benefit (e.g. Will the client get a benefit or a grant?)
- Non-financial benefit (e.g. Will they receive training?)
- Personal information (e.g. Will information about that client be stored and/or will it result in the release of personal or sensitive information?)
- Subsequent use for evidence of identity (e.g. Will the service result in the issue of a document that can subsequently be used for evidence of identity?)

If the answer is YES for any of the above then the agency must carry out a formal risk assessment.

For the formal assessment the agency must identify the consequences of delivering a service to somebody with a false identity and then evaluate the impact level for each consequence. They must also consider the likelihood of the consequence happening.

Taking into account these factors, and any specific vulnerabilities that the agency and/or service face, the agency must then decide on a risk category.

There will be no action if the risk is 'Nil' or 'Negligible'. If the service has an associated **Low, Moderate** or **High** identity-related risk then the agency must progress to the Design and Operation Phase of the evidence of identity process.

THE DESIGN AND OPERATION PHASE

The risk level will correspond to the level of confidence required by the agency in establishing and/or confirming the individual's identity, e.g. – If there is a **moderate** identity risk associated with the service, then a **moderate** EOI Confidence Level is required.

The agency must then design an evidence of identity process that meets the minimum evidential requirements for the required Confidence Level that has been identified (there is no 'one-size-fits-all' process for all services). Agencies should consider what will be required to subsequently confirm identity when designing their initial establishment of identity process.

There are five components that form the foundation for an agency to establish an individual's identity:

1. Existence of Identity

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. Presenter Links to Identity

Objective C:

To determine that the presenting person links with the identity.

Objective D:

To provide confidence that the presenter is the sole claimant of the identity for the services required.

3. Presenter Uses Identity

Objective E:

To provide confidence of the presenter's use of the identity in the community.

Not all of the above objectives will necessarily need to be satisfied to establish an individual's identity. For low risk services for example, enough confidence will be gained by just meeting objectives A, D and E.

Evidential requirements for evidence of identity (EOI) Confidence Level processes when establishing identity

(Section 7.71 and Table 8 from Evidence of Identity Standard Version 2)

| EOI objective | Low EOI Confidence Level | Moderate EOI Confidence Level | High EOI Confidence Level |
|---|------------------------------|---|--|
| A – Identity exists | 1 document/record | 1-2 document(s)/record(s) If possible, at least 1 document/record should include a photograph If discrepancies are identified in the EOI documents provided by the individual, the documents should be verified against source records held by the issuing agency | 1-2 document(s) which, where possible, have been validated against source records held by the issuing agency or authenticated by staff trained in document recognition If possible, at least 1 document/record should include a photograph or Verification against 1-2 source records held by issuing agency. In some cases, the agency may not require the individual to provide a document. Instead, the individual might be able to provide the agency with relevant data about their identity which the agency then verifies against source records |
| B – Identity is a ‘living identity’ | (No specific process) | Business processes for Objective C | Verification against the New Zealand Death Register or Business processes for Objective C |
| C – Presenter ‘links’ to identity | (No specific process) | Verification by trusted referee or In-person verification (agency office/on-site based) against photo document | Verification by trusted referee or In-person verification (agency office/on-site based) against photo document or Biometric recognition where the agency has authorised access to a trusted database containing the individual’s biometric information and Interview (only required in cases where the individual is unable to meet the specified evidential requirements, or if suspicion is raised over the individual’s identity) |
| D – Presenter is sole claimant of identity | Check against agency records | Check against agency records | Check against agency records and Where appropriate to an agency’s assessment of service risk: <i>New Zealand born applicants:</i> a New Zealand Birth Certificate (issued since 1998) or a check against the birth register. <i>Applicants not born in New Zealand:</i> a recent citizenship certificate, name change certificate, or check against relevant registers may also satisfy this requirement. If none of these documents are available, a statutory declaration concerning any name changes may satisfy this requirement to a limited degree. or Biometric recognition where the agency has authorised access to a trusted database containing the individual’s biometric information and the database is capable of linking multiple names to a single identity. |
| E – Presenter uses identity | At least 1 document/record | At least 1 document/record and/or Business processes for Objective C | At least 2 document/records and/or Business processes for Objective C (where in-person verification against a New Zealand Passport has occurred and the passport has been validated against records held by the issuing agency) |

CONFIRMATION OF IDENTITY

The confirmation of identity requirements for a service should generally reflect the EOI Confidence Level required. Confirmation of identity processes will usually involve using a subset of the establishment of identity evidential requirements for each of the objectives.

The minimum requirement for a confirmation of identity process is to establish a link between the person presenting and the identity record held by the agency (Objective C). Agencies need to assess how a link is best determined in their context, relative to the level of identity-related risk present.

Agencies may also wish to undertake verification of other EOI Objectives (e.g. Objectives A and B) with sources of authoritative information for the following purposes:

- data cleansing to ensure ongoing data quality and currency;
- if the level of identity-related risk in the service warrants such action for overall identity assurance purposes; or
- if the agency did not have the ability to verify Objectives A and B with a source of authoritative information at the initial establishment of identity.

Agencies may also wish to maintain ongoing data quality by re-establishing that the presenter is the sole claimant of the identity in their agency records (Objective D).

Documents used for Evidence of Identity Processes

(Appendix A and Table A1 from evidence of identity Standard Version 2)

| Document | Issuing Agency | Objective ¹ | | | | | Name Change |
|---|--|------------------------|---|----------------|---|---|-------------|
| | | A | B | C | D | E | |
| New Zealand Passport | Department of Internal Affairs (Identity Services) | ✓ | | ✓ | | | |
| New Zealand Emergency Travel Document | Department of Internal Affairs (Identity Services) | ✓ | | ✓ | | | |
| New Zealand Refugee Travel Document | Department of Internal Affairs (Identity Services) | ✓ | | ✓ | | | |
| New Zealand Certificate of Identity (issued under the Passports Act 1992) | Department of Internal Affairs (Identity Services) | ✓ | | ✓ | | | |
| New Zealand Certificate of Identity (issued under the Immigration Act 1987) | Department of Labour (Immigration) | ✓ | | ✓ | | | |
| New Zealand Firearms or Dealer's Licences | New Zealand Police | ✓ | | ✓ | | | |
| New Zealand Birth Certificate | Department of Internal Affairs (Identity Services) | ✓ | | | | | ✓ |
| New Zealand Citizenship Certificate | Department of Internal Affairs (Identity Services) | ✓ | | | | | |
| New Zealand Death Certificate | Department of Internal Affairs (Identity Services) | | ✓ | | | | |
| New Zealand Driver Licence | Land Transport New Zealand | | | ✓ | | ✓ | |
| 18+ Card | Hospitality Association of New Zealand | | | ✓ ² | | ✓ | |
| Community Services Card | Ministry of Social Development | | | | | ✓ | |
| Electoral roll record | Enrolment Centre of New Zealand Post | | | | | ✓ | |
| IR Number | Inland Revenue | | | | | ✓ | |
| New Zealand Marriage Certificate | Department of Internal Affairs (Identity Services) | | | | | | ✓ |
| New Zealand Civil Union Certificate | Department of Internal Affairs (Identity Services) | | | | | | ✓ |

¹ A That the identity exists

B Identity is living

C The presenting person links to the identity

D Presenter is sole claimant of the identity

E Use of the identity in the community

² The witness must not be a relative or part of the family group of the applicant; be a partner of the applicant; or live at the same address as the applicant. The witness must have known the applicant for at least 12 months (or since birth for children less than 12 months); be 16 years or over; and be a holder of a valid New Zealand passport or from one of these groups: lawyer, teacher, minister of religion, police officer, kaumātua, registered medical professional, justice of the peace, applicant's employer.

SERVICE DELIVERY

This is the delivery of service to the client and not in the scope of the Standard.

MONITORING AND EVALUATION PHASE

Agencies need to frequently evaluate, and duly modify their evidence of identity processes when their objectives are not being met.

The Standard does not prescribe how long should be taken between monitoring and evaluating cycles.

When evaluation processes indicate that evidence of identity processes are not mitigating identity based risk or meeting objectives then consideration should be given to amending the processes.