
OVERVIEW OF THE EVIDENCE OF IDENTITY STANDARD FOR AGENCIES WHO ARE INTRODUCING 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. 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 and objectives 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, 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 the individual's identity, e.g. – If there is a **moderate** identity risk associated with the service, then a **moderate** evidence of identity 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.)

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.

Table 8 – Evidential requirements for evidence of identity (EOI) Confidence Level processes

EOI objective	Low EOI Confidence Level	Moderate EOI Confidence Level	High EOI Confidence Level
A – Identity exists	1 document	1-2 documents (including at least one with photograph, if possible)	1-2 documents (including at least one with photograph, if possible) or Verification against 1-2 source records held by issuing agency
B – Identity is a 'living identity'	(No specific process)	(No specific process)	Verification against the death register or Business processes for Objective C
C – Presenter 'links' to identity	(No specific process)	Verification by trusted referee or In-person verification	Verification by trusted referee or In-person verification or Biometric recognition where the agency has authorised access to a database containing the individual's biometric information and Interview (in cases where suspicion is raised over individual's identity)
D – Presenter is sole claimant of identity	Check against agency records	Check against agency records	Check against agency records
E – Presenter uses identity	At least 1 document/ record	At least 1 document/ record or Business processes for Objective C	At least 2 document/records or Business processes for Objective C

Documents used for Evidence of Identity Processes

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					✓	

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, kaumatua, registered medical professional, justice of the peace, applicant's employer.

Document	Issuing Agency	Objective ¹					Name Change
		A	B	C	D	E	
New Zealand Marriage Certificate	Department of Internal Affairs (Identity Services)						✓
New Zealand Civil Union Certificate	Department of Internal Affairs (Identity Services)						✓

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.