Tasmanian Government Identity and Access Management Toolkit

Part 2

Identity Registration Guidelines and Standards

Tasmania
Explore the possibilities

For further information on the Toolkit, contact the Office of eGovernment:

egovernment@dpac.tas.gov.au **|** www.egovernment.tas.gov.au

Contents

Using the Identity Registration Guidelines and Standards

Part 2 – Identity Registration Guidelines and Standards forms part of the *Identity and Access Management Toolkit* and provides minimum policies, guidelines and standards for agencies to follow in the implementation of identity and access management practices.

The guidelines and standards detailed in Part 2 have been based upon the Gold Standard Enrolment Framework (GSEF), which is part of the National Identity Security Strategy. The GSEF sets the best practice standards for the enrolment of individuals for the purpose of issuing high-integrity government documents or credentials that may function as key documents for proof of identity purposes. A copy of the GSEF is included at Appendix 1.

Using the GSEF, guidelines have been developed for the five Identity Registration Assurance Levels (IRALs). The processes to be applied to registering or enrolling an identity are risk-based. Therefore, the level of confidence required in relation to a particular service will be reflected in the identity registration process.

The *Identity Registration Guidelines* are intended to be used as a guide to a business unit in developing suitable business processes for a particular service. In addition, Part 2 incorporates three standards that are to be applied in conjunction with one another to determine the form of evidence or proof of identity to be provided by an applicant for a specific government service.

These standards are:

Standard 1 Identity Registration Standard	Designates the points value associated with each of the five identity risk levels and the equivalent number and type (in terms of their objective value, as designated in Standard 2) of the identity documents or credentials required to be provided by a registering person
Standard 2 Proof of Identity Document Standard	Designates the accepted documents or credentials that a registering person is required to provide to meet six proof of identity objectives
Standard 3 Proof of Identity Document Points Standard	Details accepted identity documents or credentials and the equivalent points value allocated to them

Section 1

Identity Registration Guidelines

Identity Registration Assurance Level 4 Guidelines

> **Suitable for:**
>
> *The following processes are relevant for any of the credentials or documents included in Objective A of Standard 2 – Proof of Identity Document Standard (see section 2 of this part of the Toolkit), with the exception of a birth certificate, which has its own requirements (as determined by the Births, Deaths and Marriages Registry, Department of Justice).*

1. Application

- Clients are required to complete a written application for the service or other entitlement and lodge it as required / specified

- The application is initially assessed to confirm it has been correctly completed and contains sufficient information to enable verification of the applicant's claimed identity

- The application form will include provision for the applicant to record details of proof of identity (POI) credentials or information to support their application in accordance with the requirements of *Standard 1 – Identity Registration Standard* (see section 2 of this part of the Toolkit)

- For the purposes of Identity Registration Assurance Level 4 (IRAL-4) applications, documents to the value of 150 points must be provided – see *Standard 3 – Proof of Identity Documents Points Standard* at section 2 of this part of the Toolkit

2. Pre-interview assessment

- On the basis of information provided by the applicant, the registering agency will check its identity register for an existing registration to ensure the applicant is not already registered for the service

- The registering agency will assess whether the applicant:
    - Has already been registered to IRAL-4 level
    - Is likely to achieve IRAL-4 verification of their identity (ie based on the POI credentials offered to support their application)
    - Is likely to need additional assistance to identify themselves to IRAL-4

- There are several ways in which an applicant may be able to satisfy the IRAL-4 requirements to achieve a 'known customer' status. This may be by:
    - (a) Reference to a registration in another appropriate / equivalent identity register, or
    - (b) A credential that evidences that registration, or
    - (c) Rigorous enquiries and detailed checks which satisfy the same requirement

- In relation to option (b), acceptance of a particular credential issued by another agency / organisation must be based on explicit agreement with that particular organisation, which specifies the conditions under which the mutual agreement is to be applied as well as the express consent of the applicant to make such an enquiry
- Where an agency is satisfied that an applicant has already been registered to an IRAL-4, an abbreviated face-to-face interview process may be implemented

3. The interview

- The applicant is required to present in person to the agency or its nominated representative (eg *Service* Tasmania), and would be required to provide at that interview:
  - The original application form (if not already submitted)
  - Original POI credentials or verifiable information providing evidence of their commencement, use and linkage of identity
  - Consent for the agency to verify the nominated credentials or information provided [Consent must be informed (based on clear information of what is entailed in the verification process, which documents will be verified, and the level of detail to be verified) and acknowledged by a signature]
- The applicant may be required to have biometric detail recorded during the interview, such as a photograph, that will bind the applicant to the claimed identity
- The interviewing officer should check the originals of any POI credentials or information submitted to ensure:
  - The credentials or information satisfy the *Proof Of Identity Document Standard* (see Standard 2 in section 2 of this part of the Toolkit) relating to POI document evidence (ie commencement, use and linkage of the stated identity)
  - That there are no physical signs of tampering of any credentials
  - The applicant's name is on every credential
    Where a POI credential bears a different name, the linkage between that POI credential, the name to be registered and the applicant must be clearly established (see Objective E of *Standard 2 – Proof of Identity Document Standard*, section 2 of this part of the Toolkit)
    [Advice on this aspect should be obtained from the Tasmanian Registry of Births, Deaths and Marriages, Department of Justice]
  - The applicant's date of birth is on at least one of the credentials
  - A recognisable photograph of the applicant is on at least one of the credentials
  - The applicant's signature is on at least one of the credentials
  - The applicant's address is on at least one of the credentials
  - If required, that none of the credentials have expired
- If one or more of these conditions do not apply, the procedures detailed in sub-sections 5 and 6 below should be applied

4. Verification of credentials and/or information

- The registering agency will verify key POI credentials with the relevant issuing organisations through the national Document Verification Service (DVS)

- The registering agency will record relevant details of the POI credentials or information presented to enable verification, as required by the DVS or other relevant document-issuing authority

- The 'relevant details' referred to above may include:
  - The name of the credential
  - The full name of the holder as it appears on the credential
  - The unique identifying number designated for the credential or document - eg driver licence number, birth certificate number, passport number
  - The card holder's date of birth, if included on the credential
  - Address details appearing on the credential

- The registering agency may require that copies of the original credentials are taken for a particular purpose, including evidentiary purposes

- The original POI credentials are returned to the applicant

- Designated information provided by the applicant will need to be verified
  Verification may be performed by reference to an appropriate identity register or other authoritative source

- Guidelines on the use of available verification facilities, such as the national DVS, Tasmanian Government agencies, and Australian Government bodies (eg Centrelink) will be provided as part of the Toolkit when the national DVS is operational

5. Post application

- The registering agency should undertake a follow-up investigation of individuals presenting:
  - Unverifiable credentials or information
  - Credentials which have been recorded as lost or stolen

- The registering agency should investigate anomalies to ensure the integrity of the information that has been recorded

- The registering agency should integrate enrolment processes with critical post enrolment mechanisms, such as:
  - Establishing secure and reliable processes for recording in the identity register for the particular service changes of name, address, or gender, and credential re-issuing processes
  - Cancelling credentials where appropriate to do so
  - Establishing reliable processes for the identification of expired credentials
  - Ensuring, where necessary, that appropriate internal controls around segregation of duties exist for staff involved in the issue of POI credentials
  - Ensuring processing staff hold suitable clearances
  - Ensuring secure storage processes exist for scanned copies of documents and biometric data

- Issue the new credential or token of high integrity with regard to:
    - Ensuring only authorised staff issue the credential
    - Security around the issue and collection of the credential
- See Part 3: *Credential Management Guidelines and Standards*

6. Exceptions

6.1 Circumstances

Although a high proportion of the Australian population will be able to meet the requirements of an IRAL-4 enrolment, some applicants may face genuine difficulty in identifying themselves in some circumstances.

Where the person is genuinely unable to provide documentary evidence to satisfy the requirements of *Standard 2 – Proof of Identity Document Standard*, a non-standard application process, as detailed in sub-section 6.2 below, is the preferred approach.

'Genuinely unable to provide documentary evidence' includes situations where:

- A presenting person has exhausted all reasonable attempts to obtain documents from the primary source
- A presenting person can demonstrate that the documents cannot be obtained
- The personal circumstances of the individual are such that suitable documentary evidence to satisfy most POI objectives does not exist (eg infants, minors, refugees)

Establishing the identity of a minor is a common example where an individual may be genuinely unable to satisfy standard POI objectives (as detailed in *Standard 2 – Proof of Identity Document Standard* at section 2 of this part of the Toolkit). Due to their age and interaction in the community, it is not common for minors to possess a complete set of standard POI documents.

Where an applicant is not able to meet the required POI objectives or have the required documentation, the application process that is applied will be clearly documented. A separate application form specifically designed for non-standard situations would be appropriate.

As a minimum, the procedures detailed in sub-section 6.2 below will be applied. These procedures are intended to allow the registering agency to work with the applicant in order to meet the immediate issue of insufficient proof of identity documentation being available, as well as the longer term goal of being able to meet standard POI objectives in the future.

Non-standard application procedures should be sufficiently extensive to ensure that the client is required to produce some evidence to support their claimed identity to a reasonable level of satisfaction (eg by providing multiple documents or testimonials that can be verified), but not so stringent as to prevent the applicant from obtaining the services.

The non-standard application process, as well as any forms or other documentation, should be determined as part of formulating the client registration business procedures.

6.2 Non-standard applications

For moderate to high risk situations, a non-standard identity assessment process should be used as a last resort and the risks associated with the transaction carefully considered by the agency or specific business unit responsible for the service or transaction.

The following principles are applicable in relation to IRAL-4 non-standard applications.

- The non-standard application process will be documented. The preferred approach is to develop a separate non-standard application form incorporating a range of questions aimed at collecting relevant information on the applicant.
  A list of possible areas of enquiry is provided in Annexe 1 of this part of the Toolkit and provides some guidance in this regard

- The applicant will complete an application form and lodge it in person

- Where a non-standard application form is used, the form will be completed by the registering agency through a face-to-face interview with the applicant

- The applicant is required to provide, as far as possible, relevant available identity documents as specified in *Standard 3 – POI Documents Points Standard*, towards the total value of 150 points, or to a level determined by the registering agency

- Every effort will be made to verify documents provided by the applicant with the issuing agency or organisation, where possible

- Where the applicant's claimed identity is based on information provided in relation to any of the matters covered in Annexe 1, or where the applicant's claimed identity is based on information provided by an authorised referee, the registering agency will be required to confirm the identity details by:
  - Contacting the nominated referees (ie a person or organisation that holds a position of trust in the community and is known and listed by the registering agency to perform the function of a referee) who are authorised to confirm the applicant's claims to their identity by providing an assurance that the individual is who they say they are
  - If necessary, undertaking specific enquiries with persons and organisations associated with the applicant – this may be undertaken only with the express consent of the individual
  - If the applicant is an established customer of suitable agencies (ie where an IRAL-4 process is applied), the claimed identity might be verified directly with those agencies – again, consent must be received from the applicant

- Where commencement or use of an identity cannot be established to the requirements of IRAL-4, it may be appropriate for the registering agency to issue the applicant a restricted identity credential, such as entitling its function to that of a service-only credential, or a temporary credential

- A service-only credential would have limitations, such as:
  - It would lapse after a limited period of time, either when the individual was able to register to IRAL-4, or when the registration expires
  - It would be issued for the sole purpose of doing business with the registering agency

In all instances of non-standard applications, the key consideration for the registering agency is that the applicant be required to provide evidence or documentation to the satisfaction of the registering agency and to a level determined by that agency but within the required constraints for an IRAL-4 registration.

Identity Registration Assurance Level 3 Guidelines

> ***Suitable for:***
>
> *The following processes are generally relevant for any of the credentials or documents included in Objective B of Standard 2 – Proof of Identity Document Standard (see section 2 of this part of the Toolkit).*
>
> *Documents allocated with a points value of 40 points, as detailed in Standard 3 – Proof of Identity Document Points Standard (see section 2 of this part of the Toolkit), would also apply these procedures.*

1. Application

- Clients would be required to complete a written application for the service or other entitlement and lodge it as required / specified

- The application is initially assessed to confirm it has been correctly completed and contains sufficient information to enable verification of the applicant's claimed identity

- The application form will include provision for the applicant to record details of proof of identity (POI) credentials or information to support their application in accordance with the requirements of *Standard 1 – Identity Registration Standard* (see section 2 of this part of the Toolkit)

- For the purposes of Identity Registration Assurance Level 3 (IRAL-3) applications, documents to the value of 100 points must be provided (see *Standard 3 – Proof of Identity Documents Points Standard* at section 2 of this part of the Toolkit)

2. Pre-interview assessment

- On the basis of information provided by the applicant, the registering agency will check its identity register for an existing registration to ensure the applicant is not already registered for the service

- The registering agency will assess whether the applicant:
  - Has already been registered to an IRAL-3
  - Is likely to achieve IRAL-3 verification of their identity (ie based on the POI credentials offered to support their application)
  - Is likely to need additional assistance to identify themself to IRAL-3

- There are two ways in which an applicant may be able to satisfy the IRAL-3 requirements to achieve a 'known customer' status:

  (a) The applicant is an existing client and has been previously registered to the same Identity Registration Assurance Level, or

  (b) By reference to a registration in another appropriate / equivalent identity register

- In relation to option (b), acceptance of a particular credential issued by another agency / organisation must be based on explicit agreement with that particular organisation, which specifies the conditions under which the mutual agreement is to be applied as well as the express consent of the applicant to make such an enquiry
- Where an agency is satisfied that an applicant has already been registered to an IRAL-3, an abbreviated face-to-face interview process may be implemented

3. The interview

- It is highly desirable that an applicant presents in person as part of the registration process
- Where the applicant attends in person to the agency or its nominated representative (eg *Service* Tasmania), the applicant would be required to provide at that interview:
    - The original application form (if not already submitted)
    - Original POI credentials or verifiable information providing evidence of their commencement, use and linkage of identity
    - Explicit consent for the agency to verify the nominated credentials or information provided
      [Consent must be informed (based on clear information of what is entailed in the verification process, which documents will be verified, and the level of detail to be verified) and acknowledged by a signature]
- The applicant may be required to have biometric detail recorded during the interview, such as a photograph, that will bind the applicant to the claimed identity
- The interviewing officer should check the originals of any POI credentials or information submitted to ensure:
    - The credentials or information satisfy *Standard 2 – Proof Of Identity Document Standard* (see section 2 of this part of the Toolkit) relating to POI document evidence (ie commencement, use and linkage of the stated identity)
    - That there are no physical signs of tampering of any credentials
    - The applicant's name is on every credential
      Where a POI credential bears a different name, the linkage between that POI credential, the name to be registered and the applicant must be clearly established (see Objective E of *Standard 2 – Proof of Identity Document Standard*, section 2 of this part of the Toolkit)
      [Advice on this aspect should be obtained from the Tasmanian Registry of Births, Deaths and Marriages, Department of Justice]
    - The applicant's date of birth is on at least one of the credentials
    - A recognisable photograph of the applicant is on at least one of the credentials
    - The applicant's signature is on at least one of the credentials
    - The applicant's address is on at least one of the credentials
    - If required, that none of the credentials have expired
- If one or more of these conditions do not apply, the procedures detailed in sub-sections 5 and 6 below should be applied

4.   Verification of credentials and/or information

- It is desirable that the registering agency verify key POI credentials presented by the applicant with the relevant issuing organisations

If verification is to be undertaken, relevant details of the POI credentials or information presented should be recorded to enable verification to take place, such as:

- The name of the credential
- The full name of the holder as it appears on the credential
- The unique identifying number designated for the credential or document - eg driver licence number, birth certificate number, passport number
- The card holder's date of birth, if included on the credential
- Address details appearing on the credential

- The registering agency may require that copies of the original credentials are taken for a particular purpose, including evidentiary purposes
- The original POI credentials are returned to the applicant
- Guidelines on the use of available verification facilities, such as the national Document Verification Service (DVS), Tasmanian Government agencies, and Australian Government bodies (eg Centrelink) will be provided as part of the Toolkit when the national DVS is operational

5.   Post application

- Verification may be undertaken after the interview, but before the credential is issued, by reference to an appropriate identity register or other authoritative source
- If this check indicates that a credential, document or POI information provided by the individual is:
  - unverifiable, or
  - has been recorded as lost or stolen

  a follow-up investigation should be made

- The registering agency should review any registrations which exhibit risk[1] and investigate anomalies to ensure the integrity of the information that has been recorded
- The registering agency should integrate registration processes with critical post-registration mechanisms, such as:
  - Establishing secure and reliable processes for registering change of name, gender or address, and for credential re-issuing processes
  - Cancelling credentials where appropriate to do so
  - Establishing reliable processes for the identification of expired credentials
  - Ensuring, where necessary, that appropriate internal controls around segregation of duties exist for staff involved in the issue of POI credentials
  - Ensuring processing staff hold suitable clearances
  - Ensuring secure storage processes exist for scanned credentials and biometric data

---

[1]   Risk refers to the enrolling agency's risks identified in their risk assessment framework and fraud control plan

- Issue the new credential or token of high integrity with regard to:
  - Ensuring only authorised staff issue the credential
  - Security around the issue and collection of the credential
- See Part 3: *Credential Management Guidelines and Standards*

6. Exceptions

6.1 Circumstances

Although a high proportion of the Australian population will be able to meet the requirements of an IRAL-3 registration, some applicants may face genuine difficulty in identifying themselves in some circumstances.

Where the person is genuinely unable to provide documentary evidence to satisfy *Standard 2 – Proof of Identity Document Standard*, a non-standard application process, as detailed in sub-section 6.2 below, is the preferred approach.

'Genuinely unable to provide documentary evidence' includes situations where:

- A presenting person has exhausted all reasonable attempts to obtain documents from the primary source
- A presenting person can demonstrate that the documents cannot be obtained
- The personal circumstances of the individual are such that suitable documentary evidence to satisfy most POI objectives does not exist (eg infants, minors, refugees)

Establishing the identity of a minor is a common example where an individual may be genuinely unable to satisfy standard POI objectives (as detailed in *Standard 2 – Proof of Identity Document Standard* at section 2 in this part of the Toolkit). Due to their age and interaction in the community, it is not common for minors to possess a complete set of standard POI documents.

Where an applicant is not able to meet the required POI objectives or have the required documentation, the application process that is applied should be documented. A separate application form specifically designed for non-standard situations would be appropriate.

As a minimum, the procedures detailed in sub-section 6.2 below should be applied. These procedures are intended to allow the registering agency to work with the applicant in order to meet the immediate issue of insufficient proof of identity documentation being available, as well as the longer term goal of being able to meet standard POI objectives in the future.

Non-standard application procedures should be sufficiently extensive to ensure that the applicant is required to produce some evidence to support their claimed identity to a reasonable level of satisfaction (eg by providing multiple documents or testimonials that can be verified), but not so stringent as to prevent the applicant from obtaining the services.

The non-standard application process, as well as any forms or other documentation, should be determined as part of formulating the client registration business procedures.

6.2   Non-standard applications

For IRAL-3 situations, a non-standard identity assessment process should be used as a last resort and the risks associated with the transaction carefully considered by the agency or business unit responsible for the service or transaction.

The following principles are applicable to IRAL-3 non-standard applications.

- The non-standard application process should be documented. The preferred approach is to develop a separate non-standard application form incorporating a range of questions aimed at collecting relevant information on the applicant.
  A list of possible areas of enquiry is provided in Annexe 1 of this part of the Toolkit and provides some guidance in this regard

- The applicant should complete an application form and lodge it in person

- Where a non-standard application form is used, the form should be completed by the registering agency through a face-to-face interview with the applicant

- The applicant is required to provide, as far as possible, relevant available identity documents, as specified in *Standard 3 – Proof Of Identity Documents Points Standard*, towards a total value of 100 points, or a level determined by the registering agency

- The documents used should, where possible, be verifiable with the issuing agency or organisation

- Where an applicant's claimed identity is based on information provided in relation to any of the matters covered in Annexe 1, or where the applicant's claimed identity is based on information provided by an authorised referee, the registering agency should confirm the identity details by:
  - Contacting the nominated referees (ie a person or organisation that holds a position of trust in the community and is known and listed by the registering agency to perform the function of a referee) who are authorised to confirm the applicant's claims to their identity by providing an assurance that the individual is who they say they are
  - If necessary, undertaking specific enquiries with persons and organisations associated with the applicant – this may be undertaken only with the express consent of the individual, in accordance with the provisions of the *Personal Information Protection Act 2004*
  - If the applicant is an established customer of other Tasmanian Government agencies where an IRAL-3 process has been applied, the claimed identity might be verified directly with those agencies – again, consent must be received from the applicant

- Where commencement or use of an identity cannot be established to the requirements of IRAL-3, it may be appropriate for the registering agency to issue the applicant a restricted identity credential, such as entitling its function to that of a service-only credential, or a temporary credential

- A service-only credential would have limitations, such as:
  - It would lapse after a limited period of time, either when the individual was able to register to IRAL- 3, or when the registration expires
  - It would be issued for the sole purpose of doing business with the registering agency

In all instances of non-standard applications, the key consideration for the registering agency is that the applicant be required to provide evidence or documentation to the satisfaction of the registering agency and to a level determined by that agency but within the required constraints for an IRAL-3 registration.

Identity Registration Assurance Level 2 Guidelines

> ***Suitable for:***
>
> *The following processes are generally relevant for any of the credentials or documents included in Objective C of Standard 2 – Proof of Identity Document Standard (see section 2 of this part of the Toolkit).*
>
> *Documents allocated with a points value of 20 points, as detailed in Standard 3 – Proof of Identity Document Points Standard (see section 2 of this part of the Toolkit), would also apply these procedures.*

1. Application

- Clients should complete a written application for the service or other entitlement and lodge it as required / specified

- The application is initially assessed to confirm it has been correctly completed and contains sufficient information to enable verification of the applicant's claimed identity

- The application form will include provision for the applicant to record details of proof of identity (POI) credentials or information to support their application in accordance with the requirements of *Standard 1 – Identity Registration Standard* (see section 2 of this part of the Toolkit)

- For the purposes of Identity Registration Assurance Level 2 (IRAL-2) applications, documents to the value of 50 points must be provided – see *Standard 3 – Proof of Identity Documents Points Standard* at section 2 of this part of the Toolkit

2. Pre-interview assessment

- On the basis of information provided by the applicant, the registering agency will check its identity register for an existing registration to ensure the applicant is not already registered for the service

- The registering agency will assess whether the applicant:
    - Has already been registered to an IRAL-2
    - Is likely to achieve IRAL-2 verification of their identity (ie based on the POI credentials offered to support their application)
    - Is likely to need additional assistance to identify themselves to IRAL-2

- There are four ways in which an applicant may be able to satisfy the IRAL-2 requirements to achieve a 'known customer' status:

    (a) The applicant is an existing client and has been previously registered to the same Identity Registration Assurance Level, or

    (b) By reference to a registration in another appropriate / equivalent identity register, or

    (c) By a credential that evidences that registration, or

(d)   By thorough enquiries and checks which satisfy the same requirements

- In relation to option (b), acceptance of a particular credential issued by another agency / organisation must be based on explicit agreement with that particular organisation, which specifies the conditions under which the mutual agreement is to be applied as well as the express consent of the applicant to make such an enquiry

- Where an agency is satisfied that an applicant has already been enrolled to IRAL-2, an interview process may not be necessary

3.   The interview

- The need for the applicant to submit their application in person as part of the registration process is optional

- Where the applicant attends in person to the agency or its nominated representative (eg *Service* Tasmania), the applicant would be required to provide at that interview:

    – The original application form (if not already submitted)

    – Original POI credentials or verifiable information providing evidence of their commencement, use and linkage of identity

    – Explicit consent for the agency to verify the nominated credentials or information provided
    [Consent must be informed (based on clear information of what is entailed in the verification process, which documents will be verified, and the level of detail to be verified) and acknowledged by a signature]

- The applicant may be required to have biometric detail recorded during the interview, such as a photograph, that will bind the applicant to the claimed identity

- The interviewing officer should check the originals of any POI credentials or information submitted to ensure:

    – The credentials or information satisfy *Standard 2 – Proof of Identity Document Standard* (see section 2 of this part of the Toolkit) relating to POI document evidence (ie commencement, use and linkage of the stated identity)

    – That there are no physical signs of tampering of any credentials

    – The applicant's name is on every credential
    Where a POI credential bears a different name, the linkage between that POI credential, the name to be registered and the applicant must be clearly established (see Objective E of *Standard 2 – Proof of Identity Document Standard*, section 2 of this part of the Toolkit)
    [Advice on this aspect should be obtained from the Tasmanian Registry of Births, Deaths and Marriages, Department of Justice]

    – The applicant's date of birth is on at least one of the credentials

    – A recognisable photograph of the applicant is on at least one of the credentials

    – The applicant's signature is on at least one of the credentials

    – The applicant's address is on at least one of the credentials

    – If required, that none of the credentials have expired

- If one or more of these conditions do not apply, the procedures detailed in sub-sections 5 and 6 below should be applied

4. Verification of credentials and/or information

- The registering agency may wish to verify key POI credentials presented by the applicant with the relevant issuing organisations

If verification is to be undertaken, relevant details of the POI credentials or information presented should be recorded to enable verification to take place, such as:

- – The name of the credential
- – The full name of the holder as it appears on the credential
- – The unique identifying number designated for the credential or document - eg driver licence number, birth certificate number, passport number
- – The card holder's date of birth, if included on the credential
- – Address details appearing on the credential
- Any requirement that copies of the original credentials are taken and held on file is a matter for the registering agency to determine
- The original POI credentials should be returned to the applicant
- Guidelines on the use of available verification facilities, such as the national Document Verification Service (DVS), Tasmanian Government agencies, and Australian Government bodies (eg Centrelink) will be provided as an appendix to the Toolkit once the DVS is operational

5. Post application

- Verification may be undertaken after the interview, but before the credential is issued, by reference to an appropriate identity register or other authoritative source
- If this check indicates that a credential, document or POI information provided by the individual is:
  - – unverifiable, or
  - – has been recorded as lost or stolen

  a follow-up investigation should be made.
- The registering agency should review any registrations which exhibit risk[2] and investigate anomalies to ensure the integrity of the information that has been recorded
- The registering agency should integrate registration processes with critical post-registration mechanisms, such as:
  - – Establishing secure and reliable processes for registering change of name, gender or address, and for credential re-issuing processes
  - – Cancelling credentials where appropriate to do so
  - – Establishing reliable processes for the identification of expired credentials
  - – Ensuring, where necessary, that appropriate internal controls around segregation of duties exist for staff involved in the issue of POI credentials
  - – Ensuring processing staff hold suitable clearances
  - – Ensuring secure storage processes exist for scanned credentials and biometric data

---

[2] Risk refers to the enrolling agency's risks identified in their risk assessment framework and fraud control plan

- Issue the new credential or token of high integrity with regard to:
    - Ensuring only authorised staff issue the credential
    - Security around the issue and collection of the credential
- See Part 3: Credential Management Guidelines and Standards

6. Exceptions

6.1 Circumstances

Some applicants may face genuine difficulty in identifying themselves to the requirements of an IRAL-2 registration.

Where the person is genuinely unable to provide documentary evidence to satisfy *Standard 2 – Proof of Identity Document Standard* (see section 2 of this part of the Toolkit), a non-standard application process, as detailed in sub-section 6.2 below, is the preferred approach.

'Genuinely unable to provide documentary evidence' includes situations where:

- A presenting person has exhausted all reasonable attempts to obtain documents from the primary source
- A presenting person can demonstrate that the documents cannot be obtained
- The personal circumstances of the individual are such that suitable documentary evidence to satisfy most POI objectives does not exist (eg infants, minors, refugees)

Establishing the identity of a minor is a common example where an individual may be genuinely unable to satisfy standard POI objectives (as detailed in *Standard 2 – Proof of Identity Document Standard* in section 2 of this part of the Toolkit). Due to their age and interaction in the community, it is not common for minors to possess a complete set of standard POI documents.

Where an applicant is not able to meet the required POI objectives or have the required documentation, the application process that is applied by the registering agency should be documented. A separate application form specifically designed for non-standard situations may be appropriate.

The procedures detailed in sub-section 6.2 below may be applied. These procedures are intended to allow the registering agency to work with the applicant in order to meet the immediate issue of insufficient proof of identity documentation being available, as well as the longer term goal of being able to meet standard POI objectives in the future.

The non-standard application procedures detailed in sub-section 6.2 are intended to be sufficiently extensive to ensure that the applicant is required to produce some evidence to support their claimed identity to a reasonable level of satisfaction (eg by providing multiple documents or testimonials that can be verified), but not so stringent as to prevent the applicant from obtaining the services.

The non-standard application process, as well as any forms or other documentation, should be determined as part of formulating the client registration business procedures.

6.2 Non-standard applications

For IRAL-2 situations, a non-standard identity assessment process should be used in moderation, based on the risks associated with the transaction or credential.

The following principles are applicable in relation to IRAL-2 non-standard applications.

- The non-standard application process should be documented. A suggested approach is to develop a separate non-standard application form incorporating a range of questions aimed at collecting relevant information on the applicant.
  A list of possible areas of enquiry is provided in Annexe 1 of this part of the Toolkit and provides some guidance in this regard

- The applicant should complete a written application form and may be required to lodge it in person

- Where a non-standard application form is used, the form should be completed by the registering agency through a face-to-face interview with the applicant

- The applicant would be required to provide details of relevant available identity documents, as specified in *Standard 3 – Proof of Identity Documents Points Standard*, towards a total value of 50 points, or to a level determined by the registering agency

- The documents used by the applicant should, where possible, be verifiable with the issuing agency or organisation

- Where the applicant's claimed identity is based on information provided in relation to any of the matters covered in Annexe 1, or where the applicant's claimed identity is based on information to be provided by an authorised referee, the registering agency should confirm the identity details by:
  – Contacting the nominated referees (ie a person or organisation that holds a position of trust in the community and is known and listed by the registering agency to perform the function of a referee) who are authorised to confirm the applicant's claims to their identity by providing an assurance that the individual is who they say they are
  – If necessary, undertaking specific enquiries with persons and organisations associated with the applicant – this may be undertaken only with the express consent of the individual, in accordance with the provisions of the *Personal Information Protection Act 2004*
  – If the applicant is an established customer of other Tasmanian Government agencies where an IRAL-2 process has been applied, the claimed identity might be verified directly with those agencies – again, consent must be received from the applicant

- Where commencement or use of an identity cannot be established to the requirements of IRAL-2, it may be appropriate for the registering agency to issue the applicant with a restricted identity credential, such as entitling its function to that of a service-only credential, or a temporary credential

- A service-only credential would have limitations, such as:
  – It would lapse after a limited period of time, either when the individual was able to register to IRAL- 2, or when the registration expires
  – It would be issued for the sole purpose of doing business with the registering agency

In all instances of non-standard applications, the key consideration for the registering agency is that the applicant be required to provide evidence or documentation to the satisfaction of the registering agency and to a level determined by that agency but within the required constraints for an IRAL-2 registration.

Identity Registration Assurance Level 1 Guidelines

> ***Suitable for:***
>
> *The following processes are generally relevant for any of the credentials or documents included in Objective C of Standard 2 – Proof of Identity Document Standard (see section 2 of this part of the Toolkit).*
>
> *Documents allocated with a points value of 10 points, as detailed in Standard 3 – Proof of Identity Document Points Standard (see section 2 of this part of the Toolkit), would also apply these procedures.*

1. Application

- Clients may be required to complete a written application for the service or other entitlement and lodge it as required / specified

- The application form may include provision for the applicant to record details of any proof of identity (POI) credentials or information to support their application in accordance with the requirements of *Standard 1 – Identity Registration Standard* (see section 2 of this part of the Toolkit)

- Services for which an Identity Registration Assurance Level 1 (IRAL-1) registration may be required can be pseudonymous, and therefore enrolling a 'real-world' identity is not mandatory

- However, in situations where a real-world identity is desirable for a particular service, documents to the total value of 50 points may be required – see *Standard 3 – Proof of Identity Documents Points Standard* at section 2 of this part of the Toolkit.

- The application could be lodged electronically

2. Pre-interview assessment

- On the basis of information provided by the applicant, the registering agency might check its identity register for an existing registration to ensure the applicant is not already registered for the service

- The registering agency might assess whether the applicant has already been registered to an IRAL-1

- There are several ways in which an applicant may be able to satisfy the IRAL-1 requirements to achieve a 'known customer' status:

  (a) The applicant is an existing client and has been previously registered to the same IRAL, or

  (b) Reference to a registration in another appropriate / equivalent identity register, or

  (c) A credential that evidences that registration

In relation to option (b), acceptance of a particular credential issued by another agency /organisation must be based on explicit agreement with that particular organisation, which specifies the conditions under which the mutual agreement is to be applied as well as the express consent of the applicant to make such an enquiry

- Where an agency is satisfied that an applicant has already been enrolled to an IRAL-1, an interview process would not be necessary

3. The interview

- The requirement for the applicant to present in person as part of the registration process is not essential and the applicant may lodge the application electronically

- Where the applicant attends in person to the agency or its nominated representative (eg *Service* Tasmania), the applicant may be required to provide at that interview:
    – The original application form (if not already submitted)
    – Original POI credentials or verifiable information providing evidence of their commencement, use and linkage of identity

- If POI credentials or information are required to be presented, the interviewing officer should check the original documents to ensure:
    – The credentials or information satisfy the relevant requirements of *Standard 1 – Identity Registration Standard* (see section 2 of this part of the Toolkit)
    – The applicant's address is on at least one of the credentials
    – If required, that none of the credentials have expired

- If one or more of these conditions do not apply, the procedures detailed below regarding exceptions might be implemented. However, these procedures would only apply if the registration required the applicant to establish their real-world identity

4. Verification of credentials and/or information

- Verification of POI credentials presented by the applicant is not required

5. Post application

- The registering agency might review any registrations which exhibit risk[3] and investigate anomalies to ensure the integrity of the information that has been recorded

- The registering agency might integrate enrolment processes with critical post enrolment mechanisms, such as:
    – Establishing secure and reliable processes for registering change of name, gender or address, and for credential re-issuing processes
    – Cancelling credentials where appropriate to do so
    – Establishing reliable processes for the identification of expired credentials
    – Ensuring, where necessary, that appropriate internal controls around segregation of duties exist for staff involved in the issue of POI credentials
    – Ensuring processing staff hold suitable clearances

---

[3] Risk refers to the enrolling agency's risks identified in their risk assessment framework and fraud control plan

- Ensuring secure storage processes exist for scanned credentials and biometric data
- Issue the new credential or token of high integrity with regard to:
  - Ensuring only authorised staff issue the credential
  - Security around the issue and collection of the credential
- See Part 3: *Credential Management Guidelines and Standards*

6. Exceptions

6.1 Circumstances

As the process for IRAL-1 applies to pseudonymous transactions, exception procedures should not be required.

However, where an applicant is required to establish their real world identity, procedures may be required to deal with situations where an individual faces a genuine difficulty in identifying themselves to the requirements of IRAL-1 enrolment.

In these instances, the non-standard application process, as detailed in sub-section 6.2 below, is the preferred approach.

'Genuinely unable to provide documentary evidence' includes situations where:

- A presenting person has exhausted all reasonable attempts to obtain documents from the primary source
- A presenting person can demonstrate that the documents cannot be obtained
- The personal circumstances of the individual are such that suitable documentary evidence to satisfy most POI Objectives does not exist (eg infants, minors, refugees)

Establishing the identity of a minor is a common example where an individual may be genuinely unable to satisfy standard POI objectives (as detailed in the *Standard 2 – Proof of Identity Document Standard* in section 2 of this part of the Toolkit). Due to their age and interaction in the community, it is not common for minors to possess a complete set of standard POI documents.

Where an applicant is not able to meet the required POI objectives or have the required documentation, the type of application process that is used should be noted. One option may be to use a separate application form that is specifically designed for non-standard applications. In this instance, the matters detailed in Annexe 1 to this part of the Toolkit may provide a guide.

Non-standard application procedures are intended to allow the registering agency to work with the applicant in order to meet the immediate issue of insufficient proof of identity documentation being available, as well as the longer term goal of being able to meet standard POI objectives in the future.

The non-standard application procedures detailed in sub-section 6.2 below are intended to be appropriate to ensure that the applicant is required to produce some evidence to support their claimed identity to a reasonable level of satisfaction (eg by providing multiple documents or testimonials that could be verified), but not so stringent as to prevent the applicant from obtaining the services.

The non-standard registration process, as well as any relevant documentation, could be developed as part of formulating the business procedures for client registration.

6.2   Non-standard applications

For IRAL-1 situations, a non-standard identity assessment process should be based on the risks associated with the transaction or credential.

The following principles may be applicable for non-standard IRAL-1 registration situations.

- An applicant may be required to present in person to satisfy a non-standard identity assessment process
- The applicant may be required to complete a written application (ie the normal application form for the service or a separate non-standard application form) and lodge it as specified
- The applicant may be required to provide details of relevant available identity documents, as specified in the *POI Documents Points Standard*, towards a total value of 50 points, or to a level determined by the registering agency
- In some situations, if the applicant is an established customer of other Tasmanian Government agency where an IRAL-1 process (or higher) has been applied, the claimed identity might be verified directly with those agencies as a means of meeting the registering agency's requirements. If this approach is pursued, the applicant must give their consent to such verification

Identity Registration Assurance Level 0 Guidelines

> **Suitable for:**
>
> *The following processes are generally relevant for any anonymous transactions where no identity assessment is required due to the minimal risk involved with the transaction.*
>
> *Consequently, it would not be necessary to require applicants to present evidence of their identity.*

1. Application

- Clients may be required to complete a written application for the service or other entitlement and lodge it as required / specified

- For the purposes of the Identity Registration Assurance Level 0 (IRAL-0) application, no identity documents are required to be provided (nil points) – see *Standard 3 – Proof of Identity Documents Points Standard* at section 2 of this part of the Toolkit.

2. Pre-interview assessment

- A pre-interview assessment is not required as the IRAL-0 applies to anonymous transactions that that do not require persons to be identified

- The need for a pre-interview assessment is a matter for individual business units / agencies to determine

3. The interview

- The applicant is not required to present in person to apply for a service as the IRAL-0 applies to anonymous transactions that that do not require persons to be identified

- The need for an interview is a matter for individual business units / agencies to determine

4. Verification of credentials and/or information

- As the process for IRAL-0 applies only to anonymous transactions that do not require persons to be identified, the verification of credentials or information presented is not required

5. Post application

- No post application action is required as the process for IRAL-0 applies only to anonymous transactions

- See Part 3: Credential Management Guidelines and Standards

6. Exceptions

6.1 Circumstances

- As the process for IRAL- 0 applies only to anonymous transactions, no exception procedures are required
- Consequently, guidelines for handling non-standard applications are not provided

Overview of identity registration requirements

The following table gives an overview of registration requirements in relation to Identity Registration Assurance Levels.

Process Required	Notes	Identity Registration Assurance Levels				
		IRAL-0	**IRAL-1**	**IRAL-2**	**IRAL-3**	**IRAL-4**
		Anonymous	**Pseudo-anonymous**	**Weakly Identified**	**Strongly Identified**	**Very Strongly Identified**
Proof of identity credentials to be provided	Intended primarily for in-person registration, but Level 2 could involve electronic or other not in-person approaches	Not required	Not required	50 points	100 points	150 points
Evidence of applicant's prior relationship with agency	This assumes that registration to an equivalent level has been undertaken previously and can be relied upon This is suitable for electronic registration	Not required	Not required	Permitted as substitute POI assessment	Permitted as substitute POI assessment	Not permitted as substitute for POI assessment, but can be additional
Authentication of applicant	This relies on the person being registered contemporaneously or having been registered at some prior time	Not required	Not required	Weak	Strong	Very strong

Section 2

Identity Registration Standards

Using the Identity Registration Standards

There are three standards relating to identity registration:

Standard 1 Identity Registration Standard	Designates the points value associated with each of the five identity risk levels and the equivalent number and type (in terms of their objective value, as designated in Standard 2) of the identity documents or credentials required to be provided by a registering person
Standard 2 Proof of Identity Document Standard	Designates the accepted documents or credentials that a registering person is required to provide to meet six proof of identity objectives
Standard 3 Proof of Identity Document Points Standard	Details accepted identity documents or credentials and the equivalent points value allocated to them

In Part 1 of the Toolkit, a number of steps are to be undertaken to determine an overall access assurance level for both the service being offered as well as in terms of the identity of the person registering for that service. These steps will indicate a risk level from IRAL-0 to IRAL-4, indicating a low to high risk level.

Under the National Identity Security Strategy, the *Gold Standard Enrolment Framework* (see Appendix 1) outlines a set of principles to be applied to identity enrolment or registration practices involved in the issuing of key proof of identity documents, such as a passport. In relation to the form that the identity registration process is to take, the following principles are critical:

> **Principle 5**: Gold Standard enrolment will need to establish evidence of a person's commencement of identity in Australia. In most cases this will involve verifying a person's name and gender as registered with a Registrar of Births, Deaths and Marriages or, in the case of people born overseas, the Department of Immigration and Citizenship.

> **Principle 6**: Gold Standard enrolment will need to establish evidence of a person's identity operating in the community. In most cases, this will involve verifying a person's 'social footprint' from credentials or other information establishing a person's use of identity in Australia over time.

> **Principle 7**: Gold Standard enrolment will need to establish evidence of a linkage between a person and the claimed identity. This will usually involve the presentation of Government-issued proof of identity credentials embodying photographic or biometric features (eg passport, driver's licence). These credentials might also be used to establish commencement and use of identity under Principles 5 and 6 above.

A table listing outlining three objectives, together with a fourth objective relating to the provision of evidence of residential address, and the accepted documents to meet these objectives, is included in the Framework. This table has been used as the basis for *Standard 2 – Proof of Identity Document Standard*. As it is intended to apply to a range of risk levels, including 'gold standard' registrations, it has been expanded to include two additional objectives relating to changes of name or gender, and incorporates other Tasmanian Government-issued documents.

Each identity registration assurance level has been allocated with a points value, from zero for negligible risk to 150 for high risk (or 'gold standard') identity registration.

Based on this, Standard 1 outlines the minimum proof of identity document or credential evidentiary requirements to be applied for each assurance level in terms of the evidentiary objective to be met.

Standard 2 lists the documents or credentials that are acceptable for each of the objectives.

Standard 3 establishes the assessed points value for each of those documents, together with other commonly available documents that may be used in situations where the registering person is not able to provide the documents required.

In relation to Standard 3, it should be noted that the points value allocated to individual documents reflects their assessed risk value. That is, the higher the points value, the higher the process applied to its issue. Documents with a points value of less than 40 points are generally issued with limited levels of assurance, and therefore should be treated with caution and used in conjunction with other higher value documents wherever possible.

The following table provides an overview of how the standards work together.

Table 1: Requirements of the Identity Registration Standards

Proof of Identity Document Objective / Identity Registration Risk	A Evidence of commencement of identity	B Photographic or biometric evidence	C Evidence of operation of identity	D Evidence of residential address[4]	E Evidence of change of name[5]	F Evidence of change of gender[6]
IRAL-0 (Negligible risk) Nil points	Not essential	Not essential	Not essential	Not essential	Not essential	Not essential
IRAL-1 (Minimal risk) Nil points	Optional	Optional	Optional	Optional	Optional	Optional
IRAL-2 (Low risk) 50 points (minimum)	One document PLUS one other	Any document	Any document	May be requested in addition to Objective A, B or C documents	As required	As required
IRAL-3 (Moderate risk) 100 points (minimum)	One document PLUS ➜	One document PLUS➜	One document	May be requested in addition to Objective A, B or C documents	As required	As required
IRAL-4 (High risk) 150 points (minimum)	One document PLUS➜	One or more documents PLUS➜	One or more documents	May be requested in addition to Objective A, B or C documents	As required	As required

Standard 3 – Proof of Identity Document Points Standard, details the nominated points value for accepted identity documents or credentials

---

4   May be required as part of or in addition to the required evidence of identity documentation to be provided
5   May be required where the name of the applicant is different to that appearing on other evidence of identity document
6   May be required where the gender of the applicant is different to that indicated in an evidence of identity document

Standard 1
Identity Registration Standard

The combination of different identity-related documents ideally will produce sufficient evidence to support a claimed identity. By attributing a points value to each document, assigning a maximum points value for each Identity Registration Assurance Level (IRAL) to be met as part of the application of the *Identity Registration Guidelines* (see Section 1 of this part of the Toolkit) provides agencies with a consistent approach to client registration.

This standard describes how the client registration process should be structured in relation to establishing the identity of the applicant based on the assessed risk for the service or transaction involved. It is to be read in conjunction with the *Proof of Identity Document Standard* and the *Proof of Identity Document Standard* in this section of the Toolkit.

Figure 1 details the five identity assessment risk groups which are applied under the *Identity Registration Guidelines*. The maximum points required for each of the five groups are:

Negligible Risk IRAL-0	Minimal Risk IRAL-1	Low Risk IRAL-2	Moderate Risk IRAL-3	High Risk IRAL-4
Nil points	Nil points	50 points	100 points	150 points

Figure 1: Identity Assessment Risk Levels

The following minimum procedures are to be applied in matching the level of assessed identity risk with the identity documents to be produced by the applicant to support their application.

Negligible risk

Applicants do not need to provide a minimum set of documents

Minimal risk

While applicants are not required to provide a minimum set of identity documents, the registering agency may specify that some documents from *Standard 3 – Proof of Identity Document Points Standard* (see this section of the Toolkit) are required to confirm a stated identity.

Evidence of the applicant's current residential address may be required as one of the documents to be provided as one of the specified document types.

Low risk

Applicants need to provide:

- Where possible, one document to show commencement of the stated identity in Australia (ie a document from Objective A of *Standard 2 – Proof of Identity Document Standard*)

AND

- Other documents from the approved list detailed in *Standard 2 – Proof of Identity Document Standard* and/or from *Standard 3 – Proof of Identity Document Points Standard* (see this section of the Toolkit)

The total points value of all documents required must be at least 50 points.

Evidence of the applicant's current residential address may be required as one of the documents to be provided, or in addition to the documents provided.

Moderate risk

Applicants need to provide:

- One document to show commencement of the stated identity in Australia (ie a document from Objective A of *Standard 2 – Proof of Identity Document Standard*)

  AND

- One document to provide evidence of the use of that identity in the community (ie a document from Objective C of *Standard 2 – Proof of Identity Document Standard*)

  AND

- One document to provide a link between the claimed identity and the individual (ie a credential from Objective B of *Standard 2 – Proof of Identity Document Standard* which incorporates a photograph)

The registering agency may require additional documents, such as evidence of the applicant's current residential address, to be provided.

The total points value of all documents required to be provided must give a total value of 100 points.

High Risk

Applicants need to provide:

- One document to show commencement of the stated identity in Australia (ie a document from Objective A of *Standard 2 – Proof of Identity Document Standard)*

  AND

- One document to provide evidence of the use of that identity in the community (ie a document from Objective C of *Standard 2 – Proof of Identity Document Standard)*

  AND

- One document to provide a link between the claimed identity and the individual (ie a credential from Objective B of *Standard 2 – Proof of Identity Document Standard* which incorporates a photograph)

The total points value of these required documents, plus at least one additional identity document, must give a total value of 150 points.

The registering agency may require other documents, such as evidence of the applicant's current residential address, to be provided.

Exceptions

Where an applicant is unable to provide documentary evidence to satisfy the requirements of this standard, specified non-standard POI processes, would be applied.

The guidelines for non-standard POI processes for each Identity Registration Assurance Level are provided for each Identity Registration Assurance Level in Section 1 of this part of the Toolkit, *Identity Registration Guidelines*.

Standard 2
Proof of Identity Document Standard

The *Proof of Identity Document Standard* (this standard) provides details of the accepted key identity credentials or documents, and the objectives that different types of documents satisfy, to be applied in conjunction with the *Identity Registration Guidelines* (see Section 1 of this part of the Toolkit) as part of the identity assessment process.

This standard is to be read in conjunction with Standard 3 – *Proof of Identity Document Points Standard* in this part of the Toolkit.

The *Proof of Identity Document Standard* (this standard) divides nominated documents into groupings that meet particular evidentiary objectives:

Objective A	Documents which evidence commencement of a stated objective, and which may provide details of the person's attributed identity
Objective B	Photographic or other biometric evidence that demonstrates a link between the stated identity and the person presenting that identity
Objective C	Documents which evidence the operation of the stated identity in the community
Objective D	Documents which evidence a person's residential address
Objective E	Documents which evidence that a person has adopted a different name
Objective F	Documents which evidence that a person has changed gender

Figure 2: Proof of identity objectives

IRAL-3 Moderate level of assurance	*IRAL-4 High level of assurance*	

Objective A

Evidence of commencement of identity in Australia

Mandatory for all Identity Assurance Risk Level 4 Enrolment & High Assurance transactions

- Birth certificate
- Record of Immigration Status:
  - Foreign passport & current Visa
  - Travel document and current Australian Visa
  - Certificate of Evidence of Residential Status
  - Citizenship Certificate

Objective B

Linkage between identity & person

(Photo and signature)

- Australian Driver's Licence (current & original)
- Australian Passport (original)
- Firearms Licence (current & original)
- Foreign Passport (original)
- *Tasmanian Government Personal Information Card*

Objective C

Evidence of identity operating in the community

(Could be another Category A or Category B document)

- Medicare card
- Change of name certificate (for marriage or legal name change – showing link to previous name)
- Credit or Account card
- Centrelink or DVA card
- Security guard / crowd control licence card
- BDM-issued Marriage Certificate
- Tertiary ID card

Objective D

Evidence of residential address

- Council Rates notice
- Utilities notice (electricity, gas, phone etc)
- Contract of purchase, lease or rental
- Vehicle registration certificate
- Drive licence or vehicle registration renewal notice for the coming period
- Land Tax Valuation notice
- Australian Tax Office Assessment for last or current financial year

Objective E

Evidence of changed name
[See Objective C above]

- Marriage certificate issued by BDM Registry
- Change of Name Certificate issued by BDM Registry
- Deed Poll issued by BDM Registry
- Divorce paper issued by an Australian Court indicating name being reverted to with a matching Marriage Certificate

Objective F

Evidence of gender

- Australian Birth Certificate
- Recognition Certificate issued by an Australian BDM Registry

Figure 3: Proof of identity objectives and documents

Standard 3
Proof of Identity Document Points Standard [7]

The *Proof of Identity Document Points Standard* (this standard) details accepted key identity credentials or documents that are accepted as part of the Identity Registration process and their nominated points value in terms of providing evidence of a stated identity.

This standard is used in conjunction with *Standard 1 – Identity Registration Standard* and *Standard 2 – Proof of Identity Document Standard* provided in this part of the Toolkit.

The points value attached to a document is an indication of the level of assurance associated with its issue. That is, the higher the points value, the stronger the registration or enrolment process applying to it.

As a rough guide, the risk category and equivalent document points value can be summarised as follows:

Risk Level	Document Points Value
IRAL-4	70
IRAL-3	40
IRAL-2	20
IRAL-1	10
IRAL-0	0

Figure 4: Risk levels and document points values

Every effort has been made to include commonly available documents and credentials and assign a points value to those documents, based on the level of assurance associated with its issue, or the degree of assurance in the credential itself.

For example, Registries of Births, Deaths and Marriages (BDMs) throughout Australia have over the last decade or so applied security features to many of the documents they issue. For example, a birth certificate is printed on paper that contains various covert security features and includes the unique registration number for the registered event. These measures were applied as a response to increasing fraudulent activity in the production of counterfeit documents.

While in the past a BDM-issued Birth Extract was considered to have the same level of assurance as a Birth Certificate issued by BDM, increasingly the Extract is considered to be a document of lower value as it does not incorporate the same level of verifiable information.

Similarly, marriage certificates issued by marriage celebrants are no longer considered to have sufficient assurance because of instances of forgery of such certificates, or fraudulent marriages being conducted by some celebrants.

---

[7]   SOURCE: *Proving Your Identity at Centrelink* [MCSS231ENG.0512] (See
http://www.centrelink.gov.au/internet/internet.nsf/filestores/ss231_0412/$file/ss231_0412en_p.pdf)

The list of documents and their equivalent points value is detailed on the following pages.

Documents not included in the standard

On occasion, an applicant for a service may present a document or credential that is not included in this standard to support their application for a service or entitlement.

In this situation, the registering agency may determine if that document or credential is acceptable for the purposes of the particular application. However, before accepting an unknown document or credential, a number of questions must be fully considered:

- Who has issued the document / credential?
- Is the name of the issuing authority included as part of the document / credential?
- If so, is the issuing authority known?
- Can the document / credential details be verified with the issuing authority?
- What level of assurance is applicable to the issuing of the document / credential?
- What level of assurance applies to the registration process for the document / credential?
- What other documents / credentials is the applicant able to provide as part of their application and do the details on those documents / credentials match with this other document / credential?

If after considering these points the registering agency is satisfied that the document or credential is genuine and can supplement other identity evidence presented by the applicant, it may be accepted.

If the document or credential in question is found to be relatively common, it would be appropriate to pass details to the Office of eGovernment so that it can be considered for inclusion in this standard.

<div align="center">Office of eGovernment contact details: egovernment@dpac.tas.gov.au</div>

Document	Explanation / Description	Points
Australian Birth Certificate	Original Australian birth certificate, extract or birth card in your name / former name	70
Australian Passport (current)	Australian passport in your name / former name. Expired passports are not acceptable	70
Citizenship Certificate	Australian citizenship certificate in your name / former name	70
Australian Visa	Australian visa, current at time of entry to Australia as resident or tourist, showing your name / former name	70
Document of Identity (DFAT)	Document of identity issued in your name / former name by the Department of Foreign Affairs and Trade to Australian citizens or persons who possess the nationality of a Commonwealth country for travel purposes	70
Certificate of Evidence of Resident Status (DIAC)	Certificate of Evidence or Residential Status (Form 283) issued by the Department of Immigration and Citizenship showing your name / former name	70
Certificate of Identity (DIAC)	Certificate of Identity issued by the Department of Immigration and Citizenship to refugees and non-Australian citizens for entry to Australia	70
Defence Discharge Papers	Australian Defence Force discharge papers in your name / former name	70
Security Licence	Current security protection industry or crowd control licence, showing signature and/or photo and same name as claim	70
Firearms Licence	Current firearm licence showing signature and/or photo and same name as claim	40
Bank / Financial Institution card, statement or passbook	Current ATM or credit card showing your name and signature. Statement or passbook from current savings or cheque account showing your name and same address (if applicable) as your claim. Cannot accept: cards issued by organisations other than banks, credit unions or building societies, overseas accounts or ATM or Internet receipts / statements	40
Child's Birth Certificate	Australian birth certificate for a child showing your name as parent / guardian **Cannot accept:** sibling's certificate	40
Australian Driver's Licence – Motor Vehicle	Current State / Territory issued driver's licence, learner's permit or provisional licence showing signature and/or photo and same name and address as claim	40
Tasmanian Government Personal Information Card	Current Personal Information Card issued by Service Tasmania in your name / former name	40
Australian Divorce Papers	Australian divorce papers in your name / former name (eg Decree Nisi, Decree Absolute)	40
Educational Certificate	Up to three school / educational qualification certificates for different years in your name / former name (school, TAFE, university, Registered Training Organisation (RTO))	40

Australian Marriage Certificate	Marriage certificate issued by a State / Territory government agency (ie BDM Registry) **Cannot accept:** church or celebrant-issued certificates	40
Mortgage Papers	Legally drawn mortgage papers for an Australian residence in your name / former name	40
Name Change	Legal change of name certificate or deed poll certificate	40
Overseas Passport	Current overseas passport with valid entry stamp or visa	40
Registration Certificate from a Professional Board	Registration certificate from a national or State / Territory professional registration board (eg doctors, nurses, dentists, accountants etc)	40
Trade Certificate	Current Australian trade certificate in your name / former name Must be signed by issuer or claimant	40
Centrelink Pension Concession Card, Health Care Card, or Commonwealth Seniors Health Card	Current card issued in your name with your signature	40
Veterans' Affairs Gold Card	Current Department of Veterans' Affairs Gold Card issued in your name	40
Reference from Indigenous Organisation	Reference from an Aboriginal / Torres Strait Islander organisation showing referee's full details and length of time they have known you	20
Educational Report or Reference	Up to three school / educational reports or references, including enrolment confirmations for difference years or semesters in your name / former name (school, TAFE, university, RTO)	20
Student ID Card	Current student identity card issued in your name with signature and / or photo (School, TAFE, university, RTO)	20
PAYG Payment Summary	PAYG payment summary, less than 2 years old, with tax file number **Cannot accept:** Centrelink-issued payment summaries	20
Insurance Renewal	Current insurance renewal for house, contents, vehicle, boat, crop insurance, in your name and showing same address as claim	20
Tenancy Agreement or Lease	Current formal residential tenancy agreement or lease in your name showing same address as claim	20
Medicare Card	A current Medicare card showing your name	20
Motor Vehicle Registration	Current motor vehicle registration showing your name, same address as claim and proof of payment	20
Other Overseas Documents	Up to 3 overseas documents (equivalent to Australian documents listed of at least 20 points value) Includes lapsed documents	20
Other Licence	Up to 3 current Commonwealth, State / Territory licences for coxswain, boat, aircraft, etc Must have your photo and/or signature and same address as claim (if applicable) **Cannot accept:** recreational fishing licences	20

Proof of Age Card [8]	Current proof of age or photo identity card issued by a government agency in your name with photo and/or signature	20
Rates Notice	Paid rates notice in your name and showing same address as claim, less than 12 months old	20
Utility Account	Up to 3 paid utility accounts (eg gas, water, electricity, phone) in your name and showing receipt number and same address as claim, less than 12 months old	20
Electoral Enrolment	Proof of electoral enrolment card issued in your name and same address as claim	10
Other Financial Documents	Up to 3 current financial documents, such as superannuation, shares, life insurance, credit card statement, or managed investment documents issued in your name **Cannot accept:** hire or lease agreement	10
Health Insurance Card	Current health insurance card showing your name	10
Motoring Association Card	Current membership card or documents issued in your name	10
Taxation Notice of Assessment	Taxation notice of assessment in your name less than 2 years old	10
Employment Records	Termination notice, separation certificate, report of reference from employer in your name	10

---

[8] A 'Proof of Age Card' is not issued in Tasmania. It has been superseded by the Tasmanian Government Personal Information Card, issued by Service Tasmania, and serves a similar purpose. However, as it is issued under the same POI requirements as a driver's licence, is has been allocated with the same points value

Non-standard proof of identity applications – areas of enquiry

As non-standard applications lack traditional documentation, the procedures that are applied need to focus on two key areas. Firstly, non-standard application procedures will need to use documentation that is not traditionally used for establishing identity, but which provide support to the applicant's claim to an identity. Secondly, non-standard application procedures will need to utilise testimonials or statements from respected members of the community, or other organisations, in order to verify an applicant's claim to an identity.

When a non-standard application procedure needs to be applied, applicants should be asked to provide any of the documents listed in *Standard 3 – Proof of Identity Document Points Standard*, regardless of the proof of identity document requirements for the applicable Identity Registration Assurance Level for the service in question. Depending on the nature of these documents and the total points value involved, no further evidentiary documentation may be considered to be necessary.

However, where these documents are considered insufficient to reasonably establish either the commencement of the applicant's identity or the use of the claimed identity in the community, or the applicant is unable to provide any form of documentation, different forms evidence may be relevant.

In developing non-standard application procedures, it is recommended that an alternative application form be prepared, containing a series of questions aimed at building a picture of the individual, and incorporating information that can be verified. The completed form provides an important record of the process that was undertaken, including the basis for accepting or rejecting the individual's application.

It should be noted that a non-standard application process might be more sensitive than normal application processes, particularly in relation to some supporting information that may be available to the applicant. For this reason, it is suggested that the non-standard application form be completed through a face-to-face interview with the applicant.

The types of questions that might be included in a non-standard application form could be developed based on the areas listed in the following table. It should be noted that the list is not exhaustive and particular areas can be omitted or others added, as required.

As some questions involve different sources of personal information, a consent request for acceptance by the applicant will need to be incorporated in the form to enable relevant enquiries to be made following the interview.

Potential areas of enquiry	Explanatory notes	Objective
1. Name, date and place of birth	The applicant's name, date and place (town / state) of birth can be verified with Births, Deaths and Marriages (BDM).	Evidence of commencement of identity
2. Other name(s)	This may be any name(s) the applicant is / has been known by, including previous married name(s), aliases and nicknames. The name(s) could be checked on the agency / business unit database.	Evidence of use of identity
3. Previous client relationship	Details of previous relationship with agency or business unit might support the claimed identity. Agency / business unit records can be checked where the applicant been a client of the agency / business unit in the past.	Evidence of use of identity
4. Details of family members (name, date of birth, address, phone number) For example parents, siblings, partners, children)	Assists to verify an applicant through personal connections. Some information can be verified via telephone directory, or by contacting the nominated person. This information can establish an applicant's commencement of identity (ie parents), or use of the identity in the community (ie partner, children). Mother's maiden name provides information that can be verified via the birth certificate, and provides additional information for searching BDM. The requirements of the *Personal Information Protection Act 2004* are critical in this area to ensure that the rights of the persons nominated by the applicant are appropriately safeguarded.	Evidence of commencement of identity and Evidence of use of identity
5. Name of person or organisation who may be able to verify the applicant For example case worker, social worker, community corrections officer	Details of a person in another agency / business unit who can identify the person through their work. This might include community or correctional facilities. The person must have continued contact with the applicant for a period of time, or have been in contact with another person who has (ie the applicant is a long term client of the organisation, or has been referred by another well known organisation).	Evidence of use of identity
6. Recent hospital / medical treatment	Information relating to the applicant's presentation at a facility may be verified with the relevant health provider	Evidence of use of identity
7. Last three addresses lived in and length of time at addresses	Details can be verified against other records provided by the applicant, as well as the telephone directory. If previously a client, the address details can be verified against the agency / business unit database.	Evidence of use of identity Evidence of address
8. Name and address of landlord, real estate agent, owner or tenants at last address lived at	Details can be checked with the relevant party(s). This could be used where the applicant is not able to provide details of last three addresses lived at.	Evidence of use of identity Evidence of address
9. Last two employers Employer / company name and contact name	The employer can be verified in the telephone directory. Based on the applicant's consent, the employer or contact person can verify the applicant's identity.	Evidence of use of identity
10. Name of last school / college attended 11. Name of principal or teacher	Details of a person who is in a position of authority and/or has dealt with the applicant for a period of time. The nominated person could be contacted to verify	Evidence of use of identity

	the applicant's identity.	
12. If parents are unknown, name and address of foster parents or institution where the applicant has lived	This assists in verifying the applicant through personal connections. However, given the sensitivity of this information, it should be used only in situations where the person is not able to provide proof of birth in Australia, or has lived in an orphanage or youth correctional facility.	Evidence of commencement of identity Evidence of use of identity
13. Details of most recent arrival in Australia	The information can be verified with the Commonwealth Department of Immigration and Citizenship.	Evidence of use of identity

Notes

Documents provided by the applicant could include:
 • Proof of identity documents showing name, such as –
    – Expired documents
    – Non-current addresses
    – Documents not listed in *Standard 3 – Proof of Identity Document Points Standard*
	If the applicant has some documentation, it can be added to the questions based on the above items to assist in establishing the applicant's use of the claimed identity.
	 If the applicant advises that their birth is not registered, questions based on items 4 or 11 should be completed.
	 Originals of documents provided by an applicant should not be attached to the completed form. Any copies that are taken should be destroyed (or returned to the applicant) once the application has been processed and a decision on whether to accept or reject the application is taken.

Date information was verified	Where information provided by the applicant is later verified, the date of that verification and any additional information obtained should be noted on the form.
Other relevant information	The form should incorporate space to enable additional information to be noted at the discretion of the interviewing officer for the agency / business unit.
Date of interview	The form should allow for the date of interview with the applicant in relation to the completion of the non-standard application form to be noted.