Risk Management: Automation and Technology
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Keeping You
Safer
and More Secure

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Travellers

Four kinds of travellers

1. Known and are persons of interest
2. Known and are trusted
3. Not Known with trusted documents
4. Not Known with documents that are not trusted

All need to be assessed for risk before they arrive at the border, if possible.

Strategy – move as many people as possible to the "known and trusted" category.

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Fraud From EU Border Control Statistics

	2007	2009
Identity Fraud •Imposters / look alike •Fraudulently obtained	31% •21% •10%	71% •48% •23%
Document Fraud •Fraudulent alterations •Counterfeit •Others	69%	29%

By 2008 the EU countries had issued ePassports and the belief is that because the documents were more difficult to alter genuine documents were used a lot more.
Biometrics and ePassports solve the Imposter problem if used correctly

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Known and are persons of interest

Complete watch list checks

- Interpol
  - People
  - Documents
- Police list
- Immigration list
  - Visa refused
  - Deportees
- Lost and stolen passport (or other travel documents) lists
- Any other lists

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Known and are persons of interest

Watch list searches must be very intelligent for the following reasons

- Name on watch list may not be identical to the one in the Machine Readable Zone

    - Latin Characters only through transliteration

    - Truncation of names

    - Data Integrity

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Known and are trusted

Nationals through link to Passport or National ID

- Valid list of documents – Unexpired, not reported lost or stolen and issued by that system

Visa holders

All permit holders and long term visa e.g. work permits and student visas could be issued eID cards.

Trusted traveller program

Regional programs

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Not Known with trusted documents

Trusted documents could be ePassports from countries that are trusted

- People who received a genuine passport through fraudulent means will not be discovered at the border and this is safest way to cross borders
- The ePassport must be checked with a trusted Public Key to verify chip contents
- Biometric checks should be used to find "look alikes"
- Forgeries are appearing in ePassports

  - Killing good chip and inserting new chip into passport

  - Killing chip and altering the digital passport that remains

  - Stolen blanks that are personalised and the chip encoded or Killed

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Not Known with documents that are not trusted

This is normally the largest classification of traveller and all efforts should be made to sign up for frequent traveller or similar program

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Risk management

- Run Watch list checking before person boards vessel, wherever possible
- Have manifests for all vessels before they arrive at the border
- All flights, cruise ships, Yachts, non commercial flights, and vehicles
- Collect biometrics on everyone at the earliest opportunity
  - When a person applies for visa and permit so you know it is the same person that arrives
  - When a person appears at the border control point
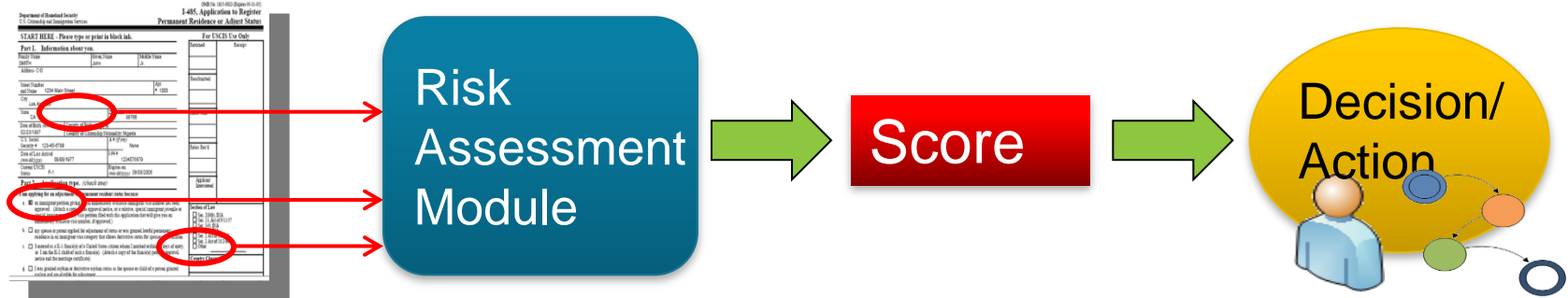- Run all manifest entries through risk management module before arrival
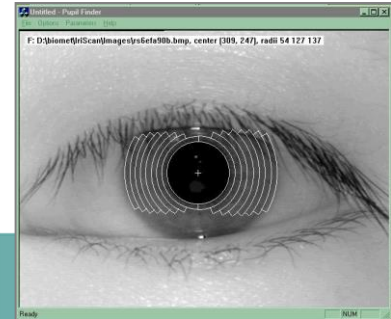
Risk Assessment Module

The risk assessment module uses data to calculate a risk assessment score for the traveller.

The risk assessment score can be used:

- By immigration officers in decision-making
- As part of an automated workflow to automatically stop or route the traveller

Risk Assessment module

Each criteria is assigned a weighting, as some criteria may be more important or influential to the overall results than others.

Some examples of different criteria weighting:

Risk Criteria	Relative Importance	Weighting
Nationality	High	10
Place of Birth	Medium	7
Sex	Medium	5
Age	High	10
Purpose of visit	Low	4
Travel route	Medium	7

. Sample Criteria Weighting

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Criteria Scoring

Data field values are grouped by potential risk and each group receives a corresponding score.

example of scoring for age-based risk criteria:

| Age Category	Potential Risk	Age Criteria Score
0-14	Low	5
15-18	Medium	7
18-25	High	9
26-35	High	10
36-45	High	9
46-55	Medium	6
56+	Low	3

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Final Risk Assessment Score

The final applicant risk assessment score is calculated by multiplying each applicant score by its weight and adding the results.

The score is compared against a configurable threshold level and the applicant is placed into the appropriate risk category (e.g. high risk, medium risk, low risk, etc).

Immigration officers can take the necessary actions based on the applicant's risk categorization. The scores can also activate specific workflows.

The threshold level can changed to reflect current immigration conditions and threat levels.

Low Risk   *High Risk*

Configurable Threshold

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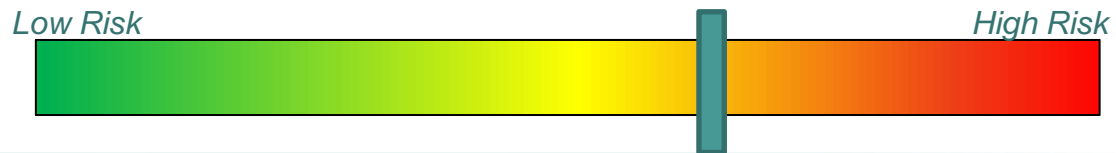
Risk management summary

Have program to encourage registration for a traveller program

Get travellers record as early as possible and if possible before they board for watch list checking

Have an intelligent watch list search engine

Manifests for all vessels, if possible

Classify all travellers using a risk assessment module for each identified risk

Capture biometrics for all travellers

Expedite Nationals and trusted travellers so that more time can be spent on those that require it

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Thank You
Questions

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