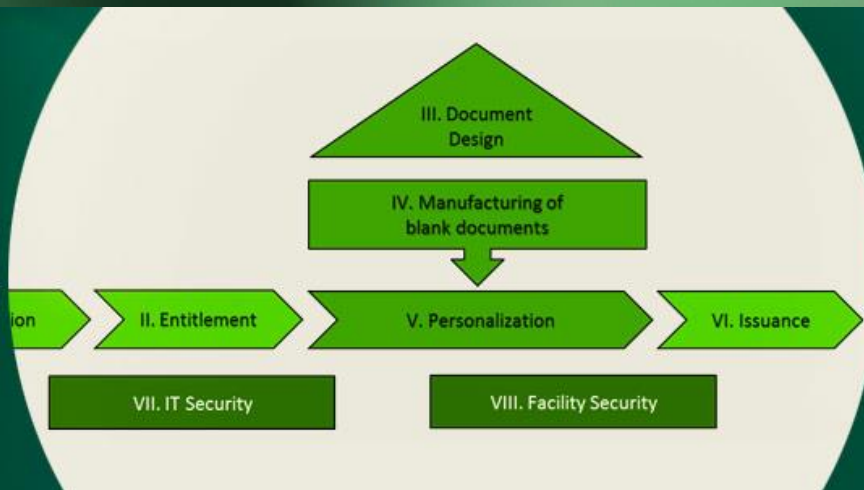




# eDocument Security Awareness Model



## eSECURITY AWARENESS MODEL (eSAM)

EVALUATE YOUR EDOCUMENT ISSUANCE PROGRAMS,  
RECEIVE A FULL MANAGEMENT REPORT WITH  
SCORES AND RECOMMENDATIONS!



# eDocument Security Awareness Model

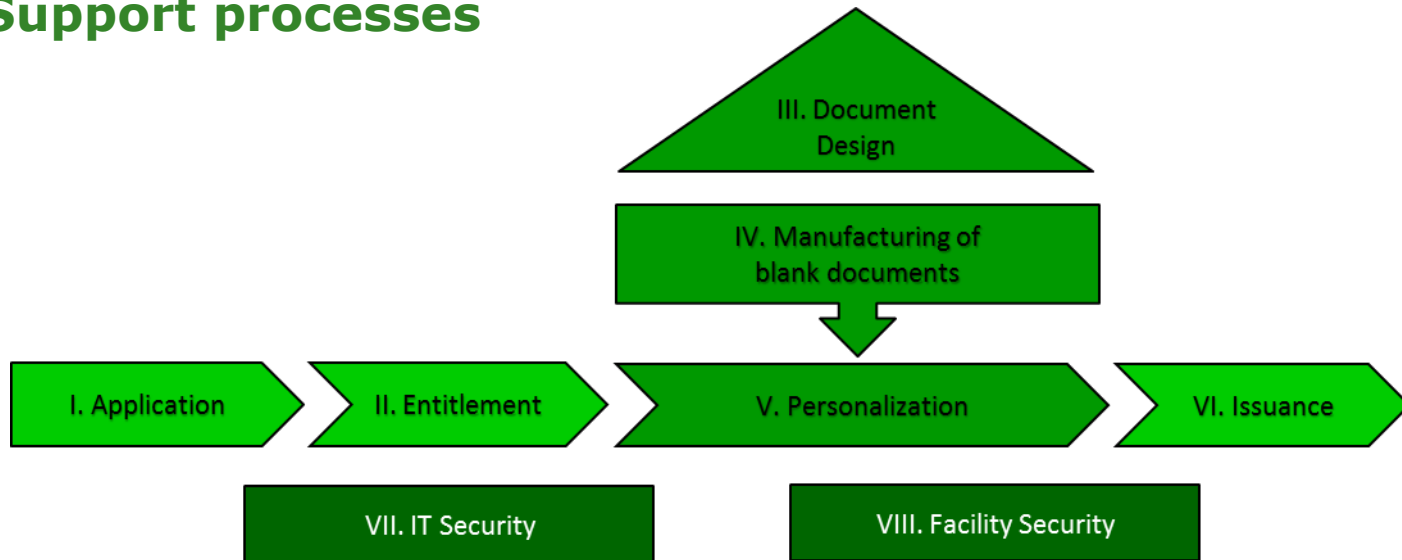
- **THE EDOCUMENT SECURITY AWARENESS MODEL (ESAM) IS A SELF-ASSESSMENT TOOL**
  
- **GOAL OF THE EDOCUMENT SECURITY AWARENESS MODEL:**
  - **Help governments with their secure document development program**
    - To evaluate an existing program
    - Or to try different scenarios and see the effect on the security chain
  - **Understand what is required to build a 'security chain'**



# eDocument Security Awareness Model

› The eSAM consist of three basic process flows and covers the complete security chain:

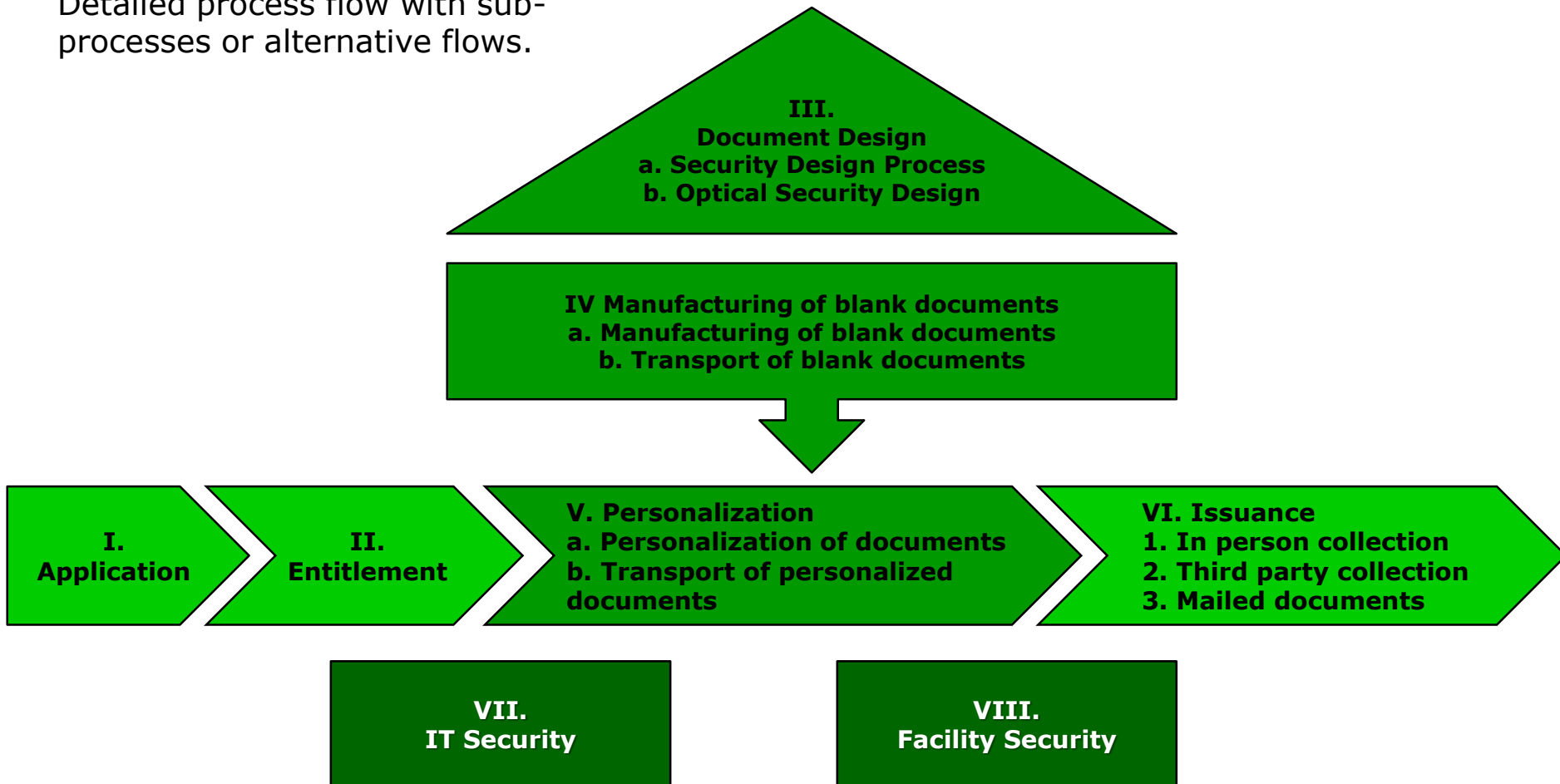
1. Application to Issuance (dataflow)
2. Document design to Personalization (material flow)
3. Support processes





# eDocument Security Awareness Model

Detailed process flow with sub-processes or alternative flows.





# How to start the eSAM from the SIA website



**SUPPORTING SUSTAINABLE WORLDWIDE ECONOMIC GROWTH** and prosperity through the development of **TRUSTED DIGITAL IDENTITIES**

## Upon registration

Search Here... 

HOME ABOUT US MEMBERSHIP NEWS & EVENTS BLOG RESOURCES **ESAM** ESPT CONTACT US



## eSecurity Awareness Model (eSAM)

Print Email

The eDocument Security Awareness Model (eSAM) is designed to help governments with their secure document development program. It can be used as a self-assessment tool to evaluate an existing program. Or it can be used to evaluate the effect on security of certain choices in the program (try different scenarios). Anyway it can help to understand what is required to build a 'security chain'.

### Member area

**LOG OUT**

### Menu

CONNECT WITH US 

III. Document Design

IV. Manufacturing of blank documents

**At [www.secureidentityalliance.org](http://www.secureidentityalliance.org)**



# Introduction screen eSAM

The screenshot shows the introduction screen for the eSAM (eSecurity Awareness Model) application. At the top, there is a navigation menu with links for HOME, ABOUT US, MEMBERSHIP, NEWS & EVENTS, BLOG, RESOURCES, ESAM (highlighted), ESPT, and CONTACT US. Below the menu is a large green header with the text "eSecurity Awareness Model (eSAM)". The main content area has a light grey background and contains the following text:

**eSAM**

For a new evaluation of an eDocument program/scenario, click on NEW. To access an already saved program/scenario, click on EDIT EXISTING RECORDS and select your program/scenario from the list below.

The questionnaire is subdivided in eight processes. To reach the process you need to complete, use the navigation panel at the top of the page or click on the NEXT and BACK buttons at the bottom of the page. Notice that all the process in the navigation panel are colored in grey when they are not completed yet. Once completed, the process will turn dark green. Moreover, the process you are working at is colored in light green.

Each process contains a series of multiple choice questions. Pass the mouse over the the blue question mark (?) to get an explanation.

You can save your answers at the end of each process by clicking on the SAVE & PREVIEW button. When saving a form, you also get a preview of all your answers which can be printed to further analysis. Posteriorly, you can return to your saved program/scenario at any time by selecting it from the list below.

At the end of the completed questionnaire, press SUBMIT AND SHOW MANAGEMENT REPORT to submit your answers and get a full management report including questions, answers, recommendations and a score for security awareness, cost effectiveness and convenience. You can also print this management report at any time, by clicking the PRINT button at the top of the report.

Lastly, note that, once submitted, the questionnaire's answers cannot be changed anymore.

At the bottom of the page, there are three buttons: "EDIT EXISTING RECORDS" (highlighted in a dark green box), "NEW" (highlighted in a dark green box), and "DELETE" (highlighted in a dark green box).

- **Start new evaluation**
- **Edit existing record (only from your user group/organisation)**





## Start new evaluation (existing program)

- **Choose between Existing program and Scenario**
- **Existing programs are selected from pre-configured list for your organisation**

eSecurity Awareness Model (eSAM)

\* Are you taking this test to evaluate an existing program or to establish a scenario for a future program ?  Existing program  Scenario

\* What eDocument are you evaluating?

\* What is your scenario/program reference ?

\* We would like to use your scores anonymously to build a historical overview of security awareness of document programs and create a Security Awareness Index. Only the region of the world to which your country belongs, the type of document, the scores obtained and the date at which it was submitted are used. Do you allow SIA to use the above listed data?  Yes  No

- **Results from Existing programs are used to build Security Awareness Index**
  - Anonymously from stored data
  - Only if you permit



# Start new evaluation (scenario)

- **Select document type from the list**
- **Name your scenario**

## eSecurity Awareness Model (eSAM)

\* Are you taking this test to evaluate an existing program or to establish a scenario for a future program ?

Existing program

Scenario

\* What eDocument are you evaluating?

\* What is your scenario/program reference ?

Please select ▼

Please select

Passport

Driving License

ID Card

Resident Permit

Other





1.

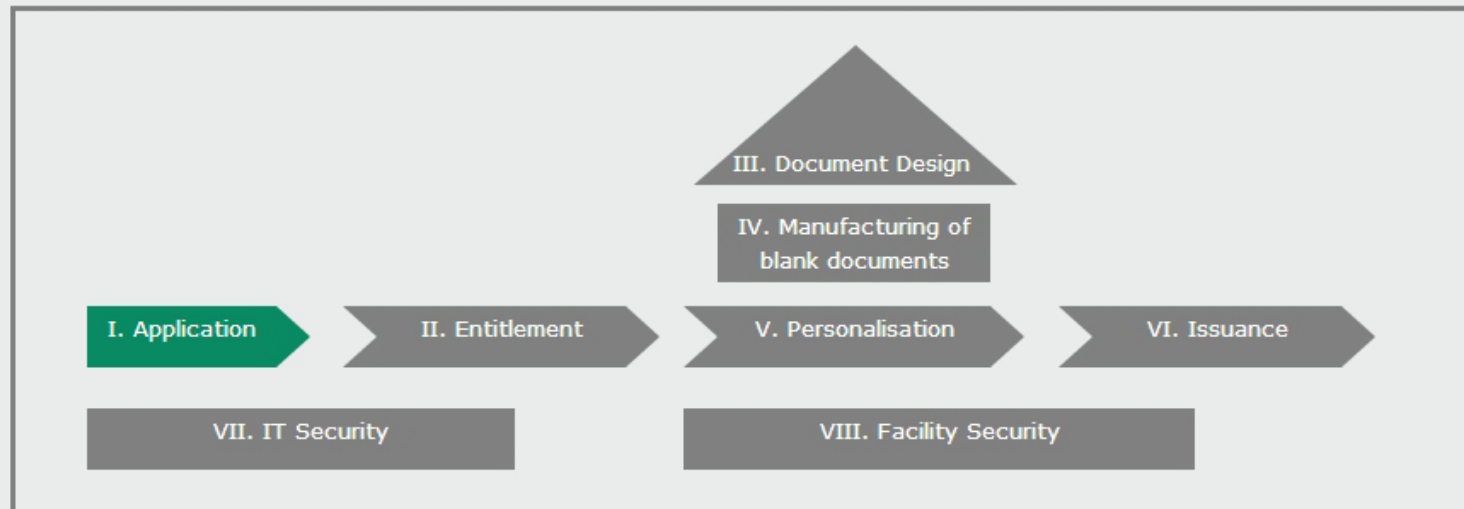
## eSAM Questionnaire



# Navigate through the process

- **Navigate through the process flow with the boxes in the chart**
- **Every process has a short explanation**

## eSecurity Awareness Model (eSAM)



### I. Application

To obtain a document, applicants typically must follow a specified application process, including the completion of forms, documentary evidence, submission of photographs, and in some cases secondary biometrics. The information and documentation they provide will enable Issuance Authority (IA) employees to establish the entitlement of the applicant to a document.

The information the applicant submits must be protected during the whole issuance process and also after the document is issued. Privacy and protection of data are essential elements to ensure the security of the document issuance process.






# Example Application process

- **Multiple choice answers**
- **Explanation to question at** 

## I. Application

To obtain a document, applicants typically must follow a specified application process, including the completion of forms, documentary evidence, submission of photographs, and in some cases secondary biometrics. The information and documentation they provide will enable Issuance Authority (IA) employees to establish the entitlement of the applicant to a document.

The information the applicant submits must be protected during the whole issuance process and also after the document is issued. Privacy and protection of data are essential elements to ensure the security of the document issuance process.

- \*  1- Are all applications processed in a uniform and consistent manner throughout the Issuing Authorities?  
**1- Are all applications processed in a uniform and consistent manner throughout the Issuing Authorities?**  
A uniform application process at all locations is highly recommended to make the process standardized and transparent, compliant, secured and controlled.
- YES - at all locations.
- At most locations, exceptions well documented.
- NO
- \*  A uniform application process at all locations is highly recommended to make the process standardized and transparent, compliant, secured and controlled.  
used?
- YES - at all locations.
- At most locations, exceptions well documented.
- NO
- \*  person for every application?
- YES - a personal appearance of every application (including renewal) is required.
- Personal appearance is only required applying for the first time. In case of renewal applicant can apply for a new document on line using the previous electronic ID document to sign the application form.
- Personal appearance is only required applying for the first time. In case of renewal application can be done e.g. mailing, etc.
- It is not required to appear in person. Application done e.g. mailing, etc.



## End of process

- **Go to Next process or Go Back to previous process**
- **Or Save & preview scenario / program**
- **(Re)view Questions and Answers with peers**
- **Go back to questionnaire to change answers and finish evaluation**

\* 6- Is a secondary biometric feature collected as part of the application process?

A secondary biometric feature (e.g. Finger print, Iris, etc.) is required.  
 NO

\* 7- Are Anti-fraud specialist (AFS) installed in every application authority location to provide assistance in dealing with any suspicious application?

YES - at all locations.  
 In some small locations AFS assistance is offered from a nearby location.  
 NO

\* 8- Is regular training conducted for those authority staff whose task it is to process applications?

YES  
 Training is irregular.  
 No training.

**BACK** **NEXT** **SAVE & PREVIEW**



# Edit existing record

- **To continue: select scenario/program from the list**
- **Go Back to Questionnaire**

Saved

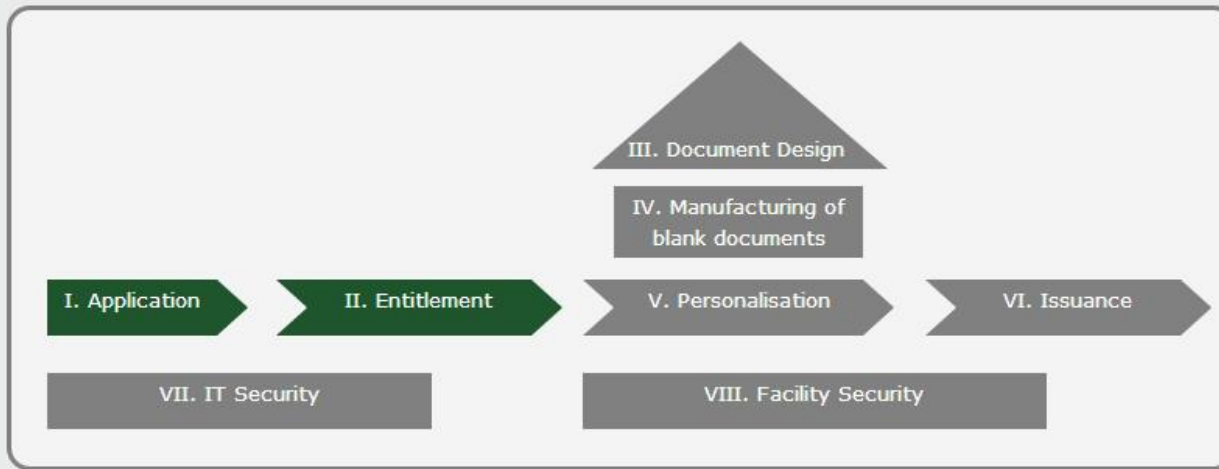
Created On Thursday, 31 July 2014 14:12 By Erik van Dijk

[BACK TO QUESTIONNAIRE](#)

[DELETE](#)

To see your results and scores, please complete your questionnaire.

## eSecurity Awareness Model (eSAM) - Report



Reference : Erik1

Scenario or existing program : Scenario

Document : Passport



## Different choices in program

**The Issuance process clearly shows the different choices an Issuing Authority (IA) can make:**

- Applicant picks up document in person
- Third party is permitted to pick up document
- Document is mailed to home address

**The IA's choices have an impact on the security, convenience and cost of the program.**

### VI. Issuance

Once personalized, the document is handed over to the applicant. Here, a few options exist regarding process implementation: in-person pickup (or release to a third party); secure mail, delivery or courier services. Depending on the method(s) chosen, some techniques can be used to mitigate the risk of the document being released to a person impersonating the true applicant or using a false identity.

\* 1- How is the document collected by the recipient?

- Applicant picks up document in person.
- Third party is permitted to pick up document.
- Document is mailed to home address.



# Support processes

## Two support processes are distinguished:

- IT security
- Facility security

**These only contain some basic questions if not covered by a certificate in the first place.**

### VII. Information Technology Security

Information Technology (IT) security is defined as safeguards to preserve the confidentiality, integrity, and availability, intended use and value of electronically stored, processed or transmitted information. The Issuing Authority (IA) has become more and more automated and is using information technology to improve efficiency, security and service delivery. At the same time, the number and potential severity of threats, vulnerabilities and incidents are similarly increasing. Because IA demands the collection of detailed personal information, sometimes including biometrics, the protection and security of IT systems and databases is crucial.

#### CERTIFICATION

\* ? 1- Does the site have a security certification?

##### 1- Does the site have a security certification?

Having the full operation of the site certified, evaluated or audited is the main goal. Some international certificates of interest are e.g. - ISO27001 certificate for Information Security; - NASPO Certified or BSI Site Certification; - Common Criteria Site Certification; - PCI Security Standards Council, Card Production

- YES - multiple certifications covering all the aspects of IT Security in the full operation.
- YES - Some areas of operation are certified.
- No certifications.

NEXT





# 2.

## eSAM management report



## Completed questionnaire?

### **AFTER COMPLETING THE QUESTIONNAIRE, SUBMIT THE FORM**

- **no changes are possible after submitting**
- **to review and change: Go BACK and SAVE & PREVIEW**

Created On Thursday, 31 July 2014 14:12 By Erik van Dijk

Thank you for using the eSAM !

BACK

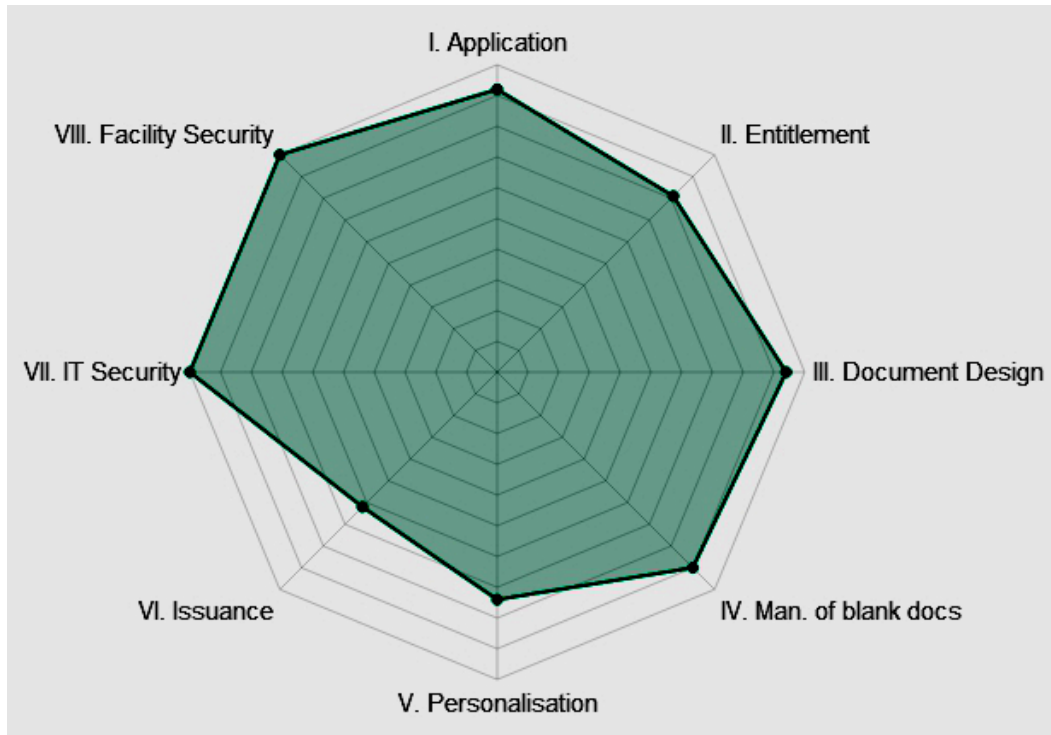
SUBMIT FORM AND SHOW MANAGEMENT REPORT

- **After submit a management report can be generated**

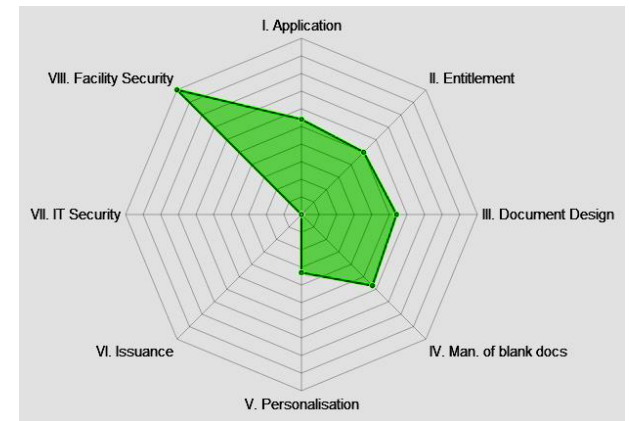


# eSAM Management report with scores

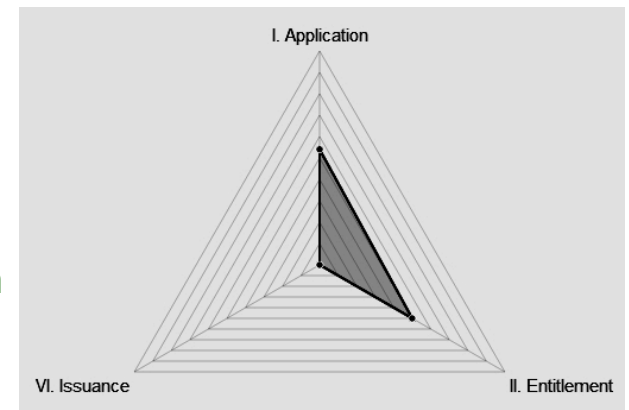
## SECURITY AWARENESS



## COST EFFECTIVENESS



## CONVENIENCE



- Security is not the only aspect you have to balance in your program
- Convenience score only for processes that interfere with citizens (end users)



# eSAM Management report with recommendations

## Answers & Scores

Application

Entitlement

Question	Answer	Score			Recommendation
		SA	CE	C	
1- Are all entitlement decisions made by appropriately trained Issuing Authority staff?	With few exceptions (force majeure).	2/3	1/2	0/0	
2- How are first time applicants taken care of?	First time applicants are given special attention and treatment for identity confirmation and entitlement validation	2/3	0/0	2/3	From a security point of view, requiring appearance in person helps increasing the security.
3- Are interviews conducted where there is doubt regarding the integrity of the information and documentation provided?	YES - in case of doubt.	3/3	1/2	1/3	
4- How many trusted support documents need to be submitted by new applicants?	At least one trusted breeder or support documents are required.	2/3	0/0	2/3	

- Scores for Security Awareness (SA), Cost Effectiveness (CE) and Convenience (C)
- Recommendations (if applicable) to improve security



# eSAM scores per process against max score

6- Are there any special procedures defined for dealing with applications replacing of a document claimed to be lost or stolen?	YES - the replacement of such a document is made only after exhaustive checks including a personal interview with the applicant.	3/3	1/2	1/2	
7- Is a cross check of the applicant's information done and how?	YES - a check is carried out referencing to official records.	2/3	1/2	0/0	
<b>Subtotal</b>		<b>17/21</b>	<b>4/8</b>	<b>7/13</b>	

Document Design

Manufacturing of Blank Documents

Personalisation

Issuance

IT Security

Facility Security

➤ Your scores for SA, CE and C against the maximum score



# Sources of information

## Main Sources

- **ICAO Doc 9303 Part 1, Vol1**
- **ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents**
- **Optical Document Security by Rudolf L. van Renesse**
- **Documents: the Developer's Toolkit by Diana Ombelli and Fons Knopjes**

**Many more sources have been used and combined with the experience from multiple document programs by the SIA members.**



# 3.

## About the Secure Identity Alliance





## Who we are

- **THE SECURE IDENTITY ALLIANCE IS DEDICATED TO SUPPORTING SUSTAINABLE WORLDWIDE ECONOMIC GROWTH AND PROSPERITY THROUGH THE DEVELOPMENT OF TRUSTED DIGITAL IDENTITIES AND THE WIDESPREAD ADOPTION OF SECURE ESERVICES. FOUNDED IN MARCH 2013 BY LEADING E-DOCUMENT AND E-SERVICE COMPANIES**

- **MEMBERS AT DATE:**





## What we offer

- **THE ALLIANCE OFFERS LEADERSHIP AND ADVISORY SERVICES TO GOVERNMENTS AND OTHER PUBLIC BODIES; SUPPORTING THE IMPLEMENTATION OF DIGITAL ID PROJECTS TO ACCELERATE THE WIDE RANGE OF ECONOMIC, PUBLIC HEALTH, ELECTORAL AND SUSTAINABILITY OPPORTUNITIES OFFERED BY THE SHIFT TO DIGITAL SERVICE PROVISION.**

### **GLOBAL 'THINK**

**ADVISORY**

**LOCAL & INTERNATIONAL**

**LINK WITH OTHER LIKE-MINDED ORGs**

### **AND DO' TANK**

**FOCUS ON NEEDS**

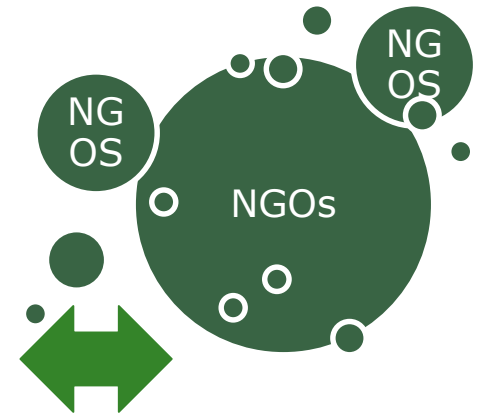
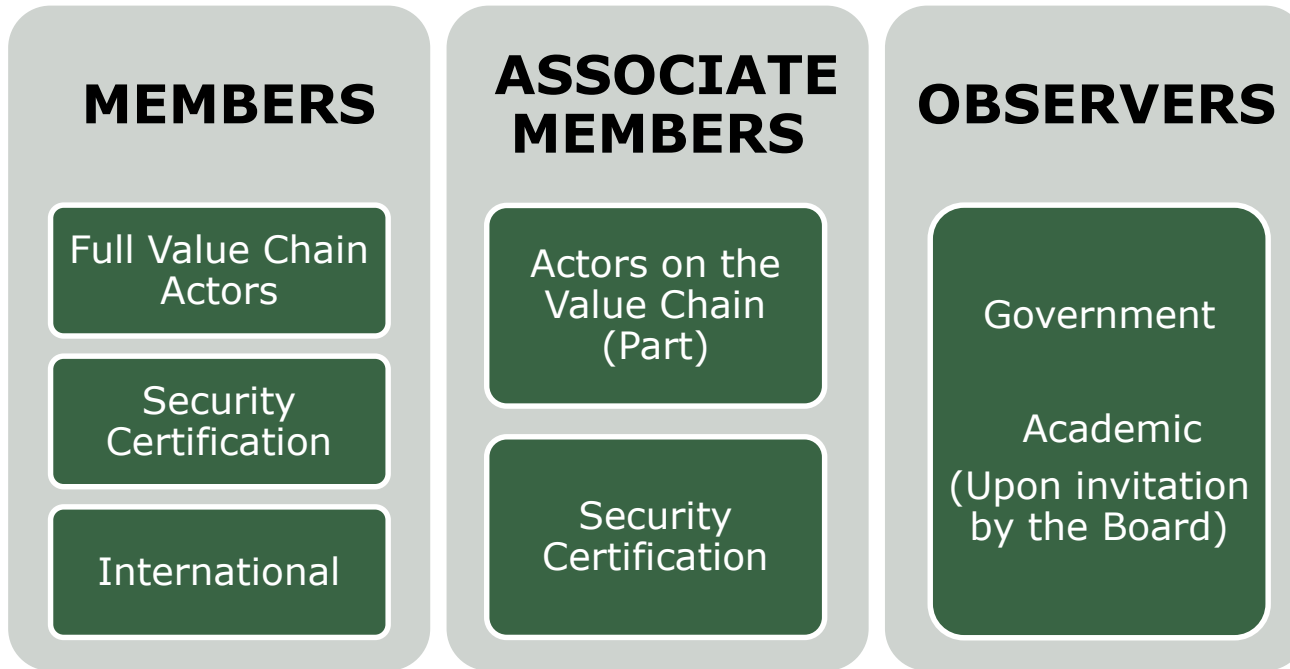
**BEST PRACTICES SHARING**

**PROJECTS**



# How we do it

➤ **THE ALLIANCE BRINGS TOGETHER PUBLIC, PRIVATE AND NON-GOVERNMENT ORGANIZATIONS TO FOSTER INTERNATIONAL COLLABORATION ON DIGITAL ID CHALLENGES AND THE ISSUES OF DATA SECURITY, CITIZEN PRIVACY, IDENTITY, AUTHENTICATION AND MORE.**



## Membership Types



## How we do it

- **THE ALLIANCE PLAYS A KEY ROLE IN SHARING BEST PRACTICE AND UNCOVERING THE NEW GENERATION OF EIDENTITY AND EDOCUMENT TECHNOLOGIES CRUCIAL TO BUILDING THE TRUSTED FRAMEWORK ON WHICH TO DRIVE EGOVERNMENT, AND GLOBAL ECONOMIC GROWTH, FORWARD.**

### **BUSINESS INTELLIGENCE MARKETING**

**Reports, analysis, policy papers, guidelines, toolkits production**

**Data, indicators and databases creation**

### **USAGE FOCUSED MARKETING**

**Consistent information on Security, Identity, Privacy and Convenience challenges**

**eDocument and eGovernment Services best practices sharing**

### **TECHNICAL MARKETING**

**eDocument and eServices technology advisory services**

**Promote standardization of relevant and appropriate industry specifications**



## What makes us unique

- **SIA HAS A FREE 'ADVISORY OBSERVER' MEMBERSHIP OPENED TO GOVERNMENT AGENCIES WILLING TO CONTRIBUTE AND INFLUENCE THE WORK OF THE ALLIANCE**
- **SIA IS A GLOBAL ORGANIZATION WHOSE MEMBERS ARE LEADERS IN THE PROVISION OF SECURE IDENTITY AND COVER THE FULL LIFECYCLE OF SECURE DOCUMENTS FROM DESIGN AND MANUFACTURE THROUGH TO THEIR USE FOR ESERVICES IN THE FIELD**
- **SIA'S EXPERTISE IS BUILT THROUGH ITS COLLECTIVE HERITAGE AND KNOWLEDGE**
- **SIA IS A TRUSTED PARTNER: MAKING RECOMMENDATIONS FOR THE INTEREST OF GOVERNMENTS AND CITIZENS/ NON PROFIT**



# Want to get involved?

## ➤ CONTACT THE SECRETARY GENERAL OR THE MARKETING DIRECTOR:

- **Jean-Claude Perrin at [jean-claude.perrin@secureidentityalliance.org](mailto:jean-claude.perrin@secureidentityalliance.org)**
- **Stéphanie de Labriolle at [stephanie.delabriolle@secureidentityalliance.org](mailto:stephanie.delabriolle@secureidentityalliance.org)**

A screenshot of the Secure Identity Alliance website homepage. The header features the organization's logo on the left, a navigation menu with links for HOME, ABOUT US, MEMBERSHIP, NEWS &amp; EVENTS, BLOG, RESOURCES, and CONTACT US, and a search bar on the right. The main content area has a dark green background with a circular image of three business professionals (two men and one woman) looking at a laptop. To the right of the image, the text reads: "HELP PUBLIC BODIES ACROSS THE WORLD DELIVER EGOVERNMENT SERVICES TO CITIZENS THROUGH THE WIDESPREAD ADOPTION OF SECURE EDOCUMENT TECHNOLOGIES." Below the main content, there are three sections: "Latest News", "Upcoming Events", and "Blog", each with a left and right arrow icon.

[www.secureidentityalliance.org](http://www.secureidentityalliance.org)