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M-DE-001

Examination of Documents for Indented Impressions

Procedure Manual

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1. SCOPE

The purpose of this Procedure Manual is to outline the steps that a Forensic Document Examiner must follow for the examination of questioned documents for indented impressions. The procedures detailed in this manual principally involve s. 47E(d), s. 37(2)(b)

This method does not include the inspection of these impressions to determine the sequence in which a document was completed.

2. DEFINITIONS & ABBREVIATIONS

ESDA	Electrostatic Detection Apparatus, used to visualise indentations or other changes to the surface structure of a document using electrostatic charging of the document followed by visualisation of the dissipated charge.
MYLAR Film	Thin transparent plastic film that covers and protects an item during electrostatic examination.
ESDA Foil/Lift	The result of the completed process of electrostatic detection.
Indented Impressions	Non-visible (latent) and visible marks made into the surface structure of the paper.
VSC	Video Spectral Comparator, an instrument that enables the operator to view documents with different wavelengths of light (in the UV, visible and infra-red regions), viewing the image via a digital camera with a choice of filters.
Oblique lighting	Also known as side lighting. Light is used to graze the surface of a document and may reveal the presence of latent indentations.
Gelatine Lifter	A black slab of gelatine with a rubber or polyester backing.
Casting Agent	Mikrosil and Isomark are commercially available polymers used to produce a cast of an impression.

3. PRINCIPLES

3.1. General

The aim of the examinations contained in this method is the visualisation of information that may assist in an investigation, s. 37(2)(b), s. 47E(d).

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Indentations of writing or other marks, which are the result of pressure of either a writing instrument or another mechanism on the document in question, or on an overlying sheet, can be observed by different means. The impressions may be caused, for example, by the writing of one document whilst resting on top of another, by mechanical devices in direct or indirect contact with the item or from an abrasive force applied to the document.

3.3. Enhancement Techniques

To observe latent or visible indented impressions a number of techniques can be used. The selection of the applicable technique will be dependent on the type of substrate and the depth of the indentation. s. 47E(d), s. 37(2)(b)

s. 47E(d), s. 37(2)(b)

4. MATERIALS**4.1. Reagents**

No reagents are required.

4.2. Equipment

- ESDA Equipment and Related Consumables (e.g. mylar film and toner mix)
- Gelatine Lifters
- VSC or Equivalent Oblique Light Source
- Mikrosil or Isomark Casting Agents

5. PROCEDURE

The procedures outlined below can all be carried out using s. 47E(d), s. 37(2)(b). For operation of these instruments, refer to the relevant s. 47E(d), s. 37(2)(b).

Perform all applicable procedures. The number and nature of the examinations depend on the items submitted, the examinations necessary to answer relevant questions, the laboratory policies, and the examiner's professional judgement.

s. 47E(d), s. 37(2)(b)

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s. 47E(d), s. 37(2)(b)

s. 37(2)(b), s. 47E(d)

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s. 37(2)(b), s. 47E(d)

Method

1. Photograph the indentation relative to its location.
2. Take close up photographs of the indentation and include a scale.
3. s. 47E(d), s. 37(2)(b), as per the manufacturer's instructions, ensuring that any air bubbles are removed.
4. Allow to harden for up to 15 minutes and then remove.
5. Record and photograph the results, including a scale. s. 37(2)(b), s. 47E(d)
6. Package, label and s. 37(2)(b), s. 47E(d) in accordance with the Document Examination Quality Manual. s. 37(2)(b), s. 47E(d)

6. REPORTING

At the completion of all examinations, the FDE will produce a report using one of the following forms;

- F-DE-005 General Examination Form
- F-DE-016 Minute
- F-DE-017 Case Report
- F-DE-018 Court Statement

7. REFERENCES

1. M. L. Pearse and J. S. Brennan, Importance of absolute humidity in the operation of the electrostatic detection apparatus, Forensic Science International, Volume 83, Issue 2, 2 December 1996, Pages 124-131
2. ESDA Operating Procedure, Foster & Freeman.
3. European Document Experts Working Group, "Examination of Indented Impressions", 2002.

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4. Jan de Koeijer, "Gelatine Lifting -A Novel Technique for the Examination of Indented Writing", Netherlands Forensic Institute, 27 September 2002.
5. The Merck Index, 9th Edition, Merck & Co., Inc., Rahway, N.J., U.S.A., 1976.
6. Video Spectral Comparator: Installation and Instruction Manual

8. REVISION HISTORY

Date	Version	Description	Author	Reviewed By
May 2009	1	Initial Documentation	s. 22(1)(a)(ii)	
October 2011	2	Review, format change and scope updated		
October 2013	3	Change of name to Department of Immigration and Border Protection		
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July 2020	5	Amend wording to provide FDE the ability to apply professional judgement on when to use all or one specific examination technique. (OFI 2020-78)		

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M-DE-002

Examination of

Altered Documents

Procedure Manual

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1. SCOPE

The purpose of this procedure manual is to outline the steps that a Forensic Document Examiner must follow for the examination of questioned documents for alterations, obliterations and erasures. The procedures outlined are based on the analysis and enhancement of inks based on their optical properties. The procedures detailed in this manual principally involve s. 37(2)(b), s. 47E(d)

The procedures described are applicable to both writing inks and printing inks.

Before any destructive testing is conducted, the FDE will obtain written permission from the submitting case officer.

2. DEFINITIONS & ABBREVIATIONS

VSC	Video Spectral Comparator, an instrument that enables the operator to view documents with different wavelengths of light (in the UV, visible and infra-red regions), viewing the image via a digital camera with a choice of filters.
Reflectance	Where light is reflected by a surface defining the interface between two media, back into the first medium.
Luminescence	The emission of electromagnetic radiation from a substance as a result of any non-thermal process. Luminescence is produced when materials absorb energy (from an excitation source) and some of that energy is emitted as light.
Absorption	When electromagnetic radiation (e.g. ultraviolet, infrared and visible) has passed through a medium in <u>which</u> radiation of certain frequencies is absorbed.
Phosphorescence	Luminescence persists after the excitation source is removed.
Fluorescence	Luminescence ceases as soon as the excitation source is removed.
Photoluminescence	Luminescence created when certain materials are irradiated by visible or ultraviolet light.
Wavelength	The distance along a wave from one point to its nearest identical point.

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Frequency	The number of waves per unit time, measured in Hertz (Hz) – inversely proportional to the wavelength.
EMS	Electromagnetic Spectrum.
Visible light	The wavelength range for normal vision is generally s. 47E(d)
Infrared light (IR)	The wavelength range of infrared radiation commonly used for forensic techniques occupies the region s. 47E(d)
Ultraviolet light (UV)	The wavelength range of ultraviolet radiation commonly used for forensic techniques extends s. 47E(d)
IRR	Infrared reflectance.
IRL	Infrared luminescence.
nm	Nanometre s. 47E(d) the common unit for wavelength.
Alteration	A modification made to a document by physical, mechanical or chemical means.
Obliteration	Where information on a document has been rendered invisible or illegible by being overwritten or crossed out with ink or an opaque substance (e.g. correction fluid).
Erasure	The removal of original entries on a document through mechanical (abrasive), chemical or other means.
ESDA	Electrostatic Detection Apparatus.

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3. PRINCIPLES

3.1. General

The aim of the examinations contained in this method is the confirmation of whether or not a document has been altered and the identification of the original (unaltered) entry. The principle of the examination is to look for inconsistencies in a document.

s. 37(2)(b), s. 47E(d)

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4. MATERIALS

4.1. Reagents

- Freon (1,1,2- trichlorotrifluoroethane), 1,1,1-trichloroethane and petroleum ether.
- Lycopodium Powder.

4.2. Equipment

Alterations, Obliterations and Erasures

- Loupe (magnifier)
- Stereomicroscope
- VSC or equivalent optical enhancement instrument
- Polilight or similar high-intensity filtered light source
- ESDA
- Labino
- Camera

5. PROCEDURE

s. 37(2)(b), s. 47E(d)

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s. 37(2)(b), s. 47E(d)

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6. REPORTING

6.1. Outcomes

Based on the optical enhancement of inks using the techniques described above, it is generally possible to:

s. 47E(d)

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6.2. Reports

At the completion of all examinations, the FDE will produce a report using one of the following forms;

- F-DE-005 General Examination Form
- F-DE-016 Minute
- F-DE-017 Case Report
- F-DE-018 Court Statement

7. REFERENCES

1. Ellen D, "The Scientific Examination of Documents - Methods and Techniques", 1989, Ellis Horwood Limited, Chichester.
2. European Document Experts Working Group, "Examination of Alteration", 2002.
3. Video Spectral Comparator: Installation and Instruction Manual

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May 2009	1	Initial Documentation	s. 22(1)(a)(ii)	
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M-DE-003

Document

Reconstructions

Procedure Manual

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1. SCOPE

The purpose of this procedure is to outline the steps that are to be followed by a Forensic Document Examiner in relation to items received for reconstruction to ensure that the maximum amount of information is obtained from such items.

2. DEFINITIONS & ABBREVIATIONS

Damaged/special care documents	Documents that require special handling to preserve them for examination.
Edge features	Characteristics visible on the edges of paper caused by tearing, cutting, perforations etc.
Latent fingerprint	A trace deposit remaining on a surface after having been in contact with an area of friction ridge skin; may be developed and enhanced, and then compared with reference fingerprints to identify an individual.
OH&S	Occupational Health and Safety.
Reconstruction	Rebuilding of an item to show that single parts were once a whole.
Repositionable adhesive mount	Non-permanent adhesive that allows for the repositioning of mounted items.
Mylar film / sheets	"Mylar" is a registered trademark owned by Dupont Teijin and is a polyester film or plastic sheet made from the resin Polyethylene Terephthalate (PET).

3. PRINCIPLES

3.1. General

The aim of this procedure is to ensure that documents received for reconstruction are s. 37(2)(b), s. 47E(d) without causing further damage.

3.2. Types of Reconstruction Examinations

Reconstructions are done in much the same way as a jigsaw puzzle, and may be required on:

s. 47E(d)

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The purpose is to show that all individual fragments received were once, in fact, a whole item.

3.3. Other Considerations

It is important to ascertain the s. 47E(d) prior to commencement, so that the correct techniques can be employed. Some items submitted for reconstruction, for example, may be required for s. 47E(d) and this may impact on certain techniques used. In these cases, consultation with the case officer and other forensic staff involved in any further examinations is recommended prior to reconstruction.

4. MATERIALS

4.1. Reagents

Nil required.

4.2. Equipment

Items including, but not limited to, those on the following list may be necessary depending on the examinations required:

- Cotton gloves
- Latex gloves
- Tweezers
- Mylar sheets
- Repositionable mount
- Adhesive contact
- Glass sheets
- Photocopier
- Camera
- Stereomicroscope/macroscope
- Hand-held magnifier
- Scanner, computer and associated software

5. PROCEDURE

Exhibits submitted for reconstruction are quite often badly damaged and/or may be contaminated with bio-hazardous or other materials. Consideration needs to be given to the safe handling, care and preservation of such items prior to, during and after reconstruction.

Refer to the DE Procedure Manual M-DE-013 Storage and Preservation and the DIAC OH&S Manual for additional information.

In all cases, it is important to avoid excess handling of items to avoid additional damage that will further complicate the reconstruction process.

5.1. Basic Techniques

The basic procedure is the same for all types of reconstruction examinations; the main differences in the processes used will occur because of care, handling, preservation and further forensic examination requirement considerations.

As a general rule, an examiner should consider the following techniques and protocols when conducting reconstruction type examinations:

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- If practicable, items should be recorded in the condition that they are received.
- Minimise handling to avoid additional damage to pieces required for reconstruction. This is particularly important where the paper fibres and/or edge features of the items for reconstruction need to be examined to assist with reconstruction, rather than just the visible images on the items themselves.
- Reconstruct the pieces according to their shape and/or any visible images (see below for fixing results). Some physical matches, particularly when reconstructing large numbers of similarly shaped, detailed or perforated documents, s. 47E(d)
- In cases where shredded documents or a large numbers of documents bundled together are received for reconstruction it may be worth s. 47E(d) prior to attempting to reconstruct them into individual documents.

5.2. Fixing Results

As mentioned above, depending on future examination and evidentiary requirements, and the type of the items submitted for reconstruction, there are a number of ways of fixing the results. As a general rule an examiner can select from the following techniques:

- In cases where only a small number of items are required to be reconstructed (and it is manageable) it may be possible to s. 47E(d) and record the reconstructed image s. 47E(d) is clean before commencing this operation.
- Once again, in cases where a small number of items are required to be reconstructed, it may be possible to reconstruct them s. 47E(d) Both these techniques are very effective where items may be required for further forensic examination. s. 47E(d)
- In cases where items being reconstructed are stable (i.e. not charred or otherwise seriously damaged items) s. 47E(d)
- In the case of charred and seriously damaged or fragile items, it is better not to attempt to fix them permanently but rather to s. 47E(d)

5.3. Recording Results

There are a number of ways of recording the results of reconstruction examinations. These include, but are not limited to, the use of:

s. 47E(d)

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6. REPORTING

At the completion of all examinations, the FDE will produce a report using one of the following forms;

- F-DE-005 General Examination Form
- F-DE-016 Minute
- F-DE-017 Case Report
- F-DE-018 Court Statement

If required, copies of reconstructed items should be attached (as an appendix) to reports and statements.

7. REFERENCES

1. Ellen D, "The Scientific Examination of Documents - Methods and Techniques", 1989, Ellis Horwood Limited, Chichester.
2. Hilton O. "The Scientific Examination of Questioned Documents – Revised Edition", 1982, Elsevier North Holland Inc., New York.
3. Wilson R Harrison, "Suspect Documents - Their Scientific Examination", Second Edition, 1966, Fletcher and Son Ltd., Norwich.
4. European Document Experts Working Group, "Examination of Reconstructed Documents", 2002.

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M-DE-004

Examination of

Typewritten

Documents

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1.SCOPE

Typewriters have been in existence for over 100 years and whilst with the introduction of digital media there use has declined significantly, there are still typewriters in use today.

The purpose of this procedure manual is to outline the steps that a document examiner should follow when examining questioned documents to:

- establish the possible brand of machine used to produce a typewritten document (when a suspect machine is not available). The typewritten entries are examined according to the search criteria contained within the HAAS Classification System to determine the type and the possible make and model of the machine.;
- identify whether one or more typewriters or type have been used to produce a document;
- compare specimen and questioned typewriting to determine whether a nexus exists;
- establish whether a specimen typewriter submitted for examination is responsible for the production of a typewritten document;
- establish whether questioned entries appearing on a document were produced using a particular carbon or correction ribbon by examining fracture patterns and paper fibre impressions;
- determine the date of typewritten entries or determine whether a typewritten document has been produced in more than one typing session; and
- reading the ribbon and correction ribbon to determine the content of documents typed with the ribbon.

2.DEFINITIONS & ABBREVIATIONS

Correctable Ribbon	A ribbon made of extra thin high-strength polyethylene which allows a key activated correction tape to completely correct an error on the paper. There are two types of correction ribbons: lift-off and cover-up.
Cover-up Correction	A white non-adhesive tape containing a chalky substance to cover the typed character.
Daisy Wheel	A <u>disk</u> made of plastic or metal on which <u>characters</u> stand out in relief along the outer edge. To print a character, the printer rotates the disk until the desired letter is facing the paper. Then a hammer strikes the disk, forcing the character to hit an ink ribbon, leaving an impression of the character on the paper. You can change the daisy wheel to print different <u>fonts</u> .
Elite	The horizontal spacing of a type whereby there are 12 characters per inch. This means that each character is 1/12 of an inch wide.
Fabric Ribbon	Ribbon made of cotton, silk or nylon impregnated with ink which spreads through the fabric by capillary action. When ink is taken from one small area (as in typing a character), the ink in that area is replenished until the ink of the total ribbon is

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depleted through repeated use or through drying out.

FDE	Forensic Document Examiner.
Film/Carbon Ribbon	Ribbon having a plain side and a coated side. The coated side contains the carbon that is deposited on the paper when struck by the type head.
Fracture Match	During impact carbon is transferred from the plastic backing of carbon ribbons to the paper which can leave a distinct fracture pattern. This fracture pattern can be used to link the carbon ribbon to a questioned document.
Horizontal Spacing	This is a measurement of the space a typewritten character occupies horizontally. The two most common spacings are 10 characters per inch (pica style of type) and 12 characters per inch (elite style of type).
HAAS Atlas	The HAAS Atlas is a collection of typewriter type specimens from over 300,000 typewriters.
HAAS Catalogue	This catalogue is a compilation of over 2000 typewriter models, with dates of introduction and sources of the type used on these typewriters.
Lift-off Correction	A white adhesive-type tape to effect the removal of the typed character from the paper.
Monotype	This type of horizontal spacing is constant. All letters/characters occupy the same amount of space.
Off Its Feet	When a character prints either heavy on the right or left or the top or bottom.
Printwheel Typewriter	This is a typewriter equipped with a disc-type device called a printwheel. The printwheel contains all the characters represented on the typewriter keyboard.
Proportional Spacing	This type of horizontal spacing is not constant. Each typewritten character can occupy 2, 3, 4 or 5 units depending on their width. The units are typically 1/32 or 1/36 of an inch producing results approximately equivalent to pica or elite. Electronic typewriters can have right side justification and this is achieved by adding sufficient spaces in between words.
Pica	The horizontal spacing of a type whereby there are 10 characters per inch. This means that a character is 1/10 inch wide regardless of the character.

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Single Element Typewriter	This is a typewriter with one element containing all the characters represented by the typewriter keyboard.
Type	The font or style of the typewriter characters.
Typeball	An element used in an impact printing device which the fully formed characters are located on the outer surface of a sphere like device. Frequently called a golf ball element.
Type bar Typewriter	Machine having an individual bar for every letter, number or character that can be typed on the machine. The type bars are arranged so that each individual type bar swings up in an arc to make an impression on the paper when the corresponding key is depressed. Characteristics of type bar machines include misalignment of characters, damage to characters, and uneven density of type.
Typeface Defects	Actual breaks in the impression resulting from chips or bumps in the type metal or actual damage to the type face.
Typewriter	A typewriter is a simple printing mechanism consisting of four main components: a keyboard similar to a computer keyboard, a set of keys or a single element connected to and activated by the keyboard, a ribbon and a paper carriage.
VSC	Video Spectral Comparator, an instrument that enables the operator to view documents with different wavelengths of light (in the UV, visible and infra-red regions), viewing the image via a digital camera with a choice of filters.

3. PRINCIPLES

The aim of the examinations referred to in this manual is to determine whether any nexus exists between a given typewriter, and/or questioned typewritten document, and/or specimen typewritten document. The objective of the examination is to record, assess and compare characteristics exhibited in specimen and questioned type to determine the likelihood of a nexus.

A typewriter is a mechanical instrument (manual or electric) which is used to create entries on paper via a series of keys impacting with a ribbon.

Manual typewriters have a permanent type bar containing a series of keys whilst electric typewriters have interchangeable single elements such as daisy wheels and type balls. These electric typewriters with interchangeable single elements can make it possible to change the type midway through a document which should be considered during examination.

When a key of the type bar or single element is depressed, it impacts the ribbon and an image of the character is transferred to the paper. There are four classes of ribbons, fabric, carbon, correction and multistrike. Fabric ribbons are usually made with silk or synthetic material and impregnated with ink. The ribbon is multi use and is used until all the ink within the ribbon is depleted. A carbon ribbon is a plastic ribbon containing a layer of carbon that is transferred to the paper during impact. Carbon ribbons are single

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use ribbons, as during impact the carbon layer is transferred from the ribbon to the paper leaving a carbonless gap in the ribbon. s. 47E(d)

Correction ribbons retain a record of the corrections made to a document and are only associated with documents typed with a carbon ribbon. Multistrike ribbons increment only a fraction of the character width after being struck. Since the characters over strike they are difficult to read. The text is permanent and cannot be lifted off.

Typewriters can have different type and there are many styles in existence. Different manufacturers produced their own type or bought type from another company. The HAAS system, combining the HAAS Atlas and HAAS Catalogue, is a valuable tool that can be used to classify and identify possible type styles, as well as the models of typewriters that use that particular type. The HAAS Atlas contains a collection of typewriter type specimens from over 300,000 typewriters. The HAAS Catalogue contains a compilation of over 2000 typewriter models, with dates of introduction and sources of the type used on these typewriters. The system also provides introduction dates of each type and can be a useful tool when dating a document.

s. 37(2)(b), s. 47E(d) The type spacing of a typewriter can be set as *elite*, *pica* or *proportional*. With elite and pica types, all the characters occupy the same amount of space. Pica type has 10 characters per inch and elite type has 12 characters per inch. In proportional spacing each particular character occupies a certain amount of space, for example the character "I" will occupy less space than the character "M". Many electronic typewriters can produce pica and elite text with the one single element; this can prove to be a limitation if no typewriter is available for comparison.

Typewritten documents can be linked to typewriters or other typewritten documents by examining any defects present on the type face. Both type bar and single element types can contain individual features that have developed over time from damage sustained to individual characters. For example, a serif on a particular character may have been damaged or chipped. Characters may be misaligned, particularly in the type bar machines where individual characters are soldered on to the keys, however misalignment can also occur with single element type. The typewriter may have transient defects, such as dirt on the keys or loose mechanisms in the typewriter, which can be removed by cleaning and servicing of the typewriter.

s. 37(2)(b), s. 47E(d)

4. MATERIALS

4.1. Reagents

No reagents required.

4.2. Equipment

- Loupe (magnifier)
- Typewriting grids
- Stereomicroscope
- VSC or equivalent optical enhancement instrument
- HAAS Typewriter Atlas and Catalogue

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5. PROCEDURE

Before any examination is carried out the typewriter should be examined for any memory systems and floppy discs. These should be 'locked' and removed so that they are maintained in the condition that they are found.

5.1. Classification of Make and Model

The type used to produce the typewritten document can be classified using the HAAS Classification system. It is preferable to examine the original typewritten document; however non-original documents can be examined if the original is unavailable.

s. 37(2)(b), s. 47E(d)

s. 37(2)(b), s. 47E(d)

Open the HAAS Type classification program and follow the prompts. Once the type has been classified the HAAS catalogue will have a list of brands and models that use that particular type. It should be reflected in the report that these results are based on the HAAS Typewriter Atlas and Catalogue.

5.2. One or More Typewriters have Produced the Typewritten Text

s. 47E(d), s. 37(2)(b)

. The original document is preferred but a non-original document can be examined if the original is unavailable.

s. 37(2)(b), s. 47E(d)

5.3. Comparison of Questioned and Specimen Typewriting

It is preferable to examine original questioned and specimen typewritten documents, however if the originals are unavailable then the non-original documents can be examined.

s. 37(2)(b), s. 47E(d)

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For Official Use Only**5.4. Comparison of Suspect Typewriter to Questioned Text**

In some cases a suspect typewriter is submitted for comparison to a questioned typewritten document. When a typewriter is submitted, the FDE should:

s. 37(2)(b), s. 47E(d)

5.5. Comparison of Carbon Ribbon to a Typewritten Document**5.5.1. Fracture Match**

s. 47E(d), s. 37(2)(b)

5.5.2. Paper Fibre Impressions

s. 37(2)(b), s. 47E(d)

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s. 37(2)(b), s. 47E(d)

5.6. Determine the Date of Typewritten Entries

A typewritten document may be submitted for examination to determine when the document was produced.

s. 37(2)(b), s. 47E(d)

5.7. Ribbon reading

s. 37(2)(b), s. 47E(d)

6. REPORTING**6.1. Outcomes**

Based on the procedures described above, it is possible for the FDE to:

- Classify the make and model of a typewriter used to produce the questioned text;
- Determine whether one or more typewriters/typefaces were used to produce the typewritten text;
- Compare questioned and specimen typewritten text;
- Compare specimen typewriter to questioned text;
- Determine whether questioned text was produced from a plastic ribbon contained within the typewriter;
- Determine the approximate date of typewritten entries; and
- Read the contents of a typewriter ribbon.

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The report must clearly state any information obtained from the HAAS Classification system database and the limitations associated with it.

6.2. Reports

At the completion of all examinations, the FDE will produce a report using one of the following forms;

- F-DE-005 General Examination Form
- F-DE-016 Minute
- F-DE-017 Case Report
- F-DE-018 Court Statement

7. REFERENCES

1. Criminalistics & Documents Specialist Advisory Group (SAG), "Forensic Document
2. Examination: Expertise Development Workshop", La Trobe University, 2002
3. Ellen D, "The Scientific Examination of Documents - Methods and Techniques", 1989, Ellis Horwood Limited, Chichester
4. European Document Experts Working Group, "Examination of Typewritten Documents", 2002.
5. New Zealand Police, "Document Examination Printing Processes", 2000
6. HAAS Typewriter Atlas and Catalogue, 2004 Edition on DVD, ASQDE 2004

8. REVISION HISTORY

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May 2009	1	Initial Documentation	s. 22(1)(a)(ii)	
October 2011	2	Review and format change		
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M-DE-005

Examination of

Stamp Impressions

Procedure Manual

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1.SCOPE

The purpose of this procedure manual is to outline the steps that a Forensic Document Examiner should follow for the comparison of:

- i. specimen stamps with questioned impressions;
- ii. questioned stamps with questioned impressions; and
- iii. questioned impressions/images with other questioned impressions/images.

The procedures outlined are designed to provide for a determination as to whether any nexus exists between specimen and questioned items or, where no stamp is available, between questioned impressions.

Reference to a "stamp" in this manual includes any device capable of impressing onto a surface a manufactured design with a view to certifying or authenticating an item or document. This may include seals, dies and metal, wood or rubber devices operated by either hand or machine. This reference also includes such devices designed to transfer impressions by means of pressure, inks or plastics.

Before any destructive testing is conducted, the FDE will obtain written permission from the submitting case officer.

2.DEFINITIONS & ABBREVIATIONS

Class Characteristic	A feature or defect specific to a production run and not a specific stamp.
Class Defects	Include features occurring during the manufacturing process which are not therefore unique to one stamp, e.g. type style, design, spacing, size and arrangement.
Counterfeit	A copy or simulation of a genuine stamp or seal obtained without permission of the owner of the genuine stamp or seal used with the intent to defraud or deceive.
Die	The trimmed material bearing the printed text of the stamp. For embossing seals, the die contains the relief (male version) of the seal text.
Stamp	Any instrument bearing an image on a die either in relief or flat.
Stamp Impression	Any impression made by an inked die.
Riser	The surface of the rubber that leads from the printing surface to the mat face. This is generally diagonal or vertical. It is frequently inked by over-spill action of the ink pad but is not intended to print.

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Mat	The part of the stamp that supports the design. The mat is always larger than the image and therefore has to be trimmed. It is not intended to be inked but is frequently and produces characteristic extraneous marks. Mat trimming is often done by hand and therefore can have a characteristic profile.
Cushion	Usually a foam cushion is glued between the mat and the mount to produce a uniform and even printing pressure. Stamps mounted without a cushion are difficult to use because they require greater effort to align the stamp and the surface of the paper.
Duplicate	A copy of a genuine stamp or seal either as part of a mass production process or as a creation resulting from the use of a genuine stamp impression. If a duplicate is produced from a genuine stamp impression, it is unknown if the duplicate is produced with permission or knowledge of the owner.
Individual Characteristic	A feature or defect that is unique to one stamp and can occur in either the manufacturing process or from individual usage.
Individual Defects	Includes features that may result from the type of use, abuse and quality of care of the stamp, e.g. dirt, paper, fibre and ink accumulations, nicks or cuts, edge wear and breakdown, stamp distortion, shrinkage (over time), and cracks and splits resulting from dry and brittle rubber.
Manufacturing Defect	A defect or anomaly observed on a stamp die or in an impression which may have been caused by factors including damage to the original image, defective die material, poor quality control, distortion or misalignment, damage caused by cutting the stamp, or impurities such as dirt.
Permanent Defect	An anomaly that is part of the material used for the stamp. The anomaly can develop during the manufacturing process or from individual use and results in a permanent area of damage to the material. If this is located on the stamp die, it can cause a non-print area in the impression.
Progressive Defect	A defect or feature whose appearance and presence changes with continual use over time.
Seal	An impression, mark or device with a cut or raised emblem, symbol or word which can be impressed in relief upon a soft tenacious substance such as clay, wax or paper to certify a signature or authenticate a document.

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Self-inking stamp	A stamp in a container, usually plastic that houses a rotating die plate seated against a miniature stamp pad. The die plate rotates to the enclosed ink pad to re-ink after every impression. The action allows for repetitive stamping and a separate ink pad is not needed.
Transitory Defect	An anomaly such as dust, hair, dirt or fibre that attached itself to the material of the stamp which can easily be removed with use or cleaning of the stamp.
VSC	A Video Spectral Comparator (VSC) is a comprehensive digital imaging system providing the questioned document examiner with an extensive range of facilities for detecting irregularities on altered and counterfeit documents.

3. PRINCIPLES

The aim of the examinations referred to in this method is to determine whether any nexus exists between a given stamp, and/or questioned impressions. The principle of the examination is to record, assess and compare characteristics exhibited in specimen and questioned items to determine the likelihood of a nexus between a particular stamp and questioned impressions or between questioned impressions.

3.1. General Considerations

Stamps can provide an inexpensive and inferior method of printing onto various surfaces. Materials used vary in both type and quality. If access is not available to the stamp in question, the examiners' capacity to properly assess any features observed will be limited.

When assessing characteristics exhibited in stamps or questioned impressions, an examiner should consider the likely causes of any observed defects, the classification of various defect types, and limitations to the examination caused by variations in quality and appearance of both stamps and impressions.

3.2. Variable Factors

The quality of impressions may be subject to the following variable factors:

- Ink quality and dispersion;
- Type of stamp pad;
- Pressure;
- Angle of impact;
- Characteristics of the material receiving the impression;
- The supporting surface; and
- The absorbency of the stamp.

Chapters 1 to 5 of Kelly's *'Forensic Examination of Rubber Stamps'* (2002) detail in full these and other factors an examiner needs to consider when undertaking an examination.

4. MATERIALS

4.1. Reagents

No reagents required.

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For Official Use Only**4.2. Equipment**

- Loupe (magnifier)
- Stereomicroscope
- Photocopier
- Camera
- Video Spectral Comparator (VSC)

5.PROCEDURE

For operation of the VSC, refer to the 'VSC Instrument Manual

5.1. Initial Examination

s. 37(2)(b), s. 47E(d)

5.2. Obtaining Test Samples

s. 37(2)(b), s. 47E(d)

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s. 37(2)(b), s. 47E(d)

5.3. Comparing Stamps (Specimen or Questioned) to Original Impressions

s. 37(2)(b), s. 47E(d)

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For Official Use Only**5.4. Comparing Questioned Impressions with Questioned Impressions**

s. 37(2)(b), s. 47E(d)

6. REPORTING**6.1. Definitive Conclusions**

A definitive conclusion of identification may be possible when:

- The suspect stamp has been examined;
- The questioned stamp impression is an original impression;
- The suspected stamp and questioned impression are in agreement in class, random and individual characteristics;
- The individual characteristics are unique in size, shape and placement on the die or in a print area; and
- The feature or defect must be reproducible in some, but not necessarily all, of the impressions.

6.2. Definitive Elimination

Based on the examination procedures described above, it may be possible to definitively eliminate a stamp from having produced a questioned impression when differences in type, size, style or arrangement are observed.

6.3. Qualified Conclusions

Qualified conclusions are indicated when an examiner conducts an impression to impression only examination. Given the variability of the stamping process and because the suspected stamp is not available for examination, the examiner cannot know if all the defects or features of a stamp were produced in the questioned or known impressions.

6.4. Unable to Conclude

No conclusion should be reported when any stamp or questioned impression lacks random or individual defects, even though there may be agreement in class characteristics.

6.5. Ink Examinations

It should be noted that if two or more inks cannot be differentiated using the techniques outlined in this procedure manual, this does not provide confirmation that the inks are from the same source, or have the same chemical formulation. If chemical analysis is required by external laboratory, they will report on their findings in accordance with documented laboratory procedures.

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6.6. Reporting

At the completion of all examinations, the FDE will produce a report using one of the following forms;

- F-DE-005 General Examination Form
- F-DE-016 Minute
- F-DE-017 Case Report
- F-DE-018 Court Statement

7. REFERENCES

1. Kelly J. "Forensic Examination of Rubber Stamps - A Practical Guide", 2002, Charles C Thomas Publisher Ltd., USA.
2. Video Spectral Comparator: Installation and Instruction Manual

8. REVISION HISTORY

Date	Version	Description	Author	Reviewed By
May 2009	1	Initial Documentation	s. 22(1)(a)(ii)	
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January 2018	4	Name change to Department of Home Affairs		

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M-DE-006

Examination of

Paper

Procedure Manual

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1. SCOPE

The purpose of this Procedure Manual is to outline the steps that a Forensic Document Examiner should follow when examining questioned documents to:

- Identify the origin of the paper;
- Determine whether specimen and questioned documents may have a common or different origin; and
- Determine the date the paper was manufactured.

The information obtained from conducting these examinations can assist in determining whether a document is authentic or fraudulent.

The examinations conducted by the FDE are non-destructive. s. 37(2)(b), s. 47E(d)

Before any destructive testing is conducted, the FDE will obtain written permission from the submitting case officer.

2. DEFINITIONS & ABBREVIATIONS

Paper	The word derives from Papyrus, a reed-like plant that grows in Egypt along the banks of rivers.
Bond Paper	Writing or printing paper where strength, durability and permanence are required. Used for letterheads and business forms.
Coated Paper	Paper with a surface coating to produce a smooth finish - either matt or glossy.
Bleaching	Papermaking process to whiten cellulose fibres.
Watermark	A name or design impressed into paper by the raised pattern of the dandy roll during manufacture. The watermark is clearly visible when the paper is held up to the light.
Dandy Roll	A wire cylinder in papermaking machines that creates watermarks or, wove or laid effects that can be seen by holding paper up to the light. Used in the manufacture of better grades of business and book papers.
Furnish	A liquid-containing pulp fibre, fillers and other paper constituents in suspension.

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Rubber Mark	An alternative to a watermark, the pattern is impressed into the wet web of paper during papermaking.
Laid Lines	Paper when held to the light shows a series of ribbed lines. This is caused by the pattern on the dandy roll.
Paper Grain	The direction in which most paper fibres lie, corresponding to the direction that the paper travels during the papermaking process. Paper folds more easily in the grain direction and paper tears straighter with the grain.
Opacity	Refers to the degree to which paper will transmit light. Poor opacity will result in show-through of ink or images printed on the reverse side.
Grammage	The weight of the paper expressed in grams per square metre (g/m ²).
Stock	Paper or other material to be printed.
Security Threads	Security threads are long continuous strands of mylar or metal-coated plastic woven into the paper at specific locations during manufacture. These threads may be visible or concealed.
Planchettes	Small paper discs randomly embedded in the paper during the paper manufacturing process; they can be multicoloured or fluorescent.
Security Fibres	Plastic or textile fibres, of various colours measuring between 2mm-10mm long, can be added to the pulp during paper manufacture. The fibres are formed randomly into the paper and can be seen on the paper surface and extending below the paper surface.
Tags	Tagging dyes can be added to furnish for use in machine verifiers. The dies may be verified by iridescence under infrared light, magnetic scanners or by luminescence.
Reagents	Produce strong visual reaction when attacked by solvents or eradicating fluid. Reagents can be added to the furnish, or as part of the furnish coatings.

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VSC	Video Spectral Comparator.
FDE	Forensic Document Examiner.
Quadrant Scale Balance	Instrument used to test the weight of a sheet of paper.
Micrometer	Instrument used to measure the thickness of a sheet of paper.

3. PRINCIPLES

3.1. Identify the Origin of Paper Used in Questioned Document(s)

s. 37(2)(b), s. 47E(d)

3.2. Comparison of Specimen and Questioned Documents to Determine Common or Different Origin

s. 37(2)(b), s. 47E(d)

3.3. Determine the Date Paper was Manufactured

s. 37(2)(b), s. 47E(d)

4. MATERIALS

4.1. Reagents

No reagents are required for the non-destructive examination described in this manual.

4.2. Equipment

- Loupe (magnifier)
- Micrometer
- Quadrant Scale Balance
- Stereomicroscope

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- VSC or equivalent optical enhancement instrument

5. PROCEDURE

For operation of the VSC, refer to the 'VSC Instrument Manual'

5.1. Identify the Origin of Paper Used in Questioned Document(s)

s. 47E(d), s. 37(2)(b)

- Report findings to the submitting case officer.

5.2. Comparison of Specimen and Questioned Documents to Determine Common or Different Origin

- Original document(s) are required for examination.

s. 37(2)(b), s. 47E(d)

If non-destructive tests demonstrate the stock used to produce the specimen and questioned documents have a different origin, the FDE can report findings to the case officer. Where non-destructive tests prove inconclusive, and the FDE recommends destructive tests, the FDE will obtain written permission from the case officer prior to any tests being conducted.

If non-destructive tests demonstrate that the stock used to produce the specimen and questioned documents have a common origin, the FDE can report findings to the case officer.

5.3. Determine the Date Paper was Manufactured

s. 37(2)(b), s. 47E(d)

- Report findings to the submitting case officer.

6. REPORTING

6.1. Outcomes

Based on the above, it may be possible for the FDE to:

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- Identify the origin of the paper used to produce the questioned document(s).
- Compare specimen and questioned documents to determine whether they have a common or different origin.
- Determine the manufacture date for the paper used to produce the questioned document(s).

6.2. Reports

At the completion of all examinations, the FDE will produce a report using one of the following forms;

- F-DE-005 General Examination Form
- F-DE-016 Minute
- F-DE-017 Case Report
- F-DE-018 Court Statement

Note: Where destructive testing has been undertaken by an external laboratory, they will report on their findings in accordance with documented laboratory procedures.

7. REFERENCES

1. Ellen D, "The Scientific Examination of Documents - Methods and Techniques", 1989, Ellis Horwood Limited, Chichester.
2. Brunelle R, and Reed R, "Forensic Examination of Ink and Paper", 1984, Charles C Thomas, Springfield.
3. European Document Experts Working Group, "Examination of Paper", 2002.
4. Van Renesse R L, "Optical Document Security", 1993, Artech House Boston London.
5. Video Spectral Comparator: Installation and Instruction Manual

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M-DE-007 Machine Generated Documents

Procedure Manual

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1. SCOPE

The purpose of this Procedure Manual is to outline the steps that a Forensic Document Examiner should follow for the identification of the method of production of printed (machine generated) documents and where possible, the identification of a source machine.

The procedure described is applicable to all forms of printing, including photocopy processes and stamp impressions.

Before any destructive testing is conducted, the FDE will obtain written permission from the submitting case officer.

2. DEFINITIONS & ABBREVIATIONS

Class characteristics	Features observed on a document that are common to a particular class of machine generated documents.
Individual characteristics	Features observed on a document that are unique to documents produced on a particular machine.
Machine generated	Printed.
Impact printing	Printing involving intimate contact with pressure for the transfer of an 'inked' image to the substrate.
Non-impact printing	Printing where the 'inked' image is transferred to the substrate without pressure.
Substrate	Material that bears the printed image (usually paper).
VSC	Video Spectral Comparator

3. PRINCIPLES

3.1. Identification of the Process for Machine Generated Documents

Different printing processes employed in the production of machine generated documents are differentiated by numerous characteristics and features that can be used to identify specific printing techniques. The characteristics observed are the product of the print process used, the substrate characteristics and the ink qualities.

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s. 37(2)(b), s. 47E(d)

3.2. Class and Individual Characteristics

The characteristics and features present on a printed document are normally indicative of the print process used. However, some characteristics may be unique to a particular individual machine or component of the print process. These types of characteristics may be caused by wear of the printer, damage to the printer, a build-up of contaminants or dirt etc. These characteristics can sometimes be used to identify a specific source machine. Such characteristics are referred to as 'individual characteristics', whereas characteristics that are common to all of the printers of a particular type are referred to as 'class characteristics'.

3.3. Identification of the Source of a Machine Generated Document

s. 37(2)(b), s. 47E(d)

In all such cases, consideration needs to be given to replacement components of the printer.

3.4. Classification of Printing

In order to facilitate the identification of printing processes, broad classification systems are used.

s. 37(2)(b), s. 47E(d)

3.5. Desktop Printers

Modern office printers can be classified as any printer that can be purchased for the office or home printer market. The colour image is created with at least 3 colours (CYM) and most of the time also black (K). There are many different types, some of which include:

- Typewriter (manual and electric)
- Impact dot matrix printer
- Ink jet
- Laser print and photocopier
- Thermal (ink/wax transfer and heat sensitive paper)
- Dye Sublimation

3.6. Industrial and Secure Printers

Industrial and secure printing techniques can be classified as any printer that uses a physical plate or film. It can use an infinite number of colours, but can also use a technique called half toning which uses only four colours (CMYK). This type of printing cannot be easily used at home due to the size and cost of the machines. There are many different types, some of which include:

- Offset Lithography (dry and wet)
- Letterpress
- Flexography
- Intaglio

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- Gravure
- Screen

3.7. Optical Examination

The majority of examinations conducted in the identification of printing processes involve optical examination to identify the features and characteristics present on a questioned document.

s. 37(2)(b), s. 47E(d)

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4. MATERIALS**4.1. Reagents**

No reagents are necessary for the examinations described in this manual.

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- Loupe (magnifier)
- Stereomicroscope
- VSC or equivalent optical enhancement instrument
- Image recording system (preferably digital or photographic)

5. PROCEDURE

s. 47E(d)

When examining a questioned document in order to determine the printing process used to produce it, consideration needs to be given to the possibility that a number of printing processes may have been used to produce the document. This is particularly true for s. 47E(d)

5.1. Identification of Desktop Printing Processes

Examination of the printed document should be carried out utilising the techniques outlined in Section 3.7 above. The features and characteristics observed should be digitally recorded or photographed.

Indicators of desktop print processes:

s. 37(2)(b), s. 47E(d)

Examples of desktop printing processes:

- Typewriter (manual and electric)
- Impact dot matrix printer
- Ink jet
- Laser print and photocopier
- Thermal (ink/wax transfer and heat sensitive paper)
- Dye Sublimation

5.2. Identification of Industrial and Secure Printing Processes

Examination of the printed document should be carried out utilising the techniques outlined in Section 3.7 above. The features and characteristics observed should be recorded digitally or photographically.

Indicators of industrial and secure printing processes:

s. 37(2)(b), s. 47E(d)

Examples of industrial and secure printing processes:

- Offset Lithography (dry and wet)
- Letterpress
- Flexography
- Intaglio
- Gravure
- Screen

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5.3. Comparison with Reference Collections

Although numerous printing processes can be readily identified by their unique characteristics and features present, there are many printing techniques that are more difficult to identify. In such cases the use of a reference collection is required.

5.4. Obtaining Print Samples from Desktop printers

s. 37(2)(b), s. 47E(d)

downloaded. s. 37(2)(b), s. 47E(d) Refer to the instruction manual of the machine, which can be

(X) (X) (X)

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-
- | Bar Index | Approximate Value |
|-----------|-------------------|
| 1 | 95 |
| 2 | 85 |
| 3 | 95 |
| 4 | 50 |
| 5 | 95 |
| 6 | 80 |
| 7 | 95 |
| 8 | 40 |
| 9 | 95 |
| 10 | 95 |

5.5. Identification of Individual Source Machine

For a definitive link to be established between a questioned document and a suspected source machine, a number of factors need to be considered. For documents produced with a typewriter refer to M-DE-004 Examination of Typewritten Documents Procedure Manual.

s. 37(2)(b), s. 47E(

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s. 37(2)(b), s. 47E(d)

5.6. Facsimile Documents

Examination of a facsimile document can provide information about the transmitting machine and receiving machine. The final result is dependent on the sending and receiving machine and is printed using one of the printing processes listed above or the laser printing process. The procedure above for the identification of Desktop Printing Processes should be used to identify the print process used to print the received document.

In addition the following should be noted when obtaining samples from a facsimile machine:

s. 37(2)(b), s. 47E(d)

5.6.1. TTI and RTI Header and Footer

The transmitting facsimile machine encodes a line of text at the top of the page and sometimes also on the bottom of the page. These are respectively termed a TTI (Transmittal Terminal Identifier) header and footer.

s. 37(2)(b), s. 47E(d)

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s. 37(2)(b), s. 47E(d)

5.6.2. Individual characteristics

Individual characteristic or defects in the resultant facsimile document could occur in any of the following processes:

- The scanning process of the transmitting machine.
- The transmitting process.
- The transmitted signal.
- The receiving process.

5.6.3. The printing process of the receiving machine.

s. 37(2)(b), s. 47E(d)

Reference material should be consulted to determine the cause and subsequently if the defect is an individual characteristic.

5.6.4. Composite facsimile

s. 37(2)(b), s. 47E(d)

5.6.5. Facsimile ribbon

s. 37(2)(b), s. 47E(d)

6. REPORTING**6.1. Outcomes**

Based on the examination of the class and individual characteristics observed on a questioned document, it is possible, depending on the results of the examination, to report on the following:

- identification of the printing processes;
- identification of a potential source machine;
- exclusion of a potential source machine; and
- a likely date range for the production of a questioned document.

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s. 37(2)(b), s. 47E(d)

6.2. Reports

At the completion of all examinations, the FDE will produce a report using one of the following forms;

- F-DE-005 General Examination Form
- F-DE-016 Minute
- F-DE-017 Case Report
- F-DE-018 Court Statement

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8. REVISION HISTORY

Date	Version	Description	Author	Reviewed By
May 2009	1	Initial Documentation	s. 22(1)(a)(ii)	
October 2011	2	Review and format change		
October 2013	3	Name change to Department of Immigration and Border Protection		
January 2018	4	Name change to Department of Home Affairs		

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M-DE-010

Document Dating and Sequencing

Procedure Manual

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1.SCOPE

The purpose of this procedure manual is to outline the steps that a Forensic Document Examiner should follow when examining questioned documents to determine the date the documents were prepared.

The information obtained from conducting these examinations can assist in determining whether a document is authentic or fraudulent.

The examinations conducted are non-destructive.

If destructive testing is required, the FDE will initially seek the assistance of an external laboratory that specialises in these types of examinations.

Before any destructive testing is conducted, the FDE must obtain written permission from the case officer.

2.DEFINITIONS & ABBREVIATIONS

DIAC	Department of Immigration and Citizenship.
Dandy Roll	A wire cylinder on papermaking machines that makes watermarks or wove or laid effects that can be seen by holding the paper up to the light; used in the manufacture of better grades of business and book papers.
ESDA	Electrostatic Detection Apparatus.
FDE	Forensic Document Examiner.
Paper	The word derives from papyrus, a reed-like plant growing in Egypt along the banks of rivers.
Rubber Mark	An alternative to a watermark; the pattern is impressed into the wet web of paper during papermaking.
Tags	Tagging dyes can be added to furnish documents for use in machine verifiers. The dies may be verified by luminescence emission under infrared light or via magnetic scanners.
VSC	Video Spectral Comparator.
Watermark	A name or design impressed into paper by the raised pattern of the dandy roll

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during manufacture. The watermark is clearly visible when the paper is held up to the light.

3. PRINCIPLES

3.1. General

Various methods can be employed to backdate or fabricate documents. Such incidents can involve the relatively simple process of overwriting the date on a receipt to far more complex undertakings such as falsifying an entire document. Dating suspect documents is a very challenging problem and should be approached cautiously.

The most straightforward method for solving a dating problem considers s. 37(2)(b), s. 47E(d)

3.2. Watermarks

Conventional paper watermarks are produced during the manufacturing process by a 'dandy roll' cylinder located at the beginning of the papermaking machine where paper is formed into a web.

The dandy roll cylinder consists of a woven wire gauze onto which raised designs are soldered or otherwise attached. A watermark is created when the relief areas of the dandy roll press into and displace paper fibres.

s. 47E(d)

The design of watermarks can also change over time as relief areas of a dandy roll suffer damage through normal wear and tear. Detached or broken wires produce slight but visible changes in the design that is transferred to the paper.

s. 47E(d)

3.3. Envelopes

s. 37(2)(b), s. 47E(d)

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3.4. Machine-Generated Documents

3.4.1. Industrial Printers

s. 37(2)(b), s. 47E(d)

3.4.2. Photocopiers

s. 37(2)(b), s. 47E(d)

3.5. Indented Writing

s. 37(2)(b), s. 47E(d)

3.6. Sequencing of entries

s. 37(2)(b), s. 47E(d)

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4.MATERIALS

4.1. Equipment

- Loupe (magnifier)
- Stereomicroscope
- VSC or equivalent optical enhancement instrument
- Electrostatic Detection Apparatus (ESDA)

5.PROCEDURE

s. 37(2)(b), s. 47E(d)

- Report the findings to the case officer.

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6.REPORTING

6.1. Outcomes

Based on the above, it may be possible for the FDE to determine the date that a questioned document was prepared.

6.2. Reports

At the completion of all examinations, the FDE will produce a report using one of the following forms;

- F-DE-005 General Examination Form
- F-DE-016 Minute
- F-DE-017 Case Report
- F-DE-018 Court Statement

Note: Where destructive testing has been undertaken by external laboratories, they will report on their findings in accordance with documented laboratory procedures.

7.REFERENCES

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8.REVISION HISTORY

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May 2009	1	Initial Documentation	s. 22(1)(a)(ii)	

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October 2011	2	Review and format change	Hurrell	Winter
October 2013	3	Name change to Department of Immigration and Citizenship	s. 22(1)(a)(ii)	
January 2018	4	Name change Department of Home Affairs		

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M-DE-015

Overview of

Secure Document

Examination

Procedure Manual

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1. DEFINITION

For the purpose of this overview, a secure document will contain one or more of the following characteristics:

- Data and special features designed to confirm validity and authenticity
- Is issued by a competent authority
- Assists in confirming the identity of the bearer (where the document relates to identity)
- Allows for identification of unauthorised alteration

2. PURPOSE

The purpose of conducting a forensic examination of a secure document is to express an opinion, where one is possible, as to which of the following general propositions the examiner believes the evidence supports:

- The document is legitimately manufactured and shows no alteration to the personal data
- The document is legitimately manufactured but has been fraudulently altered
- The document is legitimately manufactured but not issued by an authorised authority
- The document is counterfeit
- It is not possible to determine whether the document is legitimately manufactured and / or issued and the result is inconclusive

3. METHODOLOGY

During the examination process, the examiner makes a determination of the appearance and / or operation of security features and devices introduced to the document during various stages of manufacture, construction and issue. Based on this determination, all propositions are considered that could account for observed consistency and / or inconsistency in the appearance and / or operation of the security features and devices.

Having done this, at the conclusion of the examination, the examiner, where possible, expresses an opinion regarding the extent to which the evidence supports one of the five general propositions above.

The process relates solely to the examination of security features and devices that exist on the document. The expressed opinion does not verify that the document has been obtained legitimately as the examination cannot take account of fraudulent activity that may / may not have occurred prior to, or during, the issue of that specific document.

4. REVISION HISTORY

Date	Version	Description	Author	Reviewed By
October 2011	1	Initial Documentation	Working group	
October 2013	2	Change name to Department of Immigration and Border Protection	s. 22(1)(a)(ii)	
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M-DE-016

Document Examination

Conclusion Terminology

Procedure Manual

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Secure Document Conclusion Terminology

1. GENUINE

1.1. Genuine for documents where we have specimen material

I have examined the document and determined the following:

1. It exhibits the manufacturing security characteristics expected in a (DOCUMENT DESCRIPTION).
2. The security characteristics introduced during the document issuing process are intact and operating effectively.
3. There is no evidence of fraudulent alteration to the personal data, including the photograph.

It is my opinion that this is a legitimately manufactured document, with expected issuing characteristics and without fraudulent alteration.

This opinion is based on information available at the time of examination and does not verify the legitimacy of the issuing procedure or the information contained within the document.

1.2. Genuine for documents where we have no specimen material

I have examined the document and determined the following:

1. It exhibits manufacturing security characteristics expected in secure documents.
2. The security characteristics introduced during the document issuing process are intact and operating effectively.
3. There is no evidence of fraudulent alteration to the personal data, including the photograph.

It is my opinion that this is a legitimately manufactured document, with expected issuing characteristics and without fraudulent alteration.

This opinion is based on information available at the time of examination and does not verify the legitimacy of the issuing procedure or the information contained within the document.

1.3. Genuine – qualified opinion

I have examined the document and determined the following:

1. It exhibits manufacturing security characteristics expected in secure documents.
2. The security characteristics introduced during the document issuing process are intact and operating effectively.
3. There is no evidence of fraudulent alteration to the personal data, including the photograph.

It is my opinion there is qualified support that this is a legitimately manufactured document, with expected issuing characteristics and without fraudulent alteration. [As this opinion level is used when there is an identifiable limitation associated with the examination process, the FDE is required to state the limitation in the examination process eg. lack of relevant reference material.]

This opinion is based on information available at the time of examination and does not verify the legitimacy of the issuing procedure or the information contained within the document.

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2. FRAUDULENTLY ALTERED

2.1. Fraudulently altered for documents whether we have confidence in specimen or not

I have examined the document and determined the following:

1. It exhibits the manufacturing security characteristics expected in a (DOCUMENT DESCRIPTION) however (INSERT REASON HERE).
2. The security characteristics introduced during the document issuing process **are intact and operating effectively OR are not intact and operating effectively as (INSERT REASON HERE).**
3. There is no evidence of fraudulent alteration to the personal data, including the photograph **OR** The personal data has been altered by (INSERT REASON HERE).

It is my opinion that this is a legitimately manufactured document that has been fraudulently altered.

To be used for an internal minute or an email

I have examined the document (insert document description) and determined that one or more of the following has occurred: the document's manufacturing or issuing security characteristics are fraudulently compromised or personal data is fraudulently altered.

Therefore it is my opinion that this is a legitimately manufactured document that has been fraudulently altered.

2.2. Fraudulently altered – qualified opinion

I have examined the document and determined the following:

1. It exhibits the manufacturing security characteristics expected in a (DOCUMENT DESCRIPTION) however (INSERT REASON HERE)
2. The security characteristics introduced during the document issuing process **are intact and operating effectively OR are not intact and operating effectively as (INSERT REASON HERE)**
3. There is no evidence of fraudulent alteration to the personal data, including the photograph **OR** The personal data has been altered by (INSERT REASON HERE)

It is my opinion there is qualified support that this is a legitimately manufactured document that has been fraudulently altered. *[As this opinion level is used when there is an identifiable limitation associated with the examination process, the FDE is required to state the limitation in the examination process eg. lack of issuing process information.]*

To be used for an internal minute or an email

I have examined the document (insert document description) and determined that one or more of the following has occurred: the document's manufacturing or issuing security characteristics are fraudulently compromised or personal data is fraudulently altered.

It is my opinion there is qualified support that this is a legitimately manufactured document that has been fraudulently altered.

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3. STOLEN BLANK

3.1. Genuine document that has not been issued by the legitimate authority (e.g. stolen blank) where we have confidence in specimen

I have examined the document and determined the following:

1. It exhibits the manufacturing security characteristics expected in a (DOCUMENT DESCRIPTION).
2. The security characteristics introduced during the document issuing process **are intact and operating effectively OR are not intact and operating effectively as (INSERT REASON HERE).**
3. The personal data has not been introduced to the document in the manner expected as (INSERT REASON HERE).

It is my opinion that this is a legitimately manufactured document that has not been issued by an authorised issuing authority.

4. COUNTERFEIT

4.1. Counterfeit for documents where we have specimen material

I have examined the document and determined the following:

1. It exhibits simulations of manufacturing security characteristics expected in a (DOCUMENT DESCRIPTION) OR No attempt has been made to simulate the security characteristics in a (DOCUMENT DESCRIPTION).
2. The security characteristics introduced during the document issuing process are / are not intact and operating effectively.
3. The personal data, including the photograph, **has OR has not** been introduced in a manner expected.

It is my opinion that this is a counterfeit (DOCUMENT DESCRIPTION).

To be used for an internal minute or an email

I have examined the document (insert document description) and determined that one or more of the document's manufacturing security characteristics or issuing security characteristics are simulated.

Therefore it is my opinion that this is a counterfeit.

4.2. Counterfeit for documents where we have no specimen material

I have examined the document and determined the following:

1. It exhibits simulations of manufacturing security characteristics expected in secure documents.
2. The security characteristics introduced during the document issuing process are / are not intact and operating effectively.
3. The personal data, including the photograph, **has OR has not** been introduced in a manner expected in secure documents.

It is my opinion that this is a counterfeit (DOCUMENT DESCRIPTION).

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4.3. Counterfeit – qualified opinion

I have examined the document and determined the following:

1. It exhibits simulations of manufacturing security characteristics expected in secure documents
2. The security characteristics introduced during the document issuing process are / are not intact and operating effectively
3. The personal data, including the photograph, **has OR has not** been introduced in a manner expected in secure documents

It is my opinion there is qualified support that this is a counterfeit (DOCUMENT DESCRIPTION). *This opinion level is used when there is an identifiable limitation associated with the examination process. [As this opinion level is used when there is an identifiable limitation associated with the examination process, the FDE is required to state the limitation in the examination process eg. lack of relevant reference material.]*

To be used for an internal minute or an email

I have examined the document (insert document description) and determined that one or more of the document's manufacturing security characteristics or issuing security characteristics are simulated.

It is my opinion there is qualified support that this is a counterfeit (DOCUMENT DESCRIPTION).

5. INCONCLUSIVE

5.1. Inconclusive as a result of multiple inferences

I have examined the document and determined the following:

1. It exhibits the manufacturing security characteristics expected in a (DOCUMENT DESCRIPTION).
2. The security characteristics introduced during the document issuing process **are OR are not** operating effectively however it is not possible to determine whether (INSERT REASON HERE) is as a result of fraud or other causes.
3. There is no evidence of fraudulent alteration to the personal data, including the photograph.

It is my opinion that it is a legitimately manufactured (DOCUMENT DESCRIPTION); however it is not possible to determine whether (INSERT REASON HERE). The result is inconclusive.

5.2. Inconclusive as a result of the nature of an original document

I have examined the document and determined the following:

1. It does not exhibit manufacturing security characteristics expected in secure documents.
2. The security characteristics introduced during the document issuing process are operating effectively however they have limited security value.
3. There is no evidence of fraudulent alteration to the personal data, including the photograph.

It is my opinion that the quality of the security limits the ability to determine whether this is a legitimately manufactured and issued document. The result is inconclusive.

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Non-Original Document Conclusion Terminology

6. FRAUDULENT GENERATION

There is evidence of production irregularities or intentional alteration / manipulation to the generation of document assessed to a degree that the only reasonable proposition is that the originating document is counterfeit or has been fraudulently altered.

It is my opinion this non-original document is a fraudulent generation.

7. DOCUMENT LACKS CREDIBILITY

There are irregularities observed that create reasonable doubt on the authenticity of the originating document / documents.

This outcome recognises that irregularities observed in the submitted generation of document or collection of documents support that they are not an accurate representation of an original document or collection of documents.

It is my opinion this non-original document lacks credibility.

8. NO IRREGULARITIES OF CONCERN

The quality of the submitted physical or electronic document generations was sufficient for assessment and no irregularities are observed.

This outcome acknowledges that the generation is of a sufficient quality to observe aspects of production and / or issuance and there are no characteristics that are irregular to a degree that is of concern.

It is my opinion there are no irregularities of concern with this non-original document

9. LOW QUALITY GENERATION

The generation of document creates a significant limitation in the assessment.

This outcome identifies that while a physical or electronic generation of document has been submitted, the quality is not of a sufficient standard to allow for reasoned evaluation.








It is my opinion this non-original document is a low quality generation.

10. INCONCLUSIVE

The quality of the physical or electronic document generation was sufficient for assessment. However, the characteristics or condition of the generation is such that it is not possible to determine an outcome.

My opinion of this non-original document is inconclusive.

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Secure Documents	Non-original Documents
 <p>Counterfeit OR Fraudulent</p> <p><i>Counterfeit - A document that has not been legitimately manufactured or issued.</i></p> <p><i>Fraudulent - A legitimately manufactured document that has been fraudulently altered.</i></p>	 <p>Fraudulent Generation</p> <p><i>There is evidence of production irregularities or intentional alteration / manipulation to the generation of document assessed to a degree that the only reasonable proposition is that the originating document is counterfeit or has been fraudulently altered.</i></p>
 <p>Document Lacks Credibility</p> <p><i>There are irregularities observed that create reasonable doubt on the authenticity of the originating document or electronic image is an accurate representation of the original document.</i></p> <p><i>This outcome recognises that irregularities observed in the submitted generation of document support it is not an accurate representation of the original document.</i></p>	
 <p>Inconclusive</p> <p><i>The characteristics or condition of the document are such that it is not possible to determine an outcome.</i></p>	
<p><i>No original document outcome</i></p>	 <p>Low Quality Generation</p> <p><i>The generation of document creates a significant limitation in the assessment.</i></p> <p><i>This outcome identifies that while a physical or electronic generation of document has been submitted, the quality is not of a sufficient standard to allow for reasoned evaluation.</i></p>
 <p>Genuine</p> <p><i>The document has been legitimately manufactured and issued in an appropriate manner with no fraudulent alteration.</i></p>	 <p>No Irregularities of Concern</p> <p><i>The quality of the submitted physical or electronic document generations was sufficient for assessment and no irregularities are observed.</i></p> <p><i>This outcome acknowledges that the generation is of a sufficient quality to observe aspects of production and / or issuance and there are no characteristics that are irregular to a degree that is of concern.</i></p>

11. REVISION HISTORY

Date	Version	Description	Author	Reviewed By
October 2011	1	Initial documentation	Working group	
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September 2017	4	Change of wording for the internal reporting of counterfeit and fraudulent secure document outcomes.		
	5	Rewording of qualified opinions for counterfeit and fraudulent secure document outcomes.		
January 2018	6	Change name to Department of Department of Home Affairs		
September 2018	7	Rewording of genuine conclusions		
October 2020	8	Inclusion of the UMA Non-original conclusion terminology.		

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Identity Verification at the Border

Procedural Instruction

Document ID (PPN)	BE-2473
TRIM record number	ADD2019/5017142
BCS Function	Border Enforcement – Trade and Traveller Clearance
s. 47E(d)	
Document owner	Commander, ABF Governance Branch
Approval date	03 October 2019
Document Contact	s. 47E(d)

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1. Purpose

Management of identity is central to the Department of Home Affairs' (the Department's) mission to protect Australia's border and manage the movement of people and goods across it. Identity underpins every aspect of the Department's operations, and supports and enables the Department's ability to conduct national security, character, and health assessments that are essential to protect not only the immigration and border protection program but also Australia's national, economic, and social interests.

Australian Border Force (ABF) officers, tasked with securing Australia's border, play an important role in early identification of travellers and assessing risk posed by each individual to the Australian community. Their ability to accurately identify a traveller is critical to the effective operation of the Department's identity management system

This instruction:

- provides policy and procedural guidance applicable for the ABF officers in key operational roles to enable accurate establishment of identity for individuals who seek clearance at the border
- corresponds with the Department's policy objectives to protect the Australian public by mitigating the risks associated with unknown people and entities, and upholding the integrity of the Australian border continuum
- is based on provisions in the *Migration Act 1958* (the Migration Act), the *Migration Regulations 1994* (the Migration Regulations), the *Australian Citizenship Act 2007* and the *Customs Act 1901*.

2. Scope

2.1. In scope

This procedural instruction applies to ABF officers in the aviation and maritime environments with responsibilities for immigration clearance and other provisions of the Migration Act relating to Australia's entry and stay requirements.

The instruction has been written with the intention of achieving alignment with the Department's identity management framework and should be read in conjunction with *Procedural Instruction: Enterprise Identity* [PPN: IIB-5144].

2.2. Out of scope

The instruction does not cover clearance of goods under the *Customs Act 1901*.

3. Procedural Instruction

3.1. Immigration Clearance Requirements

Section 166 of the Migration Act and regulations 3.01 and 3.03 of the Migration Regulations sets out the requirements for travellers who enter Australia to present certain evidence of identity. A traveller must present the following to satisfy the entry requirements:

- Australian citizens:
 - valid Australian passport or other acceptable travel document
 - a completed and signed Incoming Passenger Card (IPC)
- Other travellers:
 - valid passport or other acceptable travel document
 - a valid visa or authority to enter Australia (including electronic visas)

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- a completed and signed IPC, including health and character declaration.

Note: there are special arrangements in place for travellers holding New Zealand passports. Please refer to *Procedural Instruction: Special Category Visas in Immigration Clearance [PPN: BC-2470]* for further information.

3.2. Fundamentals of Identity

A person's identity is defined by a certain combination of characteristics or attributes that allow that person to be uniquely distinguished from others within a specific context.

Three pillars of identity

The Department relies on a combination of three elements (*three pillars of identity*) to establish a person's identity. The following are personal identifiers accepted under S257A of the Migration Act.

1. **Biometrics** - refers to a measurable characteristic that is unique to a person such as fingerprints, facial structure, the iris, or a person's voice. Types of biometrics include but are not limited to:
 - fingerprints and hand prints
 - facial image
 - a measurement of a traveller's height and weight
 - iris scan

Biometrics can be used to anchor a person to an identity. Biometrics also place a person at a specific place at a specific time and this is irrefutable.

Biometric collection is an increasingly important tool in identity management globally, helping to reduce identity fraud by assisting in verifying identities.

2. **Documents** - only 'reliable identity documents' can satisfy the document pillar. A reliable identity document is issued with robust identity proofing processes along with issuance protocols and security features. They will usually contain a biometric.

Note: Documents that do not meet the definition of 'reliable identity documents' should be considered as part of the Life Story, as well as evidence of a continuity of identity in the overseas community.

3. **Life story** - an account of the events that happened to a person during their lifetime.

A comprehensive life story from birth is not required for all visa applications. However, depending on the level of identity assurance required, officers can request specific evidence to support a particular life event claim to become satisfied of a person's identity.

Life events can be researched to inform an officer when assessing a person's claims. Elements of a life story, such as rent receipts or electricity bills, might support a client's claim of where they have lived, and oral evidence such as family history, stories and increasingly, open sources can also be used to support a life story.

These elements guide the Department's approach to investigating and assessing a person's identity to a required level of assurance. Combining these elements together provides a strong evidence-based opinion on identity.

Continuity of Identity

s. 47E(d)

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Further information about Department's identity framework and principles is available in *Procedural Instruction: Enterprise Identity* [PPN: IIB-5144].

S. 47E(d)

What is a bogus travel document

Bogus document is defined in subsection 5(1) of the Migration Act as:

"in relation to a person, means a document that the Minister reasonably suspects is a document that:

- (a) purports to have been, but was not, issued in respect of the person; or*
- (b) is counterfeit or has been altered by a person who does not have authority to do so; or*
- (c) was obtained because of a false or misleading statement, whether or not made knowingly."*

Examples of a bogus document include:

- counterfeit – a document that constitutes an unauthorised reproduction of a genuine document. These documents are not legitimately manufactured, issued or recognised by an official authority
- fraudulently altered documents – documents that have been genuinely issued by the relevant authority but then altered by a person who has no authority to do so to give misleading information about the person who presents it
- fraudulently obtained documents – genuine document obtained because of false or misleading statement, whether or not made knowingly
- "fantasy" or pseudo documents – documents produced with no authority and not officially recognised.

For more information on bogus documents, officers should refer to *Procedural instruction: Bogus Documents: Detection, Seizure and Retention* [PPN: IIB-1540] and *Document examination at the border* [PPN: BC-2703].

What is an impostor

An impostor is someone who knowingly misrepresents themselves by using someone else's identity or travel document as if he or she was the rightful bearer of such document. Fraudulently obtained genuine (FOG) travel documents can be utilised by impostors. These documents can contain the impostor's biometrics.

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A FOG passport is a distinct identity fraud type consisting of a genuine travel document issued by the relevant authority. However, the genuine document has been obtained by the supply of fraudulent supporting identity documents, or through corruption in the issuance chain.

3.3. s. 37(2)(b) – false identity and/or bogus documents

Primary Line Assessment

In most circumstances, a person who enters Australia, must meet the immigration clearance requirements in s.166 of the Migration Act. The primary line officer has responsibility for establishing whether a person meets these requirements, and, as such, can, be immigration cleared. As part of this process, the primary line officer will carry out identity and travel document assessment through:

- identification of the traveller, such as a deliberate face to travel document comparison
- electronic document verification and basic examination of the document for visible signs of tampering or alteration.

The use of document reader technology only forms part of the secure identity management system at the border. Manual face to passport checks and travel document examination should be undertaken to detect imposter and other identity fraud cases.

Officers should apply more scrutiny to cases where they are aware the traveller has failed to self-process through a SmartGate (either because of deliberate evasion or SmartGate rejection).

For more information on primary line processing, officers should refer to *Procedural Instruction: Primary Line Processing [PPN: BC-668]*.

s. 37(2)(b)

A primary line officer should refer an incoming traveller to the Visa Determination Officer (VDO) for further identity examination if the traveller:

s. 47E(d)

- based on the assessment of the primary line officer, holds or is suspected to hold a bogus travel document or visa
- presents an expired/cancelled travel document or a travel document that is not an “eligible passport” for the purposes of section 175A of the Migration Act
- does not match in appearance the photograph in their travel document (suspected impostor)
- claims to be an Australian citizen but cannot produce an Australian passport, or does not hold an Australian Document of Identity, or a valid Australian Declaratory visa.

s. 47E(d)

Actioning s. 47E(d) by a VDO

s. 47E(d)

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The level of identity verification enquiry the VDO is required to undertake in order to determine the appropriate immigration clearance outcome will vary depending on the complexity of the case.

Preliminary Investigation**Preliminary discussion with the traveller**

s. 47E(d) the VDO will seek to establish identity using the “three pillars of identity” and cross-referencing of system information. This can involve the following steps:

s. 47E(d), s. 37(2)(b)

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Preliminary system checks

s. 37(2)(b), s. 47E(d)

Further Investigation of Identity Concerns

Where following preliminary investigation, the VDO continues to hold concerns about identity and/or travel documentation, they should undertake the following steps:

s. 37(2)(b), s. 47E(d)

Specialist services and technology to support identity verification enquiry

Document examination

Documentation and biometrics are the twin mainstays of the identity management processes at the border. Where a comprehensive document analysis and technical assistance is required, the VDO can seek assistance from the local Travel Document Examination Unit (DEU) (please refer to *Procedural Instructions* s. 37(2)(b)).

Australian government issued identity documents can be authenticated through the Document Verification Service. The Document Verification Service is accessed through the Identity Services Repository. For more information on Document Verification Service procedures, officers should refer to DVS ISR User Guide or contact s. 47E(d). Officers must note that the Document Verification Service is s. 47E(d).

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s. 47E(d)

Biometrics checks and identification test

s. 37(2)(b), s. 47E(d)

Officers should note that if a traveller refuses to comply with an officer's request for a biometric check or identification test, they are refused immigration clearance under subparagraph 172(3)(b)(iv). If they hold a visa, the visa will then cease to be in effect under section 174 of the Migration Act.

Migration 5 (M5)

s. 33(a)(iii)

Facial image comparison analysis

The match information can be viewed in Client Search Portal (CSP). A VDO will require CSP FCC Advance User (SECS-CSP_FCC_ADVANCE_USER) access to be able to view this information.

Where no document anomalies are detected but the VDO suspects the traveller is an impostor, the VDO may seek assistance from the Facial Image Comparison experts or a Facial Image Comparison Analysis trained officer to perform a detailed check. s. 47E(d)

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Complex identity operational policy support

If a VDO requires additional assistance with establishing traveller's identity, they can access Complex Identity Helpline on s. 47E(d). The helpline operates between s. 47E(d) and offers specialist technical support in resolving identity issues.

Identity verification by country of claimed nationality

s. 47E(d)

Identity Interview

Where an identity verification enquiry undertaken by a VDO, yields adverse information or raises further concerns, the VDO can conduct an identity interview with the traveller. Officers should refer to *Procedural Instruction: Bona fides [PPN: BC-2461]* for further information on how to prepare for, and conduct, an interview.

3.4. Identity Assessment Outcomes

Confirmed genuine identity

Where the traveller's ownership of the claimed identity and/or documentation has been confirmed, the VDO must:

- inform the traveller they would be immigration cleared

s. 47E(d)

Identity cannot be established in clearance

If a VDO is unable to reach a conclusive opinion on the authenticity of the identity document(s) and:

- the document is in the apparent name of the traveller
- s. 47E(d)
- s. 37(2)(b), then the traveller is taken to have complied with the requirements in section 166 of the Migration Act and must be immigration cleared.

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If the VDO continues to hold concerns regarding the non-citizen's identity, they should consider whether there are grounds for visa cancellation (*s.116 of the Migration Act*) and subsequent refusal of immigration clearance. If the visa is cancelled, the traveller must be advised they will be refused immigration clearance as they have not met immigration clearance requirements and that, as an unlawful non-citizen, they are subject to detention and removal - see *Procedural Instruction: Events after refused immigration clearance* [PPN: BC-2671] and *Procedural Instruction: Summary Removal* [PPN: BC-2460].

The VDO must ensure the *s. 47E(d)* is completed in accordance with the requirements in *Procedural Instruction: Writing s. 47E(d)* [PPN: BC-2485].

Confirmed *s. 47E(d)*

Traveller is a visa holder

Where the VDO determines the travel document presented by the traveller is bogus and clearly does not *s. 47E(d)*

s. 47E(d) then the traveller has not complied with section 166 of the Migration Act. They are refused immigration clearance under subsection 172(3) of the Migration Act and their visa will cease to be in effect (section 174 of the Migration Act). If there are concerns about the travel document but the non-citizen maintains that the travel document belongs to them, *s. 47E(d)*

s. 47E(d) The traveller must be advised they are refused immigration clearance as they have not met immigration clearance requirements, and that as an unlawful non-citizen they are subject to detention and removal - see *Standard Operating Procedure: Events after refused immigration clearance and Procedural Instruction: Summary Removal* [PPN: BC-2460].

The VDO must ensure the *s. 47E(d)* is completed in accordance with the requirements in *Procedural Instruction: s. 47E(d)* [PPN: BC-2485].

Traveller is not a visa holder

s. 47E(d)

The VDO must ensure that *s. 47E(d)* is completed in accordance with the requirements in *Procedural Instruction: s. 47E(d)* [PPN: BC-2485].

s. 47E(d)

It is not clear who applied for a visa

s. 47E(d)

The VDO must ensure the *s. 47E(d)* is completed in accordance with the requirements in *Procedural Instruction: s. 47E(d)* [PPN: BC-2485].

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For Official Use Only**3.5. s. 47E(d) – false identity and/or bogus documents**

Outwards immigration clearance – section 175 of the Migration Act

s. 47E(d)

For more information on outwards immigration clearance process and requirements officer should refer to *Procedural Instruction: Outwards Immigration Clearance [PPN: BC-2535]*.

Primary line **s. 47E(d)****s. 47E(d), s. 37(2)(b)****Departing travellers with fraudulent or bogus travel documents**

There are powers under the Migration Act, the *Australian Passports Act 2005* (the Passports Act) and the *Foreign Passport (Law Enforcement and Security) Act 2005* (the Foreign Passport Act) that provide authority for the seizure and retention of passports in certain circumstances.

Section 487ZI of the Migration Act provides that a person, whether a citizen or non-citizen, must not give, present, produce or provide a bogus document to an officer. If an officer reasonably suspects that a bogus document is forfeited to the Commonwealth under section 487ZI, then the officer may seize the document pursuant to s487ZJ of the Migration Act.

Procedural Instruction: Bogus Documents: Detection, Seizure and Retention [PPN: IIB-1540] and Document Examination at the Border [PPN: BC-2703] contains further information on seizing bogus travel documents.

Additionally, both the Passports Act (ss.23-25) and the Foreign Passport Act (s.17) contain provisions allowing an officer within the meaning of section 6 of the Passports Act and an enforcement officer within the meaning of section 5 of the Foreign Passports Act to demand the surrender of a passport in certain circumstances. For more information on these provisions and their application, officers should refer to *Procedural Instruction: INTERPOL stolen and lost travel documents [PPN: BC-2526]* and *Impounding Australian travel documents [PPN: BC-2679]*.

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Officers should report all instances of travel document/identity fraud to the AFP for further investigation.

3.6. s. 37(2)(b) – Identity

s. 37(2)(b)

3.7. Recordkeeping and accountability

In accordance with the Archives Act 1983 (the Archives Act), the Department must maintain accurate and reliable records as evidence to ensure that business activities and decisions are transparent and accountable. These records are a vital asset and serve as a major component of the Department's corporate memory.

Officers are therefore responsible for managing records and information throughout the information life cycle from create and capture, through maintain and protect and on to the disposal of records, in accordance with policy and procedural instructions.

All records created as a result of this Procedural Instruction must be managed in accordance with the Records Management Policy Statement and must be saved in TRIM RM8.

Departmental officers (including ABF officers) may be called to account for their enforcement actions and decisions. All officers are therefore required to document, and maintain accurate, up to date and detailed records about, the circumstances in relation to all enforcement actions and decisions that were taken. It is important that the circumstances in which all enforcement actions/decisions that were made are well documented.

The proper handling of information and observations involves quality records management that supports informed decision making and accountability.

All information gathered by the Department must be recorded accurately and in the appropriate forum. This includes:

- taking notes of information as it becomes known to the Department
- recording actions arising from the information, this includes the recording of facts, evidence, reasoning of decisions and conclusions and outcomes
- information must be recorded in the appropriate place. A number of systems and processes are used to document actions conducted by border officers (including VDOs). This includes:
 - recording the use of powers under the Act and Regulations within the core traveller systems (including PACE, Mainframe, ICSE, CSP, BAGS), and
 - the use of departmental electronic document management system (TRIM RM8).

For more information relating to the Department's recordkeeping responsibilities see the Records Management Policy Statement [PPN: TI-1094] or s. 47E(d)

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4. Accountability and Responsibility

Role	Description
Document author	<p>Responsible for:</p> <ul style="list-style-type: none"> Drafting policies and procedures in compliance with the Policy and Procedure Control Framework Using the approved Framework templates Addressing the key requirement of the policy or procedure Prior to drafting or reviewing, engage with their Divisional Coordinator.
Document owner	As the framework document owner, approves PIs and verify that appropriate stakeholder consultations have been completed.
Superintendent, Traveller Operational Policy section	<p>As the framework document owner, the Superintendent is responsible for:</p> <ul style="list-style-type: none"> regularly evaluating each PI document to ensure that it is still achieves its intended purpose determining whether a document requires editing or retirement <p>monitoring change and amendments to legislation or other legal requirements, business operations or risk profiles which may have an adverse effect on PI documents</p>
ABF border officers	Participate in the PI evaluation and feedback processes and provide suggestions on effectiveness and usability of the document
Divisional Coordinator	<p>Responsible for:</p> <ul style="list-style-type: none"> confirming the need for the development of a Framework document in consultation with the Framework document author registration of Framework documents with the NPCT submitting draft and approved Framework documents to the NPCT for processing assisting the policy author with the consultation process managing the endorsement and final approval process coordinating and responding to requests from the NPCT regarding all aspects of the Framework supporting Division Heads and the NPCT by providing them with assurance and advice relating to policy and procedural outputs and activities within their Division <p>actively promoting a professional approach to policy management across their Division and actively communicates and collaborates with the National Policy Coordination Team and other key Divisional contacts.</p>
Legal Division	<p>Provide legal subject matter expertise.</p> <p>Act as a key stakeholder during the PI development process.</p> <p>Review PI and provide legal clearance</p>

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Role	Description
Stakeholder	Advise author on policy and procedure relevant to business area. Attend stakeholder consultation workshop. Identify other stakeholders that should be consulted. Review draft documents and provide solution focussed feedback within the specified timeframe. Verify that a completed Compliance SOP complies with policy and procedure related to the business area by endorsing completed SOP.
Subject Matter Expert	A generic term for a departmental staff member or contractor who possesses specific expertise on the processes detailed in that PI/SOP.

5. Statement of Expectation

Directions

The APS Code of Conduct states that 'an APS employee must comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction' (subsection 13(5) of the Public Service Act 1999).

Failure by an APS employee to comply with any direction contained in a PPCF document may be determined to be a breach of the APS Code of Conduct, which could result in sanctions up to and including termination of employment, as set out in subsection 15(1) of the Public Service Act 1999.

The Secretary's Professional Standards Direction, issued under subsection 55(1) of the Australian Border Force Act 2015, requires all IBP workers who are not APS employees (such as contractors or consultants) to comply with any lawful and reasonable direction given by someone in the Department with authority to issue that direction.

Failure by an IBP worker who is not an APS employee to comply with a direction contained in a PPCF document may be treated as a breach of the Professional Standards Direction, which may result in the termination of their engagement under section 57 of the Australian Border Force Act 2015. Non-compliance may also be addressed under the terms of the contract engaging the contractor or consultant.

Policy, Guidance and Recommendations

For all other provisions of PPCF documents, the Secretary and the Commissioner expect all IBP workers to:

- consider whether a proposed departure from any provision set out in a PPCF document is reasonable and justified in the circumstances
- consider the risks of departing from any provision set out in a PPCF document
- be responsible and accountable for the consequences of departing from, or not adhering to the content of, all PPCF documents, including where such departure or non-adherence results in a breach of any legal or other obligations which lead to adverse outcomes for the Department
- be responsible for documenting the reasons/justification for their decision to depart from, or not adhere to, any PPCF document.

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Exercise of Legislative Powers and Functions

IBP workers who make decisions or who exercise powers or functions under legislation have a duty to make these decisions or exercise these powers or functions in accordance with the requirements of the legislation and legal principle.

What happens if this Policy Statement is not followed?

Failure to comply with a direction contained in this document may constitute a breach of the APS Code of Conduct, and may result in a sanction, up to and including termination of employment, being imposed under subsection 15(1) of the Public Service Act 1999.

For IBP workers who are not APS employees, failure to comply may constitute a breach of a direction under section 55 of the Australian Border Force Act 2015, and may result in the termination of their engagement under section 57 of that Act. Non-compliance may also be addressed under the terms of the contract engaging the IBP worker.

6. Version Control

Version number	Date of issue	Author(s)	Brief description of change
1		s. 22(1)(a)(ii)	Update of document into PI
1.1			Update of document to new PI template and revised
1.2	08 Apr 2019		Reviewed for Quality Assurance
1.3	18 Apr 2019		Cleared PPCF Quality Assurance
1.4	7 May 2019		Reviewed and updated for Legal Review
1.5	8 Aug 2019		Cleared Legal review
1.6	23 Aug 2019		Reviewed
1.7	23 Aug 2019		Reviewed for SES approval

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Attachment A – Definitions

Term	Acronym (if applicable)	Definition
Australian Border Force	ABF	As defined in section 4 of the <i>Australian Border Force Act 2015</i> . The Australian Border Force, is a part of the Department of Home Affairs, and is responsible for offshore and onshore border control enforcement, investigations, compliance and detention operations in Australia.
Australian Border Force Officer	ABF Officer	ABF officers or others who are delegated to perform border clearance duties. It applies to all Immigration and Border Protection workers defined under subsection 4(1) of the <i>Australian Border Force Act 2015</i> .
Australian Federal Police	AFP	The statutory authority established under the <i>Australian Federal Police Act 1979</i> whose role is to enforce Commonwealth criminal law, contribute to combating complex, transnational, serious and organised crime impacting Australia's national security and to protect Commonwealth interests from criminal activity in Australia and overseas.
Automated Telephone Interpreters Service	ATIS	An automated immediate interpreting service for agency clients who need to access a phone interpreter.
Border Clearance officer	BCO	<ul style="list-style-type: none"> Is an ABF officer who has a delegated authority to undertake primary Customs, Immigration and Biosecurity clearance.
Biometric		Refers to a measurable characteristic that is unique to a person such as fingerprints, facial structure, the iris, or a person's voice.

s. 37(2)(b)

Document Examination Unit	DEU	<p>Supports the integrity of Australia's borders and Australian visa and citizenship programmes by:</p> <ul style="list-style-type: none"> providing document examination services for the Department, to a forensic level if necessary, to assist in decision making processes by Departmental officers providing targeted document examination training for all Departmental officers developing and maintaining document examination reference systems to assist Departmental staff in recognising genuine, fraudulent or counterfeit documents.
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Term	Acronym (if applicable)	Definition
Document of Identity	DOI	Is issued under section 9 of the <i>Australian Passports Act 2005</i> (Passport Act), to: <ul style="list-style-type: none"> Australian citizens where the issue of an Australian passport is unnecessary or undesirable in very limited compassionate circumstances, to people who possess the nationality of a Commonwealth country and have an urgent need to travel.
Enhanced Biometrics at the Border	EBatB	EBatB is a handheld mobile fingerprint scanning device used by ABF officers at international airports in Australia.

s. 33(a)(iii)

Fraudulently obtained genuine document	FOG	A genuinely issued document that has been obtained by using fraudulent means.
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s. 37(2)(b)

Incoming Passenger Card	IPC	A card including personal particulars and a declaration incoming passengers are required to present to a clearance officer under regulation 3.01(3) of the <i>Migration Regulations 1994</i> .
INTERPOL		Interpol is an intergovernmental organisation facilitating international police cooperation with 190 member countries.

s. 37(2)(b)

s. 33(a)(iii)

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Term	Acronym (if applicable)	Definition
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s. 37(2)(b)

Passenger Analysis Clearance Evaluation System	PACE	Is a system used to process travellers at Australia's international air and seaports.
Person Identification Digit	PID	A unique number assigned to a record within the Travel and Immigration Processing System (TRIPS) database.
Personal identifiers		<p>A 'personal identifier' is defined in <u>s5A</u> of the Migration Act and <u>s10</u> of the Citizenship Act and means any of the following (including in digital form):</p> <ul style="list-style-type: none"> • a person's fingerprints or handprints, including those taken using paper and ink or digital live scanning technologies • a measurement of a person's height and weight • a photograph or other image of a person's face and shoulders • an audio or a video recording of a person (other than a video recording under s261AJ of the Migration Act • an iris scan • a person's signature • any other identifier prescribed by the Migration Regulations, other than an identifier the obtaining of which would involve the carrying out of an intimate forensic procedure within the meaning of s23WA of the <i>Crimes Act 1914</i>.
Primary Line		Is the first point of border clearance.
Questioning Detention		<p>Questioning Detention under s.192 of the Act is a discretionary power. An ABF officer has discretion to detain a traveller who is in immigration clearance under s.192, if the ABF officer knows or reasonably suspects that:</p> <ul style="list-style-type: none"> • the traveller holds a visa • the visa may be liable for cancellation under s.109, 116, 134, 501 or 501A of the Act (noting that cancellations under s.501 and s.501A of the Act are not conducted in immigration clearance due to natural justice provisions).
Reliable identity document		Documents that are generally government-issued with robust identity proofing processes, along with issuance protocols and security features. They will usually contain a biometric (such as a photo or fingerprint/s).

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Term	Acronym (if applicable)	Definition
Refugee sur place		<p>The term is used to describe a person who is not a refugee when they leave their country of origin, but who becomes a refugee at a later date. Sur place claims can arise from:</p> <ul style="list-style-type: none"> • changes in the country of origin • a person's actions after leaving the country of origin or • the actions of third parties such as the media
Secondary identity document		A document that contains information relating to the identity of a person that is supported by moderate identity proofing processes, issuance, and management processes.
Visa Determination Officer	VDO	Is an ABF officer who has a delegated authority to undertake primary Customs, Immigration and clearance.

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Attachment B – Assurance and Control Matrix

1.1. Powers and Obligations

Legislative Provision			Is this a delegable power?	If delegable, list the relevant instruments of delegation
Legislation	Reference (e.g. section)	Provision		
<i>Migration Act 1958</i>	s.165	Interpretation - Definition of Clearance Officer	Yes	<i>ABF (M) No. 1 of 2018</i>
<i>Migration Act 1958</i>	s.5(1)	Definition of officer	No	
<i>Migration Act 1958</i>	s.257A	Person may be required to provide personal identifiers	No	
<i>Migration Act 1958</i>	s.116	Power to cancel	Yes	<i>ABF (M) No. 1 of 2018</i>
<i>Australian Passports Act 2005</i>	s.6	Definition of officer	No	
<i>Australian Passports Act 2005</i>	s.23	Demand to surrender suspicious Australian travel documents	No	
<i>Australian Passports Act 2005</i>	s.24	Demand to surrender of cancelled or invalid Australian travel document	No	
<i>Australian Passports Act 2005</i>	s.24A	Demand to surrender of suspended Australian travel document	No	
<i>Foreign Passports (Law Enforcement and Security) Act 2005</i>	s.5	Definition of officer	No	
<i>Foreign Passports (Law Enforcement and Security) Act 2005</i>	s.16	Demand for foreign travel document if authorised by Minister	No	
<i>Foreign Passports (Law Enforcement and Security) Act 2005</i>	s.17	Demand for suspicious foreign travel document	No	

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1.2. Controls and Assurance

Related Policy	[TT-2983] Border Clearance [TT-2985] Traveller Intervention and Response [TI-341] Passenger Cards and Crew Declaration Forms
Procedures / Supporting Materials	[BC-536] Arrival, immigration clearance and entry – Immigration clearance at airports and seaports [BC-2470] Special Category Visas in Immigration Clearance [IIB-1540] Bogus documents: detention, seizure and retention [IIB-5144] Enterprise identity [BC-668] Primary line processing [BC-2676] Managing minors in immigration clearance [BC-2480] Detention at the border [BC-699] Baggage examination at the border [BC-2703] Document examination at the border [TT-5313] Mobile biometric device use at the airport [IIB-4790] Collecting personal identifiers onshore under s257A [IIB-1530] A guide to interpreting M5 match results [BC-2461] Bona fides [BC-2671] Events after refusal of immigration clearance [BC-2460] Summary removal [BC-2535] Outwards immigration clearance [BC-2526] INTERPOL stolen and lost travel documents [TI-1094] Records Management Policy [BC-2485] Writing M304 border report [VM-5328] Australian citizenship assessments for activities undertaken under the Migration Act [IIB-1537] Identity Information – Access and disclosure [TT-2985] Traveller Intervention and Response [TI-341] Passenger Cards and Crew Declaration Forms [BC-2679] Impounding Australian Travel Documents

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Training/Certification or Accreditation	<p>Officers undertaking identity verification at the border are expected to have successfully completed the following training:</p> <ul style="list-style-type: none"> • Facial Image Comparison Principles and Application (FICPA) • Document Examination Principles and Application (DEPA) • Fundamentals of Identity Awareness (online) • Advanced Identity Awareness Borders (Secondary Immigration Clearance) • Identity enrolment training – including M5 and FCC advanced user
Other required job role requirements	NIL
Other support mechanisms (eg who can provide further assistance in relation to any aspects of this instruction)	<p>Advice and outreach on this document can be provided by the Traveller Operational Policy Section</p> <p>s. 47E(d)</p>
Escalation arrangements	<p>Escalation of concerns or issues regarding this document can be sent to the Traveller Operational Policy Section</p> <p>s. 47E(d)</p>
Recordkeeping (eg system based facilities to record decisions)	Please refer to section 3.7. Record keeping and accountability
Control Frameworks (please refer to a specific document outlining QA or QC arrangements)	The Border Clearance Policy Statement (PPN BC-2983) provides overarching principles of assurance and control. A specific Quality Framework is currently under development.
Job Vocational Framework Role	This PI applies to all officers in the Border Enforcement Operations job role.

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Attachment C – Consultation

1.1. Internal Consultation

- Regional Command
- Port Operations Command
- Identity Branch
- Traveller Branch
- ABF College
- Airline Liaison Section

1.2. External Consultation

- Nil

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