

Thesis

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Contents

1	Introduction	2
1.1	Introduction	2
1.1.1	Names	2
1.1.2	Computers and Writing Systems	2
2	Government Identification Documents	4
2.1	Birth Certificates	4
2.1.1	California	4
2.1.2	Massachusetts	6
2.1.3	New Hampshire	6
2.1.4	Kansas	7
2.2	Passports	7
2.2.1	Visual Inspection Zone	7
2.2.2	Machine Readable Zone	7

Chapter 1

Introduction

1.1 Introduction

You see, to some people in the world, your name is everything. If I say my name to an elder Hawaiian (kupuna), they know everything about my husband's family going back many generations...just from the name.

(Janice “Lokelani” Keihanaikukauakahihuliheekahaunaele)

1.1.1 Names

Article 7 of the Convention on the Rights of the Child enshrines a person's inalienable right to a name: “The child shall be registered immediately after birth and shall have the right from birth to a name.” [2] A name is the fundamental token which identifies a person *qua* individual; it transmits information about its bearer, including cultural identification, genealogical history, religious beliefs, and linguistic origins.

At the same time, a name cannot remain the sole province of its owner; it must facilitate interaction with the wider world as a means of address. A name is *a priori* useless if others people in the environs cannot pronounce it, write it, or remember it. Names thus serve functions on a spectrum ranging from the expressive to the utilitarian.

1.1.2 Computers and Writing Systems

The “digital age” has changed writing from a free and individualized practice to a one based in a discrete and logical structure consisting of discrete glyphs.

Since most early development of computers took place in the United States, English gained a natural ascendancy over other languages in the field of digital communication. English, perhaps as a coincidence, is also one of the easiest languages to represent in code, requiring at the bare minimum just the 26 non-accented characters of the English alphabet, perhaps with some punctuation and numbers. As computer technology spread far beyond the labs of Silicon Valley, there were some associated growing pains with the need to encode a vast array of linguistic forms, including diacritical marks, right-to-left scripts, and pictographic writing systems.

Chapter 2

Government Identification Documents

2.1 Birth Certificates

American law generally holds the naming of children to be the right and responsibility of parents, without shutting the door on regulating edge cases, like “Ghoul Nipple”, “Legend Belch”, “Brfxccxxmnpccclllmmnprxvclmncssqlbb11116”, and “” [4]. In many American states, however, this right is abridged with reference to diacritical marks above letters, hardly an edge case in many languages around the world. Larson [4, p. 5] investigates this in his study of American naming law, finding states with such rules to include California, Massachusetts, New Hampshire, and Kansas:

2.1.1 California

Guidelines provided by the California Office of Vital Records (OVR) instruct county clerks that baby names may contain only “the 26 alphabetical characters of the English language with appropriate punctuation if necessary” and that “no pictographs, ideograms, diacritical marks (including ‘é,’ ‘ñ,’ and ‘ç’) are allowed” [4].

The OVR’s handbook cites Proposition 63, a 1986 ballot referendum which declared English the state’s official language, with the support of 74% of voters. The initiative created Article III, Section 6 of the California Constitution, which not only explicated the status of English, but also entrusted to the state government broad powers of enforcement:

The Legislature shall enforce this section by appropriate legislation. The Legislature and officials of the State of California shall take all steps necessary to insure that the role of English as the common language of the State of California is preserved and enhanced. The Legislature shall make no law which diminishes or ignores the role of English as the common language of the State of California.

(California Constitution, Article III, Sec. 6(c))

The California Department of Public Health may see the prohibition of “non-English” characters as a natural result of Proposition 63; other government entities in California interpret the law differently. Two California state parks, Año Nuevo State Park and Montaña de Oro State Park, manage to contain the Spanish ñ in their official names, which is reflected on the parks’ official webpages. [1] [5]

Likewise, the City of San José, California includes the accented é in its official name, and its Style Guide includes instructions on how to produce it digitally: “To create an accented é, hold down the alt key and type ‘0233’, on the numeric key pad.” California’s Department of Public Health likely disobeys the city’s guidelines in birth certificates, though this needs to be verified.

2014-AB-2528

A 2014 bill in the California State Assembly sponsored by AM Nancy Skinner (AB-2528) sought to rectify the state’s processing of birth certificates and driver’s licenses by allowing diacritical marks in names. The bill “required the State Registrar to ensure that diacritical marks on English letters are properly recorded on birth certificates, death certificates, certificates of fetal death, and marriage licenses, including, but not limited to, accents, tildes, graves, umlauts, and cedillas”. [ab-2528]

AB-2528 stalled in the Appropriations Committee once state agencies assigned multi-million dollar price tags relating to IT upgrades, noting that the DMV’s software could not “even accept lower-case letters”. For this same reason the bill was opposed by the County Recorder’s Association of California.

2017-AB-82

In 2017, California AM Jose Medina revived the issue with AB-82, which ultimately passed both houses of the legislature before being vetoed by Governor Jerry Brown. Unlike the 2014 bill, this edition did not affect the issuance of driver’s licenses, only birth certificates. Passing through many more stages of the legislative process, the committee hearings gathered more detailed estimates for the cost of IT upgrades than they had in 2014:

- \$230,000 for IT upgrades at Department of Public Health
- \$2 million per year for Department of Public Health to correct existing records
- Loss of revenue of \$450,000 per year to Department of Public Health since they would not be able to electronically transmit names to SSA (at \$3 per name) containing diacritics
- Up to \$12 million for local governments to upgrade their systems
- \$1–3 million in upgrades to Department of Health Care Services
- Unknown administrative costs to Department of Social Services

The sticking point for Governor Brown was compatibility with federal databases, which do not accept diacritics. In his veto message, he argued that the risks to vital records outweighed the benefits of cultural openness:

“Mandating the use of diacritical marks on certain state and local vital records without a corresponding requirement for all state and federal government records is a difficult and expensive proposition. This bill would create inconsistencies in vital records and require significant state funds to replace or modify existing registration systems.”

The committee findings make clear that the state would incur nontrivial costs to update the name registration systems. Little discussion is included of the possible creative solutions to the problem. Even assuming that government systems cannot be made to support the full UTF-8 standard, there are ways of representing information using ASCII. For example, we will see later that the international specification for machine-readable passports has a variety of control sequences for representing subtle distinctions in the Latin, Cyrillic, and Arabic alphabets using only the 26 plain characters of the English alphabet. The original form can be recovered nearly losslessly using the transliteration table.

2.1.2 Massachusetts

In Massachusetts, the “characters have to be on the standard american keyboard. So dashes and apostrophes are fine, but not accent marks and the such” [4].

2.1.3 New Hampshire

“All special characters other than an apostrophe or dash” are prohibited [4]. Technical limitations of the state’s database systems prevent the inclusion of any diacritical marks.

2.1.4 Kansas

Restrictions are similar to those in Massachusetts [4].

2.2 Passports

The protocol governing machine-readable travel documents (MRTD) is Document 9309, issued by the International Civil Aviation Organization [3]. These standards define the common form that all passports must take to ensure interoperability. Since all states must operate on a shared standard, the diplomatic community has forged a compromise between cultural diversity and international security; the 9309 standard provides sufficient flexibility to accommodate the diverse languages and scripts used worldwide.

A 9309-compliant MRTD data page is divided into two sections: the Visual Inspection Zone (VIZ) and the Machine Readable Zone (MRZ).

2.2.1 Visual Inspection Zone

The Visual Inspection Zone, consisting of the top two-thirds of the passport's data page is designed for inspection by border officials at the point of entry. States may populate the required VIZ fields in their official language provided a translation is provided into English, Spanish, or French. Modernized passports do not *per se* coax a country toward the adoption of standard alphabets; however, they do ensure efficient intercommunication in the world's *scripta franca*, the Latin alphabet.

2.2.2 Machine Readable Zone

In contrast, the content of the Machine Readable Zone is highly controlled. The only characters allowed in the two lines of the MRZ are those belonging to a defined ASCII subset: (0-9, A-Z, and <). Moreover, these characters must be printed in the typeface OCR-B (OCR=Optical Character Recognition) using character and line spacings strictly defined in the 9309 standard. The adherence to these guidelines allows for unambiguous machine recognition.

Top of the MRP data page

Code for issuing State or organization/
Code de l'État émetteur ou de l'organisation émettrice

01 (Name of issuing State or organization/Nom de l'État émetteur ou de l'organisation émettrice)			
02 "Passport/ Passeport"	03 Type/ Type	04	05 Passport No./ N° de passeport
	06 Primary identifier/Nom		
19 (Holder's portrait/ Portrait du titulaire)	07 Secondary identifiers/Prénoms		
	08 Nationality/Nationalité		
	09 Date of birth/ Date de naissance		10 Personal No./ N° personnel
	11 Sex/ Sexe	12 Place of birth/Lieu de naissance	
	14 Date of issue/ Date de délivrance		15 Issuing authority or office/ Autorité ou bureau émetteur
	16 Date of expiry/ Date d'expiration		18 Holder's signature/ Signature du titulaire
(Machine readable zone/Zone de lecture automatique)			

Not to scale

In the Latin alphabet, most characters with diacritical marks simply have the mark dropped; some characters, however, do have special encodings to losslessly transliterate the character. The document provides a more extensive scheme for the Cyrillic and Arabic scripts, which allows nearly lossless recovery of the original form from the MRZ content. They even provide a sample Python program for converting from the MRZ name to Unicode Arabic ([3] (3.B.7.1).

Latin

The ICAO tries to account for the varying importance of diacritical marks in Latin-based scripts. Those such as the acute or grave accents, which appear over vowels mainly for the purpose of clarifying pronunciation, are simply eliminated in the MRZ. However, other characters receive recommended encoding methods. These are the more “salient” diacritic characters, such as the German umlauts (ä, ö, ü) or the Spanish ñ, which in their respective languages are considered separate letters, rather than a variation on the unaccented form. The

following table shows the special encodings recommended for European diacritics; all other characters simply have the mark dropped:

Unicode	National Character	Description	Recommended transliteration
ooC4	Ä	A diaeresis	AE or A
ooC5	Å	A ring above	AA or A
ooC6	Æ	ligature AE	AE
ooD1	Ñ	N tilde	N or NXX
ooD6	Ö	O diaeresis	OE or O
ooD8	Ø	O stroke	OE
ooDC	Ü	U diaeresis	UE or UXX or U
ooDE	Þ	Thorn (Iceland)	TH
ooDF	ß	double S (Germany)	SS
0132	IJ	ligature IJ (Netherlands)	IJ
0152	Œ	ligature OE	OE

([3] 3.6.A)

The name “Térèsa Cañón” would become CANXXON«TERESA in the MRZ. The ñ is encoded in the MRZ, while no distinction is made of the é or è. Likewise, the German name “Wilhelm Furtwängler” would become FURTWÄENGLER«WILHELM (ä becomes AE). (b.4.2) Although it leaves a large set of European characters unrepresented, it would not be difficult to expand the escape sequence system to represent additional diacritical marks. (An interesting edge case would be a Spanish traveller named José Nuñenxx.)

Cyrillic

The ICAO transcription system for Cyrillic characters permits a nearly one-to-one transliteration between the MRZ and the name in the original language. The system recognizes the different values that a Cyrillic glyph might take in various languages. For example the letter IO is transliterated as “IU”, unless it is the first character of a Ukrainian name, in which case “YU” is permitted. Likewise for III; this is SHCH, except in Bulgarian, where it is SHT.

Arabic

For example, the Arabic name *الرازي زكريا بن محمد بكر ابو* would be rendered in the MRZ as ABW<BKR<MXHMD«BN<ZKRYA<ÄLRÄZY.

While the name looks incomprehensible to a human, the encoding permits a one-to-one mapping between the MRZ and the original Arabic name. See more examples in the figure below:

B.5.9 Further examples

[illegible][illegible][illegible]

Arabic: العباس عبد الله بن محمد السفاح
 VIZ: al-'Abbās 'Abdu'llāh ibn Muhammad as-Saffāh
 MRZ: ALEBAS<EBD<ALLXH<BN<MXHMD<ALS FAXH<<<<<<

Arabic: عبدالله محمد بن عمر بن الحسين فخر الدين الرازي
 VIZ: Abdullah Muhammad ibn Umar ibn al-Husayn Fakhr al-Din al-Razi
 MRZ⁷: EBD<ALLXH<MXHMD<BN<EMR<BN<ALXHSYN<FXKHR

[illegible][illegible][illegible]

Bibliography

- [1] *Año Nuevo State Park*. California Department of Parks and Recreation. URL: http://www.parks.ca.gov/?page_id=523.
- [2] *Convention on the Rights of the Child*. New York: United Nations General Assembly, 1989.
- [3] *Document 9309: Machine Readable Travel Documents*. International Civil Aviation Organization. Montréal, 2015.
- [4] Larson, Carlton. “Naming baby: the constitutional dimensions of parental naming rights”. In: *The George Washington Law Review* 80.159 (2011).
- [5] *Montaña de Oro State Park*. California Department of Parks and Recreation. URL: http://www.parks.ca.gov/?page_id=592.