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PCTF Trust Registries Conformance Profile

Document Status: Draft Recommendation V1.0

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26 **Table of Contents**

27 **1. Introduction to the PCTF Trust Registries Conformance Criteria..... 3**
28 **1.1 Conformance Criteria Keywords 3**
29 **2. Levels of Assurance 4**
30 **3. Conformance Criteria..... 4**
31 **4. Revision History 11**

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43 1. Introduction to the PCTF Trust 44 Registries Conformance Criteria

45 This document specifies the conformance criteria for the Trust Registries component of
46 the Pan-Canadian Trust Framework (PCTF). Conformance criteria are central to the
47 trust framework because they specify the essential requirements agreed to by trust
48 framework participants to ensure the integrity of their processes. This integrity is
49 paramount because the output or result of a trusted process may be relied upon by
50 many participants across organizational, jurisdictional, and sectoral boundaries.

51 The PCTF conformance criteria are intended to complement existing privacy legislation
52 and regulations.

53 **Note:** PCTF conformance criteria do not replace or supersede existing regulations;
54 organizations and individuals are expected to comply with relevant legislation, policy,
55 and regulations in their jurisdiction.

56 The PCTF consists of a set of modular or functional components that can be
57 independently assessed and certified for consideration as trusted components. Building
58 on a Pan-Canadian approach, the PCTF enables the public and private sector to work
59 collaboratively to safeguard digital identities by standardizing processes and practices
60 across the Canadian digital ecosystem.

61 1.1 Conformance Criteria Keywords

62 Throughout this document the following terms indicate the precedence and/or general
63 rigidity of the conformance criteria and are to be interpreted as noted below.

- 64 • **MUST** means that the requirement is absolute as part of the Conformance
65 Criteria.
- 66 • **MUST NOT** means that the requirement is an absolute prohibition of the
67 Conformance Criteria.
- 68 • **SHOULD** means that while there may exist valid reasons in particular
69 circumstances to ignore the requirement, the full implications must be understood
70 and carefully weighed before choosing to not adhere to the Conformance Criteria
71 or choosing a different option as specified by the Conformance Criteria. The
72 rationale for not adhering to a criterion should be documented in cases where
73 Conformance Criteria are not adhered to.
- 74 • **SHOULD NOT** means that a valid exception reason may exist in particular
75 circumstances when the requirement is acceptable or even useful, however, the
76 full implications should be understood and the case carefully weighed before
77 choosing to not conform to the requirement as described.

78 • **MAY** means that the requirement is discretionary but recommended.

79 **Note:** the above listed keywords appear in **bold** typeface and ALL CAPS throughout
80 this conformance profile.

81 2. Levels of Assurance

82 It is essential that Participants in a Digital Identity Ecosystem (Ecosystem) have a way
83 to evaluate the robustness and trustworthiness of transactions within that ecosystem. In
84 order to do so, Participants must share a common vocabulary that describes the level of
85 confidence they can associate with an Entity or transaction, as well as a common way in
86 which to determine that level of confidence.

87 In the PCTF, a Level of Assurance (LoA) represents the level of confidence an Entity
88 may place in the processes and other conformance criteria defined in any given
89 component of the PCTF. Levels of Assurance are elemental in creating networks of
90 trust. Levels of Assurance models only work if all Participants in an Ecosystem are able
91 to interpret them consistently. It is therefore critical that all Participants in an ecosystem
92 agree upon a minimum set of criteria for each Level of Assurance. Only then will a
93 Relying Party in that ecosystem be able to properly evaluate the risks inherent in a
94 relationship or transaction, and the Level of Assurance that can be placed in
95 Participants, Credentials, and those transactions. The components of the PCTF
96 describe the detailed conformance criteria that should be used to evaluate such Levels
97 of Assurance in the context of a given PCTF component.

98 For the most up to date guidance regarding Levels of Assurance, please reference the
99 PCTF [Assurance Maturity Model Draft Recommendation V1.0](#).

100 3. Conformance Criteria

101 Conformance Criteria are categorized by trust registry functional grouping. For ease of
102 reference, a specific conformance criterion may be referred to by its category and
103 reference number. Example: “BASE1” refers to “Baseline Conformance Criteria
104 reference No. 1”.

105 **Note:** Baseline Conformance Criteria are also included as part of this conformance
106 profile.

106a	Reference	Conformance Criteria	Assurance Level			
106b	BASE	These Baseline Criteria apply to all Trust Registries processes	LOA1	LOA2	LOA3	LOA4

106c	1	These Conformance Criteria do not replace or supersede existing regulations; organizations and individuals are expected to comply with relevant legislation, policy and regulations in their jurisdiction.	X	X	X	X
106d	GOV	Governance Requirements (Business Structure, Ecosystem Scope, Governance Processes and policies and standards)	LOA1	LOA2	LOA3	LOA4
106e	1	A Digital Identity Ecosystem governance organization (Ecosystem) SHOULD be a legally registered business (e.g., Corporation, Partnership, etc.) in the jurisdiction(s) in which it operates, or if the Ecosystem is a public body then there SHOULD be authorizing legislation, and either case the Ecosystem SHOULD publish this information.	X			
106f	2	A Digital Identity Ecosystem governance organization (Ecosystem) MUST be a legally registered business (e.g., Corporation, Partnership, etc.) in the jurisdiction(s) in which it operates, or if the Ecosystem is a public body then there MUST be authorizing legislation, and in either case and the Ecosystem MUST publish this information.		X	X	X
106g	3	An Ecosystem SHOULD document and publish its beneficial ownership if applicable (e.g., not public bodies).	X			
106h	4	An Ecosystem MUST document and publish its beneficial ownership if applicable (e.g., not public bodies).		X	X	X
106i	5	An Ecosystem SHOULD document and publish its management structure and contact information.	X			
106j	6	An Ecosystem MUST document and publish its management structure and contact information.		X	X	X

Pan-Canadian Trust Framework
PCTF Trust Registries Draft Recommendation V1.0
DIACC / PCTF13

106k	7	An Ecosystem SHOULD document and publish its business and policy making processes, committees, and other related processes.	X			
106l	8	An Ecosystem MUST document and publish its business and policy making processes, committees, and other related processes.		X	X	X
106m	9	An Ecosystem SHOULD document and publish a multi-year business plan on an annual basis.	X			
106n	10	An Ecosystem MUST document and publish a multi-year business plan on an annual basis.		X	X	X
106o	11	An Ecosystem SHOULD document and publish what types of Entities it will register (Issuers, Verifiers, Wallet Providers, other Trust Registries) and other criteria such as Industry, Association, or Profession.	X			
106p	12	An Ecosystem MUST document and publish what types of Entities it will register (Issuers, Verifiers, Wallet Providers, other Trust Registries) and other criteria such as Industry, Association, or Profession.		X	X	X
106q	13	An Ecosystem SHOULD document and publish the policy and process for verification of the legal authority of Registrants to issue credentials or accept credential presentations.	X			
106r	14	An Ecosystem MUST document and publish the policy and process for verification of the legal authority of Registrants to issue credentials or accept credential presentations.		X	X	X

Pan-Canadian Trust Framework
PCTF Trust Registries Draft Recommendation V1.0
DIACC / PCTF13

106s	15	An Ecosystem SHOULD document and make available its financial and insurance status to Registrants. Financial and insurance status requirements will vary with the business model of the Ecosystem and the type of Ecosystem organization (e.g., may not be relevant for public bodies).	X	X	X	X
106t	16	An Ecosystem SHOULD document and make available its underwriting policy, if applicable.	X	X	X	X
106u	17	An Ecosystem SHOULD conform to a recognized Trust Framework such as the PCTF or equivalent.	X			
106v	18	An Ecosystem MUST conform to a recognized Trust Framework such as the PCTF or equivalent.		X	X	X
106w	19	An Ecosystem SHOULD maintain certification of a recognized Trust Framework, Trust Mark, or equivalent verification process on an annual basis and publish its status.	X			
106x	20	An Ecosystem MUST maintain certification of a recognized Trust Framework, Trust Mark, or equivalent verification process on an annual basis and publish its status.		X	X	X
106y	21	An Ecosystem SHOULD document and publish service descriptions and service levels for all business processes and technology services.	X			
106z	22	An Ecosystem MUST document and publish service descriptions and service levels for all business processes and technology services.		X	X	X
106aa	23	An Ecosystem SHOULD document and publish a statement of how it does not unjustly discriminate against any party and how it maintains its impartiality in its business processes.	X	X	X	X

Pan-Canadian Trust Framework
PCTF Trust Registries Draft Recommendation V1.0
DIACC / PCTF13

	OPS	Trust Registry Operations (Technology and Infrastructure Management and Technical Services)	LOA1	LOA2	LOA3	LOA4
106ab						
106ac	1	A Trust Registry (Registry) SHOULD conform to a recognized industry framework for its technology infrastructure operations such as the PCTF Infrastructure (Technology & Operations) component.	X			
106ad	2	A Registry MUST conform to a recognized industry framework for its technology infrastructure operations such as the PCTF Infrastructure (Technology and Operations) component.		X	X	X
106ae	3	A Registry SHOULD maintain an accessible repository (e.g., Internet web site) to host all published documents noted in this component.	X	X	X	X
106af	4	A Registry SHOULD demonstrate the authenticity of all documents published, such as using digital signatures.	X	X		
106ag	5	A Registry MUST demonstrate the authenticity of all documents published, such as using digital signatures.			X	X
106ah	6	A Registry SHOULD provide human readable versions of published documents described in this component.	X	X	X	X
106ai	7	A Registry SHOULD provide machine readable versions of appropriate documents in industry recognized formats and protocols.	X	X		
106aj	8	A Registry MUST provide machine readable versions of appropriate documents in industry recognized formats and protocols.			X	X
106ak	9	A Registry SHOULD provide machine readable information in a manner that prevents surveillance of Holder and Wallet use of Issuers and Verifiers (including a Verifiable Data Registry).	X	X	X	X

Pan-Canadian Trust Framework
PCTF Trust Registries Draft Recommendation V1.0
DIACC / PCTF13

106al	10	A Registry SHOULD provide information about its identity in a format compliant with recognized industry standards such as the such as the PCTF Verified Organization component.	X			
106am	11	A Registry MUST provide information about its identity in a format compliant with recognized industry standards and frameworks such as the PCTF Verified Organization component.		X	X	X
106an	12	A Registry SHOULD provide information about Registrants and their status in industry standard formats and protocols.	X			
106ao	13	A Registry MUST provide information about Registrants and their status in industry standard formats and protocols.		X	X	X
106ap	14	An Ecosystem MAY allow Registrants to directly publish information about their digital services in a Registry or Verifiable Data Registry using industry standard methods and framework assurance processes such as the PCTF Authentication and Credentials (Relationships & Attributes) components.	X	X	X	X
106aq	15	An Ecosystem MAY operate and maintain a Verifiable Data Registry using recognized industry standards.	X	X		
106ar	16	An Ecosystem MUST operate and maintain a Verifiable Data Registry using recognized industry standards.			X	X
106as	17	An Ecosystem MUST operate either a Verifiable Data Registry or Trust Registry or both.	X	X	X	X
106at	18	A Registry or Verifiable Data Registry MAY provide Credential Status Information or links to Credential Status Information.	X	X	X	X

106au	19	A Registry SHOULD document and publish technical information for Issuers, Verifiers, and Digital Wallet Providers to develop products that connect to the Registry or Verifiable Data Registry.	X	X	X	X
106av	20	A Registry SHOULD provide development and test environments for Issuers, Verifiers, and Digital Wallet Providers to develop and test their digital products use of the Registry or Verifiable Data Registry.	X	X	X	X
106aw	REG	Registration and Certification Management (Certification/Verification/Trust Mark Services, Registration, Suspension and revocation processes)	LOA1	LOA2	LOA3	LOA4
106ax	1	An Ecosystem SHOULD identify Registrants using recognized assurance processes such as the PCTF Verified Organization Component.	X			
106ay	2	An Ecosystem MUST identify Registrants using recognized assurance processes such as the PCTF Verified Organization Component.		X	X	X
106az	3	An Ecosystem SHOULD implement processes to ensure Registrant information is current and consistent with legal registrations, legislation, and/or certifications.	X	X		
106ba	4	An Ecosystem MUST implement processes to ensure Registrant information is current and consistent with legal registrations, legislation and/or certifications.			X	X
106bb	5	An Ecosystem SHOULD identify and authenticate Registering Parties and Beneficial Owners using framework assurance processes such as the PCTF Verified Person and PCTF Credentials (Relationship & Attributes) components.	X			

106bc	6	An Ecosystem MUST identify and authenticate Registering Parties and Beneficial Owners using framework assurance processes such as the PCTF Verified Person and PCTF Credentials (Relationship & Attributes) components.		X	X	X
106bd	7	An Ecosystem SHOULD require that Registrants conform to a recognized trust framework such as the PCTF.	X			
106be	8	An Ecosystem MUST require that Registrants conform to a recognized trust framework such as the PCTF.		X	X	X
106bf	9	An Ecosystem SHOULD require that Registrants have certification of trust framework conformance using recognized trust certification services such as the Voilà Verified Trustmark Program .	X	X		
106bg	10	An Ecosystem MUST require that Registrants have certification of trust framework conformance using recognized trust certification services such as the Voilà Verified Trustmark Program .			X	X
106bh	11	An Ecosystem SHOULD document and publish Registration and Certification processes and services available to Registrants, such as the Voilà Verified Trustmark Program .	X	X	X	X
106bi	12	An Ecosystem SHOULD verify that Registrants are legally authorized to issue credentials or receive credential presentations according to the Ecosystem policies and publish this in the Registry.	X			
106bj	13	An Ecosystem MUST verify that Registrants are legally authorized to issue credentials or receive credential presentations according to the Ecosystem policies and publish this in the Registry.		X	X	X

107 4. Revision History

Status: Draft Recommendation

This Draft Recommendation has been prepared for community input and is approved by the DIACC Trust Framework Expert Committee. For more information, please contact review@diacc.ca

Pan-Canadian Trust Framework
PCTF Trust Registries Draft Recommendation V1.0
DIACC / PCTF13

Version	Date	Author(s)	Comment
0.01	2022-12-24	PCTF Trust Registries Design Team	Initial Discussion Draft created by the PCTF Trust Registries Design Team
1.0	2023-03-01	PCTF Trust Registries Design Team	TFEC approves as Draft Recommendation V1.0

108

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12