



## **DIACC-CP-02-01 Certification process of services**

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This document describes the DIACC's Certification Program process and procedures to certify services against the applicable Pan-Canadian Trust Framework (PCTF) Components. In addition, it defines the requirements to obtain the Certification Trustmark by fulfilling the applicable conformance criteria.

The Certification process is based on ISO standards (ISO/IEC 17065; ISO/IEC 17021; ISO/IEC 17030) and industry best practices.

IPR: [DIACC Intellectual Property Rights V1.0](#)

**Table of Contents**

I. SCOPE ..... 3

II. INTRODUCTION ..... 4

III. CERTIFICATION PROCESS AND STAGES..... 4

    1. *Application*..... 5

    2. *Audit*..... 5

    3. *Final Review*..... 6

    4. *Certification Documentation*..... 6

    5. *Public Trusted List*..... 6

    6. *Surveillance Audits*..... 6

    7. *Conditions of Continued Certification*..... 6

    8. *Conditions on termination, suspension, withdrawal of certification or reducing scope of certification*  
    ..... 7

    9. *Appeal procedure*..... 7

*References* ..... 8

*Exhibit A – Definitions*..... 9

*Exhibit B - Conflicts of Interest Policy (COI Policy) regarding appeal procedure*..... 11

## CERTIFICATION PROCESS OF SERVICES

### I. SCOPE

This document provides the process for a Service to get certified against the applicable Pan- Canadian Trust Framework (PCTF) Components.

It applies to Service operators of an identity solution for identity proofing, authentication, credential management, and/or other related functionalities concerning the establishment and maintenance of online trust.

By offering a third-party assessment, DIACC's Certification Program will provide added value to the Canadian community and digital economy by enhancing the degree of confidence as well as trust on the services and solutions that are vetted in an impartial and competent manner.

The conformity assessment benefits are:

- a. Provides confidence to consumers that a service will perform as expected.
- b. Grants assurance to service operators that what they offer meets the specifications and deliver on customer expectations or, fulfills market requirements.
- c. Provides regulators and relying parties with confidence that the specified requirements have been met.

Capitalized terms used have the meanings set forth in Exhibit A of this document.

## II. INTRODUCTION

To get certified against the PCTF Components, the Applicant's Service must demonstrate conformity against the applicable PCTF Component and follow the process and procedures as specified in this document.

Only legal entities are allowed to apply for Certification of a Service.

The certification process is a demonstration that specified requirements from PCTF relating to a Service are fulfilled.

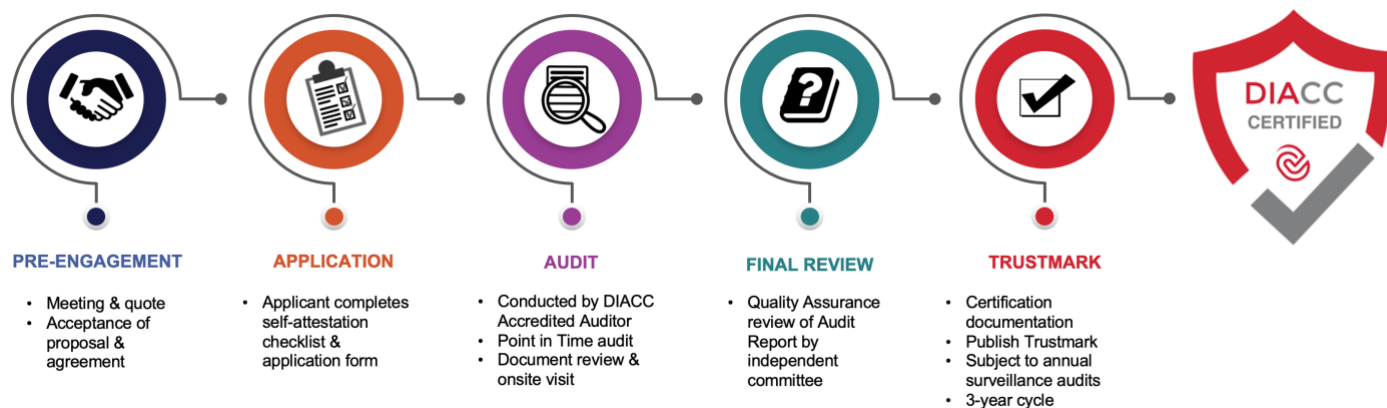
### Getting ready

Before submitting the application, applicants should:

- a. Contact the CPMO at [voila@diacc.ca](mailto:voila@diacc.ca) to get the agreement, application materials, and support.
- b. Read the Certification process rules as detailed in this document.
- c. Understand the applicable DIACC PCTF Component conformance criteria.
- d. Go through the applicable self-assessment document to get a high-level measure that the Service meets the conformance criteria.

## III. CERTIFICATION PROCESS AND STAGES

The DIACC's Certification entails the following phases.



## 1. Application

After acceptance of the proposal and signature of the Certification Agreement, the applicant should complete the application package, including the self-attestation template and application form. The Application package should be submitted to [voila@diacc.ca](mailto:voila@diacc.ca).

The objectives of this phase include gathering the necessary information to complete the certification process and determine the scope of the certification that the applicant is pursuing.

The necessary information may include:

- a. Identification of the service to be certified.
- b. The PCTF Components for which the applicant is seeking certification.
- c. Organisational information.
- d. Information of outsourced processes or services, e.g., external providers, that are integrated into the service supply chain.

The CPMO conducts a review of the information obtained to ensure that:

- a. The scope of the certification the applicant is seeking is clear.
- b. Certification applicability of the requirements to the service.
- c. Determine whether the information provided is sufficient for the Auditor to create the audit plan.

## 2. Audit

The Auditor performs an audit to validate the applicability and conformance of the service to the PCTF Component (s) requirements.

Prior to starting the audit activities, an audit plan is provided to the applicant, including a schedule of the audit phases and key activities to be performed.

The Auditor must conduct the audit following the required methodology on the DIACC-CP-03-01 Guidance for audits of services against PCTF to determine conformity.

The Auditor must collect the necessary evidence, review documentation, observe and inspect processes and procedures, including but not limited to:

- a. Documentation reviews relevant to the scope of the assessment and application for Certification against the applicable PCTF Component.
- b. Review of organisational policies and practices.
- c. Review records, systems logs.
- d. Examination and test of the identity system that is the object of the assessment, including system documentation, system functionality.
- e. Observation of processes and activities.
- f. Interview management personnel; technical or managerial personnel; trained personnel.
- g. Onsite visits according to the level of assurance (LOA2 and anything above). In the case that the mobility is restricted due to health or other force majeure reasons, the Auditor must find a remote technological equivalent.

The audit findings are recorded in the Audit Report, including any minor-nonconformities identified during the audit.

### **3. Final Review**

The Independent Review Committee (IRC) performs a quality review of the Audit Report and evaluates if the audit was conducted as specified in the DIACC-CP-03-01 Guidance for audits of services against PCTF.

### **4. Certification Documentation**

If the applicant successfully completes the certification process, DIACC grants the certification to the applicable Service and provides the applicant with formal certification documentation and an applicable Trustmark.

### **5. Public Trusted List**

The Certificate and Trustmark logo are published on the Trusted List, DIACC's authoritative list of certified service providers against its framework.

All usage of the Certification Trustmark must be in accordance with the Trustmark Guidelines specified in the Certification Agreement.

### **6. Surveillance Audits**

Surveillance audits must be carried out annually to maintain the Certification. The continuance of Certification is dependent upon the outcome of annual surveillance of the Service, to assure that all the applicable requirements continue to be met by the operator of the Service.

### **7. Conditions of Continued Certification**

The Certification term is a three-year cycle, subject to annual surveillance audits. The Applicant must follow the provisions regarding the required audit.

A certified Service will be eligible for continued Certification subject to:

- a. Timely payment.
- b. Notification to CPMO of any changes implemented to the certified Service.
- c. Compliance with the requirements of the Certification.
- d. Conformity against the applicable PCTF component conformance criteria.
- e. Notification to CPMO without delay of the occurrence of a serious incident breach of conformance criteria and any other related requirement.
- f. Other conditions as applicable.

## **8. Conditions on termination, suspension, withdrawal of certification or reducing scope of certification**

When a non-conformity with certification requirements is substantiated, either as a result of surveillance or otherwise, DIACC shall consider and decide to take appropriate action, including:

- a. Continuation of certification under conditions specified by the certification body (e.g., increased surveillance);
- b. Reduction in the scope of certification to remove nonconforming service variants.
- c. Suspension of the certification pending remedial action by the operator of the certified service.
- d. Withdrawal of the certification.

DIACC will suspend certification in cases when, for example the certified service operator:

- a. Has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the identity system, which is indicated in the report following a surveillance audit or recertification audit.
- b. Does not allow surveillance or recertification audits to be conducted at the required frequencies, or
- c. Has voluntarily requested a suspension.

If the certification is terminated, suspended or withdrawn, DIACC will make all the necessary modifications to formal certification documents, Trusted List, rights to use the Trustmark(s) to avoid confusion that the service continues to be certified.

If the certification is suspended, DIACC will notify the operator the actions needed to end suspension and reinstate the certification. In the case of reinstatement of certification, DIACC will make the necessary modifications to the documentation and public information to indicate that the certification is valid.

## **9. Appeal procedure**

This section speaks to the appeal procedure regarding the DIACC Certification applications.

The CPMO will notify the Applicant of the final decision.

If the Applicant disagrees with the DIACC decision, the Applicant has 14 days to lodge an appeal. The Applicant must notify the CPMO in writing of the grounds of the disputed decision. The application is pending for as long as the consideration of the appeal is in progress.

The CPMO will form an ad-hoc appeal committee. The appeal committee must be composed of not less than three persons nominated by non-conflicted Directors on the DIACC Board of Directors (BOD).

The BOD will be subject to the Conflicts of Interest Policy specified in Exhibit B.

Members of the appeal committee must not have any commercial or vested interest in the matter under consideration. Moreover, Members of the appeal committee must not be personnel of DIACC, the Service operator in scope of the appeal.

The appeal committee will be subject to the Conflicts of Interest Policy specified in Exhibit B.

The Applicant has the right to raise an objection to the composition of the appeal committee, which must notify the CPMO in writing within 14 days after the formation and composition of the committee was communicated. If the objection is accepted by the CPMO, a new nomination process will be initiated by the BOD.

The decision of the appeal committee must be taken within 90 days after the appeal was lodged, and it will be binding to the CPMO and the Appellant.

## References

1. ISO/IEC 17021 Conformity assessment —Requirements for bodies providing audit and certification of management systems.
2. ISO/IEC 17030 Conformity assessment — General requirements for third-party marks of conformity.
3. ISO/IEC 17065 Conformity assessment – Requirements for bodies certifying products, processes and services.

## Revision history

Version	Release Date	Changes
2.3.	2024-01-02	Adjustments in terminology.
2.2	2023-08-20	Renamed Directory with Trusted List.
2.1	2022-11-20	Minor editorial changes.
2.0	2022-09-12	Changes to address ISO/IEC 17065 Requirements
1.0	2022-03-15	New document



## Exhibit A – Definitions

Term	Meaning
Appellant	Applicant that files an appeal on the DIACC decision regarding its Certification application.
Applicant	Operator seeking Certification of its Service against applicable PCTF Components.
Auditor	DIACC Accredited Auditor that performs audits against the PCTF Components' conformance criteria.
Audit Report	Report of the audit findings, which informs conformity of a Service against the applicable DIACC PCTF Component conformance criteria, provided by a DIACC Accredited Auditor
DIACC PCTF Components	DIACC Pan-Canadian Trust Framework components available at <a href="https://diacc.ca/trust-framework/">https://diacc.ca/trust-framework/</a>
Certification Agreement	Legally enforceable commitment that contemplates all parties' responsibilities regarding Certification, including use of the applicable Trustmark.
Certification	Demonstration that specified requirements from DIACC PCTF relating to a Service are fulfilled. The DIACC certification process includes third-party assessment against the applicable DIACC PCTF Components.
Service	Identity solution, including identity network, that supports identity proofing, authentication and/or credential management and/or other related functionalities.

Trustmark	Any sign or mark of conformity that an entity has fulfilled the applicable requirements, including DIACC trademarks, trade names, symbols, logos, which DIACC grants the right to use to identify the Certification of a Service.
Independent Review Committee (IRC)	The IRC is an independent committee that has delegated authority from the DIACC Board of Directors (BOD) to perform a quality review of the audit findings.
DIACC Certification Program	A third-party conformity assessment program designed around ISO/IEC 17065 and 17021 to determine compliance with the PCTF and indicate that specific requirements are met.
Trusted List	Certified service providers are displayed on the Trusted List.

## **Exhibit B - Conflicts of Interest Policy (COI Policy) regarding appeal procedure**

### **1. Purpose**

For the nomination of an ad-hoc appeal committee, DIACC Board of Directors (BOD) members are obligated to disclose ethical, legal, financial and other conflicts of interest involving the appellant.

The ad-hoc appeal committee members are obligated to disclose ethical, legal, financial and other conflicts of interest involving the Appellant.

The purpose of this Conflicts of Interest Policy (COI Policy) is to prevent any conflict of interest or the appearance of a conflict of interest from affecting any decision-making involving the Appeal procedure.

The DIACC BOD and the ad-hoc appeal committee members must adopt this COI Policy.

### **2. Potential Conflicts**

A conflict of interest may include any of the following situations:

- a. Financial conflict;
- b. Direct or indirect gain (of any sort) arising from access to confidential information;
- c. Family/personal relationships and bias;
- d. Contractual or affiliation relationships;
- e. Being the designer, implementer, developer, or maintainer of the Appellant's operations.
- f. Provide consultancy to the Appellant's Entity.

### **3. Duty to Disclose and Abstain from Voting**

The DIACC BOD and the ad-hoc appeal committee members must disclose any matter that could reasonably affect the outcome of the appeal procedure and decision-making process, any conflict or potential conflict to the CPMO.

Those Directors and ad-hoc appeal committee members who have been identified as conflicted must abstain from voting.

**10.**