

TRUSTIS FPS

Enrolment Requirements: Acceptable Evidence in Support of an Application for a Digital Certificate

Important Notice:

The information here is guidance on the minimum requirements of Enrolment for Trustis FPS Services.

It does not substitute or replace the Certificate Policy under which digital certificates are issued by this Issuing Authority. You must read the Certificate Policy which ultimately controls the provision of digital certification services, before you apply for a certificate.

Applicants for digital certificates must have their identities authenticated and their eligibility to hold a certificate validated before any certificate can be issued. This is vital if a certificate that is intended to be used to subsequently authenticate online identities, or to sign communications, transactions and documents, is to be trusted as really belonging to the person or organisation indicated in the certificate.

Trustis FPS issues certificates to a number of levels of assurance and authentication. In all cases certificates issued shall fulfil the Standards of HMG Assurance Framework, specifically:

- HMG Minimum Requirements for the Verification of the Identity of Individuals V2
- HMG Minimum Requirements for the Verification of the Identity of Organisations V2

at level two.

Alternatives that demonstrate at least these levels of assurance and verification may be permitted by the Policy Authority.

Verification of Individuals or organisations, or in some cases both is enforced as applicable, are dependent upon the use of the certificates issued and the content of the certificate.

Additionally, where specific authoritative information is to be included in certificates this will also be subject to verification.

The following tables outline the requirements for evidence that may be supplied in support of an application.

Note that a formal documented existing relationship with the RA may be used in lieu of / with other evidence if the RA already has strong confidence in the identity of the registrant organisation. Underlying identification checks must have been previously performed and it is essential to ensure that information used is up-to-date.

| Type of Applicant | Type of Evidence Required |
|--|---|
| An Organisation, for whom a certificate is being requested (commonly required to be able to support the enrolment of devices or applications acting on behalf of the organisation, for example web servers). | Organisational acceptable evidence |
| An Organisation Representative, acting on behalf of an organisation requires both the Organisation and the Organisation Representative to have their identities authenticated. | Either Pre-vetted applicant acceptable evidence or General person acceptable evidence Plus: <ul style="list-style-type: none"> • organisational acceptable evidence • evidence of affiliation to the organisation • evidence of authority to act on behalf of the organisation • verification of the representative through "back contact" with the organisation |
| Pre-vetted individuals, e.g.: <ul style="list-style-type: none"> • staff of the Registration Authority's organisation • other classes of individuals, specially selected by the Registration Authority (and approved by the Issuing Authority), with whom the Registration Authority has an existing documented relationship and already has evidence of their identity and eligibility to hold a certificate. | Pre-vetted applicant acceptable evidence |
| Other individuals, (without the benefit of such a close relationship supported by existing evidence of identity and eligibility to hold a certificate). | General person acceptable evidence |

In each case and for each certificate applicant, the Registrar may:

- Take further steps to confirm the identity and eligibility of the intended subscriber. This may include the use of independent confirmation with other parties.
- Approve the certificate request if the Registrar is sufficiently satisfied of the identity and eligibility of the intended certificate holder (Subscriber). In this case, prior to approving the certificate request, the Registrar may:
 - further restrict or enhance the capabilities to be supported by the certificate (e.g. validity period, key usage, etc.) provided that the governing Certificate Policy is not contravened

- correct any subscriber information to be contained within the certificate that is inaccurate
- add any subscriber information that may be required to avoid naming conflicts
- remove any subscriber information that is not required to be published in the certificate
- indicate whether the location from which the issued certificate may be securely obtained, is to be provided directly to the intended subscriber or to the Registrar for further management of the delivery to the intended subscriber
- Defer the certificate request, pending further investigation of the identity and eligibility of the intended subscriber
- Reject the request

General Person Acceptable Evidence

This section defines the corroborating evidence that may be used to support an application for a digital certificate by general persons who have not been pre-vetted by either the Registration Authority or the Issuing Authority. Such corroboration is required to support confidence in the authentication of the identity of the person applying for a certificate, as well as to establish eligibility to hold such a certificate. Original documents (or certified copies) must be provided for verification, in addition to a photocopy of each document which may be retained by the authenticating body. At least one (1) document must verify both the applicant's current name and address as detailed on the registration form.

Where copies of documentary evidence are supplied, these may be certified by a lawyer, banker or other regulated professional person.

In general, the following pieces of evidence are required (consistent with HMG's Minimum Requirements for the Remote Verification of the Identity of Individuals - Level 2):

Explanatory Notes:

Numbers indicate how many items of evidence are required in each category
 1+ denotes a higher level of detail must be provided that is capable of being corroborated by third parties

| Type of Evidence | Allowable Permutations | | | |
|---------------------------|------------------------|---|---|----|
| Personal Statement | 1 | 1 | 1 | 1+ |
| Identity Evidence | 2 | 2 | 1 | |
| Active in Community | 2 | 1 | 2 | |
| Third Party Corroboration | | 1 | 1 | 3 |

Examples of the evidence that may be used are as follows:

| Personal Statement Evidence | Validity Criteria |
|------------------------------------|---|
| | <p>May consist of a form to be filled out electronically and must include:</p> <ul style="list-style-type: none">• Full Name• Date of Birth• Address (plus position, department and organisation if applied for as a representative of an organisation)• additional information that can be used in cross checks with other information sources, as deemed appropriate to improving confidence in the applicant's identity |

| Identity Evidence | Validity Criteria |
|---|--|
| Signed passport | Must be current |
| Residence permit issued by Home Office to EU Nationals on sight of own country passport | Must be current |
| UK photocard driving licence | Must be current |
| Full UK driving licence (old version) | Must be current Old style provisional driving licences are not acceptable |
| Benefit book or card or original notification letter from the Department for Work & Pensions confirming the right to benefit | Must be current |
| Building industry sub-contractor's certificate issued by the Inland Revenue | Must be current |
| Recent Inland Revenue tax notification | Issued no more than four (4) months before application date |
| Firearms certificate | Must be current |
| Birth certificate | |
| Adoption certificate | |
| Marriage certificate | |
| Divorce or annulment papers | |
| Application Registration Card (ARC) issued to people seeking asylum in the UK (or previously issued standard acknowledgement letters, SAL1 or SAL2 forms) | |
| GV3 form issued to people who want to travel in the UK but do not have a valid travel document | Must be current |
| Home Office letter IS KOS EX or KOS EX2 | |
| Police registration document | Must be current |
| HM Forces Identity Card | Must be current. |

| Active in Community Evidence | Validity Criteria |
|--|--|
| Record of home visit | Issued no more than four (4) months before application date |
| Confirmation from an Electoral Register search that a person of that name lives at that address | Most recent |
| Recent original utility bill or certificate from a utility company confirming the arrangement to pay for the services at a fixed address on prepayment terms | Issued no more than four (4) months before application date (note that mobile telephone bills are not to be accepted as they can be sent to different addresses and bills printed from the internet should not be accepted as their integrity cannot be guaranteed) |
| Local authority tax bill | Valid for current year |
| UK photo card driving licence | Allowable if not used for evidence of name Must be current |
| Full UK driving licence (old version) | Allowable if not used for evidence of name Must be current Old style provisional driving licences are not acceptable |
| Bank, building society or credit union statement or passbook containing current address | Must be an active account |
| Recent original mortgage statement from a recognised lender | Issued no more than four (4) months before application date |
| Local council rent card or tenancy agreement | Must be current |
| Benefit book or card or original notification letter from the Department for Work & Pensions confirming the rights to benefit | Must be current |
| Court order | Issued no more than four (4) months before application date |

| Third Party Corroboration Evidence - Electronic Sources | Validity Criteria |
|---|--------------------------|
| <p>Electoral Register</p> <p>Credit reference/rating agencies (e.g. Credit Industry Fraud Avoidance System; Dun and Bradstreet Ltd; Equifax Europe Ltd; Experian Ltd; MCL Ltd.)</p> <p>Public records such as County Court Judgements or bankruptcies</p> <p>Electronic postal address file</p> <p>Postal redirect file</p> | |
| Third Party Corroboration Evidence - Non-Electronic Sources | Validity Criteria |
| <p>Government Departments and Agencies (e.g. Public Records Office)</p> <p>Police Force</p> <p>Utility companies regulated by one of the Regulators</p> <p>Banks or other financial organisations regulated by the FSA</p> <p>Medical practitioners with whom the registrant has a formal relationship (e.g. his/her GP)</p> <p>Practising solicitor or barrister with whom the registrant has a client relationship</p> <p>Practising magistrate or judge</p> <p>Company or organisation which has been accredited by a tScheme member or is itself a tScheme member</p> | |

| Certificate Content Evidence | Validity Criteria |
|---|---|
| <p>Brand, Trademark or Trading Identity Information</p> <p>Certificates are not issued on the basis of trading Identity. Applicants must fulfil all identity verification requirements AND prove ownership of the information to be identified in the certificate.</p> <p>Certified copies of current Trade Mark Registration or similar proof to ownership of the information</p> <p>Registration in a publically accessible authorised record relating to the information.</p> <p>Identity or Active in the Community Evidence, as specified in these requirements.</p> | <p>Liability for such content always lies with the applicant. Where such information is to be substantively asserted in a certificate, verification shall be required.</p> <p>e.g. Law Society Approved Practitioner database or Trademark registration database.</p> <p>Must contain the information for inclusion in the certificate.</p> |
| <p>Email Address</p> <p>Certificates are not issued on the basis of email address only. Applicants must fulfil all identity verification requirements AND prove ownership of the email address to be identified in the certificate.</p> <p>Identity, or Active in the Community Documents as specified in these requirements that contain the email address</p> | <p>Documentary evidence is not normally required. Back contact using the declared email address and or third party corroboration is undertaken as part of the enrolment process.</p> <p>Must contain the email address to be included in the certificate.</p> |
| <p>Internet Domain</p> <p>Certificates are not issued on the basis of domain verification. Applicants must fulfil all identity verification requirements AND prove ownership of the domain to be identified in the certificate.</p> <p>Written evidence of control or ownership of domain.</p> | <p>Documentary evidence is not normally required.</p> <p>The registration data for the domain is collected from approved and/or third party public sources (WHOIS) and corroborated against the information verified as part of the individual or organisation registration submitted in the application.</p> <p>Where third party or public evidence does not provide corroboration of ownership of a domain, or an organisation or individual controls a domain not registered with it, certified written evidence of ownership/control must be provided. This is verified and/or corroborated with the registered owner of the domain.</p> |

Acceptable Evidence for Organisations in support of an application for a Digital Certificate

This section defines the corroborating evidence that may be used to support an application for a digital certificate by organisations. Such corroboration is required to further support confidence in the authentication of the identity of the entity to be issued with a certificate, as well as to establish eligibility to hold such a certificate. Original documents or certified copies must be provided for verification, in addition to a photocopy of each document that may be retained by the authenticating body. At least one (1) piece of evidence must verify both the organisation's current name and address. The term organisation is used here to include:

- Registered Companies
- Other corporate bodies
- Partnerships
- Government Departments
- Other unincorporated bodies and associations

Note that a formal documented existing relationship with the RA may be used in lieu of / with other evidence if the RA already has strong confidence in the identity of the registrant organisation. Underlying identification checks must have been previously performed and it is essential to ensure that information used is up-to-date.

If such a formal documented existing relationship with the RA is not in existence, or if the necessary identification checks have not been previously performed to establish strong confidence in the identity of the registrant organisation, then documentary evidence must be supplied as indicated below.

Where copies of documentary evidence are supplied:

- For Primary Registration Evidence - these may be certified by the Company Secretary or a Solicitor or Notary
- For Secondary Evidence - these may be certified by an identified director of the organisation

In general, the following pieces of evidence are required (consistent with HMG's Minimum Requirements for the Remote Verification of the Identity of Organisations - Level 2):

Explanatory Notes:

Numbers indicate how many items of evidence are required in each category

| Type of Evidence | Allowable Permutations | |
|---------------------------------|------------------------|---|
| Primary - Registration Evidence | 1 | |
| Secondary Evidence | | 2 |
| Third Party Corroboration | | 1 |

These may be verified by "back contact" with the appropriate Registrant organisation.

| Primary - Registration Evidence | Validity Criteria |
|------------------------------------|--|
| Official Organisation Registration | <p>For example (Limited Company Registration, Listed Charity Registration, Partnership Deed, Law Society Registration, NHS Organisation Registration, etc.)</p> <p>Original documents or certified copies (certified by the Company Secretary or a Solicitor or Notary) must be provided for verification, in addition to a photocopy of each document that may be retained by the authenticating body.</p> <p>Must be current</p> |

| Secondary Evidence (Dealings with Government/Membership/ Trade/Operational) | Validity Criteria |
|---|---|
| VAT Registration | Must be current |
| Official Licences to operate, where applicable | Must be current |
| Bank Reference | On Bank letter-headed stationery and dated not earlier than one (1) month before application date |
| Contract or Customer/Supplier Reference Code | Must be used in conjunction with a contract or account that is currently active and where one of the contracting parties is the organisation to which the Registration Authority belongs. This should be used only if the RA already has strong confidence in the identity of the registrant organisation. Underlying identification checks based on the other criteria listed here must have been previously performed and it is essential to ensure that information used is up-to-date |
| Published Collateral | Currently available material produced for public consumption in the course of business activities and that confirms the business address |
| Government Transactions | Information supplied to government departments or other official bodies which are not publicly available (e.g. tax, VAT, PAYE returns etc). Transaction date must be no more than four (4) months before application date |
| Membership | Evidence of current membership of a known trade association, affiliation to recognised professional body, or other body |
| Trade/operational documents | Material generated by the organisation in the course of its activities, but which are not public knowledge (invoices, internal documents etc). Must be dated no more than four (4) months before application date |
| Published Company Accounts | Published to cover most recent financial year |

| Third Party Corroboration | Validity Criteria |
|--|--|
| Government Departments and Agencies | (including Companies House) Corroboration must be current |
| Local Authorities | Corroboration must be current |
| Banks or other organisations regulated by the FSA | Corroboration must be current |
| Credit reference agencies | Corroboration must be current |
| Established “trustworthy” company or other body (such as a utility, NHS Trust, etc.) | With whom the registrant body has a professional relationship Corroboration must be current |

| Certificate Content Evidence | Validity Criteria |
|---|---|
| <p>Brand, Trademark or Trading Identity Information</p> <p>Certificates are not issued on the basis of trading Identity. Applicants must fulfil all identity verification requirements AND prove ownership of the information to be identified in the certificate.</p> <p>Certified copies of current Trade Mark Registration or similar proof to ownership of the information</p> <p>Registration in a publically accessible authorised record relating to the information.</p> <p>Identity or Active in the Community Evidence, as specified in these requirements.</p> | <p>Liability for such content always lies with the applicant. Where such information is to be substantively asserted in a certificate, verification shall be required.</p> <p>e.g. Law Society Approved Practitioner database or Trademark registration database.</p> <p>Must contain the information for inclusion in the certificate.</p> |
| <p>Email Address</p> <p>Certificates are not issued on the basis of email address only. Applicants must fulfil all identity verification requirements AND prove ownership of the email address to be identified in the certificate.</p> <p>Identity, or Active in the Community Documents as specified in these requirements that contain the email address</p> | <p>Documentary evidence is not normally required. Back contact using the declared email address and or third party corroboration is undertaken as part of the enrolment process.</p> <p>Must contain the email address to be included in the certificate..</p> |
| <p>Internet Domain</p> <p>Certificates are not issued on the basis of domain verification. Applicants must fulfil all identity verification requirements AND prove ownership of the domain to be identified in the certificate.</p> <p>Written evidence of control or ownership of domain</p> | <p>Documentary evidence is not normally required.</p> <p>The registration data for the domain is collected from approved and/or third party public sources (WHOIS) and corroborated against the information verified as part of the individual or organisation registration submitted in the application.</p> <p>Where third party or public evidence does not provide corroboration of ownership of a domain, or an organisation or individual controls a domain not registered with it. Certified written evidence of ownership/control must be provided. This is verified and/or corroborated with the registered owner of the domain.</p> |