

### Reliable System Assessment Framework

Introductory Webinar October 30, 2024









The Digital Governance Council works through its members across the public and private sectors to strengthen trust in Canada's digital economy by collaboratively identifying, prioritizing and acting on digital governance opportunities and challenges.

DIGITAL GOVERNANCE STANDARDS INSTITUTE, part of the Digital Governance Council, is an accredited standards development body. The Institute enables greater trust and confidence in Canada's digital systems through developing technology governance standards collaboratively across a range of stakeholders.

The Digital Standards Initiative (DSI) is a global initiative backed by the International Chamber of Commerce (ICC), Enterprise Singapore, Asian Development Bank, World Trade Organisation and the World Customs Organisation.

DSI aims to accelerate the development of a globally harmonised, digitalised trade environment, as a key enabler of dynamic, sustainable, inclusive growth. We engage the public sector to progress regulatory and institutional reform, and mobilise the private sector on standards, interoperability, adoption and digital trust.

### What is the Reliable Systems Assessment Framework?

- An Assessment of a system's reliability in transferring Electronic
  Transferable Records under MLETR
- Self-assessment (at present) with option of Statement of Verification

## Who has contributed

### **Working Group:**

**British Standards Institution** 

TradeTrust / Singapore IMDA

Enterprise Singapore (Standards)

SGS

Ethisphere

**LRQA** 

Enigio

Beijing Municipal Government

Inditex

Independent experts

Digital Container Shipping Assn

Centre for Digital Trade and Innovation

# Pilot participants who submitted the assessment and/or feedback (9):

- AEO Trade (Beijing) Technology Co Ltd
- Attajari Bank Tunisia
- Blockchain Fieldlab BV
- BlueX Trade/Open EBL
- BOEX CIC
- CargoX Ltd
- Enigio AB
- ICE Digital Trade
- Secro

# Indicative timeline





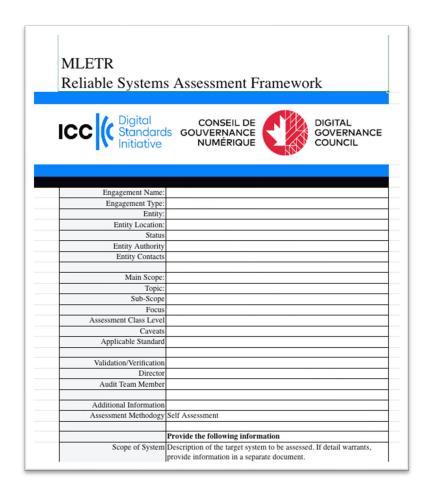


# **Overview of the Framework**



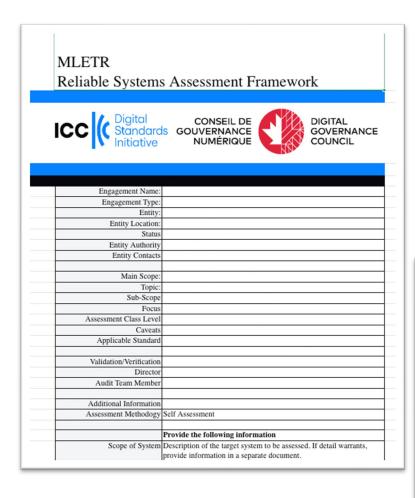
# **Self-Assessment Template Overview**

- 1. Engagement Details
- 2. Instructions
- 3. Controls
- 4. MLETR Coverage
- 5. Draft Claims
- 6. Repository





## 1. Engagement Details

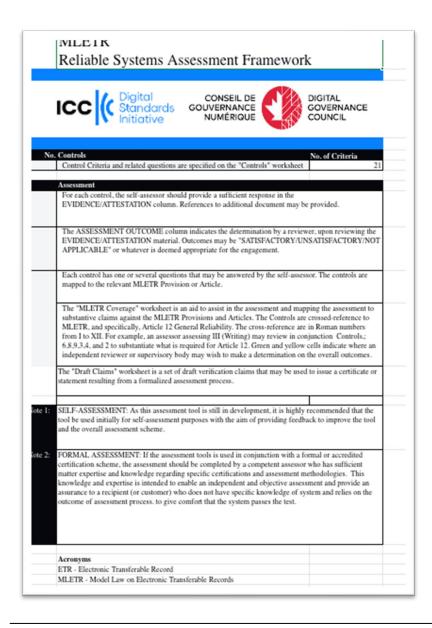


- Self-Assessment Worksheet
  - Engagement Details
  - Digital Trust Conformity Assessment Details
    - Main Scope: Digital Trust
    - Topic: Digital Trade Documentation
    - **...**
  - **ETR Types**
  - Applicable Artefacts

		In scope?
ETR Types	Bill of Lading	xxx
	TBD	xxx
- v		xxx
Applicable Artefacts* (REF ID)		In scope?
	UNCITRAL Model Law on Electronic Transferable Records	Yes
ETDA	Electronic Trade Documents Act 2023	No
OTE: Applicable estafoats in als	do any logislation standards specifications approxima procedures	
	de any: legislation, standards, specifications, operating procedures, ), or any official documentation that should be considered in relation to	
	, or any orneral documentation that should be considered in relation to is considered to be part of the scope of the assessment should be	



### 2. Instructions



- Instructions
  - How to use the spreadsheet
  - Self-assessment guidance
  - Formal Assessment guidance
- Digital Trade Conformity Assessment Scheme
  - Still under development
  - DGC Digital Trust Conformity Assessment Program may be used for more formalized assessments.



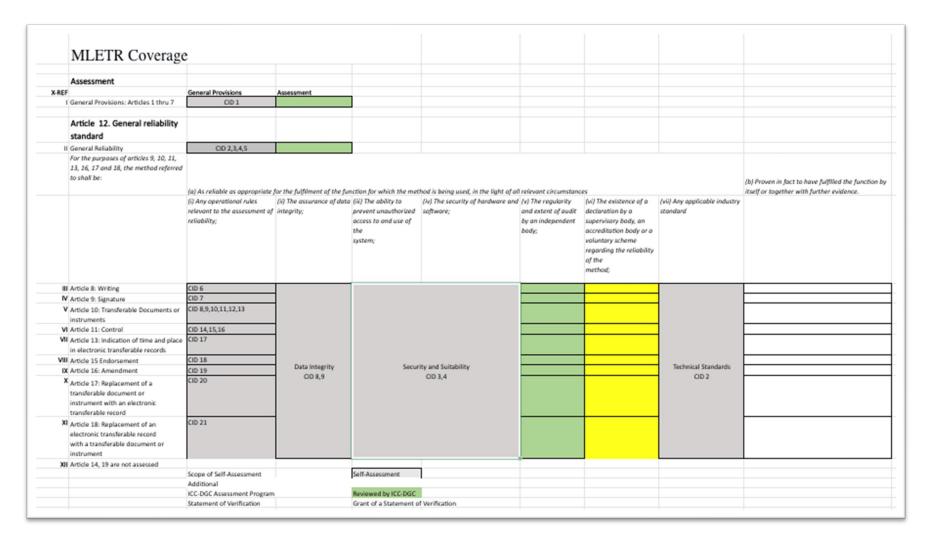
### 3. Controls

- 21 controls have been defined
- Each control has:
  - o ID, Criteria, Assessment Outcome, MLETR Reference
  - Assessment Requirement/Question
  - Evidence/Attestation

D Control Criteria	Assessment Outcome	MLETR Reference	Assessment Requirement/Question	Evidence/Attestation
1 The system is defined and described		MLETR General Provisions	Provide a high-level description and scope of application of the system, describing key functionalities and highlighting how these support the objectives of MLETR.	
			Provide a high-level description of the legal and policy considerations relevant to the design, implementation, and operation of the system?	
			Describe electronic transferable records and transferable documents or instruments used within your context	
2 Reliability: The system demonstrates general reliability		MLETR-Article 12	List any applicable documentation used for the assessment of reliability	
			Describe processes and technologies related to the assurance of data integrity	
			Describe the regularity and extent of audit by an independent body	
			Provide any declaration by a supervisory body, an accreditation body or a voluntary scheme regarding the reliability of the method.	
			Provide any additional evidence that demonstrates how the system meets the reliability requirements outlined in MLETR.	



# 4. MLETR Coverage



- Controls have been cross-referenced with the MLETR Articles
- Focus on Article 12
   General Reliability
   Standard
  - a) As reliable as appropriate for the fulfilment of the function...
  - b) Proven in fact to have fulfilled the function by itself or together with further evidence...



# 4. MLETR Coverage (Summary of Controls)

nmary of Controls	CID	T4						
Applicable MLETR Articles General Provisions: Articles 1 thru 7		Text	and and decaribeed					
		The system is defin						
General Provisions: Articles 1 thru 7		The technical standards used by the system are identified.						
General Provisions: Articles 1 thru 7		The system has applicable operational and security controls in place.						
General Provisions: Articles 1 thru 7			chnical procedures used in the creation, maintenance, and transfer of electronic records are suitable to ensure they meet rrent technological standards					
Article 12	5	Reliability: The syst	lability: The system demonstrates general reliability					
Article 8		Information contai references.	ined within the ETR is	readable in the re	quired natural language a	and is accessible and us	able for subsequent	
Article 9			ne signature in relation to an ETR identifies the signatory (i.e. legal or natural person) and sufficiently expresses the intention of leat person related to the information contained within the ETR. (Signature)					
Article 10	8	Records are be sign	ned by the issuer and	all subsquent ent	ries are signed by authoriz	zed persons		
Article 10		ETRs remain comp display.	lete and unaltered ap	art from any chan	ge which arises in the nor	mal course of commur	nication, storage and	
Article 10 (a)	10	Information: The B	ETR contains informati	on that is require	d in a transferable docum	ent or instrument.		
Article 10 (b)(i)	11	The ETR has a relia	able identification to e	nsure its uniquen	ess			
Article 10 (b)(ii)	12	The ETR has the th	e ability to prevent ur	authorized replic	ation.			
Article 10 (b)(iii)	13	The ETR has the ab	oility to prevent multip	le requests for th	e performance of the sam	ne obligation.		
Article 11(1)(a)	14	The system establis	shes exclusive control	of that ETR by a l	egal person.			
Article 11(1)(b)	15	The system identifi	ies the person that is t	he person in excl	usive control.			
Article 11 (2)	16	Where the law req	uires, the system has	the ability to tran	sfer exclusive control to a	nother person		
Article 13	17	The system has a re	eliable method for ind	ication of time ar	nd place			
Article 15	18	Where required by	law, the system has t	he ability to inclu	de information indicating	the endorsement of ar	ETR.	
Article 16	19	Where required by	law, the system has t	he ability to inclu	de information indicating	the amendment of an	ETR.	
Article 17		An ETR may have t used.	he ability to replace a	transferable docu	ument or instrument if a re	eliable method for the	change of medium i	
Article 18	21	A transferable doc	ument or instrument i	may replace an El	R if a reliable method for	the change of medium	is used.	



### 5. Draft Statement of Verification Claims

_	Statement of Verification Claims (Draft)
1.	<entity> has completed the MLETR self-assessment tool and has been independently reviewed by a qualified assessor.</entity>
2.	Based on the self-assessment and the outcome of the review, <entity> has provided sufficient evidence to demonstrate:</entity>
	a) adherence to the general provisions outlined in Articles 1 through 7.
	b) functional equivalence in relation for Articles 8, 9, 10 and 11.
	c) fulfilment of the general reliability standard specified in Article 12 for the purposes of Articles 9, 10, 11, 13, 16, 17, 18, and additionally Article 15.
3	<entity> has provided sufficient evidence to demonstrate, in support of the Article 12 general reliability standard, that:</entity>
	a) the organization has applicable operational and security controls in place to support general reliability.
	<ul> <li>b) technical procedures used in the creation, maintenance, and transfer of electronic records are suitable to ensure they meet current technological standards.</li> </ul>

- Draft Statement of Verification Claims have been developed.
- These statements can be tailored during for an assessment process where a third-party claim is required.



## What an Example Certificate Might Look Like



#### **DRAFT Verification Statement**



(Issuance No: DGC-VV-2024-XX)

Issuer:

Digital Governance Council /

ICC Digital Standards Initiative

### <a href="mailto:</a><a href="mailto:kervice"><a href="mailto:kervice"><

Issued To:

<Entity>

<Entity> has completed the MLETR Self-Assessment Tool for the <Product/Service>. The self-assessment has been reviewed by the Digital Governance Council ("DGC") on behalf of the ICC Digital Standards Initiative ("DSI") in accordance with the articles of the Model Law on Electronic Transferable Records (MLETR) and in accordance with the policies and procedures of the DGC Digital Trust Conformity Assessment Program.

Based on the self-assessment and the outcome of the review DGC/ICC DSI can confirm that < rank has provided sufficient evidence regarding the Product / Service for the following verification claims:

- erroduct or Service> demonstrates adherence to the general provisions outlined in MLETR Articles 1 through 7.
- <Product/Service> demonstrates functional equivalence in relation to MLETR Articles 8 through 11 (Writing, Signature, Transferable documents or instruments, Control).
- <Product/Service> fulfills of the general reliability standard specified in MLETR Article 12 for the purposes
  of Articles 9, 10, 11, 13, 16, 17,18, and additionally, Article 15
- 4. In support of Article 12 general reliability standard, <Entity> has:
  - a. Applicable operational and security controls in place to support general reliability
  - Technical procedures used in the creation, maintenance and transfer of electronic records are suitable to ensure compliance with current technological standards.

#### DGC Statement of Assurance

DGC assures that the assessment process was conducted impartially, fairly and transparently using evidence provided in accordance with DGC Digital Trust Conformity Assessment Program, policies and procedures publicly available at: <a href="https://github.com/dgc-cgn/CAS-Digital-Trust">https://github.com/dgc-cgn/CAS-Digital-Trust</a>.

This verification statement is subject to the following:

- This verification statement does not constitute an endorsement of the Product/Service
   or the or the
- Until such time that the DGC Digital Trust Conformity Assessment Program receives accreditation this
  verification statement shall be relied on as an interim acknowledgement only. Once accreditation is
  received, this verification statement shall be reviewed and considered for formal recognition. This is a
  third-party verification.

Issued on: 2024-

2024-XX-XX

Signature(s)

Keith Jansa, CEO, Digital Governance Council

Pamela Mar, Managing Director, ICC Digital Standards Initiative

#### **Grant Registry**



Official registry of grants issued by the Digital Governance Council.

#### Grants

No.	Grantee	Topic	Sub-Scope	Focus	Applicable Standard(s)	Assesment Level	Date Issued
DGC-VV- 2024-01	PlaceSpeak Inc.	Digital Identity	Trusted Digital Identity	Certified B Corporation	CAN/DGSI 103- 1:2023	Class 1: Self- Assessment	2024- 01-04
DGC-VV- 2024-02	Ontario Brain Institute	Health	Health Data and Information Capability Framework	Core HDI Capabilities	CAN/DGSI 105- 5:2023	Class 2: Targeted Method	2024- 05-17

https://dgc-cgn.github.io/CAS-Digital-Trust/



# Open Discussion / Q&A



## **Digital Governance Council GitHub Repo**

#### **Digital Trust Conformity Assessment Program**

issues 3 open

Digital Governance Council Website|Conformity Assessment Schemes|Grant Registry|Public Statements|GitHub Repository|Webinar Slides



#### Objective

The Digital Trust Conformity Assessment program brings together standards, assessment methodologies, accreditation programs and communities to engender digital trust that is principles-driven, evidence-based and open-source by design.

#### Open by Design

All conformity assessments are developed in the open and are open by design. Additional details on Open Conformity Assessment

#### Accreditation

The Digital Governance Council's <u>Digital Trust Conformity Assessment Scheme</u> is being developed with overall goal of being accredited under the auspices of the Standards Council of Canada Accreditation Program.

The two programs currently under consideration for accreditation:

### Conformity Assessment Scheme: Digital Trade Documentation

Quick Links: Link to this repo | DGC | ICC |

The Digital Standards Initiative (DSI) of the International Chamber of Commerce (ICC) and the Digital Governance Council (DGC) of Canada have collaborated to develop a Technical Assessment Framework for evaluating the reliability of digital services or networks that enable the transfer of Electronic Transferable Records (ETRs) within supply chains.

#### Overview

This new framework provides a standardized method for assessing the reliability of platforms that support the use of ETRs in place of traditional paper-based trade documentation. The assessment aligns with the Model Law on Electronic Transferable Records (MLETR), offering a clear benchmark for service providers to demonstrate their platform's capability to execute reliable ETR transfers in compliance with global standards.

As more countries adopt the MLETR, this framework establishes a common market standard for evaluating the reliability of platforms handling ETRs. Service providers can use the framework to showcase their adherence to these standards, which are increasingly recognized worldwide.

#### **Development and Collaboration**

The ICC DSI and DGC have led the creation of this assessment framework with contributions from a diverse working group, including:

- · Standards bodies
- · Technical experts
- · Assessment firms
- · Commercial and industry stakeholders

The working group also received strategic guidance from the Industry Advisory Board of the ICC DSI, ensuring that the framework is robust, technically sound, and aligned with industry needs.

#### Beta Release

The assessment framework has undergone initial piloting with several ETR service providers to evaluate its utility, market relevance, and effectiveness. It is now available as a beta version for self-assessment. Plans are underway to introduce a certification program with third-party assessments.

#### **Get Started**

The finalized assessment worksheet can be downloaded here.

https://github.com/dgc-cgn/CAS-Digital-Trust

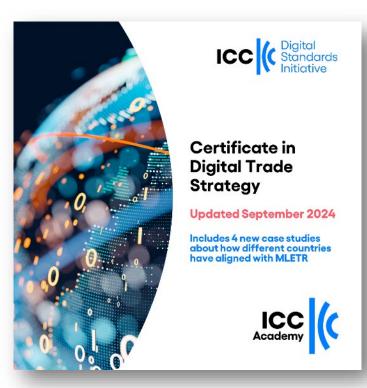
https://github.com/dgc-cgn/CAS-Digital-Trade-Documentation



# Certificate in Digital Trade Strategy



### NEW! A professional credential



**CDTS** – Updated, with new content including case studies on MLETR



MLETR Foundations – a FREE (till 31 Oct) one-hour online starter course on MLETR and digital trade



FAQ on MLETR on ICC Academy website

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<u>icc.academy/digital-trade-strategy-certificate</u> <u>icc.academy/mletr-foundations</u>