**Levels of Assurance Table - template**

This template provides a framework for documenting how Information & Binding Assurance controls with different levels are being met.

If there is no information being collected at a particular level, the relevant table can be deleted.

**Information Assurance Standard**

***Level 4 Assurance***

The following controls are for information being established at level 4. *Remove this section if no information is collected at this level.*

|  |  |
| --- | --- |
| **Information to be established at Level 4:** |  |

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| --- | --- | --- |
| **Control**  | **Level 4 assurance requirement:** | **Process** – Describe how the control is being met for the level and information. |
| **IA3.03**  | The RP verifies each piece of information using evidence at the established level of information assurance (IA):*The RP MUST select evidence that* ***is an authoritative source*** *or has a continuously synchronised link to an authoritative source, such that they are considered equal.* |  |
| **IA4.01a**  | The RP establishes the quality of the credential or database evidence is consistent with the level of information assurance (IA) required:*The RP MUST base quality on the evidence being systematically identified and accessed through a trusted communication channel.* |  |
| **IA4.01b**  | The RP establishes the quality of the subject or 3rd party statement is consistent with the level of information assurance (IA) required:*The RP MUST base the quality of the statement on a declaration or statutory declaration associated to severe penalties.* |  |
| **IA4.02a**  | The RP establishes if any evidence has a registered status (such as suspended or revoked), that makes it unusable:*The RP MUST check for registered statuses with evidence issuers or equivalent service providers.* |  |
| **IA4.02b**  | The RP establishes if any subject or 3rd party statement has a contradiction, that makes it unusable:*The RP MUST check for contradictory statements.* |  |
| **IA5.01**  | The RP applies counter fraud techniques, where possible:*The RP MUST apply counter fraud techniques.* |  |

***Level 3 Assurance***

The following controls are for information being established at level 3. *Remove this section if no information is collected at this level.*

|  |  |
| --- | --- |
| **Information to be established at Level 3:** |  |

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| --- | --- | --- |
| **Control**  | **Level 3 assurance requirement:** | **Process** – Describe how the control is being met for the level and information. |
| **IA3.03**  | The RP verifies each piece of information using evidence at the established level of information assurance (IA):*The RP MUST select evidence that* ***is a copy*** *of an authoritative source, at a minimum.* |  |
| **IA4.01a**  | The RP establishes the quality of the credential or database evidence is consistent with the level of information assurance (IA) required:*The RP MUST base quality on the evidence being manually identified and/or include physical security features that require proprietary knowledge to be able to reproduce it.* |  |
| **IA4.01b**  | The RP establishes the quality of the subject or 3rd party statement is consistent with the level of information assurance (IA) required:*The RP MUST base the quality of the statement on a declaration or statutory declaration carrying some penalties.* |  |
| **IA4.02a**  | The RP establishes if any evidence has a registered status (such as suspended or revoked), that makes it unusable:*The RP SHOULD check for registered statuses with evidence issuers or equivalent service providers.* |  |
| **IA4.02b**  | The RP establishes if any subject or 3rd party statement has a contradiction, that makes it unusable:*The RP SHOULD check for contradictory statements.* |  |
| **IA5.01**  | The RP applies counter fraud techniques, where possible:*The RP SHOULD apply counter fraud techniques.* |  |

***Level 2 Assurance***

The following controls are for information being established at level 2. *Remove this section if no information is collected at this level.*

|  |  |
| --- | --- |
| **Information to be established at Level 2:** |  |

|  |  |  |
| --- | --- | --- |
| **Control**  | **Level 2 assurance requirement:** | **Process** – Describe how the control is being met for the level and information. |
| **IA3.03**  | The RP verifies each piece of information using evidence at the established level of information assurance (IA):*The RP SHOULD select evidence that has at least* ***referenced a copy*** *of an authoritative source as part of their creation.* |  |
| **IA4.01a**  | The RP establishes the quality of the credential or database evidence is consistent with the level of information assurance (IA) required:*The RP MUST take the evidence at ‘face value’.* |  |
| **IA4.01b**  | The RP establishes the quality of the subject or 3rd party statement is consistent with the level of information assurance (IA) required:*The RP MUST ensure the statement maker is aware of the importance of the information being correct.* |  |

***Level 1 Assurance***

The following controls are for information being established at level 1. *Remove this section if no information is collected at this level.*

|  |  |
| --- | --- |
| **Information to be established at Level 1:** |  |

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| --- | --- | --- |
| **Control**  | **Level 1 assurance requirement:** | **Process** – Describe how the control is being met for the level and information. |
| **IA3.03**  | The RP verifies each piece of information using evidence at the established level of information assurance (IA):*The RP SHOULD use the entity as the evidence.* |  |
| **IA4.01a**  | The RP establishes the quality of the credential or database evidence is consistent with the level of information assurance (IA) required:*The RP MUST take the evidence at ‘face value’.* |  |
| **IA4.01b**  | The RP establishes the quality of the subject or 3rd party statement is consistent with the level of information assurance (IA) required:*The RP MUST take the evidence at ‘face value’.* |  |

**Binding Assurance Standard**

***Level 4 Assurance***

The following controls are for information being bound at level 4. *Remove this section if no information is collected at this level.*

|  |  |
| --- | --- |
| **Information to be bound at Level 4:** |  |

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| --- | --- | --- |
| **Control**  | **Level 4 assurance requirement:** | **Process** – Describe how the control is being met for the level and information. |
| **BA3.02**  | The RP binds each piece of information at the established level of binding assurance (BA) required, using the following binding factor types: • knowledge factors that are not publicly known, easily determined or predictable;• possession factors that contain enough features to assess as genuine; • biometric factors with appropriate measures to detect spoofing attempts (e.g. recordings, masks, makeup, prosthetics etc.)*The RP MUST use a biometric factor compliant with controls AA9.04, AA9.05 and AA10.01 with either of the knowledge or possession binding factor types; or an existing Authenticator or Credential of equal assurance level.* |  |
| **BA5.01**  | The RP retests Entity Binding at least once every 5 years to ensure it remains consistent with the level of binding assurance (BA) required:*The RP MUST carry out this control unless authentication events involve a biometric factor.* |  |
| **BA5.02**  | The RP applies counter fraud techniques, where possible:*The RP MUST apply counter fraud techniques.* |  |

***Level 3 Assurance***

The following controls are for information being bound at level 3. *Remove this section if no information is collected at this level.*

|  |  |
| --- | --- |
| **Information to be established at Level 3:** |  |

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| --- | --- | --- |
| **Control**  | **Level 3 assurance requirement:** | **Process** – Describe how the control is being met for the level and information. |
| **BA3.02**  | The RP binds each piece of information at the established level of binding assurance (BA) required, using the following binding factor types: • knowledge factors that are not publicly known, easily determined or predictable;• possession factors that contain enough features to assess as genuine; • biometric factors with appropriate measures to detect spoofing attempts (e.g. recordings, masks, makeup, prosthetics etc.)*The RP MUST use a minimum of 2 of the binding factor types or an existing Authenticator or Credential of equal or greater assurance level.* |  |
| **BA5.01**  | The RP retests Entity Binding at least once every 5 years to ensure it remains consistent with the level of binding assurance (BA) required:*The RP MUST carry out this control unless authentication events involve a biometric factor.* |  |
| **BA5.02**  | The RP applies counter fraud techniques, where possible:*The RP SHOULD apply counter fraud techniques.* |  |

***Level 2 Assurance***

The following controls are for information being bound at level 2. *Remove this section if no information is collected at this level.*

|  |  |
| --- | --- |
| **Information to be established at Level 2:** |  |

|  |  |  |
| --- | --- | --- |
| **Control**  | **Level 2 assurance requirement:** | **Process** – Describe how the control is being met for the level and information. |
| **BA3.02**  | The RP binds each piece of information at the established level of binding assurance (BA) required, using the following binding factor types: • knowledge factors that are not publicly known, easily determined or predictable;• possession factors that contain enough features to assess as genuine; • biometric factors with appropriate measures to detect spoofing attempts (e.g. recordings, masks, makeup, prosthetics etc.)*The RP MUST use a minimum of 1 of the binding factor types or an existing Authenticator or Credential of equal or greater assurance level.* |  |
| **BA5.01**  | The RP retests Entity Binding at least once every 5 years to ensure it remains consistent with the level of binding assurance (BA) required:*The RP SHOULD undertake this control.* |  |

***Level 1 Assurance***

The following controls are for information being bound at level 1. *Remove this section if no information is collected at this level.*

|  |  |
| --- | --- |
| **Information to be established at Level 1:** |  |

|  |  |  |
| --- | --- | --- |
| **Control**  | **Level 1 assurance requirement:** | **Process** – Describe how the control is being met for the level and information. |
| **BA5.01**  | The RP retests Entity Binding at least once every 5 years to ensure it remains consistent with the level of binding assurance (BA) required:*The RP SHOULD undertake this control.* |  |