

1. Application Package
 - i. Self-Assessment Report

Appendix C to the SALS Supplemental Terms of Use:
Form of Self-Assessment Report

**Identity Ecosystem Steering Group (IDESG)
Self-Assessment Listing Service (SALS)
Voluntary Self-Assessment Report:
Progress Towards Meeting NSTIC Goals**

This Self-Assessment Report Form is a structured opportunity for identity service providers to share, with the IDESG and identity stakeholder communities, their progress to date in implementing the IDESG **Baseline Functional Requirements**, a community-based set of criteria indicating the functional capabilities that are necessary to meet the goals of the National Strategy for Trusted Identities in Cyberspace (NSTIC), as stated in the Identity Ecosystem Framework [\[Insert Link\]](#) published by IDESG. The Self-Assessment Status Report is for entities not yet ready to attest to full compliance with all IDESG Baseline Functional Requirements. Organizations attesting to full compliance with the Requirements should apply to become a Listed Provider, as described below.

Providers are encouraged to use the Baseline Functional Requirements as guidance for the competencies necessary for full participation in safe online identity ecosystems. Providers voluntarily reporting their progress towards achieving these goals also assist IDESG, by sharing information about the feasibility and status of industry adoption of NSTIC's goals.

Providers who have successfully completed implementation of the Baseline Functional Requirements are encouraged to take an additional step, by joining the IDESG's **SALS Listed Provider** roster. IDESG has established an additional self-attestation process for these providers. Applicants who wish to become a Listed SALS Provider must (a) submit an **IDESG Self-Assessment Matrix** which shows that they have successfully implemented each of the Requirements, and (b) provide a public attestation to their successful self-assessment, on a separate form (entitled "Assessment and Confirmation") [\[URL\]](#).

Each step of the IDESG SALS process is a voluntary program. Identity service providers who choose to self-report on their progress, using this form, are *not* required to apply for Listed SALS Provider status. However, all persons providing information to IDESG for posting in the SALS program, on either form, are required to agree to the [IDESG SALS Supplemental ToU/LINK](#), which gives IDESG the necessary permissions to maintain and re-post the contributed information.

All sections of this Report form marked as mandatory ("**") must be completed in order for the form to be accepted by the SALS program. Please note that the primary purpose of this form is to confirm that IDESG has the reporting entity's permission to re-publish the results of the entity's self-assessment in public. Accordingly, please do not provide any information on the Self-Assessment Matrix that is not appropriate for wide distribution.

Part 1. Reporting Entity ("Provider") Information

[** Starred fields are mandatory]

Company Name:** [1] [Identity Ecosystem Steering Group, Inc.](#)Business Address:** [2] [1234 Main St.](#)City: [Anytown](#)State: [MD](#)Country: [USA](#)Zip: [00000](#)

Mailing Address: [3]

(If different than business address)

City:

State:

Country:

Zip:

General Company Telephone: [4] [703-555-1212](#)

FAX: [5]

Email: [6]

Point of Contact for application information: Name:** [9] [Marc Anthony Signorino](#)PoC Telephone:** [11] [617-555-1212](#) PoC email:** [10] [marcanthony@idecosystem.org](#)Company URL:** [7] [idecosystem.org](#) Identity Service specific URL: [8]

DUNS Number:** [12]

Not Applicable: ☐ ☒

[or, if no DUNS Number:]

Business Registration or Incorporation State/Locality:** [Virginia](#)Business Registration or Incorporation Date:** [October 21, 2013](#)

Business Registration or Incorporation Number:

Applicant Service Description:

(at applicant's option, for inclusion in any listing: 200 Word Limit) [14]

[IDESG offers ...](#)**Part 2. Assessed Services: We provide the following types of identity management activities or services:** [15]

[** Mandatory: Check all that apply.]

- | | | |
|-------------------------------|----------------------------------|--|
| a. Registration | [definition URL] | <input type="checkbox"/> |
| b. Credentialing | [definition URL] | <input type="checkbox"/> |
| c. Authentication | [definition URL] | <input type="checkbox"/> |
| d. Authorization | [definition URL] | <input checked="" type="checkbox"/> <input type="checkbox"/> |
| e. Transaction Intermediation | [definition URL] | <input type="checkbox"/> |

Part 3. Self-Assessment Information

[** Starred fields are mandatory]

Please see our guidance document ["Who Assesses?"] [URL] regarding who should be consulted in completing this report.

Self-Assessor (employee) Name:** [16] [Marc Anthony Signorino](#)Self-Assessor (employee) Title:** [17] [Executive Director](#)Email:** [18] [marcanthony@idecosystem.org](#)Telephone:** [19] [617-555-1212](#)

With who else in your organization may we confirm your authority to share this information on behalf of your organization?

Name: ** [16a] Salvatore D'Agostino

Title:** [17a] Chair, IDESG Board of Directors

Email:** [18a] sal@idmachines.com

Telephone: ** [19a] 978-555-1212

Part 4. Self-Assessment Report Date

*[** Mandatory: must match date on Matrix.]*

Assessment Completion Date: [21] July 1, 2015

(This is the date "as of" which your information will be reported to be current.)

A completed Self-Assessment Matrix MUST be attached to or delivered with this form, in order to make a valid complete submission.

Part 5. Agreement

I confirm as of the date indicated below that the information provided on this IDESG Self-Assessment Report, and the Self-Assessment Matrix delivered with it, regarding our organization's progress in implementing the Listing Service application and confirmation, correctly reflects the results of the Applicant's self-assessment to date, for the services indicated above. However, these results are reported for general information only, and do not create any warranty or liability to any other party.

My signature on this document indicates my acknowledgement that the supplemental IDESG Terms and Conditions [\[link to SS ToU\]](#) apply to this information and submission, and that I have been authorized by the organization named below to submit that information and agree to these terms.

Signature: [23] / S A M P L E /

Position/Title: [24] Executive Director Date [25] July 15, 2015

On behalf of: [1] Identity Ecosystem Steering Group, Inc.
[Insert name of "Provider" here]

DRAFT IDESG SELF ASSESSMENT MATRIX

Version 1.0 (landscape) 2015-07-XX

BASED ON FMO DRAFT v2.0a 20150613

Name of Applicant:

IDESG, Inc.

Contact Person Name:

Marc Anthony Signorino

Contact Person Title:

Executive Director

Date of this document:

07/01/15

[Contact Person e-mail:]

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Number	BASLINE REQUIREMENTS Description	More info	Applies to:	Status (choose one)				
INTEROP-1	Entities MUST be capable of accepting external USERS authenticated by THIRD-PARTIES.	[short url]	Authentication					X
INTEROP-2	Entities who issue credentials or assertions MUST issue them using content and methods that are capable of being consumed for multiple purposes and multiple recipients.	[short url]	Credentialing, Authentication, Authorization, Intermediation		X			
INTEROP-3	Entities that issue credentials or assertions MUST issue them in a format that conforms to public open STANDARDS listed in the IDESG Standards Registry, or if that Registry does not include feasible options, then to non-proprietary specifications listed in the IDESG Standards Inventory.	[short url]	Credentialing					X
INTEROP-4	Entities that conduct digital identity management functions MUST use systems and processes to communicate and exchange identity-related data that conform to public open STANDARDS.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
INTEROP-5	Entities MUST employ documented business policies and processes in conducting their digital identity management functions, including internally and in transactions between entities.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			

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INTEROP-6	When conducting digital identity management functions within an identity FEDERATION, entities MUST comply in all substantial respects with the published policies and system rules that explicitly are required by that FEDERATION, according to the minimum criteria set by that FEDERATION.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation					X
INTEROP-7	When conducting digital identity management functions, entities MUST comply in all substantial respects with all laws and regulations applicable to those relevant functions.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation	X				
INTEROP-8	Entities that act as intermediaries or service providers for another entity, in conducting digital identity management functions, must comply with each of the applicable IDESG Baseline Requirements that apply to that other entity and those relevant functions.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			

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PRIVACY-1	Entities MUST limit the collection, use, transmission and storage of personal information to the minimum necessary to fulfill that transaction's purpose and related legal requirements. Entities providing claims or attributes MUST NOT provide any more personal information than what is requested. Where feasible, IDENTITY-PROVIDERS MUST provide technical mechanisms to accommodate information requests of variable granularity, to support data minimization.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation	X				
PRIVACY-2	Entities MUST limit the use of personal information that is collected, used, transmitted, or stored to the specified purposes of that transaction. Persistent records of contracts, assurances, consent, or legal authority MUST be established by entities collecting, generating, using, transmitting, or storing personal information, so that the information, consistently is used in the same manner originally specified and permitted.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation	X				

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PRIVACY-3	Entities requesting attributes MUST evaluate the need to collect specific attributes in a transaction, as opposed to claims regarding those attributes. Wherever feasible, entities MUST collect, generate, use, transmit, and store claims about USERS rather than attributes. Wherever feasible, attributes MUST be transmitted as claims, and transmitted credentials and identities MUST be bound to claims instead of actual attribute values.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation	X				
PRIVACY-4	Entities MUST NOT request USERS' credentials unless necessary for the transaction and then only as appropriate to the risk associated with the transaction or to the risks to the parties associated with the transaction.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation	X				

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PRIVACY-5	Entities MUST assess the privacy risk of aggregating personal information, in systems and processes where it is collected, generated, used, transmitted, or stored, and wherever feasible, MUST design and operate their systems and processes to minimize that risk. Entities MUST assess and limit linkages of personal information across multiple transactions without the USER's explicit consent.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
PRIVACY-6	Entities MUST provide concise, meaningful, and timely communication to USERS describing how they collect, generate, use, transmit, and store personal information.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
PRIVACY-7	Entities MUST provide appropriate mechanisms to enable USERS to access, correct, and delete personal information.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
PRIVACY-8	Wherever USERS make choices regarding the treatment of their personal information, those choices MUST be communicated effectively by that entity to any THIRD-PARTIES to which it transmits the personal information.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation	X				

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PRIVACY-9	Entities MUST, upon any material changes to a service or process that affects the prior or ongoing collection, generation, use, transmission, or storage of USERS' personal information, notify those USERS, and provide them with compensating controls designed to mitigate privacy risks that may arise from those changes, which may include seeking express affirmative consent of USERS in accordance with relevant law or regulation.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		
PRIVACY-10	USERS MUST have the opportunity to decline registration; decline credential provisioning; decline the presentation of their credentials; and decline release of their attributes or claims.	[short url]	Registration, Credentialing, Authentication, Authorization	X				
PRIVACY-11	Entities MUST clearly indicate to USERS what personal information is mandatory and what information is optional prior to the transaction.	[short url]	Registration, Authorization	X				

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PRIVACY-12	Wherever feasible, entities MUST utilize identity systems and processes that enable transactions that are anonymous, anonymous with validated attributes, pseudonymous, or where appropriate, uniquely identified. Where applicable to such transactions, entities employing service providers or intermediaries MUST mitigate the risk of those THIRD-PARTIES collecting USER personal information.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
PRIVACY-13	Controls on the processing or use of USERS' personal information MUST be commensurate with the degree of risk of that processing or use. A privacy risk analysis MUST be conducted by entities who conduct digital identity management functions, to establish what risks those functions pose to USERS' privacy.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
PRIVACY-14	Entities MUST limit the retention of personal information to the time necessary for providing and administering the functions and services to USERS for which the information was collected, except as otherwise required by law or regulation.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			

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Number	BASELINE REQUIREMENTS Description	More info	Applies to:	Status (choose one)				
PRIVACY-15	Wherever feasible, identifier data MUST be segregated from attribute data.	[short url]	Registration, Credentialing, Authorization			X		
SECURE-1	Entities MUST apply appropriate and industry-accepted information security STANDARDS, guidelines, and practices to the systems that support their identity functions and services.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation	X				
SECURE-2	Entities MUST implement industry-accepted practices to protect the confidentiality and integrity of identity data - including authentication data and attribute values - during the execution of all digital identity management functions, and across the entire data lifecycle (collection through destruction).	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
SECURE-3	Entities that issue or manage credentials and tokens MUST implement industry-accepted processes to protect against their unauthorized disclosure and reproduction.	[short url]	Credentialing					X

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Number	BASELINE REQUIREMENTS Description	More info	Applies to:	Status (choose one)				
SECURE-4	Entities that issue or manage credentials and tokens MUST implement industry-accepted data integrity practices to enable individuals and other entities to verify the source of credential and token data.	[short url]	Credentialing	FULLY IMPLEMENTED	IMPLEMENTATION UNDERWAY	UNDER CONSIDERATION	NOT BEING CONSIDERED	NOT APPLICABLE
SECURE-5	Entities that issue or manage credentials and tokens MUST do so in a manner designed to assure that they are granted to the appropriate and intended USER(s) only.	[short url]	Credentialing					X
SECURE-6	Entities that issue or manage credentials MUST ensure that each account to credential pairing is uniquely identifiable within its namespace for authentication purposes.	[short url]	Credentialing, Authentication					X
SECURE-7	Entities that authenticate a USER MUST employ industry-accepted secure authentication protocols to demonstrate the USER's control of a valid token.	[short url]	Authentication					X
SECURE-8	Entities that authenticate a USER MUST offer authentication factors which augment or are alternatives to a password.	[short url]	Authentication					X

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SECURE-9	Entities MUST have a risk assessment process in place for the selection of authentication mechanisms and supporting processes.	[short url]	Authorization			X		
SECURE-10	Entities that provide and conduct digital identity management functions MUST have established policies and processes in place to maintain their stated assurances for availability of their services.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
SECURE-11	Entities that use cryptographic solutions as part of identity management MUST implement key management policies and processes that are consistent with industry-accepted practices.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation					X
SECURE-12	Entities that issue credentials and tokens MUST implement methods for reissuance, updating, and recovery of credentials and tokens that preserve the security and assurance of the original registration and credentialing operations.	[short url]	Registration, Credentialing					X
SECURE-13	Entities that issue credentials or tokens MUST have processes and procedures in place to revoke invalidated credentials and tokens.	[short url]	Registration, Credentialing					X

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SECURE-14	Entities conducting digital identity management functions MUST log their transactions and security events, in a manner that supports system audits and, where necessary, security investigations and regulatory requirements. Timestamp synchronization and detail of logs MUST be appropriate to the level of risk associated with the environment and transactions.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		
SECURE-15	Entities MUST conduct regular audits of their compliance with their own information security policies and procedures, and any additional requirements of law, including a review of their logs, incident reports and credential loss occurrences, and MUST periodically review the effectiveness of their policies and procedures in light of that data.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		

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USABLE-1	Entities conducting digital identity management functions MUST apply user-centric design, and industry-accepted appropriate usability guidelines and practices, to the communications, interfaces, policies, data transactions, and end-to-end processes they offer, and remediate significant defects identified by their usability assessment.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		
USABLE-2	Entities MUST assess the usability of the communications, interfaces, policies, data transactions, and end-to-end processes they conduct in digital identity management functions.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		
USABLE-3	Information presented to USERS in digital identity management functions MUST be in plain language that is clear and easy for a general audience or the transaction's identified target audience to understand.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
USABLE-4	All choices, pathways, interfaces, and offerings provided to USERS in digital identity management functions MUST be clearly identifiable by the USER.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		

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USABLE-5	All digital identity management functions MUST make reasonable accommodations to be accessible to as many USERS as is feasible, and MUST comply with all applicable laws and regulations on accessibility.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		
USABLE-6	All communications, interfaces, policies, data transactions, and end-to-end processes provided in digital identity management functions MUST offer a mechanism to easily collect USERS' feedback on usability.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation				X	
USABLE-7	Wherever public open STANDARDS or legal requirements exist for collecting user requirements, entities conducting digital identity management functions MUST offer structured opportunities for USERS to document and express their interface and accessibility requirements, early in their interactions with those functions. Entities MUST provide a response to those user requirement communications on a reasonably timely basis.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		

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Recommended Best Practices:

INTEROP-BP-A

Entities SHOULD utilize services and systems that allow for identity account portability; specifically:

- (a) IDENTITY-PROVIDERS SHOULD provide an easy to use method to allow to switch to a new provider(s).
- (b) IDENTITY-PROVIDERS SHOULD provide departing USERS a mechanism to link their RELYING-PARTY accounts with their new provider(s).
- (c) RELYING-PARTIES SHOULD provide USERS with a mechanism to associate multiple credentials to a single account.
- (d) RELYING-PARTIES SHOULD provide USERS with a mechanism to have a single account per credential.
- (e) IDENTITY-PROVIDERS SHOULD utilize services and systems that allow for affordable identity account portability.
- (f) Wherever feasible, IDENTITY-PROVIDERS SHOULD provide USERS with a mechanism for portability of their privacy and other USER preferences.

[short url]

Registration, Credentialing,
Authorization

X

DRAFT IDESG SELF ASSESSMENT MATRIX

Version 1.0 (landscape) 2015-07-XX

BASED ON FMO DRAFT v2.0a 20150613

Name of Applicant:

IDESG, Inc.

Contact Person Name:

Marc Anthony Signorino

Contact Person Title:

Executive Director

Date of this document:

07/01/15

[Contact Person e-mail:]

**THIS IS A
DRAFT
SAMPLE ONLY**

This document is part of the IDESG Self-Assessment Listing Service program. Before completing this, please review the Instructions: [URL] The IDESG Baseline Functional Requirements and supplemental information also can be found here: [URL]

FULLY IMPLEMENTED	IMPLEMENTATION UNDERWAY	UNDER CONSIDERATION	NOT BEING CONSIDERED	NOT APPLICABLE
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Number	BASELINE REQUIREMENTS Description	More info	Applies to:	Status (choose one)				
INTEROP-BP-B	Entities that conduct digital identity management functions SHOULD utilize systems and processes to communicate and exchange identity-related data that conform to public open STANDARDS listed in the IDESG Standards Registry, or if that Registry does not include feasible options, then to nonproprietary specifications listed in the IDESG Standards Inventory.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		
INTEROP-BP-C	Entities SHOULD utilize stable, published common taxonomies to enable semantic interoperability of attributes, and SHOULD use public open STANDARDS for those taxonomies when operating within communities where such STANDARDS have been established.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation				X	
INTEROP-BP-D	Entities SHOULD employ stable, published common formal models and business processes for digital identity management functions, and SHOULD use public open STANDARDS for those models and processes where such STANDARDS have been established and are appropriate for those functions.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation				X	

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Number	BASELINE REQUIREMENTS Description	More info	Applies to:	Status (choose one)				
INTEROP-BP-E	Entities SHOULD implement modular identity components in their digital identity management functions.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation				X	
INTEROP-BP-F	Entities SHOULD be accountable for conformance to the IDESG Baseline Requirements, by providing mechanisms for auditing, validation, and verification.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
INTEROP-BP-G	Entities SHOULD provide effective redress mechanisms for, and facilitation on behalf of, USERS who believe they have been harmed by the entity's failure to comply with the IDESG Baseline Requirements.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation		X			
PRIVACY-BP-A	Entities SHOULD determine the necessary quality of personal information used in their digital identity management functions based on the risk of those functions and the information, including risk to the USERS involved.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		

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Number	BASELINE REQUIREMENTS Description	More info	Applies to:	Status (choose one)				
PRIVACY-BP-B	Wherever feasible, privacy requirements and policies SHOULD be implemented through technical mechanisms. Those technical privacy controls SHOULD be situated as low in the technology stack as possible.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		
PRIVACY-BP-C	Entities SHOULD provide short, clear notice to USERS of the consequences of declining to provide mandatory and optional personal information.	[short url]	Registration, Authorization		X			
USABLE-BP-A	Entities conducting digital identity management functions SHOULD offer persistent opportunities for USERS to document and communicate their unique requirements about their attributes and how they are used. Entities SHOULD provide good-faith responses to those communications about requirements, before the USER is asked to agree to share their attributes.	[short url]	Registration, Credentialing, Authentication, Authorization, Intermediation			X		