

1



2

3

## Identity Assurance Framework - Assurance Assessment Scheme

4

5

6

7

**Identity:** IAF-1300

8

**Version:** draft 0.8

9

**Date:** 2009-07-08

10

**Editor:** Richard G. Wilsher

11

Zygma LLC

12

### **Contributors:**

13

See the extensive contributors list in:

14

[http://projectliberty.org/resource\\_center/specifications/iaf](http://projectliberty.org/resource_center/specifications/iaf)

15

### **Abstract:**

16

The Liberty Alliance Project Identity Assurance Expert Group (IAEG) was formed to

17

foster adoption of identity trust services. The primary deliverable of the IAEG is the

18

Liberty Identity Assurance Framework (IAF); this document describes the IAF's

19

Assurance Assessment Scheme (AAS) a component of the IAF. The AAS consists of a

20

set of requirements which assessors must fulfill in order to become 'Liberty-Accredited',

21

a statement of applicable 'credit' granted to assessor applicants with certain prior-

22

qualifications, a description of the application processes from both the Liberty

23

perspective and the applicant's, and guidance on undertaking assessments which will

24

benefit both Liberty-accredited Assessors and Credential Service Providers having their

25

services assessed against the IAF SACs. These processes are underpinned by a number

26

of agreements and records.

27

**Filename:**

28  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55

**Notice:**

This document has been prepared by Sponsors of the Liberty Alliance. Permission is hereby granted to use the document solely for the purpose of implementing the Specification. No rights are granted to prepare derivative works of this Specification. Entities seeking permission to reproduce portions of this document for other uses must contact the Liberty Alliance to determine whether an appropriate license for such use is available.

Implementation or use of certain elements of this document may require licenses under third party intellectual property rights, including without limitation, patent rights. The Sponsors of and any other contributors to the Specification are not and shall not be held responsible in any manner for identifying or failing to identify any or all such third party intellectual property rights. **This Specification is provided "AS IS," and no participant in the Liberty Alliance makes any warranty of any kind, expressed or implied, including any implied warranties of merchantability, non-infringement of third party intellectual property rights, and fitness for a particular purpose.** Implementers of this Specification are advised to review the Liberty Alliance Project's website (<http://www.projectliberty.org/>) for information concerning any Necessary Claims Disclosure Notices that have been received by the Liberty Alliance Management Board.

Copyright 2007-2009: The content of this document is copyright of the Liberty membership. For an up-to-date list of copyright holders refer to:  
[http://projectliberty.org/resource\\_center/specifications/iaf](http://projectliberty.org/resource_center/specifications/iaf)

All rights reserved.

**CONTENTS**

56

57

58 **1 INTRODUCTION .....5**

59 1.1 Reference to Authoritative Bodies .....5

60 1.2 Summary of Grant Categories and Evaluation.....6

61 **2 GLOSSARY .....7**

62 **3 REVIEW BOARD AND SECRETARIAT .....8**

63 3.1 Authoritative Bodies .....8

64 3.1.1 Assurance Review Board .....8

65 3.1.2 Assessors as Authoritative Bodies .....8

66 3.1.3 Service Approval Authorities as Authoritative Bodies .....8

67 3.2 Secretariat .....8

68 **4 GENERAL ASSESSMENT RESPONSIBILITIES & PROCEDURES .....9**

69 4.1 Receipt of Applications .....9

70 4.2 Evaluation of Applications .....10

71 4.3 Grant of Rights of Use (to the Liberty Mark) .....11

72 4.4 Appeal of Decision .....12

73 4.5 Termination of Application.....13

74 4.6 Oversight of Grantees .....14

75 4.7 Revocation of Grant.....15

76 4.8 Annual Conformity Review .....16

77 4.8.1 Introduction.....16

78 4.8.2 Process.....16

79 **5 APPLICANT’S GENERAL RESPONSIBILITIES AND ACTIONS .....17**

80 5.1 Submission of Applications .....17

81 5.2 Assessment of Applications.....17

82 5.3 On Receiving a Grant of Rights of Use (to the Liberty Mark) .....18

83 5.4 Right of Appeal .....18

84 5.5 Termination of Application.....19

85 5.6 Response to Oversight .....19

86 5.7 Revocation of Grant.....19

87 **6 EVALUATION: APPROVED SERVICE .....21**

88 6.1 Overview .....21

89 6.2 Type of Grant.....21

90 6.3 Authoritative Body.....21

91 6.4 Application document.....21

92 6.4.1 Application format .....22

93 6.5 Basis of Evaluation .....24

94 6.6 Agreement document.....24

95 6.7 Specific Evaluation Steps .....24

96 6.8 Annual Conformity Review .....25

97 6.8.1 ACR (Approved Service) form.....25

98	6.9	Assessment of Services .....	26
99	6.9.1	Contracting for Assessment .....	26
100	6.9.2	Performing the Assessment .....	26
101	<b>7</b>	<b>EVALUATION: ACCREDITED ASSESSOR.....</b>	<b>28</b>
102	7.1	Overview .....	28
103	7.2	Type of Grant.....	28
104	7.3	Authoritative Body.....	28
105	7.4	Application document.....	28
106	7.4.1	Application format .....	28
107	7.5	Basis of Evaluation .....	31
108	7.6	Agreement document.....	31
109	7.6.1	Agreement Terms .....	31
110	7.7	Specific Evaluation steps.....	33
111	7.8	Annual Conformity Review .....	33
112	7.8.1	ACR (Accredited Assessor) form.....	34
113	7.9	Performing the Assessment .....	35
114	7.9.1	Process.....	35
115	<b>8</b>	<b>EVALUATION: SERVICE APPROVAL AUTHORITY .....</b>	<b>36</b>
116	8.1	Overview .....	36
117	8.2	Type of Grant.....	36
118	8.3	Authoritative Body.....	36
119	8.4	Application document.....	36
120	8.5	Basis of Evaluation .....	36
121	8.6	Agreement document.....	37
122	8.7	Specific Evaluation steps.....	37
123	8.8	Annual Conformity Review .....	37
124	<b>9</b>	<b>EVALUATION: RECOGNIZED FEDERATION OPERATOR .....</b>	<b>38</b>
125	9.1	Overview .....	38
126	9.2	Type of Grant.....	38
127	9.3	Authoritative Body.....	38
128	9.4	Application document.....	38
129	9.5	Basis of Evaluation .....	38
130	9.6	Agreement document.....	39
131	9.7	Specific Evaluation steps.....	39
132	9.8	Annual Conformity Review .....	39
133			

## 134 **1 INTRODUCTION**

---

135 The ultimate goal of the Liberty Identity Assurance Framework (IAF) is the facilitation of intra- and  
136 inter-Federation transactions based upon a range of identity credentials, across a number of levels of  
137 assurance, in which Relying Parties can have the confidence that the credentials bearing the Liberty  
138 Mark are worthy of their trust.

139 To accomplish this Liberty operates an Assurance Assessment Scheme (AAS), a scheme which assesses  
140 the operating standards of certain players in the Identity and Credential Assurance Management space  
141 against strict criteria, and grants to candidates of the scheme the right to use the Liberty Mark, a symbol  
142 of trustworthy identity and credential management services at specified Assurance Levels.

143 The AAS grants rights of use of the Liberty Mark to:

- 144 i) services, operated by their providers as Liberty-Approved Services;
- 145 ii) assessors, assessing those services as Liberty-Accredited Assessors;
- 146 iii) approval authorities, who, under delegated authority, assess services, as Liberty Service Approval  
147 Authorities (SAA), and;
- 148 iv) federation operators which represent communities of users which agree to recognize Liberty-  
149 marked functions of all kinds, as Liberty-Certified Federations.

150 A common model is used as the basis for all evaluations of these various parties for receiving the rights  
151 to use of the Liberty Mark, varying only in terms of who is the approved assessment body, against  
152 which criteria applicants are assessed, the mutual obligations which are established between Liberty  
153 and the application / grant holder, and the nature of the grant of rights.

154 These are summarized in the table below and this document sets out in detail the discrete processes for  
155 each case. A complete Overview of the Liberty Identity Assurance Framework can be found [here](#) and  
156 other key documents are linked-to in this table, as is the applicable part in this document.

157 Part I (i.e. this part) of this document describes the generic procedures and rules which shall be applied  
158 in handling applications for any of the types of Grants of Rights of Use (Grants) which may be awarded  
159 in connection with the Liberty Mark. Parts II to V of this document describe type-specific  
160 requirements, in the sub-clauses of which any text [within square brackets, thus] refers to the heading  
161 of that title in the type-specific Parts.

### 162 **1.1 Reference to Authoritative Bodies**

163 Where, in the remainder of this document, reference is made to ‘Liberty’ or the ‘ARB’ (Accreditation  
164 Review Board) such reference may be taken as meaning any other Authoritative Body and its parent  
165 organization, where the context so permits, based upon clause 3.1 (see also the following Table).

166 **1.2 Summary of Grant Categories and Evaluation**

167

Grant Category ...	Authoritative body	Application Document	Applicable assessment criteria or requirements	Applicable agreement (with the applicable authoritative body)	Described in Clause ...
Approved Service	Liberty <a href="#">Assurance Review Board</a> OR <a href="#">Service Approval Authority</a> (by delegation) OR <a href="#">Certified Federation Operator</a> (by delegation)	<a href="#">Application for Liberty Approval</a>	<a href="#">Liberty Assessment Report</a>	<a href="#">Service Provider Agreement</a>	6
	<a href="#">Accredited Assessors</a>	-	<a href="#">Service Assessment Criteria</a> <i>«link to doc»</i>		
Accredited Assessor	<a href="#">Liberty Management Board</a>	<a href="#">Application for Liberty Accreditation</a>	<a href="#">Assessor Qualifications &amp; Experience Requirements</a> <i>«link to doc»</i>	<a href="#">Liberty-Accredited Assessor's Agreement</a>	7
Service Approval Authority	<a href="#">Liberty Management Board</a>	<a href="#">Application for Service Approval Authority</a>	Service Approval Authority Requirements <i>«link to doc, when available»</i>	<a href="#">Liberty Service Approval Authority's Agreement</a>	8
Certified Federation	<a href="#">Liberty Management Board</a>	<a href="#">Application for Liberty Recognition</a>	Federation Operator Rules & Guidance <i>«link to doc, when available»</i>	<a href="#">Liberty-Recognized Federation Operator's Agreement</a>	9

---

## 170 2 GLOSSARY

---

171 The following terms are used in this document with these specific meanings:

172 Grant Category one of the specific purposes for which the Liberty Mark may be used by a  
173 third party, being one of:  
174 Approved Service;  
175 Accredited Assessor;  
176 Service Approval Authority;  
177 Certified Federation Operator.

178 Grant (of Rights of Use) The Granting, by the Liberty Alliance Management Board (LAMB) or  
179 another authoritative body to which the LAMB has given a delegated  
180 authority (itself via a Grant) to use of the Liberty Mark for a specific Grant  
181 Category.

182 Grantee an organization to which a Grant of Rights of Use of the Liberty Mark has  
183 been awarded.

## 184 **3 REVIEW BOARD AND SECRETARIAT**

---

### 185 **3.1 Authoritative Bodies**

186 Applications submitted using the appropriate [Application document] shall be evaluated, decided and  
187 overseen by recognized Authoritative Bodies. Where this term is used in this document it shall apply to  
188 whichever of the following three bodies is carrying the authority for executive decisions in the context  
189 being discussed.

#### 190 **3.1.1 Assurance Review Board**

191 The principle authoritative body shall be the Liberty Alliance Management Board (LAMB) which shall,  
192 at all times, be the final arbiter on all decisions concerning use of the Liberty Mark. The constitution of  
193 the LAMB is beyond the scope of this document.

194 The operational authoritative body shall be the Assurance Review Board (ARB) which shall have  
195 delegated authority from the LAMB to undertake evaluations of all types of applications for a Grant of  
196 Rights of Use of the Liberty Mark and shall make recommendations to the LAMB for the award or  
197 denial of such Grants.

198 The constitution and authority of the Assurance Review Board is determined by the LAMB.

#### 199 **3.1.2 Assessors as Authoritative Bodies**

200 Liberty-Accredited Assessors have the authority to make certification decisions based upon the terms of  
201 their Liberty accreditation and their capabilities as assessors, and the ARB (or its equivalent where a  
202 Service Approval Authority is acting as the authoritative body) shall make its recommendations  
203 concerning the granting of Liberty-Approved Service status based upon the certification decision.

#### 204 **3.1.3 Service Approval Authorities as Authoritative Bodies**

205 Liberty Service Approval Authorities (SAA) have the delegated authority to review applications for and  
206 make recommendations to the LAMB concerning the granting of Liberty-Approved Service status  
207 based upon a Liberty-Accredited Assessors' certification decision.

### 208 **3.2 Secretariat**

209 Authoritative Bodies shall be supported by an administrative function known as the Secretariat, which  
210 shall be responsible for the receipt and handling of applications, checking that all necessary supporting  
211 documents and processes are complied with, communicating with the Applicant, providing a package  
212 for evaluation to the ARB for its consideration, and all other necessary supportive functions not  
213 requiring the executive or operational authority of the LMB and ARB (or their equivalents where  
214 delegated authority prevails).



## 215 **4 GENERAL ASSESSMENT RESPONSIBILITIES & PROCEDURES**

---

216 This clause describes the general processes for conducting an evaluation of any application for the  
217 Grant of Rights of Use for one of the Liberty IAF Grant Categories.

### 218 **4.1 Receipt of Applications**

219 Applicants will complete and submit electronically the appropriate on-line [Application document],  
220 describing the scope and/or purpose of their application and initiating thereby the initial processing  
221 functions.

222 Because of the high value and integrity placed upon the Liberty Mark, Liberty will protect against the  
223 potential misuse of its Mark by requiring that, in each case, Applicants sign an Agreement prior to  
224 seeking evaluation of their service(s). Each application includes the Applicant's commitment to the  
225 terms and conditions defined in the appropriate [Agreement document]. These terms and conditions  
226 address the complete life-cycle of participation in the AAS: application for a Grant of Rights of Use,  
227 withdrawal of application (without receipt of a Grant of Rights of Use), during the period in which a  
228 Grant of Rights of Use is awarded, after termination of a Grant of Rights of Use, and the Applicant's  
229 signature to the appropriate [Agreement document] at the time of Application shall bind them to the  
230 terms and conditions at all stages of participation in the AAS thereafter.

231 Receipt of an [Application document] shall cause an automatic acknowledgement which shall be sent to  
232 the email of record (by reference to the application form). This shall be automatically copied to the  
233 Liberty Secretariat as a stimulus to initiate the processing of the application.

234 The ARB reserves the right to reject an application without any effort to validate it if, within the  
235 preceding three month period, the ARB has ultimately denied an application from the Applicant, either  
236 for the same or any different purpose(s).

237 Where the Authoritative Body is *not* the Liberty ARB then the applicable Secretariat should contact the  
238 Liberty Secretariat to ensure that the applicant has not made and been denied any submissions through  
239 other recognized Authoritative Bodies.

240 When no such limitation exists, on receipt of an Application the Secretariat shall undertake the  
241 following validations:

- 242 1. review the application for completeness, including the accessibility of attached documents  
243 (where not protected and presently un-accessible). Ability to access should be attempted for all  
244 documents submitted with the application, to ensure that protected documents are so-protected<sup>1</sup>;

---

<sup>1</sup> This measure is intended to protect Liberty: in the event that a document intended to have protective measures applied is found to be wanting in its protections this check enables Liberty to give notice to the Applicant at the earliest possible opportunity and to determine corrective measures in concert with the Applicant.

- 245 2. confirm by voice, using the telephone contact number of record (by reference to the application  
246 form), that an application has indeed been submitted and then confirm the name, affiliation and  
247 e-mail address of the Applicant's Point-of-Contact (APoC)<sup>2</sup> and the purpose of the application  
248 (given that multiple application forms will be available);
- 249 3. advise the APoC of any irregularities with the application and seek whatever clarification is  
250 necessary, including dealing with any documents which are insufficiently protected;
- 251 4. agree a secure means of exchanging with the APoC any secrets required to enable Liberty to  
252 access the application's contents (either as submitted or as to be submitted);
- 253 5. agree with the APoC the means by which any non-included documents are to be submitted by  
254 other means/media;
- 255 6. where required and possible, validate any claims made in the application;
- 256 7. ensure all necessary fees have been paid and have cleared;
- 257 8. execute the above steps until all pre-requisites have been fulfilled and all documentation  
258 received.

259 Some additional [Specific Evaluation steps] may need to be undertaken, depending upon the particular  
260 type of application being made.

261 When the above, and any specific, steps have been satisfactorily concluded the Secretariat shall:

- 262 9. advise the APoC that the application has been found fit for evaluation, and;
- 263 10. pass the application to the Chairman of the ARB.

## 264 **4.2 Evaluation of Applications**

265 On notification that a complete application is ready for evaluation the Chairman of the ARB shall, in  
266 conjunction with other Board members:

- 267 1. review the application with regard to its scope and the supporting material;
- 268 2. determine the required evaluation effort and agree with the other ARB members a plan for the  
269 evaluation;
- 270 3. disseminate the application package, in part or whole, to the ARB members;
- 271 4. notify the Applicant (via the Secretariat) of the anticipated date on which a decision will be  
272 declared (typically one month or less shall be the target).

273 Appointed ARB members shall then review the application and supporting documents within their  
274 terms of reference as assigned by the Chairman of the ARB (who may choose to assign specific focuses

---

<sup>2</sup> Submission of the [on-line submission form](#) cannot be executed unless the Applicant's PoC has been obliged to scroll-through all the Terms of Application and indicate acceptance of the terms, on behalf of the Applicant, hence such a specific check with the APoC to this effect is not required to be performed by the Secretariat.

275 to specific ARB members either because of their particular skills as apply to the application, or  
276 potentially to avoid any conflict of interests).

277 Evaluation of the application shall progress along the following lines, according to the specific purpose.  
278 Some additional [Specific Evaluation steps] may need to be undertaken, depending upon the particular  
279 type of application being made:

- 280 5. in ensuring that supporting evidence provided fulfills each requirement the ARB shall apply  
281 whatever measures and expectations it considers reasonable. Whilst guidance may be given  
282 with regard to the expected form of conformity (or evidence of such) the ARB is in no sense  
283 constrained by the scope of that guidance and shall assess any material provided by the  
284 Applicant in support of its compliance. The ARB may, furthermore, ask for clarification or  
285 additional evidence in support of the application where it finds wanting the material submitted;
- 286 6. requests for clarification or additional material shall be made to the APoC and recorded, as shall  
287 be the Applicant's response, in whatever form;
- 288 7. for each evaluation Requirement, determination of conformity shall be made and recorded in the  
289 records of the application;
- 290 8. after all evidence has been assessed the Chairman of the ARB shall call a meeting at which the  
291 Board shall consider the assessment findings and determine its recommendation as to whether  
292 the application should be: Granted unconditionally; Granted with conditions, or; Denied, with  
293 justification;
- 294 9. the ARB's recommendation shall be communicated to the Approval Authority;
- 295 10. the Approval Authority shall take a decision, based upon the ARB's recommendation and any  
296 other considerations the Approval Authority deems necessary, which shall be conveyed in  
297 writing by the Secretariat to the Applicant.

298 It is the intention and expectation that, in evaluating an application, there will be no need to visit the  
299 Applicant's premises. This expectation is based largely on the notion that Applicants with prior  
300 qualifications will have been sufficiently rigorously evaluated already in order to attain those  
301 qualifications. Should an Applicant have few prior qualifications the evaluation will naturally be at a  
302 more detailed level than one where prior qualifications abound, and in such a circumstance the ARB  
303 may feel that it is necessary to visit the Applicant's premises. Such an event should be the exception  
304 rather than the rule.

305 When accreditation is granted with conditions the applicable conditions should be such that their  
306 cause(s) can be addressed and resolved within a six month period of the grant.

### 307 **4.3 Grant of Rights of Use (to the Liberty Mark)**

308 When the application is to be granted (and if conditional, after any appeal has been heard and a final  
309 decision made), the following actions shall be performed:

- 310 1. the Applicant shall be asked to reaffirm its commitment to the terms and conditions defined in  
311 the appropriate [Agreement document].<sup>3</sup>;
- 312 2. a ‘Grant Id’ will be allocated (using the format ‘LIAF/«type»/«yy».«nn»/«iss»’, where:  
313 «type» is the [Type of Grant],  
314 «yy» is the year as two digits,  
315 «nn» is a sequence beginning at 01 each new year) and,  
316 «iss» is the three-letter code allocated by Liberty to the Authoritative Body’s parent  
317 organization (Liberty shall use ‘LBY’);
- 318 3. based upon the [Applicable Mark], a seal (constituting a signed logo associated to unique  
319 identifiers) shall be created and issued to the Applicant as a part of formal notice of the  
320 [Applicable Grant], with any conditions stated;
- 321 4. the validity period of the Grant shall be set at three years subject to the continued adherence to  
322 conformity terms and conditions defined in the appropriate [Agreement document];
- 323 5. where the Grant is conditional, a review schedule shall be set to ensure that the Applicant  
324 provides, within the required timescale, adequate grounds for the removal of the conditions,  
325 without which the Grant shall lapse at the expiry of that timescale;
- 326 6. if the Authoritative Body is *not* the Liberty ARB then that body shall notify the Liberty  
327 Secretariat of the required details of the Grant;
- 328 7. Liberty shall update the [Liberty Trust Status List](#) with details of the new Grantee within two  
329 business days.

#### 330 4.4 Appeal of Decision

331 Should an Applicant appeal against either a Grant with conditions or a denial with justifications the  
332 ARB shall second three additional members to act as *ad hoc* Board members (the Appeal Board).  
333 These three *ad hoc* members shall be drawn from the IAEG membership and shall be acceptable to  
334 both the Chairman of the ARB and to the APoC, each of whom shall use their best endeavors to find  
335 mutually-acceptable members. However, in the event that three mutually-acceptable members cannot  
336 be found within one calendar month of the appeal being lodged the Chairman of the ARB shall have the  
337 right to appoint three members without further referral to the APoC.

338 Where the Authoritative Body is *not* the Liberty ARB, the appeal shall be passed to the Liberty ARB  
339 from whose membership shall be constituted the Appeal Board.

340 The Appeal shall be heard within a two week period of the Appeal Board being established. The  
341 Appeal Board will review the appeal and its rationale for countering the original findings and make a

---

<sup>3</sup> Applicants will have become bound to the terms of the agreement at the time of their initial application. This activity on Granting Rights of Use should merely reiterate the terms to the incipient Grantee and seek their affirmation and acknowledgement.

342 recommendation, which shall be one of: uphold the appeal (i.e. condition(s) removed in full); partially  
343 uphold the appeal with revised condition(s); deny the appeal outright.

344 During the appeal review the Appeal Board shall review the original ARB findings, the Applicant's  
345 appeal justification and shall seek from the original ARB members, the independent advisor and the  
346 Applicant such further information as the Appeal Board deems fit. After consideration of all pertinent  
347 facts, which may include seeking further information from the Applicant, the Appeal Board shall make  
348 a recommendation to the Chairman of the original ARB, indicating whether the recommendation is  
349 unanimous or split 2-1.

350 The Chairman of the original ARB shall make a final decision based upon the Appeal Board's  
351 recommendation and shall have that decision communicated in writing by its Secretariat to the  
352 Applicant and to the Appeal Board. A final appeal decision shall have no further recourse.

353 There is no defined process for handling an appeal against an unconditional Grant.

## 354 **4.5 Termination of Application**

355 An Application shall be considered terminated under any of the following circumstances:

- 356 1. if at any time during the receipt of an application, should the Applicant either choose to  
357 withdraw its application or fail to fulfill any justifiable requests made of it by the Secretariat  
358 within three weeks of the request (or within any other timescale which the Secretariat accepts);
- 359 2. if, during the processing of an application, the ARB considers that the Applicant does not fulfill  
360 the requirements, in fact or in spirit, and on being so advised the Applicant chooses to  
361 voluntarily withdraw their application;
- 362 3. in the event that an Application and any subsequent appeal is denied.

363 On termination of an application the Secretariat shall:

- 364 4. advise the APoC in writing of the termination, giving the reasons why;
- 365 5. allow a period of two weeks, within which (where no right of appeal has been exhausted) any  
366 notice of intention to appeal the termination must be received so as to be processed, and in the  
367 absence of any such notification (or after a final decision denying an appeal) and within a  
368 further two week period, destroy all record of and documents related to the application, save the  
369 basic administrative data required to record the fact that an application was received in the name  
370 of the Applicant and terminated for the reasons determined, which shall be recorded, including  
371 record of the date, time and means of notice of termination and of the destruction of related  
372 materials<sup>4</sup>; ensuring that the Applicant receives a written confirmation that their protected  
373 materials have been securely disposed-off.

---

<sup>4</sup> Destruction of data shall be according to the National Industrial Security Program Operating Manual / DoD 5220.22-M, §5-7 (physical media) and §8-301 (electronic media), the latter requiring three-times over-write sanitization of electronic storage media, rather than physical destruction.

374 6. return any fees due (refer to [Schedule of Fees and Related Terms](#)).

## 375 **4.6 Oversight of Grantees**

376 Oversight of Grantees shall be effected by:

- 377 1. the Secretariat establishing at the time of granting any rights of use a schedule allowing for:
- 378 a. review and removal of any conditions on which the Grant was conditionally awarded;
- 379 b. annual review by the ARB of the Applicant's standing with regard to the circumstances
- 380 defined by the initial application and supporting evidence, and;
- 381 c. submission by the Grantee of evidence of renewal of any prior qualification(s), to which the
- 382 Grant was subject, which will lapse during the period of accreditation;
- 383 2. the ARB exercising review and validation of conformity and currency at points defined in the
- 384 plan required by the preceding clause;
- 385 3. according to the degree of reliance upon prior qualifications (i.e., the greater the reliance, the
- 386 less necessary is this measure), periodic re-assessment by the ARB of selected areas of
- 387 conformity, based on a random sampling technique (which the ARB shall determine at its
- 388 discretion alone);
- 389 4. re-assessment by the ARB in response to any observed or reported deficiency or other event
- 390 which may give cause for concern as to the degree of conformity being exercised by the
- 391 Grantee.

392 In the event that oversight identifies rise for concern then the ARB shall investigate further the

393 circumstances and determine whether any corrective action is required, e.g. as allowed for under

394 §4.7(3).

395 Annual review (1(a) above) shall be undertaken against a submission of the [Applicable Annual

396 Conformity Review] by the Grantee. This is intended to identify any revisions to status of prior

397 qualifications and submitted evidence since the initial application or previous annual review. Any new

398 material submitted shall be subject to assessment using the validation techniques applied for the initial

399 application assessment.

400 Review of renewal of any prior qualification(s) (1(b) above) shall be undertaken by receipt of evidence

401 of the renewed qualification using the validation techniques applied for the initial application

402 assessment.

403 Oversight also requires revision of the [Liberty Trust Status List](#) in response to any notification of a

404 change in the Grantee's status or of any service to which they may have awarded a Grant.

405 Should the [Applicable Requirements] be revised all current Applicants and Grantees shall be explicitly

406 notified of the availability of the new versions including identification of all pertinent changes.

407 Existing Grantees shall be allowed twelve months (fifteen months where publication occurs within

408 three calendar months of an Annual Conformity review) in which to comply with the new requirements.

409 Current Applicants shall be required to make any necessary revisions to their application to bring them

410 into lines with the revisions.



411 Any revisions to the [Applicable Agreement] shall become effective immediately, subject to a  
412 consultation period having been offered to all current Grantees and Applicants at least four weeks prior  
413 to the revisions becoming effective.

## 414 **4.7 Revocation of Grant**

415 A Grantee shall have its Grant revoked under any of the following circumstances:

- 416 1. if it chooses to terminate or let lapse its Grantee status;
- 417 2. if at any time during the validity of its Grant a complaint against the Grantee is received and,  
418 after investigation, is upheld beyond any allowed appeal;
- 419 3. if, for any reason, the circumstances of the Grantee or its service have diverged from that  
420 described in the current application package (including any approved revisions subsequent to  
421 the Grant being awarded) such that corrective action to restore conformity cannot be taken  
422 either at all or in a timely fashion;
- 423 4. non-payment of renewal fees.

424 Divergence of a Grantee or its service from that described in the current application package may not  
425 necessarily be a negative event, e.g. the ownership of the Grantee may change such that a conflict of  
426 interest comes into existence, or a non-trivial enhance or revision to the service terms or processes. On  
427 the other hand, dereliction on the part of the Grantee, failure to honor the terms of the [Applicable  
428 Agreement] or loss of a prior qualification to which the Grant was subject would be less positively-  
429 viewed developments, demanding the ARB's intervention.

430 On revocation of Grant status the Secretariat shall:

- 431 5. advise the APoC in writing of the revocation, giving the reasons why;
- 432 6. destroy all record of and documents related to the Grant, save the basic administrative data  
433 required to record the fact that an application was received in the name of the Applicant and  
434 revoked for the reasons determined, which shall be recorded, including record of the date, time  
435 and means of notice of revocation and of the destruction of related materials<sup>5</sup>;
- 436 7. return any fees due (refer to [Schedule of Fees and Related Terms](#))
- 437 8. if the Authoritative Body is *not* the Liberty ARB then that body shall notify the Liberty  
438 Secretariat of the required details of the change in status of the Grantee;
- 439 9. Liberty shall update the [Liberty Trust Status List](#) with the revised status details of the Grantee.

440

---

<sup>5</sup> Destruction of data shall be according to the National Industrial Security program Operating Manual / DoD 5220.22-M, §5-7 (physical media) and §8-301 (electronic media), the latter requiring three-times over-write sanitization of electronic storage media which is intended for re-use rather than its physical destruction.

## 441 **4.8 Annual Conformity Review**

### 442 **4.8.1 Introduction**

443 A Grant is nominally valid for three years, but may expire or be revoked sooner if certain obligations  
444 are not fulfilled (refer to the appropriate [Agreement Document]). An Annual Conformity Review  
445 (ACR) is undertaken as a positive check and reminder to Grantees that their conformity to the  
446 appropriate [Agreement Document] (and thereby the requirements of this scheme) remains their  
447 obligation. The design of the ACR is intended to limit intrusion into the Grantee's and Approval  
448 Authority's time and resources by offering a check-list which will only require additional action if  
449 changes have occurred or prior claims cannot continue to be upheld.

### 450 **4.8.2 Process**

451 The Secretariat shall maintain a schedule against which it will prompt Grantees for completion of an  
452 ACR.

453 The Secretariat shall first populate an [Annual Conformity review] pro forma specific to the Grantee to  
454 reflect its record of the facts of the Grantee's entitlements as currently understood, and submit that to  
455 the Grantee for their completion and return.

456 On receipt of the returned ACR the Secretariat shall review it for any indication that inconsistencies or  
457 variations have occurred during the course of the preceding twelve months, and if so shall request of  
458 the Grantee such supporting evidence as it deems necessary to determine whether the Grantee remains  
459 in conformity with its obligations. Generally the ACR will serve as a consistency audit covering the  
460 preceding twelve months. Since the appropriate [Agreement Document] requires Grantees to notify of  
461 any divergences as and when they are identified, the ACR should act only as verification of their  
462 occurrence and a cross-check that both parties are aware of them. Return of an ACR should therefore  
463 not be a cause for any immediate action, although the Secretariat needs to review with all vigor in order  
464 to avoid incipient complacency, on the part of either party.

465 Verifications required to be performed during the application processing stage should be applied (e.g.  
466 ensuring dates are concurrent and extend beyond the present period). In the event that actual  
467 assessment of additional evidence is required then a 'mini-review' shall be performed, adopting the  
468 procedures defined for the initial processing of Applications so as to limit time and effort expended  
469 whilst ensuring Liberty's expectations and standards are maintained. The Chairman of the ARB has  
470 sole authority to determine the extent of a 'mini-review' and may, if deemed necessary, seek additional  
471 information from any parties as he sees fit, including any visit to the Grantees' premises.



## 472 **5 APPLICANT'S GENERAL RESPONSIBILITIES AND ACTIONS**

---

473 This clause gives a summary description of the Application processes from the Applicant's perspective.  
474 However, Applicants should be fully conversant with the description of the process from Liberty's  
475 perspective by reading clauses [2](#), [3](#) & [4](#) of this Part, and the contents of the Part(s) – an overview will  
476 be found in clause [1.2](#) - which address their specific interests in participating in the Liberty AAS.

### 477 **5.1 Submission of Applications**

478 All applications shall be submitted by a representative of the Applicant with authority to commit the  
479 organization, identified as the Applicant Point of Contact (APoC).

480 Applications shall be complete and submitted electronically using the appropriate [Application  
481 document] found on Liberty's web site. The submission shall include either electronic documents as  
482 evidential support or indicate whether evidential documents are to be submitted by non-electronic  
483 means or may only be viewed at the Applicant's premises.

484 Note that the submission form requires the Applicant to indicate their commitment to terms and  
485 conditions defined in the appropriate [Agreement document], terms and conditions which address the  
486 complete life-cycle of participation in the AAS: application for a Grant of Rights of Use, withdrawal of  
487 application (without receipt of a Grant of Rights of Use), during the period in which a Grant of Rights  
488 of Use is awarded and after termination of a Grant of Rights of Use.

489 Applicants will receive an automatic acknowledgement of their submission, sent to the email of record  
490 (by reference to the submission form).

491 Applicants should be aware that, if a previous application has been ultimately denied the Applicant may  
492 not make a further application, neither for the same nor any different service(s), within a three month  
493 period from the date of denial of that application (or of any subsequent appeal).

494 Notwithstanding that provision, following submission of an application the Applicant can expect the  
495 Secretariat to make contact for any of the reasons explained in clause 4.

496 When the Application has been found to be satisfactory the APoC will receive notification that the  
497 application has been found fit for evaluation. The Accreditation Review Board (ARB – note comment  
498 in clause 1.1) shall then proceed with an evaluation of the application.

### 499 **5.2 Assessment of Applications**

500 Applicants will be given an anticipated date by which the Secretariat expects to be able to notify of a  
501 decision (typically within one month of the application being found to be in good order).

502 Prior to that date the application and supporting documents will be reviewed by the ARB. Applicants  
503 should be prepared to respond to requests for clarification or additional evidence in support of their  
504 application. The anticipated date for notification of a decision may be extended as a result of any  
505 request for additional input, depending upon the extent of further material required and the timeliness  
506 of responses to the Secretariat's request(s).

507 If the Applicant has identified certain documents as having to be inspected at its premises then  
508 appropriate arrangements will have to be made for representatives of the ARB to attend for that  
509 purpose.

510 Applicants shall receive in writing notification of the ARB's decision, once that is made known to the  
511 Secretariat.

512 When accreditation is granted with conditions the applicable conditions should be such that their  
513 cause(s) can be addressed and resolved within a six month period of the Grant.

### 514 **5.3 On Receiving a Grant of Rights of Use (to the Liberty Mark)**

515 When a Grant is made (and if conditional, after any appeal has been heard and a final decision made),  
516 the Applicant should anticipate the following actions and events:

- 517 1. the Applicant shall reaffirm its commitment to the terms and conditions defined in the  
518 appropriate [Agreement document]<sup>6</sup> and submit it to the Liberty Secretariat;
- 519 2. based upon the [Applicable Mark], the Applicant shall receive a seal issued to the Applicant as a  
520 part of formal notice of the Grant of Rights of Use with its applicable 'Grant Id' (as unique  
521 reference for the specific Grant, also embedded in the seal), with any conditions stated. The  
522 correctness of the seal and accompanying documents should be verified and any discrepancies  
523 noted within two business days;
- 524 3. the Applicant should ensure that its Grant status is correctly published in the [Liberty Trust](#)  
525 [Status List](#), within two business days of receipt of its seal;
- 526 4. where the Grant is conditional the Applicant should agree with the Secretariat a review schedule  
527 within which it shall submit adequate evidence and grounds for the removal of the conditions.

### 528 **5.4 Right of Appeal**

529 Applicants have the right of appeal against either a Grant with conditions or a denial with justifications.  
530 Any appeal shall be lodged in writing with the Secretariat within two weeks of notification of the  
531 ARB's decision.

532 Appeals will be assessed according to the process defined in §4.4. Applicants should be prepared to  
533 respond to any requests from the ARB for further information. Typically an appeal will be processed  
534 within a one month period.

---

<sup>6</sup> Applicants will have become bound to the terms of the agreement at the time of their initial application. This activity on Granting Rights of Use should merely reiterate the terms to the incipient Grantee and seek their affirmation and acknowledgement.

535 Applicants shall receive in writing from the Secretariat notice of the outcome of their appeal, which  
536 shall be one of: appeal upheld (denial or condition(s) removed); appeal partially upheld with revised  
537 condition(s); the appeal is denied outright. A final appeal decision shall have no further recourse.  
538 Applicants need not appeal against an unconditional Grant.

## 539 **5.5 Termination of Application**

540 An Applicant may voluntarily terminate its application by giving the Secretariat written notice of its  
541 withdrawal. No reason need be given, although this may be a decision taken in the light of feedback  
542 received from the ARB or Secretariat during the processing of the application, wherein the Applicant  
543 elects to gracefully withdraw in the face of its likely denial.  
544 The ultimate denial of an application shall also be deemed a termination (see §4.5).  
545 Applicants will receive a formal notification in writing of the circumstances of the termination which  
546 shall include a confirmation that their protected materials have been securely disposed-off.  
547 Under certain circumstances the Applicant may be eligible for the return of fees (refer to [Schedule of](#)  
548 [Fees and Related Terms](#)).

## 549 **5.6 Response to Oversight**

550 Whilst holding a Grant, Grantees shall be subject to oversight which shall require them to co-operate  
551 with and make appropriate periodic reports to the Secretariat in accordance with the provisions of the  
552 appropriate [Agreement document].  
553 Applicants shall avail themselves of the latest versions of all applicable Liberty IAF documents and be  
554 in conformity with their requirements, within:  
555 1. for revised Requirements, six months of their publication unless publication occurs within three  
556 calendar months of an Annual Conformity review or renewal, in which case nine months shall  
557 be allowed;  
558 2. for revisions to the appropriate [Agreement document], immediately upon their publication.

## 559 **5.7 Revocation of Grant**

560 Grantees may electively revoke their status either by allowing it to lapse, without seeking to renew it,  
561 or terminating it prior to its expiry.  
562 Revocation may also arise for other reasons, as set forth in §4.7.

563 Applicants will receive formal notification of revocation in writing from the Secretariat, which shall  
564 state the reasons for revocation. They should also expect their entry in [Liberty Trust Status List](#) to be  
565 amended<sup>7</sup> accordingly.

566 Under certain circumstances the Applicant may be eligible for the return of fees (refer to [Schedule of](#)  
567 [Fees and Related Terms](#)).

---

<sup>7</sup> Amendment does not automatically mean removal from the list, since there may be good cause to provide historical status information and thus record will be retained although the status will be ‘revoked’ from the applicable date.

## 568 **6 EVALUATION: APPROVED SERVICE**

---

569 This clause describes aspects of the application and evaluation processes which are specific to Liberty-  
570 Approved Services.

### 571 **6.1 Overview**

572 Liberty will grant a non-transferable, non-exclusive, right to use the Liberty Mark in connection with a  
573 CSP's services conditional upon the CSP submitting a formal application regarding the services in  
574 question, agreeing to the terms of the appropriate Agreement, paying the applicable fee and gaining  
575 certification of the services in question after having them assessed by a Liberty-Accredited Assessor.

576 Liberty-Accredited Assessors are bound by their agreement with Liberty to only assess for SAC-  
577 conformity those services for which the owning CSP has signed the appropriate Agreement.

578 Thus, although the principal focus of the Liberty Approval process is the conduct of the assessment, the  
579 overall process starts and stops with Liberty.

### 580 **6.2 Type of Grant**

581 The type of Grant shall be that of a Liberty-Approved Service, denoted by the «type» field in the Grant  
582 Id being 'SVC'.

### 583 **6.3 Authoritative Body**

584 The Authoritative Body for granting such status may be any one of:

- 585 a) the Liberty Management Board;
- 586 b) a Liberty Service Approval Authority (see Part IV) or;
- 587 c) a Liberty Approval-Qualified Certified Federation Operator with SAA qualification (see Part  
588 VI).

589 One of the principal factors in determining the Applicant's suitability to be granted the 'Liberty-  
590 Approved Service' status will be Certification of the service, for which the chosen Liberty-Accredited  
591 Assessor shall be the Authoritative Body (see Part III).

### 592 **6.4 Application document**

593 Applications shall be submitted using the on-line [Application for Liberty Approval](#) form ('Application',  
594 for the purposes of this clause), describing their service(s) for which recognition is sought.

595 The application includes two documents on which the evaluation will rely: the first is the agreement  
596 document; the second is the [Specification of Services Subject to Assessment](#) (S3A).

597 **6.4.1 Application format**

598 This clause outlines the required content and functionality of the on-line [Application for Liberty](#)  
599 [Approval](#), from which an appropriate web-based capability shall be developed. Only on-line  
600 applications shall be accepted. Responses to text underlined in green will be placed into the public  
601 domain in the event that a Grant is awarded (until which point the information provided shall remain  
602 confidential unless the Applicant chooses otherwise).

603 Name of applicant organization;

604 Any 'DBA' aliases / informational uri;  
605

606 Name & position/office/role of person having the authority to represent the organization (i.e. the APoC);

607 Contact details for above person: phone/email/postal address<sup>[Note 1]</sup>;

608 Second authoritative PoC. details as above;  
609

610 Name & position/office/role of person as a service provision point of contact;

611 Contact details for above person: phone/email/postal address;

612 Second service provision PoC. details as above;  
613

614 State all jurisdictions in which the service is offered, primary first – give country<sup>[Note 2]</sup> and state/region where  
615 applicable<sup>[Note 3]</sup>;

Country	State/Region/Province/Department/...
	<i>extend as required</i>

616  
617 Applicable SAC:

618 CO-SAC	<input checked="" type="checkbox"/> <sup>[ Note 4]</sup>	<u>address of local doc(s) to be uploaded with the application</u> <sup>[Note 5],[ Note 6]</sup>
619 ID-SAC	<input checked="" type="checkbox"/>	<u>address of local doc(s) to be uploaded with the application</u>
620 CM-SAC	<input checked="" type="checkbox"/>	<u>address of local doc(s) to be uploaded with the application</u> (note validation requirements)

622 Applicable Assurance Levels:

623 AL1	<input checked="" type="checkbox"/> <sup>[ Note 7]</sup>
624 AL2	<input checked="" type="checkbox"/>
625 AL3	<input checked="" type="checkbox"/>
626 AL4	<input checked="" type="checkbox"/>

627 Details of service for which approval is being sought:

628 address of local doc(s) to be uploaded with the application;<sup>[Note 8], [Note 5],[ Note 6]</sup>  
629

630 Fee payment Reference<sup>[Note 9]</sup>

631 Terms of the Liberty [Service Provider Agreement](#) accepted & signed  <sup>[Note 10]</sup>

632 «Editor's Note: if the TSL is accepted then additional information will ultimately be required from the  
633 Applicant to populate all required fields of their TSL entry, and therefore will need to be stated here»

634  
635 Notes to the above:

- 636 1. validate to the fullest extent possible all entries to this point;
- 637 2. use country code according to ISO 3166-1 alpha-2 coding;
- 638 3. at least one entry required; validate as far as possible on entry. Possibly offer a pull-down of  
639 countries, deducing their corresponding codes, but that's a luxury (but validate against it);
- 640 4. 'CO-SAC' is obligatory hence shall always be . The other two SAC default to , but the  
641 Applicant must select at least one of them, in which case it becomes ;
- 642 5. provides a browse function whereby applicant can select a file or files to be uploaded when the  
643 application is submitted, or can specify a reference of their own choice which will identify a  
644 document or other medium by which evidence will be submitted by other means;
- 645 6. for claimed SAC, this field not offered when an SAC is not selected (i.e. not ''). When it is  
646 offered it is used to submit evidence of the qualification;
- 647 7. defaults to , making Applicant positively select the applicable Assurance Levels (AL), in  
648 which case becomes . Each AL option is independent of the others, although at least one  
649 MUST be selected;
- 650 8. this should be the S3A relating to the service – refer to [Specification of Services Subject to](#)  
651 [Assessment](#)
- 652 9. a separate on-line payment function which will generate a unique reference by which the  
653 payment can be mapped to the application – link to the payment page if not previously paid. No  
654 payment, no submission;
- 655 10. defaults to ; present the text of the LA3 for review and explicitly require it all to be scanned-  
656 through before requiring an affirmative response/signature which shall be captured and used to  
657 set this entry to ;
- 658 11. the on-line form should provide context-sensitive help;
- 659 12. common-sense should prevail whenever and wherever possible – e.g., if the Applicant declines  
660 to commit to the SPA, they should at least be asked whether they know what they're doing and  
661 that the Application will be closed if they decline. If they still choose to decline, well ....

662 On submission of the application the web-based function should capture the Applicant's inputs, gather  
663 the identified files and prepare a package to be sent to the Liberty Secretariat. After packaging but  
664 prior to the point at which it is submitted, require the Applicant to electronically sign the submission  
665 and to seal it using Liberty's applicable public key. This will provide (primarily) confidentiality  
666 protection of the Applicant's information whilst it is being transmitted to the Liberty Secretariat.

667 On receipt the application package shall be stored separately from any other applicant's data. There  
668 shall be an application available to the Secretariat to select Applications by reference and to represent  
669 the material as seen by the Applicant, with the applicable evidential files available.



## 670 **6.5 Basis of Evaluation**

671 The [Liberty IAF Service Assessment Criteria](#) (SAC) shall be the basis against which the application is  
672 evaluated. Actual assessment must be carried-out by a Liberty-Accredited Assessor, which will  
673 perform an assessment of the service(s) referenced in the application, with the objective of certifying  
674 the specified service as being conformant to the applicable SACs.

## 675 **6.6 Agreement document**

676 The agreement document required when submitting an application for service approval is the [Service](#)  
677 [Provider Agreement](#) (SPA). This document will be automatically called-up during the on-line  
678 application submission process, which cannot proceed without acceptance of the SPA's Terms and  
679 Conditions.

## 680 **6.7 Specific Evaluation Steps**

681 The Secretariat will validate the initial application submission up to and including Part I clause 4.1,  
682 step (9), advising the Applicant's Point of Contact (APoC) that the application has been found fit for  
683 evaluation. The Secretariat shall then take these additional steps:

- 684 a) Counter-sign and return the SPA to the CSP's APoC;
- 685 b) File the application for later reference, and;
- 686 c) Notify the Chairman of the ARB of the application's receipt (simply for advisory purposes – no  
687 action is required of the ARB at this stage).

688 Evidence of its acceptance of the SPA is a necessary pre-requisite to enable the Applicant's chosen  
689 Assessor to formalize the contract for assessment (see clause [6.8](#), below). Once the assessment has  
690 been completed and the Applicant has received the assessor's assessment report, that report shall then  
691 be returned to the Secretariat and the Application processing shall then continue according to the  
692 opinion conveyed in the Liberty Assessment Report (LAR), i.e. whether certification has been achieved  
693 or not.

694 When the LAR indicates that the assessment has been successful it shall be added to the evaluation  
695 package which shall then be passed to the ARB, per Part I clause 4.1, step (10).

696 If the assessment report does not give an unqualified certification decision the Secretariat must  
697 determine whether the Applicant wishes to:

- 698 d) withdraw its application outright;
- 699 e) suspend processing of its application, pending resolution of any impediments to certification, or;
- 700 f) negotiate with the Secretariat as to whether the application can proceed, with the risk that it will  
701 be rejected or, at best, be granted with conditions.

702 This decision lies with the Applicant, not the Secretariat, although the latter may give advice based on  
703 past examples or knowledge of the process and the ARB's likely position.

704 Withdrawal of an application constitutes termination, which is addressed in Part I clause 4.5.



705 **6.8 Annual Conformity Review**

706 The schedule maintained by the Secretariat shall record the expiration dates of any Prior Qualifications  
707 and shall seek from the Grantee evidence of renewal, as dates fall due.

708 The use of an ACR as a consistency audit covering the preceding twelve months will rest largely upon  
709 the fact that oversight provisions of Prior Qualifications (which most Accredited Assessors are  
710 anticipated to rely upon) are themselves performing sufficient oversight.

711 **6.8.1 ACR (Approved Service) form**

712 **Liberty IAF Assurance Assessment Scheme**

713 Annual Conformity Review (Approved Service) ref. «GrantId»:ACR#yy-mm

714 «Grantee»'s service «name of service»

715 This service approval is based on the following Service Assessment Criteria (SAC):

716 CO-SAC  [ Note 1]  
717 ID-SAC   
718 CM-SAC

719 (note validation requirements)  
720

721 Cite any divergences reported by «Grantee», giving date and reference applied by Liberty

Date	Reference
20yy-mm-dd	«GrantId»/Dnn
Extend as necessary <sup>[2]</sup>	

722 Cite any actions instigated through Liberty against your organization or services, giving date and  
723 reference applied by Liberty

Date	Reference
20yy-mm-dd	«GrantId»/Ann
Extend as necessary	

724 Management Assertion:

725 «Grantee»'s management, as represented by «APoC's name», asserts hereby that, during the  
726 period 20yy-mm-dd to 20yy-mm-dd, it maintained:

727 a) its compliance to all applicable terms of the SPA and its Grant of Approval for the named  
728 Service;

729 b) its conformity to the criteria set forth in the Liberty SAC v«state applicable version».

730 Signed:

731 «Grantee's electronic seal»

732  
733 Notes to the above:

- 734 1. ‘CO-SAC’ is obligatory hence shall always be . The other two SAC default to , but the  
735 Applicant must select at least one of them, in which case it becomes ;
- 736 2. Defaults to , making Applicant positively select any Prior Qualifications (PQ), in which case  
737 becomes . Each PQ option is independent of the others. If selected (i.e. ) a date must be  
738 entered;
- 739 3. Form should have provision for additional entries to be added, although hopefully not too many.  
740 Otherwise fix at four but allow others to be provided separately.

## 741 **6.9 Assessment of Services**

### 742 **6.9.1 Contracting for Assessment**

743 Applicants may find a list of Liberty-Accredited Assessors from which to select an assessor in the  
744 [Liberty Trust Status List](#).

745 On receipt of the counter-signed SPA the CSP should select and contract with a Liberty-Accredited  
746 Assessor, in order to have their service(s) assessed. Liberty will maintain and publish a list of  
747 Accredited Assessors in the [Liberty Trust Status List](#). Assessors will not engage with a CSP for the  
748 purposes of assessing for conformity to the SAC unless the CSP provides copy of its SPA, counter-  
749 signed by Liberty.

750 Liberty’s only requirement is that the Applicant select an Assessor which is Liberty-Accredited:  
751 Liberty has no preference and considers any Assessor which it accredits to be equal to all others, for the  
752 given range of [Assurance Levels](#) and technologies for which they have recognized expertise. It is  
753 therefore the Applicant’s sole responsibility to select, and make and fulfill all contractual arrangements  
754 with, their chosen assessor. Subject to the adherence of both the Assessor and the CSP to their  
755 respective agreements with Liberty, all arrangements between the CSP and its selected Assessor for the  
756 performance of the assessment of the CSP’s services are entirely between those two parties and Liberty  
757 shall have neither interest nor influence in them.

758 It should be noted that, depending on the scope of their application for accreditation, some assessors  
759 may not be accredited to assess against the full scope of the SAC. CSP’s should therefore check the  
760 entitlement of the assessor to address their service(s), whilst at the same time it is incumbent upon  
761 assessors to do likewise and advise potential client CSP’s where the scope of the required assessment  
762 services exceeds that of their accreditation. Although this is not anticipated to be a frequent problem it  
763 is nonetheless a real possibility which needs to be accounted for.

### 764 **6.9.2 Performing the Assessment**

765 The CSP shall submit to its contracted assessor the following documents as the minimum set required  
766 by Liberty. The assessor may have its own processes which require additional submissions from the  
767 CSP which will be matter of private contract between them. This clause primarily addresses the  
768 responsibilities which Accredited Assessors have in performing a Liberty assessment. The CSP’s  
769 minimum document set is its:

- 770           1. SPA, counter-signed by Liberty;  
771           2. S3A;  
772           3. supporting documentation demonstrating its compliance with the applicable SAC.

773 The assessor shall then perform the assessment according to the terms of its accreditations and its  
774 defined processes.

775 At the conclusion of the assessment the Assessor shall prepare a [Liberty Assessment Report \(LAR\)](#).  
776 This report may be a separate document prepared for Liberty’s consumption or may be a document with  
777 wider applicability, subject only to fulfilling at least the requirements for a LAR.

778 A LAR shall always be required, irrespective of whether the CSP withdraws from the assessment,  
779 concludes the assessment but fails to demonstrate its conformity as required or succeeds in gaining  
780 certification from its assessor. Only in the last of these possible outcomes (successful certification) will  
781 Liberty exercise its right to make public that information from the S3A that is specified as being for  
782 publication. All other information and all other outcomes Liberty shall retain as confidential under the  
783 terms of the SPA.

784 (Even in the case of withdrawal of the CSP, provision of the LAR will allow Liberty to close the  
785 processing of the application for recognition.)

## 786 **7 EVALUATION: ACCREDITED ASSESSOR**

---

787 This clause describes aspects of the application and evaluation processes which are specific to Liberty-  
788 Accredited Assessors.

### 789 **7.1 Overview**

790 Liberty will grant a non-transferable, non-exclusive, right to use the Liberty Mark in connection with  
791 an organization's assessment services conditional upon the assessor submitting a formal application  
792 regarding the services in question, agreeing to the terms of the appropriate Agreement, paying the  
793 applicable fee and gaining certification of the assessment services in question after having them  
794 assessed by a Liberty-Accredited Assessor.

795 Liberty-Accredited Assessors are bound by their agreement with Liberty to only assess for SAC-  
796 conformity those services for which the owning CSP has signed the Service Provider's Agreement.

### 797 **7.2 Type of Grant**

798 The type of Grant shall be that of a Liberty-Accredited Assessor, denoted by the «type» field in the  
799 Grant Id being 'SSR'.

### 800 **7.3 Authoritative Body**

801 The Authoritative Body for granting such status is the Liberty Management Board, exclusively.

### 802 **7.4 Application document**

803 Applications shall be submitted using the on-line [Application for Liberty Accreditation](#) form  
804 ('application', for the purposes of this clause).

805 The application includes the agreement document.

#### 806 **7.4.1 Application format**

807 This clause outlines the required content and functionality of the on-line [Application for Liberty](#)  
808 [Accreditation](#), from which an appropriate web-based capability shall be developed. Only on-line  
809 applications shall be accepted. Responses to text underlined in green will be placed into the public  
810 domain in the event that a Grant is awarded (until which point the information provided shall remain  
811 confidential unless the Applicant chooses otherwise).

812 Name of applicant organization;

813 Any 'DBA' aliases;

814

815 Name & position/office/role of person having the authority to represent the organization (i.e. the APoC);

816 Contact details for above person: phone/email/postal address<sup>[Note 1]</sup>,

817 Second authoritative PoC. details as above;

818

819 Name & position/office/role of person as a service provision point of contact;

820 Contact details for above person: phone/email/postal address;

821 Second service provision PoC. details as above;

822

823 State all jurisdictions in which services are offered, primary first – give country<sup>[Note 2]</sup> and state/region where  
824 applicable<sup>[Note 3]</sup>,

Country	State/Region/Province/Department/...
	<i>extend as required</i>

825

Prior Qualifications claimed:

827	AICPA	<input checked="" type="checkbox"/>	<sup>[Note 4]</sup> address of local doc(s) to be uploaded with the application <sup>[Note 5],[ Note 6]</sup>
828	ISACA/CISA	<input checked="" type="checkbox"/>	address of local doc(s) to be uploaded with the application
829	IRCA	<input checked="" type="checkbox"/>	address of local doc(s) to be uploaded with the application
830	IS 19011	<input checked="" type="checkbox"/>	address of local doc(s) to be uploaded with the application
831	IS 17021	<input checked="" type="checkbox"/>	address of local doc(s) to be uploaded with the application
832	IS 27006	<input checked="" type="checkbox"/>	address of local doc(s) to be uploaded with the application
833			(note validation requirements)

Applicable Assurance Levels:

835	AL1	<input checked="" type="checkbox"/>	<sup>[Note 7]</sup>
836	AL2	<input checked="" type="checkbox"/>	
837	AL3	<input checked="" type="checkbox"/>	
838	AL4	<input checked="" type="checkbox"/>	

839 Statement of Conformity:<sup>[Note 8]</sup>

AQER reference	PQ	Evidence
841	AO.1	<input checked="" type="checkbox"/> <sup>[Note 9]</sup> address of local doc(s) to be uploaded with the application <sup>[Note 5]</sup>
842	or	<input type="checkbox"/> address of local doc(s) to be uploaded with the application <sup>[Note 5]</sup>
843	or	<input type="checkbox"/> not required
844	AO.2	as AO.1
845	AO.3	etc.
846	etc.	
847	AQ.1	
848	etc.	
849	AT.1	
850	etc.	
851	AD.1	
852	etc.	

853 Fee payment Reference<sup>[Note 10]</sup>

854 Terms of the Liberty-Accredited Assessor Agreement accepted & signed <sup>[Note 11]</sup>

- 855 *«Editor’s Note: if the TSL is accepted then additional information will ultimately be required from the*  
856 *Applicant to populate all required fields of their TSL entry, and therefore will need to be stated here»*
- 857 Notes to the above:
- 858 1. validate to the fullest extent possible all entries to this point;
  - 859 2. use country code according to ISO 3166-1 alpha-2 coding;
  - 860 3. at least one entry required; validate as far as possible on entry. Possibly offer a pull-down of  
861 countries, deducing their corresponding codes, but that’s a luxury (but validate against it);
  - 862 4. defaults to , making Applicant positively select any Prior Qualifications (PQ), in which case  
863 becomes . Each PQ option is independent of the others;
  - 864 5. provides a browse function whereby applicant can select a file or files to be uploaded when the  
865 application is submitted, or can specify a reference of their own choice which will identify a  
866 document or other medium by which evidence will be submitted by other means;
  - 867 6. for claimed PQs, this field not offered when PQ not selected (i.e. not ‘’). When it is offered it  
868 is used to submit evidence of the qualification;
  - 869 7. defaults to , making Applicant positively select the applicable Assurance Levels (AL), in  
870 which case becomes . Each AL option is independent of the others, although at least one  
871 MUST be selected;
  - 872 8. the following table should include an entry for each AQER;
  - 873 9. dependent upon claimed PQ, automatically set this box to  (none),  (qualified) or  (un-  
874 qualified) as appropriate to the claimed PQs (this should be by reference to the corresponding  
875 entries in [Table 1](#). If more than one PQ applies, select the most favorable, i.e.  >  > ). Set  
876 the ‘Evidence’ field as indicated (noting that  calls for no evidence, that being provided by the  
877 evidence of qualification);
  - 878 10. a separate on-line payment function which will generate a unique reference by which the  
879 payment can be mapped to the application – link to the payment page if not previously paid. No  
880 payment, no submission;
  - 881 11. defaults to ; present the text of the LA3 for review and explicitly require it all to be scanned-  
882 through before requiring an affirmative response which shall be captured and used to set this  
883 entry to ;
  - 884 12. the on-line form should provide context-sensitive help;
  - 885 13. common-sense should prevail whenever and wherever possible – e.g., if the Applicant declines  
886 to commit to the LA3, they should at least be asked whether they know what they’re doing and  
887 that the Application will be closed if they decline. If they still choose to decline, well ....
- 888 On submission of the application the web-based application should capture the Applicant’s inputs,  
889 gather the identified files and prepare a package to be sent to the Liberty Secretariat. After packaging  
890 but prior to the point at which it is submitted require the Applicant to electronically sign the submission  
891 and to seal it using Liberty’s applicable public key. This will provide (primarily) confidentiality  
892 protection of the Applicant’s information whilst it is being transmitted to the Liberty Secretariat.

893 On receipt the application package shall be stored separately from any other applicant’s data. There  
894 shall be an application available to the Secretariat to select Applications by reference and to represent  
895 the material as seen by the Applicant, with the applicable evidential files available.

## 896 **7.5 Basis of Evaluation**

897 The Liberty IAF [Assessor Qualifications & Experience Requirements](#) (AQER) shall be the basis  
898 against which the application is evaluated.

## 899 **7.6 Agreement document**

900 The agreement document required when submitting an application for accreditation is the [Liberty-  
901 Accredited Assessor’s Agreement](#) (LA3). This document will be automatically called-up during the on-  
902 line application submission process, which cannot proceed without acceptance of the LA3’s Terms and  
903 Conditions.

### 904 **7.6.1 Agreement Terms**

905 This Agreement (hereafter LA3) establishes Liberty’s and the Assessor’s mutual obligations from the  
906 time of the Applicant first submitting their application, and during and after any grant of accredited  
907 status and serves also as a Trade-Mark License Agreement (TMLA).

#### 908 **7.6.1.1 Maintaining Conformity**

909 «Applicant» undertakes to, at all times during the processing of its application, any period during which  
910 it is the beneficiary of a Grant of Rights of Use and after any expiry or termination of either the Grant  
911 of Liberty Accreditation or of its application for said Grant:

- 912 1. maintain its conformity to the Liberty AAS Requirements set forth in this document or as may  
913 be subsequently revised and notified to «Applicant»;
- 914 2. in the event that any material<sup>8</sup> divergence from conformity arises, take steps to regain  
915 conformity within a period of three months and notify the Secretariat of the divergence, stating  
916 the applicable Requirements and the corrective actions being taken;
- 917 3. within one month of resolving any material divergence, submit to the Secretariat any revised  
918 evidential material;
- 919 4. maintain, organizationally and individually, all applicable prior qualifications on which the  
920 Grant of Accreditation is based;

---

<sup>8</sup> A non-material divergence is one that exists for no longer than one month and which is managed within the context of the Applicant’s internal management system and which does not call into question the independence and objectivity of the organization and its staff. Liberty reserves the right to take retrospective review and follow-up action if it finds that a divergence deemed to be ‘material’ has in fact imperiled these attributes.



- 921 5. provide the Secretariat with copies of evidence of prior qualification renewal which shows  
922 continuity of qualification;
- 923 6. immediately following initial accreditation and at any change thereafter, provide to the  
924 Secretariat the names and qualifications of those personnel who may perform assessments for  
925 the purposes of Liberty-recognized Certification.

### 926 7.6.1.2 Use of the Liberty Mark

927 «Applicant» may use the Liberty Mark as provided in its seal of accreditation only in respect of those  
928 certification assessments falling within the scope of their Grant. «Applicant» understands that Liberty  
929 shall consider any abuse of this restriction a sufficient misdemeanor to justify revocation of the  
930 accreditation, subject to due notification and appeal, and that Liberty has the rights to invoke such  
931 action if it deems it necessary.

### 932 7.6.1.3 Client engagement and record

933 «Applicant» undertakes to require in any client (i.e. Subscriber) engagement:

- 934 1. identification of the applicable SACs and the Assurance Level(s) at which the service is offered;
- 935 2. the Subject’s commitment to terms which shall include clauses which achieve the equivalent to  
936 those in this agreement;

937 and to retain securely the evidential material submitted by the Subject for a minimum period of twelve  
938 months after termination of the certification<sup>9</sup>.

939 «Applicant» shall require the following information from the Subject when initiating a new assessment:

940 [*«highlighted sections of relevance purely for the CSP application for certification»*]  
941 For each service to be assessed:  
942 Name of service & service type<sup>[1]</sup>:  
943 SACs against which conformity is claimed: CO-SAC <sup>[2]</sup> ID-SAC  CM-SAC   
944 Highest Assurance Level at which the service is offered: <sup>[3]</sup> AL1  AL2  AL3  AL4   
945 ]

946  
947 Notes to the above:

- 948 1. ‘Service type’ requires consideration from a number of viewpoints:
- 949 a. a number of services which go beyond simple credentialing exist or are coming into  
950 existence, so a broader set of types than presently addressed by the SACs may be  
951 desirable;
- 952 b. consideration should be given to the service types defined in [ETSI\_TSL] and used  
953 where congruent with those addressed by Liberty, with any new services identified  
954 having to be integrated through any TSL implementation;

---

<sup>9</sup> Many other processes will most likely require longer retention periods – this clause is not intended to override any such other requirements but merely establishes an absolute minimum from Liberty’s point of view.



- 955 c. Liberty needs consistency across all its Accredited Assessors to ensure service types can  
956 be collectively identified at the highest level and therefore Liberty needs to lead on this.
- 957 2. ‘CO-SAC’ is required by default – option to select  or  for the other two;
- 958 3. defaults blank - User must select one – when one is selected, set it and any lower ALs to , all  
959 higher to . Allow re-selection, fill as defined.

## 960 **7.7 Specific Evaluation steps**

961 When initially validating the application the Secretariat shall apply the following specific steps in  
962 executing Part I clause 4.1, step (6):

- 963 a) Documents which assert qualifications on which are based claims of ‘credit’ with regard to  
964 Accreditation requirements shall first of all be validated. Validation shall be either by visual  
965 inspection, or online (e.g. authentication of issuer’s seal or validation against a recognized  
966 registry). Currency and longevity of these qualifications shall be validated and those having  
967 less than 3 months remaining validity shall not be validation;
- 968 b) Claims of ‘credit’ based on validated prior qualifications shall be recognized, subject to any  
969 qualifications applied by Liberty;
- 970 c) On a per requirement basis:
- 971 ii) Validated unqualified credit shall be granted without question (unless exceptional  
972 circumstances prevail);
- 973 iii) Validated qualified credit shall be assessed to ensure that supporting evidence provided  
974 fulfills the requirement;
- 975 iv) For any other requirement, ensure that supporting evidence provided fulfills the  
976 requirement.

977 In ensuring that supporting evidence provided fulfills each requirement (Part I, clause 4.2) the ARB  
978 shall apply whatever measures and expectations it considers reasonable. Whilst guidance is given for  
979 each AQER clause the ARB is in no sense constrained by the scope of that guidance and shall assess  
980 any material provided by the Applicant in support of its compliance. The ARB may, furthermore, ask  
981 for clarification or additional evidence in support of the application where it finds wanting the material  
982 submitted.

## 983 **7.8 Annual Conformity Review**

984 The schedule maintained by the Secretariat shall record the expiration dates of any Prior Qualifications  
985 and shall seek from the Grantee evidence of renewal, as dates fall due.

986 The use of an ACR as a consistency audit covering the preceding twelve months will rest largely upon  
987 the fact that oversight provisions of Prior Qualifications (which most Accredited Assessors are  
988 anticipated to rely upon) are themselves performing sufficient oversight.

989 **7.8.1 ACR (Accredited Assessor) form**

990 **Liberty IAF Assurance Assessment Scheme**

991 Annual Conformity Review (Accredited Assessor) ref. «GrantId»:ACR#yy-mm

992 «Grantee» (i.e. its name)

993 This accreditation is based on the following Prior Qualifications (PQ) – «Grantee» confirms hereby  
994 that these PQs have continuing currency and will expire on the given date(s)  
995 (individual staff need not be individually accounted for).

996 Prior Qualifications claimed:

	Current	Expires/Next review
997 AICPA	<input checked="" type="checkbox"/> <sup>[1]</sup>	20yy-mm-dd
998 ISACA/CISA	<input checked="" type="checkbox"/>	20yy-mm-dd
1000 IRCA	<input checked="" type="checkbox"/>	20yy-mm-dd
1001 IS 19011	<input checked="" type="checkbox"/>	20yy-mm-dd
1002 IS 17021	<input checked="" type="checkbox"/>	20yy-mm-dd
1003 IS 27006	<input checked="" type="checkbox"/>	20yy-mm-dd

1004 «Secretariat to tailor the above list to represent the facts»  
1005

1006 Cite any divergences reported by «Grantee», giving date and reference applied by Liberty  
1007

Date	Reference
20yy-mm-dd	L-ACS#«AccredId»/Dnn
Extend as necessary <sup>[2]</sup>	

1008 Cite any actions instigated through Liberty against your organization or services, giving date and  
1009 reference applied by Liberty  
1010

Date	Reference
20yy-mm-dd	«GrantId»/Ann
Extend as necessary	

1011 Management Assertion:  
1012

1013 «Grantee»’s management, as represented by «APoC’s name», asserts hereby that, during the  
1014 period 20yy-mm-dd to 20yy-mm-dd, it maintained:

- 1015 a) its compliance to all applicable terms of the LA3 and its Grant of Accreditation;
- 1016 b) its conformity to the Requirements set forth in the Liberty AQER v«state applicable version»;
- 1017 c) organizationally and individually, all applicable prior qualifications on which its Grant of  
1018 Accreditation is based, in each case [without|subject to the] material divergence or action[|s  
1019 identified above].

1020 Signed:

1021 «Grantee’s electronic seal»

1022 Notes to the above:  
1023

- 1024 4. Defaults to , making Applicant positively select any Prior Qualifications (PQ), in which case  
1025 becomes . Each PQ option is independent of the others. If selected (i.e. ) a date must be  
1026 entered;
- 1027 5. Form should have provision for additional entries to be added, although hopefully not too many.  
1028 Otherwise fix at four but allow others to be provided separately.

## 1029 7.9 Performing the Assessment

### 1030 7.9.1 Process

1031 Assessors shall require CSP's to submit the following documents as the minimum set required for an  
1032 assessment for the purposes of supporting an application for Liberty Approval. The assessor may have  
1033 its own processes which require additional submissions from the CSP which will be matter of private  
1034 contract between them. This clause primarily addresses the responsibilities which Accredited Assessors  
1035 have in performing a Liberty assessment. The CSP's minimum document set is its:

- 1036 1. [Service Provider Agreement](#) (SPA), counter-signed by Liberty;
- 1037 2. [Specification of a Service Subject to Assessment](#) (S3A);
- 1038 3. supporting documentation demonstrating its compliance with the applicable SAC (may be in the  
1039 S3A).

1040 The assessor shall then perform the assessment according to the terms of its accreditations and its  
1041 defined processes.

1042 At the conclusion of the assessment the Assessor shall prepare a [Liberty Assessment Report](#). This  
1043 report may be a separate document prepared for Liberty's consumption or may be a document with  
1044 wider applicability, subject only to fulfilling at least the requirements for a LAR.

1045 A LAR shall always be required, irrespective of whether the CSP withdraws from the assessment,  
1046 concludes the assessment but fails to demonstrate its conformity as required or succeeds in gaining  
1047 certification from its assessor. Only in the last of these possible outcomes (successful certification) will  
1048 Liberty exercise its right to make public that information from the S3A that is specified as being for  
1049 publication. All other information and all other outcomes Liberty shall retain as confidential under the  
1050 terms of the SPA.

1051 (Even in the case of withdrawal of the CSP, provision of the LAR will allow Liberty to close the  
1052 processing of the application for recognition.)

## 1053 **8 EVALUATION: SERVICE APPROVAL AUTHORITY**

---

1054 This clause describes aspects of the application and evaluation processes which are specific to Liberty  
1055 Service Approval Authorities.

1056 **Editor's Note – this section addresses an area out of scope of the present drafting objectives.**  
1057 **Elementary 'boiler-plate' text has been provided but the detail elements of the process and specific**  
1058 **requirements to be eligible for the Grant have not been addressed in detail, and certainly not resolved.**

### 1059 **8.1 Overview**

1060 Liberty will grant a non-transferable, non-exclusive, right to use the Liberty Mark in connection with  
1061 an organization's operation as an approval authority for CSP services. This type of grant shall only be  
1062 made to an Assessor which already holds or receives at the same time a Grant of Liberty-Accredited  
1063 Assessor status, and the Service Approval Authority (SAA) shall approve only those services which it  
1064 itself certifies.

1065 Approval shall be conditional upon the CSP submitting to the SAA a formal application regarding the  
1066 services in question, agreeing to the terms of the appropriate Agreement, paying the applicable fee and  
1067 gaining certification of the services in question after having them assessed by the Liberty-Accredited  
1068 Assessor service operated by the SAA organization.

### 1069 **8.2 Type of Grant**

1070 The type of Grant shall be that of a Liberty Service Approval Authority, denoted by the «type» field in  
1071 the Grant Id being 'SAA'.

### 1072 **8.3 Authoritative Body**

1073 The Authoritative Body for granting such status is the Liberty Management Board, exclusively.

### 1074 **8.4 Application document**

1075 Applications shall be submitted using the on-line [Application for Service Approval Authority](#) form  
1076 ('application', for the purposes of this clause).

1077 The application includes the agreement document.

### 1078 **8.5 Basis of Evaluation**

1079 The Liberty IAF [Service Approval Authority Requirements](#) (SAAR) shall be the basis against which the  
1080 application is evaluated.

1081 **8.6 Agreement document**

1082 The agreement document required when submitting an application is the [Liberty Service Approval](#)  
1083 [Authority's Agreement](#) (SA3). This document will be automatically called-up during the on-line  
1084 application submission process, which cannot proceed without acceptance of the SA3's Terms and  
1085 Conditions.

1086 **8.7 Specific Evaluation steps**

1087 Editor's Note – None yet determined.

1088 **8.8 Annual Conformity Review**

1089 **TBD.**

## 1090 **9 EVALUATION: RECOGNIZED FEDERATION OPERATOR**

---

1091 This clause describes aspects of the application and evaluation processes which are specific to Liberty-  
1092 Recognised Federation Operators.

1093 **Editor's Note – this section addresses an area out of scope of the present drafting objectives.**  
1094 **Elementary 'boiler-plate' text has been provided but the detail elements of the process and specific**  
1095 **requirements to be eligible for the Grant have not been addressed in detail, and certainly not resolved.**

### 1096 **9.1 Overview**

1097 Liberty will grant a non-transferable, non-exclusive, right to use the Liberty Mark in connection with a  
1098 Federation Operator and its community conditional upon the FO submitting a formal application  
1099 regarding the services in question, agreeing to the terms of the appropriate Agreement, paying the  
1100 applicable fee and gaining recognition of its operations.

1101 Liberty-Recognized Federation Operators, and by extension their communities, are bound by their  
1102 agreement with Liberty to extend mutual recognition to all services operated and credentials issued  
1103 under the Liberty Mark, whether from within their own community, from within other Liberty-  
1104 Recognized Federations or operated independently under the Liberty Mark.

### 1105 **9.2 Type of Grant**

1106 The type of Grant shall be that of a Liberty-Recognized Federation Operator, denoted by the «type»  
1107 field in the Grant Id being 'FED'.

### 1108 **9.3 Authoritative Body**

1109 The Authoritative Body for granting such status is the Liberty Management Board, exclusively.

### 1110 **9.4 Application document**

1111 Applications shall be submitted using the on-line [Application for Liberty Recognition](#) form  
1112 ('application', for the purposes of this clause).

1113 The application includes the agreement document.

### 1114 **9.5 Basis of Evaluation**

1115 The Liberty IAF [Federation Operator Rules & Guidance](#) (FORG) shall be the basis against which the  
1116 application is evaluated.

1117 **9.6 Agreement document**

1118 The agreement document required when submitting an application for recognition is the [Liberty-](#)  
1119 [Recognized Federation Operator's Agreement](#) (RFOA). This document will be automatically called-up  
1120 during the on-line application submission process, which cannot proceed without acceptance of the  
1121 RFOA's Terms and Conditions.

1122 **9.7 Specific Evaluation steps**

1123 Editor's Note – None yet determined.

1124 **9.8 Annual Conformity Review**

1125 **TBD.**

1126