



# 1 Identity Assurance Framework: 2 Kantara Assessor's Report (*pro forma*)

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## 10 **Abstract**

11 The Kantara Initiative Identity Assurance Work Group (IAWG) was formed to foster adoption of identity  
12 trust services. The primary deliverable of the IAWG is the Identity Assurance Framework (IAF), which is  
13 comprised of many different documents that detail the levels of assurance and the certification program that  
14 bring the Framework to the marketplace. The IAF is comprised of a set of documents that includes an  
15 Overview publication, the IAF [Glossary](#), a summary [Assurance Levels](#) document, and an [Assurance](#)  
16 [Assessment Scheme \(AAS\)](#), which encompasses the associated assessment and certification program, as well  
17 as several subordinate documents, among them the [Service Assessment Criteria \(SAC\)](#), which establishes  
18 baseline criteria for general organizational conformity, identity proofing services, credential strength, and  
19 credential management services against which all CSPs will be evaluated.

20 The present document sets out the required format and contents for an Accredited Assessor's report to the  
21 Applicant (and ultimately the ARB) on its findings following an assessment of the Applicant's service  
22 against the SAC version identified in the report.

23 **Filename:** Kantara IAF-3310 KAR v0-5

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## 54 1 INTRODUCTION

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### 55 1.1 Purpose

56 This document is intended to be used by Kantara-Accredited Assessors when preparing their Kantara  
57 Assessor's Report (KAR) addressing Service Assessments undertaken in accordance with the Assessor's  
58 terms of Accreditation and the Kantara Assurance Assessment Scheme.

59 Use of this document is mandatory, per the Kantara Assurance Assessment Scheme.

### 60 1.2 Readership

61 This document is required reading for the following parties, whose awareness of it is a requirement of the  
62 Assurance Assessment Scheme:

- 63 • **Kantara-Accredited Assessors** who will be performing the Assessment of a CSP, as defined by an  
64 S3A;
- 65 • **CSPs** who wish to have a Service submitted for an Assessment as the basis for seeking a Kantara  
66 Grant of Approval, for either a Component Service or a Full Service;
- 67 • **Kantara Initiative's representatives** who are available to offer guidance during the Assessment and  
68 Approval processes.

### 69 1.3 Overview & Preparation

70 The document provides a framework of sections and sub-headings together with standardized text. Authors  
71 of KARs are required to adopt the style, phrasing and terminology of this model. This will assist readers who  
72 have to deal with S3As from a number of different sources.

73 Within the suggested text there are a number of place-holders where authors should substitute the details of  
74 their own organizations and Services. These are indicated using « *italicized markers* » as indicated in this  
75 sentence. Optional text is indicated as {optional text} or { option A | option B }.

76 Guidance for the interpretation or preparation of parts of the KAR is provided in outlined **dark red text** or  
77 within [ **such brackets** ] which may be deleted once its purpose has been served.

78 NOTE – All text preceding and including this Note is either standard boiler-plate text for public-domain  
79 Kantara documents or explanatory text for users of this pro forma. Assessors are free to remove this text  
80 from their reports, such that they produce a document on their own headed paper which adopts the format  
81 described in the remainder of the document.

82

83 *The following text is required to be used by Kantara-Accredited Assessors for the reporting of the outcome of*  
84 *all Kantara Service Assessments.*

85 ***KANTARA ASSESSOR'S {DAY-ZERO | PERIOD-OF-TIME} REPORT***  
86 ***AND***  
87 ***RECOMMENDATION FOR KANTARA SERVICE APPROVAL***  
88

89 «Assessor's name», a Kantara-Accredited Assessor ref. IAF/SSR/«yy».«nn»/KI, has assessed «Applicant's  
90 name» «Applicant's Service's name» service against the Kantara Service Assessment Criteria set out in «ref  
91 to Applicant's SoC, as identified in their AAS & S3A – include precise version», at Assurance Level(s) «list  
92 ALs».

93 «Assessor's name» has performed this assessment based upon «state basis of assessment e.g. AICPA, PCI,  
94 ISO, etc. ... [NOTE – MUST be consistent with the basis of the Assessor's KI-Accreditation]».

95 The assessment was conducted between «start date» and «end date» by «Lead Auditor's name» (Lead  
96 Auditor) supported by «state names of other participants, their affiliation if not all the Assessor's own staff  
97 and their role (to differentiate between other Auditors and <technical field> SMEs», as a {Day Zero  
98 assessment as of «date»| Period of Time assessment covering the period «start date» to «end date»}.

99 We have found the «Applicant's Service's name» service to be conformant with all of the criteria set forth in  
100 the referenced SoC {subject to the Minor Non-Conformities found in Annex A} at the claimed Assurance  
101 Level(s).

102 **WHEN MINOR NON-CONFORMITIES ARE FOUND** but are considered to not be so significant or  
103 numerous as to inhibit the Approval going forward, then they should be recorded in Annex A. It is the  
104 Assessor's judgment as to whether to recommend Approval or not, depending on the number and nature of  
105 any Minor Non-Conformities.

106 However, any MAJOR Non-Conformity should result in NO Approval recommendation being made. Since  
107 the principal purpose of the KAR is to provide the Applicant with evidence of their conformity with which to  
108 support their claim for Approval, so long as they have any Major Non-Conformities a KAR will have no  
109 value in that regard. However, if an Assessor feels this is a useful way to state formally their findings they  
110 are at liberty to adopt this *pro forma* for the reporting on Major NCs and state that they are denying a  
111 recommendation.

112 {No additional non-Kantara Initiative Requirements or Profiles were included in this assessment | The  
113 following additional non-Kantara Initiative Requirements or Profiles were included in this assessment «state  
114 as performed and outcome»}.

115 **WHERE ADDITIONAL** non-Kantara Initiative Requirements or Profiles (i.e. of a standard) are requested for  
116 assessment by the Applicant, add any additional assessment determinations here (e.g. ICAM) or refer to them  
117 if made elsewhere and if relevant.

118 Whilst Kantara is open to such additional qualifications being cited on the same report it has no comment  
119 upon their validity or standing (in keeping with the recently-introduced assertion required of Assessors on the  
120 Accreditation application).

121 Default is to state explicitly that none were exercised.

122 {Disclaimers etc.}

123 Should the Assessor need to express any specific disclaimers and/or limitations they should state them here,  
124 but not in a manner which diminishes their assertions previously set forth by their adherence to required *pro*  
125 *forma* clauses.

126  
127 **Report Approval:**

Lead Auditor (name & signature)	for	Assessor organization (name, & management signature if required)
------------------------------------	-----	--

128 The intention of the signature box above is that it may be used by those adept with quill and ink or by those  
129 who adopt the technology we're trying to promote and who sign electronically. In either case, simply  
130 overlay the 'water-marked' text with appropriate signature(s).

131

132 Note: Any acronyms or special terms used in this report may be found in the Kantara Initiative IAF Glossary «and add any other sources if  
133 absolutely necessary».

134

## Annex A: Identified Minor Non-Conformities

If Minor Non-Conformities are found they should be identified here using the format set out in the table below.

This Annex should otherwise be deleted OR, should Annex B be employed or the Assessor have any need of an Annex for any other purpose, be marked 'NOT USED'.

SAC Ref.	Min NC Observation	Agreed remedial action by CSP & deadline	Agreed Follow-up action by Assessor & deadline
...			
...			

## Annex B: Assessor's Note & Remarks

For a Component Service, either the Assessor or the Applicant may identify points relevant to the use of the Component in other services. This would include 'Permissible Exceptions' as allowed under Kantara IAF-1800 RAA, §3.1.4.5.

Additionally, the Assessor may feel that, while they were able to recommend Approval under this report there may be factors identified which are relevant to later assessments, which they deem worthy of noting here as guidance when those circumstances arise, e.g. where additional focus might be directed on a follow-up assessment.

This Annex should otherwise be deleted OR, should the Assessor have any need of an Annex for any other purpose, be marked 'NOT USED'.



155

## **Annex C, etc.: as required by the Assessor**

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Any Annexes deemed necessary by the Assessor should, for the sake of consistent use of Annexes A and B, commence at Annex C.

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