Identity Assurance Framework:
Kantara Assessor’s Report (*pro forma*)

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**Editor**: Richard G. Wilsher
Zygma LLC

**Contributors** ARB Members, voting and non-voting, current as of the date of publication.

**Abstract**

The present document sets out the required format and contents for a Kantara-Accredited Assessor’s Report to the Applicant (and ultimately the ARB) on its findings following an assessment of the Applicant’s service against the selected SAC set(s) and version(s) identified in the report.

An overall description of Kantara’s operations can be found on the [Trust Framework Operations Program (TFOP) web page](https://kantarainitiative.org/trustoperations/) - https://kantarainitiative.org/trustoperations/. The latest versions of each of the applicable documents can be found on Kantara’s [Identity Assurance Framework web page](https://kantarainitiative.org/confluence/display/LC/Identity%2BAssurance%2BFramework) - [https://kantarainitiative.org/confluence/display/LC/Identity+Assurance+Framework](https://kantarainitiative.org/confluence/display/LC/Identity%2BAssurance%2BFramework)

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# INTRODUCTION

## Purpose

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

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

## Readership

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

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

## Overview & Preparation

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

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

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

## Changes in this revision

The principal reasons for this revision were to:

1. accommodate the broadening of scope of Classes of Approval being offered by Kantara and the consequent effect upon how assessments are scoped and performed;
2. align to revised practices defined in KIAF-1430 v1.0 (the Service Assessment Handbook), which has replaced the AAS and RAA publications, principal of which has been reporting on the remediation of prior non-conformities;
3. inclusion of an attestation from the Applicant that they have made available all material evidence and have accepted the findings in the KAR.

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

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

{TYPE} should be one of: READY TO OPERATE | PERIOD OF GTIME | ANNUAL CONFORMITY REPORT \ SUPPLEMENTARY as applicable to the applicable Class(es) of Approval – see [ref. to ‘Classes of Approval’ web page].

***KANTARA ASSESSOR’S {CLASS OF APPROVAL} {TYPE} REPORT***

«*Assessor’s name*», a Kantara-Accredited Assessor ref. IAF/SSR/«yy».«nn»/KI, has assessed «*Applicant’s name*»’s «*Applicant’s Service’s name*» service as a {Full | Component} Service[NOTE – Select according to the Applicant’s ‘Full’ or ‘Component’ status as determined from their S3A] against the Kantara Initiative Service Assessment Criteria set out in «*ref to Applicant’s SoC, as identified in their ASA & S3A – include precise version*»[, at Assurance Level(s) «*list ALs as and if applicable, else omit this phrasing*]».

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

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

{There were no prior non-conformities which this assessment has needed to address | The non-conformities record in the preceding KAR (ref. «KAR reference» [issued by «previous Accredited Assessor’s name»]) have been included in this assessment and found to be satisfactorily remediated – see Annex B»}.

Where the most recent KAR (if any) recorded any minor non-conformities the ongoing status of these non-conformities must be shown to have been cleared, otherwise (as mandated by the SAH) they shall be determined as Major Non-Conformities.

There must be a reference to the previous KAR (the ARB will hold copy, if one exists) and if a different assessor issued that KAR, their name should be included for completeness.

We have found the «*Applicant’s Service’s name*» service to be conformant with all of the criteria set forth in the referenced SoC {subject to the Minor Non-Conformities found in Annex A}[ at the claimed Assurance Level(s){*where ALs apply, else omit this phrase*}].

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

However, any MAJOR Non-Conformity should result in NO overall conformity being found. Since the principal purpose of the KAR is to provide the Applicant with evidence of their conformity with which to support their claim for Approval, so long as they have any Major Non-Conformities a KAR will have no value in that regard. However, if an Assessor feels that the preparation of a KAR is a useful way to state formally their findings they are at liberty to adopt this *pro forma* for the reporting on Major NCs and state recommendation finding of non-conformity.{No additional non-Kantara Initiative Requirements or Profiles were included in this assessment | The following additional non-Kantara Initiative Requirements or Profiles were included in this assessment «*state as performed and outcome*»}.

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

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

Default is to state explicitly that none were exercised.

{Disclaimers etc.}

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

 **Lead Assessor:**

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

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

**«*Applicant’s name*»’s Assertion**

By its submission of this KAR in support of an application for «(re-)»Approval of its «*Applicant’s Service’s name*» service «*Applicant’s name*» hereby attests that it has presented to the Assessor all material evidence with regard to the scope of the assessment and that it accepts the Assessor’s findings and any obligations upon «*Applicant’s name*» expressed herein.

|  |  |  |
| --- | --- | --- |
| «*Applicant’s representative*» (name&role, signature) | for | «*Applicant’s name*» |

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

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 absolutely necessary*».

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 or C be employed or the Assessor has any need of an Annex for any other purpose, be marked ‘NOT USED’.

|  |  |  |
| --- | --- | --- |
| **SAC Ref.** | **Min NC Observation** | **Agreed Remedial Action by SP & deadline** |
| **{SAC:+tag}** |  |  |
| **…** |  |  |

Annex B: Remediation of Prior Non-Conformities

If Minor Non-Conformities were found in the preceding assessment their resolution shall be described here using the format set out in the table below.

This Annex should otherwise be deleted OR, should Annex C be employed or the Assessor has any need of an Annex for any other purpose, be marked ‘NOT USED’.

|  |  |  |
| --- | --- | --- |
| **SAC Ref.** | **Prior Min NC Observation** | **Remediation Effected** |
| **{SAC:+tag}** | {re-state from prior KAR} | **AGREED REMEDIAL ACTION**: {re-state from prior KAR}**REMEDIATION OBSERVATION**: {state observations supporting a determination of the non-conformity having been remediated}. |
| **…** |  |  |

Annex C: 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 ‘Permissable Exceptions’ as allowed under Kantara
IAF-1430 SAH, §3.1.4.5.

Additionally, the Assessor may feel that, while they were able to find overall conformity during their assessment 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 has any need of an Annex for any other purpose, be marked ‘NOT USED’.

Annex D, etc.: as required by the Assessor

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