



# Identity Assurance Framework: IAF-1340 Service Approval Handbook

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

## 11 **Abstract**

12 This document describes the ARB’s Policy for handling applications for Approval of various services  
13 operated by Kantara Members, and assessed against specific selections of available Kantara Service  
14 Assessment Criteria (SAC). It defines the obligations upon Applicant and Approval-holding CSPs, the  
15 ARB and its Secretariat, and Accredited Assessors, with regard to the Approval Assessment and  
16 application processes.

17

18

## 19 **Reference Standard**

20 References to ISO/IEC 17065:2012 “*Conformity assessment — Requirements for bodies*  
21 *certifying [...] services*” [IS17065] are made within this text for the purposes of showing a  
22 conformity mapping. They are placed right-justified after any clauses (single or multiple) to  
23 which the conformity cross-reference applies, always at the lowest indexed level to which they  
24 apply, as follows:

25

IS17065: §«clause no.»

26 This specification overall supports Kantara Initiative’s broad alignment towards IS17065 §6.1.2 but is not  
27 intended to demonstrate a complete nor a formal conformance to IS17065.

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## 121 1 INTRODUCTION

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### 122 1.1 Status and Readership

123 This document sets out **Normative** Kantara requirements and is required reading for all ARB Members,  
124 applicant Credential Service Providers and Kantara Accredited Assessors. It will also be of interest to  
125 those wishing to gain a detailed knowledge of how the Kantara Initiative's Identity Assurance Framework  
126 handles the receipt and processing of applications for Grants of Approval.

127 Statements within this document are therefore to be taken as having Normative status unless they appear  
128 under a heading such as 'Guidance', or are included in either an in-line 'note' or as footnotes.

129 IS17065: §7.1.2, 7.1.3, 7.4.1

### 130 1.2 Key words

131 The key words "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", and "MAY", when  
132 used in capitals within this Specification, are to be interpreted as described in RFC 2119, the  
133 applicable parts of which are re-stated hereafter.

- 134 a) **SHALL** This word means that the statement is an absolute requirement of this  
135 specification;
- 136 b) **SHALL NOT** This phrase means that the statement is an absolute prohibition of this  
137 specification;
- 138 c) **SHOULD** This word means that there may exist valid reasons in particular  
139 circumstances to ignore a particular item, but the full implications must be understood  
140 and carefully weighed before choosing a different course;
- 141 d) **SHOULD NOT** This phrase means that there may exist valid reasons in particular  
142 circumstances when the particular behavior is acceptable or even useful, but the full  
143 implications must be understood and the case carefully weighed before implementing any  
144 behavior described with this label;
- 145 e) **MAY** This word means that an item is truly optional. One party may choose to include  
146 the item for a particular reason while another party may omit the same item. An  
147 implementation which does not include a particular option **SHALL** be prepared to  
148 interoperate with another implementation which does include the option, though perhaps  
149 with reduced functionality. In the same vein an implementation which does include a  
150 particular option **SHALL** be prepared to interoperate with another implementation which  
151 does not include the option (except, of course, the feature for which the option provides).

### 152 1.3 Purpose

153 The ultimate goal of the Kantara Initiative's Trust Framework Operations Program (TFOP) is the  
154 facilitation of intra- and inter-Federation transactions based upon a range of identity credentials in which  
155 Relying Parties can have the confidence that the credentials issued under the Kantara Initiative Trust Mark  
156 are being managed to address identified risks. Some of these credential management services may  
157 include differing levels of rigour, generally referred-to as Assurance Levels (AL). Kantara grants

158 Approvals against a number of specific Classes of Approval. The Classes of Approval and their  
159 parameters (AL, etc.) are described at <https://kantarainitiative.org/trustoperations/classes-of-approval/>.

160 To accomplish this Kantara Initiative’s TFOP assesses against strict criteria the management and technical  
161 operating practices of Credential Service Providers in the Privacy, Identity and Credential Management  
162 space, and Grants to conformant Credential Service Providers Approval for their specified Service and the  
163 right to use in that context a Kantara Initiative Trust Mark. Kantara’s Trust Marks are symbols of  
164 trustworthy management and operation of services (at applicable Assurance Levels, where applicable).  
165 There are two documents describing the TFOP and its operation. These are:

- 166 a) **IAF-1340 “Service Approval Handbook”** - this Specification.  
167 This present document, which defines the types of Assessments required and establishes rules  
168 governing how they are to be performed and how the status of service Approvals is managed and  
169 published, whilst also describing the processes required to be followed by the parties involved to  
170 make application for service Approvals, to have Assessments performed, to maintain those  
171 Approvals, and how Approvals may be terminated;
- 172 b) **IAF-1350 “Assessor Accreditation Handbook”**  
173 This document is intended to complement the Service Approval Handbook by describing the  
174 additional rules and processes required to be followed for Assessors to make application for being  
175 Accredited, to maintain their Accreditation, to perform Assessments and how Accreditations may  
176 be terminated.

177 An overall description of Kantara’s operations can be found on the TFOP web page -  
178 <https://kantarainitiative.org/trustoperations/>. The latest versions of each of the above-referenced  
179 documents can be found on Kantara’s Identity Assurance Framework web page -  
180 <https://kantarainitiative.org/identity-assurance-framework/>

## 181 **1.4 Effectiveness**

182 This document MAY be applied immediately upon its publication.

183 It SHALL become fully effective from the first day of the fourth month following the month of its  
184 publication (notionally a minimum 90-day period), whereupon application of this document SHALL be  
185 mandatory and any preceding versions SHALL be withdrawn from publication unless clearly marked as  
186 being ‘WITHDRAWN’ if left available in the public domain, e.g. for reference purposes.

IS17065: §7.10.1

## 188 **1.5 Review**

189 The ARB SHALL review this document as a whole:

- 190 a) whenever it is revised to accommodate any material changes it deems necessary;
- 191 b) at least annually, by the end of the month of publication of any version resulting from material  
192 changes; and
- 193 c) whenever the ARB becomes aware of any circumstances which may require modification of its  
194 service Assessment operational practices.

- 195 IS17065: §7.10.1
- 196 **1.6 Changes in this revision**
- 197 v3.0 - This revision incorporates these material changes:
- 198 a) introduction of the Statement of Criteria Applicability (SoCA) as a required document for all  
199 Approval applications (§3.3.1);
  - 200 b) required practices for production and publication of a SoCA (§3.3.1) and related guidance  
201 (§3.3.2), and consequent requirements within the processes described;
  - 202 c) revised requirements for the production of a Statement of Conformity (SoC) (§3.4.1) and  
203 related guidance (§3.4.2);
  - 204 d) revision to requirements for the recording on non-conformities in the KAR (§6.2.1.1 f));
  - 205 e) explicit statement of selection of criteria sub-set for an ACR (§8.1.2);
  - 206 f) revision to requirements for an ARB-requested unscheduled Assessment.
- 207 In addition to the above, complementary material changes have been made to terms used herein and  
208 defined in KIAF-1050 ‘Glossary and Overview’, which has been republished at the same time as this  
209 revision.
- 210 Additionally, the following non-material changes have been embodied:
- 211 g) all instances of ‘Service Provider’ (SP) have been replaced by ‘Credential Service Provider’  
212 (CSP), as the more widespread acronym in use in other Kantara documents;
  - 213 h) more rigorous use of ‘key words’ (see §1.2).
- 214 IS17065: §7.10.1



## 215 **2 TERMINOLOGY**

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216 Excepting those terms defined below, all other special terms and abbreviations used in this document are  
217 defined in the [IAF Glossary & Overview](#).

218 **Initial Application Package:** the collection of documentation required to make an initial application to  
219 Kantara to have a service registered and to be able to engage an Accredited Assessor for the performance  
220 of an Assessment.

221 **Approval Package:** the collection of documentation required to apply for Kantara's Approval of a  
222 registered service following its Assessment and a finding of conformity.

## 223 **3 OVERVIEW**

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### 224 **3.1 Principles**

225 Kantara offers a range of Classes of Approval, each being determined according to the choice of Service  
226 Assessment Criteria against which the service is assessed. Kantara extends Grants of Approval on a per-  
227 service basis, for that service as operated by the specific Applicant Credential Service Provider (CSP) and  
228 as applicable to the specific set(s) of Service Assessment Criteria (SAC) against which the CSP elects to  
229 have its service Assessed.

230 A service SHALL be designated as one of the following:

- 231 a) a ‘Registered Service’, after being accepted on its Initial Application, pending its first  
232 Assessment; or
- 233 b) as an ‘Approved Service’ once a Grant of Approval has been made by the Kantara Initiative  
234 Board of Directors (KIBoD).

235 Further service attributes are addressed in later parts of this Handbook.

236 Assessments are performed by Accredited Assessors who are tasked with determining a service’s  
237 conformity to the selected SAC(s). The available sets of SAC are described at  
238 <https://kantarainitiative.org/trustoperations/classes-of-approval/>. SAC may cover a range of assurance  
239 levels and the applicable management and organizational practices. Depending upon the nature of the  
240 service and the selected SAC(s) (e.g. the assurance levels at which it is offered– assuming the selected  
241 SAC has such; the range of functional capabilities which it provides; ...), the CSP may select a sub-set of  
242 the full criteria, based upon the scope of its offering.

243 Each service SHALL have associated with it a ‘Statement of Criteria Applicability’ (SoCA) that identifies  
244 the selected SAC(s) and the specific criteria within those SAC(s) against which the CSP intends to  
245 demonstrate the conformity of its specific service. §3.3 describes how a SoCA SHALL be documented  
246 CSP.

247 Approval is granted against a specific scope (in terms of the specification of the service and the applicable  
248 criteria), on the basis of on-going conformity with the terms of Approval and operation within the defined  
249 scope, and resolution of any non-conformities, as agreed<sup>1</sup>. After the performance of the first Triennial  
250 Assessment, and after each subsequent Assessment (be it a Triennial or an Annual Conformity type), a  
251 Statement of Conformity SHALL be prepared, recording the Assessor’s findings with respect to the  
252 applicable criteria (per the SoCA). §3.4 describes the Statement of Conformity more fully.

---

<sup>1</sup> Plus any over-riding agreements, such as the TMLA which the CSP will have signed on its initial application.

## 253 **3.2 Applicable Service Assessment Criteria**

254 Kantara supports a number of specific sets of Service Assessment Criteria (SAC), which accommodate  
255 various reference bases for the criteria therein. Some of these SAC are developed by Kantara, others may  
256 be hosted by Kantara on behalf of third parties who wish to enjoy the benefits of Kantara's Trust  
257 Framework Operations Program.

258 Each available (i.e. formally released) version of any specific SAC has a published date and an effective  
259 date. When a new version of a SAC is published it MAY be applied immediately although the preceding  
260 version (assuming there is one) SHALL remain available and usable until the effective date of the newer  
261 version, after which the preceding version SHALL be withdrawn and the new version SHALL be  
262 applicable in all cases.

263 Kantara also supports additional sets of Assessment criteria, known as Assessment Profiles, that  
264 applicants MAY voluntarily choose for conformity Assessment and approval.

265 The available sets of SAC and associated Assessment Profiles are described at "Available  
266 Approvals, Service Assessment Criteria & Profiles".

267 At any given Assessment, the applicable version of each selected SAC SHALL be identified by the CSP,  
268 subject to the following conditions:

- 269 a) for Initial Application Packages, the latest effective version of the selected SAC at the date of  
270 application; OR
- 271 b) for all other Application Packages, the latest effective version of the selected SAC on the date on  
272 which the Assessment is concluded and the Kantara Assessor's Report (KAR) is published.

273 Any Assessment Profiles applied during an Assessment are selected entirely at the CSP's discretion.

274 The remainder of this document refers to a singular SAC, but readers should assume the same processes  
275 to be applicable when multiple SACs are 'bundled' by Kantara (see "Available Approvals, Service  
276 Assessment Criteria & Profiles") or selected by the CSP.

## 277 **3.3 Statement of Criteria Applicability**

### 278 **3.3.1 Requirements**

279 The Statement of Criteria Applicability (SoCA) SHALL, for the specific service, identify the selected  
280 SAC(s) and the applicable version of each. The SoCA SHALL include all criteria from each of the  
281 applicable SAC sets accounting for the Assurance Levels claimed and class(es) of Approval being sought.

282 The SoCA SHALL then, for each complete criterion within each SAC and accounting for the service  
283 scope, state whether the criterion is or is not in scope of the service and if in scope, whether the criterion  
284 is applicable or not (either in part or whole).

285 Where a criterion is applicable but fulfilled by a Pre-Approved Service, the criterion SHALL be included  
286 in the SoCA as being in scope and the unique reference of the Pre-Approved Service's Grant ID SHALL  
287 be provided.

288 Each criterion (or part thereof) deemed not to be applicable SHALL state a justification for the claim of  
289 non-applicability.

290 The SoCA SHALL be reviewed and made up-to-date by the CSP prior to each submission to the ARB and  
291 SHALL be published by Kantara as a part of its [Trust Status List](#).

292 Thus, a SoCA SHALL provide the following information:

293

Applicability Expression:	Applicability
SAC reference, title and applicable version «repeated for each applicable SAC»	
SAC criterion tag / title / requirement (in full)  «repeated for each criterion in each SAC»	In scope – Applicable (either for a full criterion or the specified sub-part thereof, as scope and applicability require)
	In-scope – Not applicable with justified non-applicability (either for a full criterion or the specified sub-part thereof, as scope and applicability require)
	In scope – Applicable – fulfilled by « reference to the Grant ID of a Pre-Approved Service employed by the subject service »
	Not in scope

294 **3.3.2 Guidance**

295 ‘In scope – Applicable’  
296 means that the functionality, activity or status that is required (or a sub-part thereof) applies to  
297 the scope of the subject service and that the CSP will provide adequate evidence of  
298 conformity.

299 ‘In scope – Not applicable’  
300 means that the functionality, activity or status that is required (or a sub-part thereof) inherently  
301 applies to the scope of the subject service but that there is a reason with justification why the  
302 clause does actually not apply, and therefore no evidence of conformity will be tendered.  
303

304 As a simple example, a criterion could state that “*The CSP SHALL do one of a), b) or c)*”, in  
305 which case one of a), b) or c) must be complied with (therefore that sub-part is ‘In scope –  
306 applicable’) and the other two options are declared as being ‘In scope – not applicable’ with  
307 the justification that ‘another mutually-exclusive option is chosen (stating which).

308 If a group of additional criteria depended on the choice made then two of the three groups of  
309 additional criteria would be not applicable by the same justification, and one would apply.  
310 A similar case can be seen if the requirement was to do “*at least one of a), b) or c)*”.

- 311 ‘In scope – Applicable – fulfilled by ...’  
312 means that the functionality, activity or status that is required applies to the scope of the  
313 subject service and that the CSP employs a Pre-Approved Service to accomplish the required  
314 need. The Grant ID which is assigned to the Pre-Approved Service must be cited and the  
315 SoCA for that service must be one which shows this criterion to be completely ‘In scope –  
316 applicable’ (see above).
- 317 ‘Not in scope’  
318 means that the functionality, activity or status that is required is expressly outside the scope of  
319 the subject service, at least as far as concerning its consideration for Approval.  
320  
321 It may not be immediately apparent why a Full Service would have criteria which were out of  
322 scope, but as just a simple example, consider a service which offered ONLY unsupervised  
323 proofing. Thus all criteria pertinent to supervised proofing would be out of scope but it would  
324 nonetheless be a legitimate (if limited) service.
- 325 It is necessary that the applicability of each discrete criterion within each included SAC be asserted, not  
326 least to allow all parties to ensure that if there have been changes to criteria, these have been taken into  
327 account.
- 328 The Kantara publication [KIAF-1405 Service Assessment Criteria – Overview](#) provides guidance for the  
329 creation of a SoCA.

## 330 **3.4 Statement of Conformity**

### 331 **3.4.1 Requirements**

332 The Statement of Conformity (SoC) SHALL identify the selected SAC(s) and the applicable version of  
333 it/them. For each criterion (and at each applicable Assurance Level(s), if the selected SAC has such) the  
334 SoC presents for the benefit of the Assessor and the evidence which the CSP believes demonstrates their  
335 conformity to each criterion (or that evidence which may have been requested by the Assessor, e.g. records  
336 of events, etc.).

337 After reviewing the evidence presented to them by the CSP the Assessor SHALL record their findings using  
338 one of the following ‘finding’ expressions. Use of these defined expressions ensures that each criterion  
339 receives a definitive finding expression from the Assessor, rather than being left blank with no explicit  
340 statement, which could lead to uncertainty as to the final outcome of the Assessment. This also ensures  
341 consistency between the CSP’s SoCA and the Assessor’s findings, which in turn gives the ARB confidence  
342 in their review. The finding expressions SHALL be limited to those described in the following table.

343

SoCA expression:	Assessor's SoC finding
SAC reference, title and applicable version «repeated for each applicable SAC, with one of the following finding expressions being used for each criterion (or if necessary, its sub-parts) within the SAC»	
In scope – applicable	Conformant
	Fulfilled by Pre-Approved Service «ref.»
	Not assessed in this ACR
	Minor Non-Conformity
	<b>MAJOR Non-Conformity</b>
	RTO – Deferred, pending PoT Assessment
In-scope – not applicable	Non-applicability accepted - with justified non-applicability stated in the SoCA
Not in scope	Not in scope

344 The precise meanings and required actions to determine each of the finding expressions used above are  
345 explained further in §3.4.2.

346 Recognizing that some persons may have different colour perception, the use of color-coding is suggested  
347 but not absolutely mandated. However, adoption of these colours if possible would provide consistent use  
348 of colours, so the ARB is provided with uniform presentation.

349 Kantara prescribes the required minimum content of the SoC but not a specific structure. The SoC MAY  
350 be a stand-alone document or MAY be incorporated into another document if that is justified and  
351 effective. Kantara's requirement is that a specific documented source of the required information SHALL  
352 be available and labeled as the SoC.

### 353 3.4.2 Guidance

354 'Conformant'

355 means that, for a criterion (or a sub-part thereof) which the SoCA defines as being 'In scope –  
356 applicable' the Assessor has been presented with sufficient evidence to determine with all  
357 reasonable confidence that the functionality, activity or status is being met;

358 'Fulfilled by Pre-Approved Service «ref.»'

359 means that, for a criterion (or a sub-part thereof) which the SoCA defines as being 'In scope –  
360 applicable' the Assessor has been presented with sufficient evidence to determine with all  
361 reasonable confidence that the functionality, activity or status of the complete criterion is  
362 being met by the referenced Pre-Approved Service.

- 363 ‘Not assessed in this ACR’  
364 means that, based on the notional 50-50 split of criteria between the two ACRs executed  
365 within a triennial cycle, this criterion *in toto* has been omitted from the ACR being executed.
- 366 ‘Minor Non-Conformity’  
367 means that, for a criterion (or a sub-part thereof) which the SoCA defines as being ‘In scope –  
368 applicable’ the Assessor has been presented with insufficient evidence to justify a  
369 determination of ‘Conformant’ for the functionality, activity or status that is required, such  
370 that they find there to be a non-conformity which presents a **minor but non-negligible risk** to  
371 the assurability of the service.
- 372 ‘Major Non-Conformity’  
373 means that, for a criterion (or a sub-part thereof) which the SoCA defines as being ‘In scope –  
374 applicable’ the Assessor has been presented with insufficient evidence to justify a  
375 determination of ‘Conformant’ for the functionality, activity or status that is required, such  
376 that they find there to be a non-conformity which presents an **unacceptable risk** to the  
377 assurability of the service.  
378
- 379 Although extremely unlikely that a CSP would submit to the ARB an SoC with a ‘Major Non-  
380 Conformity’ finding (since the ARB would not recommend Approval for such a service) this  
381 provides for a consistent manner in which it should be presented by the Assessor to the CSP.
- 382 ‘RTO – Deferred, pending PoT Assessment’  
383 means that the assessment has not been able to review operational records and hence a  
384 ‘Period-of-Time’ assessment is yet to be completed. Refer to §6.1.2.2 ‘Ready To Operate’.
- 385 ‘Non-applicability accepted’  
386 means that for a criterion (or a sub-part thereof) which the SoCA defines as being ‘In scope –  
387 not applicable’ the Assessor has verified and accepted the justification for its non-  
388 applicability.  
389
- 390 Irrespective of the ARB’s acceptance of a SoCA, an Assessor is entitled to challenge a claim  
391 of non-applicability and where necessary to provide an alternative finding according to the  
392 CSP’s ability to fulfil the requirement where it is agreed to be applicable. Correspondingly,  
393 the CSP is responsible for amending its SoCA to reflect the changes to applicability.
- 394 ‘Not in scope’  
395 is a repetition of the assertion in the SoCA and needs no Assessment.

396 The Kantara publication [KIAF-1405 Service Assessment Criteria – Overview](#) provides guidance for the  
397 creation of an SoC.

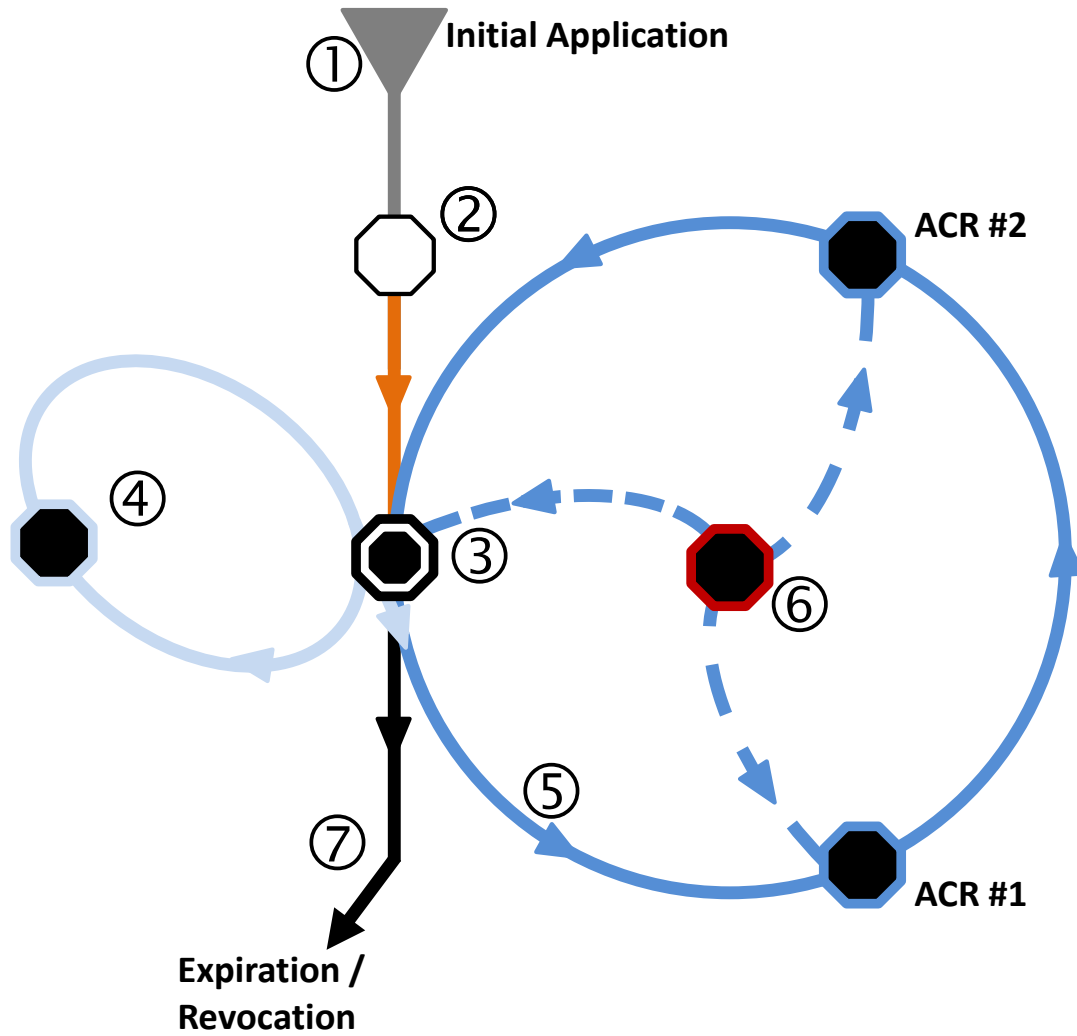
### 398 **3.5 The Overall Application / Approval Process**

399 The overall process that governs the application for service approval and the granting and  
400 maintenance of approval consists of seven key stages. These are summarized below, are

401 shown in Figure 1 and each numeric symbol in the list below is hyper-linked to the  
402 respective descriptive section of this Handbook.

- 403 [①](#) SP's Initial Application;
- 404 [②](#) ARB review of the Application;
- 405 [③](#) Service Assessment Review;
- 406 [④](#) 'Ready To Operate' procedures;
- 407 [⑤](#) Annual Conformity Reviews
- 408 [⑥](#) Unscheduled Assessments;
- 409 [⑦](#) Approval Termination.





<b>Key:</b>		Initial ARB review
		FOS Assessment & ARB review
		ACR Assessment & ARB review
		Triennial/RTO Assessment & ARB review
		Un-scheduled Assessment & ARB review

Figure 1 - High-level view of the CSP Application / Approval processes.

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412  
413

414 The Kantara IAF's Assessment model is based on established best practice as defined in ISO/IEC  
415 17065:2012 "Conformity assessment — Requirements for bodies certifying [...] services"  
416 [IS17065], which allows for annual reviews to be less demanding than the initial Assessment,  
417 subject to the three-year cycle being re-commenced when the Grant of Approval is renewed on the  
418 third anniversary of it being last granted (or reset).

419 Each of the key stages, as identified above in Figure 1, is described in a dedicated section  
420 (following), in two parts.

421 The first part, 'x.1', describes the purpose and place in the overall scheme of the key stage in  
422 question and sets out the 'rules' for the processes involved.

423 The second part, 'x.2', presents a 'script' that describes the sequential actions required of  
424 each of the involved parties. To ensure clarity as to how the parts of the defined processes  
425 relate to specific parties the text is indented at discrete levels, each level being specific to a  
426 particular party. Note that any interaction between these parties for the purposes of  
427 clarifying matters is not explicitly scripted but is expected to be conducted in accordance  
428 with the assigned responsibilities.

429 The following passages show how this scripting is laid out.

430 **CSP:**

431 *Text assigned to the Credential Service Provider (CSP) defines actions that are*  
432 *the responsibility of the CSP to enact.*

433 **ARB:**

434 *Text assigned to the Assessment Review Board (ARB) defines actions that are the*  
435 *responsibility of the ARB to enact.*

436 *NOTE: For the purposes of this Handbook, the activities of the Secretariat to the*  
437 *ARB and of the KIBoD are also included at this level because of their more*  
438 *intimate relationship to the ARB, but the script makes it clear which of these*  
439 *parties are responsible for any given actions.*

440 **Assessor:**

441 *Text assigned to the Assessor defines actions that are the responsibility of the*  
442 *Assessor to enact.*

443 *NOTE: Only actions directly pertinent to the approval process are described in*  
444 *this Handbook. A separate Handbook, 'IAF-1350 Assessor Accreditation*  
445 *Handbook' will address the details of the performance of assessor accreditation*  
446 *and assessor-specific aspects of Assessments.*

447 These roles are described in [IAF Overview](#).

### 448 **3.6 Assessor selection and Assessment**

449 The SAC declared as being 'In Scope' in the SoCA SHALL be the minimum basis against which  
450 the Service Subject to Assessment SHALL be assessed. That is, at least the applicable criteria

451 from the selected SAC SHALL be assessed-against. The CSP MAY have other criteria included  
452 in the Assessment, e.g. related Assessment Profiles, technical profiles, etc.

453 Actual Assessment SHALL be carried-out by a Kantara-Accredited Assessor, which will perform  
454 an Assessment of the service(s) referenced in the Application, with the objective of determining  
455 the specified service as being conformant to the selected SAC.

456 The CSP MAY, by agreement with its selected Assessor, identify further criteria and profiles to  
457 be included in the scope of the Assessment so long as these do not conflict with the selected SAC  
458 and the Assessor has the competence to assess the full scope required by the CSP.

459 IS17065: §6.1.1.2, 7.4.2

460 CSPs are at liberty to select a different Accredited Assessor for successive Assessments, if they so  
461 choose.

462 Following an Assessment the Assessor SHALL provide to the CSP a KAR. A KAR attesting to a  
463 finding of conformity will be one of the documents required of the CSP to support any application  
464 for Approval of their service.

465 IS17065: §7.4.3, 7.4.6

### 466 **3.7 Trust Status List**

467 The Kantara Secretariat SHALL maintain a register of all Grants of Approval (see §3.6), their service  
468 type, their Class of Approval, their status and termination date, and other essential information.

469 Kantara SHALL publish and maintain the status of all its Registered Services and Approved Services, and  
470 its Applicant and Accredited Assessors, in a Trust Status List (TSL).

471 Status changes SHALL be posted by published process within two calendar weeks of them being  
472 formally-approved or determined.

473 IS17065: §7.7.1

474 Notice of status changes SHALL be ‘pushed’ to any statutory, industry or other bodies requiring such  
475 notification, and to any other interested parties who have signed-up to receive such notifications.

### 476 **3.8 Effective dates of Approval**

477 Effective dates of Approval termination, fulfillment of remedial actions and any other specific events  
478 SHALL be set to be the last day of the month in which an event is due. For example, a Grant of Approval  
479 issued on any day of a given month SHALL naturally terminate on the last day of that same month, in the  
480 following year (in the absence of any other actions being taken which might affect the status of the  
481 Grant).

### 482 **3.9 Exceptions**

483 In the event that any circumstances arise, concerning the processing of applications for and  
484 maintenance of a Grant of Approval, which are not directly or not adequately covered by this  
485 handbook the ARB SHALL have the authority to determine and prosecute a resolution at the time

486 of the event which is in keeping with [Section 1.2 \(Purpose\)](#) and [Section 3.1 \(Principles\)](#) of this  
487 handbook, subject to due notice being given in the case of changes to procedures and practices  
488 which affect an Applicant.

489 After the event the Secretariat SHALL either:

- 490 a) if it is considered unlikely that the circumstances could arise again, retain a record of the  
491 circumstances and their resolution, as a basis for applying ‘precedence’ in that unlikely event;  
492 OR  
493 b) take steps to ensure that there is a revision to this handbook to accommodate the circumstances  
494 when and if they do arise again.

## 495 **4 STAGE 1 - CSP's INITIAL APPLICATION PACKAGE**

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### 496 **4.1 Purpose and processes**

#### 497 **4.1.1 General description**

498 An Initial Application Package for Approval by a CSP is required as the first submission for a service, i.e.  
499 one which is not already Approved and not already Registered.

500 CSPs SHALL submit an Initial Application Package, essentially to introduce themselves and their service  
501 to Kantara, defining the scope and nature of their service, and other essential information, including the  
502 SoCA, specifying which SAC and specific criteria therein against which they wish their service to be  
503 assessed.

504 CSPs are encouraged to make contact with the Secretariat during the preparation of their Approval  
505 package to give themselves the best chance of getting through Assessment of their application with  
506 minimal, if any, difficulties. CSPs can also at this time discuss their requirements for Assessment with  
507 Kantara-Accredited Assessors, though they should note that Assessors are prohibited from performing  
508 Assessments until such time as the CSP can provide copy of its Trust Mark License Agreement, counter-  
509 signed by Kantara Initiative.

#### 510 **4.1.2 Supporting templates**

511 The Secretariat SHALL be responsible for ensuring that the necessary supporting *pro formæ* documents  
512 are reviewed as circumstances dictate and are maintained at a current status. These *pro formæ* SHALL be  
513 available as templates on the KI web site such that they can be readily located and downloaded by any  
514 interested parties. These documents shall comprise:

- 515 a) Application for Service Approval (ASA);
- 516 b) Specification of a Service Subject to Assessment (S3A);
- 517 c) Statement of Criteria Applicability (SoCA);
- 518 d) Statement of Conformity (SoC);
- 519 e) Kantara Assessor's Report (KAR).

520 In addition the Secretariat SHALL liaise with the KIBoD to ensure that the latest versions of applicable  
521 agreements are on the KI web site such that they can be readily located and downloaded by any interested  
522 parties. These documents SHALL comprise:

- 523 f) Membership Agreement;
- 524 g) Trust Mark License Agreement ([TMLA](#)).

#### 525 **4.1.3 Acceptance of applicable terms**

526 Kantara Initiative protects against the potential misuse of its Trust Mark by requiring all applicants  
527 to sign the Trust Mark License Agreement ([TMLA](#)) prior to seeking Assessment of their service(s).  
528 Each Application includes the CSP's commitment to the terms and conditions defined in the  
529 [TMLA](#). These terms and conditions address the complete life-cycle of participation in the IAF

530 and SHALL be re-signed at the commencement of each three-year cycle and confirmed on the first  
531 and second anniversaries of that signature.

532 Application for a Grant of Rights of Use, withdrawal of Application (without receipt of a Grant of  
533 Rights of Use) during the period in which a Grant of Rights of Use is awarded, after termination  
534 of a Grant of Rights of Use, and the CSP's signature to the [TMLA](#) at the time of Application shall  
535 bind the CSP to the terms and conditions at all stages of participation in the IAF thereafter. This  
536 includes adherence to the conditions of Membership which is a mandatory pre-condition before a  
537 Grant of Rights of Use can be made.

## 538 **4.2 Required actions**

539 **CSP:**

540 *The CSP SHALL down-load and review the latest versions of the template*  
541 *documents referenced above. If, after review, the CSP has any questions*  
542 *concerning the documents and their implications, they are advised to contact the*  
543 *Secretariat to discuss them.*

544 *Assuming the CSP finds the terms etc. acceptable they SHALL complete the*  
545 *documents, noting that the SoCA has to be completed according to the type of*  
546 *service the CSP wishes to have approved and the applicability of all criteria in*  
547 *its selected SAC must be stated.*

548 *All of these documents give guidance for their completion.*

549 *When all documents are ready for submission they SHOULD be submitted to the*  
550 *Secretariat.*

551

IS17065: §7.4.3

## 552 **5 STAGE 2 - ARB REVIEW OF INITIAL APPLICATION PACKAGES**

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### 553 **5.1 Purpose and processes**

554 This stage is the ARB's first formal notification of the CSP's intentions to have their service assessed and  
555 is the ARB's opportunity to ensure that, prior to any Assessment commencing, the CSP understands what  
556 is expected of them, that they have accepted their obligations through the appropriate agreements, that the  
557 service is, in principle, suitable for Approval by Kantara, subject to the service being found conformant to  
558 the applicable criteria, and that an appropriate set of criteria have been identified and which align to the  
559 description of the service.

560 Depending on the SAC which the CSP has selected, the CSP MAY be required to state at the time of their  
561 initial application whether they are submitting for Approval a Full Service or a Component Service. In  
562 addition, when it comes to performing the Assessment, the CSP will have to indicate whether it has a  
563 fully-operational service to be assessed or have one which is ready for, but not actually engaged in,  
564 operations. These types of service scope and Assessment type are addressed in §6.1.1 and §6.1.2,  
565 respectively.

566 On Kantara's acceptance of the initial application the Applicant can request that their service be recorded  
567 and published through the TSL as a 'Registered Service'. Irrespective of whether published or not, the  
568 'Registered Service' status SHALL be effective for a period not exceeding twelve months, at the end of  
569 which the registration SHALL become lapsed, if it has not been replaced by a Grant of Approval.

570 IS17065: §7.7.1

### 571 **5.2 Required actions**

#### 572 **5.2.1 Handling of Initial Application Packages on receipt**

573 **ARB:**

574 *On receipt of an Initial Application Package the Secretariat SHALL review its*  
575 *contents and undertake the following validations:*

576 *a) review all documents associated with the package for completeness,*  
577 *including the accessibility of any linked documents;*

578 *b) send the CSP's Point of Contact (PoC) confirmation of receipt of its*  
579 *application, and request of the CSP any revisions or explanations necessary*  
580 *to resolve problems identified during the validation;*

581 *c) where possible, validate any claims made in the package; such as*  
582 *certifications, insurance policies, etc.;*

583 *d) ensure that membership sign-up and all applicable fees have been paid and*  
584 *cleared;*

585 *e) form the ARB Review Team, accounting for the ARB's Recusal policy (see*  
586 *ARB Charter);*

587 f) *pass the package to the ARB Review Team, setting a target completion date of not more*  
588 *than three weeks hence;*

589 g) *during the course of the Review Team's evaluation of the package (see §5.2.2), advise*  
590 *the CSP's PoC of any irregularities with the package and seek whatever clarification*  
591 *is necessary.*

592 The ARB reserves the right to reject an Initial Application Package without any effort to evaluate  
593 it if, within the preceding three-month period, the ARB has rejected an Initial Application Package  
594 from the Applicant for the same service.

## 595 **5.2.2 ARB Review Team Evaluation**

### 596 **ARB:**

597 *On notification that an Initial Application Package is ready for evaluation, the*  
598 *ARB Review Team SHALL review the package within their terms of reference as*  
599 *assigned by the Chairperson of the ARB (who can choose to assign specific*  
600 *focuses to specific ARB members, as their particular experience might apply to*  
601 *the package).*

602 *The Review Team's evaluation of the package SHALL progress as follows:*

603 a) *the S3A SHALL be reviewed to determine whether it provides a sufficient description*  
604 *of the CSP's service;*

605 b) *the SoCA SHALL be reviewed to determine whether, based upon the description*  
606 *provided in the S3A, the CSP's selection of criteria against which its service is to be*  
607 *assessed is a good 'fit';*

608 c) *Where the Application makes use of a Pre-Approved Service, that the overlay of the*  
609 *collective criteria covered by the combination of the Applicant's SoCA and those of*  
610 *the included Pre-Approved Services encompasses the full set of criteria declared as*  
611 *being 'In scope', for all chosen Assurance Levels, where applicable;*

612 d) *if the Review Team finds the material submitted in support of the Application*  
613 *insufficient to allow it to reach an understanding of the service or to determine a*  
614 *finding, requests for clarification or additional information SHALL be made to the*  
615 *Secretariat, who SHALL communicate with the CSP's PoC;*

616 e) *such requests (see d), above) SHALL be recorded, as SHALL be the Applicant's*  
617 *response, in whatever form;*

618 f) *the Review Team's findings and its recommendation as to whether the Application be*  
619 *accepted or rejected, with justification, SHALL be communicated to the Secretariat;*

### 620 **CSP:**

621 *CSPs are entitled to withdraw their Application at any time during this review*  
622 *period, and need not give any reason.*

### 623 **ARB:**

624 *If the CSP advises that they wish to withdraw their application the Secretariat*  
625 *SHALL record the application as withdrawn and close the file.*



### 626 5.2.3 Post-ARB Review actions

#### 627 **ARB:**

628 *Upon receipt of the Review Team’s decision, the Secretariat SHALL advise the*  
629 *CSP’s PoC of the outcome, either that the Initial Application has been accepted*  
630 *as being fit for Assessment, or that the application has been rejected, with reasons*  
631 *why<sup>2</sup>;*

632 *If the ARB’s recommendation is to accept the application the Secretariat SHALL:*

633 *a) further advise the CSP that their ‘Registered Service status will be valid for 12 months*  
634 *from the date of notification of the ARB’s decision;*

635 *b) unless the CSP has requested otherwise in its Application package, update the Kantara*  
636 *TSL to include the CSP and its service as a ‘Registered Service’.*

637 IS17065: §7.7.1

638 *Notification of a rejection shall:*

639 *c) state the reasons for rejection;*

640 *d) describe any conditions which if fulfilled would enable the ARB to find*  
641 *reason to accept a resubmission of the Application;*

642 *e) advise the CSP of their entitlements as to lodging an Appeal (see 5.2.4).*

643 *Unless an appeal is lodged by the CSP within the permitted period, the Secretariat*  
644 *SHALL record the application as ‘rejected’ and close the file.*

### 645 5.2.4 Appeals

#### 646 **CSP:**

647 *SPs SHALL have the right to appeal against the ARB’s or the KIBoD’s decision*  
648 *to reject its application by submitting an appeal to the Secretariat stating the*  
649 *grounds and arguments on which their appeal is founded. Appeals SHALL be*  
650 *submitted within four weeks of the date of notification of the ARB’s or the*  
651 *KIBoD’s decision. All Appeals SHALL be handled by the ARB.*

#### 652 **ARB:**

653 *Upon receipt of an appeal the Secretariat SHALL acknowledge its receipt to the*  
654 *CSP and request that the ARB gives the appeal consideration and selects three of*  
655 *its members, or persons from other recognized authorities in good standing with*  
656 *the Kantara community, to act as ad hoc ARB members, thereby constituting an*

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<sup>2</sup> It is expected that any irregularities or omissions will have been addressed by 5.2.1 g) (above), exercised multiple times if necessary, and hence any rejection at this stage shall be for cause which has not been resolved by the CSP.

657 *Appeals Board. This Appeal Board SHALL be subject to ARB confidentiality*  
658 *procedures, for the duration of the conflict resolution process. The ad hoc*  
659 *members SHALL be acceptable to both the Chairperson of the ARB and to the*  
660 *Applicant, each of whom SHALL endeavor to find mutually-acceptable members.*  
661 *However, in the event that three mutually-acceptable members cannot be found*  
662 *within one calendar month of the appeal being lodged, the Chairperson of the*  
663 *ARB SHALL have the right to appoint three Appeal Board members without*  
664 *further reference to the Applicant.*

665 *The appeal SHALL be heard within a two-week period of the Appeal Board being*  
666 *established. The Appeal Board SHALL hold a meeting of all parties in order to*  
667 *hear the arguments from the ARB's Review Team and the Applicant, before*  
668 *determining their findings in camera. The Appeal Board SHALL make one of the*  
669 *following recommendations: uphold the ARB's or KIBoD's decision; override the*  
670 *ARB's decision (but not a decision of the KIBoD); or, propose a remediation that*  
671 *is agreeable to the Applicant and put that recommendation either to the ARB for*  
672 *action or as a recommended resolution for the KIBoD's consideration.*

673 *The outcome of the Appeal SHALL be formally recorded and notification of the*  
674 *final determination given to the Applicant.*

675

IS17065: \$5.1.3 I)

## 676 **6 STAGE 3 - SERVICE ASSESSMENT REVIEW**

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### 677 **6.1 Purpose and processes**

678 This stage is the nucleus of the Assessment Framework (see Figure 1). Although there are different types  
679 of Assessments, the required actions described for this stage (see below in §6.2) are generally  
680 representative of those required for Triennial Assessments (see §6.1.2 for a description of all Assessment  
681 types). The steps described might require to be adjusted in small degrees to accommodate other  
682 Assessment types.

683 Assessments might also differ according to the scope of functionality included within a specific service,  
684 and that aspect of an Assessment is dealt with first, below.

#### 685 **6.1.1 Scope of Service**

##### 686 **6.1.1.1 General**

687 A CSP SHALL be required to show conformity of its service to all criteria within the applicable SoCA,  
688 for the applicable Assurance Level(s). A Credential Service can have all criteria classified in the  
689 applicable SoCA as ‘In scope’ as being met by the service itself or they can be met by the inclusion of any  
690 number of Pre-Approved Services.

691 The Applicant’s SoCA SHALL state which criteria (if any) are met by any Pre-Approved Services, which  
692 SHALL be identified in the SoCA by their Kantara Grant ID ( see §3.3).

693 This Assessment SHOULD NOT include re-examination of the conformity of included Pre-  
694 Approved Services, unless circumstances suggest there is a justified reason to do so, but the  
695 Assessment SHALL establish that:

- 696 a) where any criterion happens to fall into more than one Pre-Approved Service, that there is a clear  
697 responsibility on the part of the applicant Credential Service that reliance upon such a criterion is  
698 being appropriately met or that its dual operation does not present any conflicts in the overall  
699 provision of the service;
- 700 b) the provider of each Pre-Approved Service has, within the thirty calendar days preceding the start  
701 of the Assessment, provided an attestation to the CSP to the effect that the scope, description,  
702 operation and conformity of their Pre-Approved Service has not materially changed<sup>3</sup> since the last  
703 Assessment.

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<sup>3</sup> A material change would be one which required a change to the scoping statement, involved a change of functionality provided or the manner of provision of defined functionality, or which had changed to the point where conformity to any applicable SAC requirement could no longer be upheld or had been replaced by a means of

704 **6.1.1.2 Special Provisions - Pre-Approved Services**

705 The concept of a Pre-Approved Service is intended to permit flexibility wherein a CSP offers their service  
706 as a core function for the clients of that service to build upon, in the provision of their own service (e.g. to  
707 satisfy different market sectors or to permit operations in different jurisdictions). This approach allows  
708 significant flexibility in how services are developed by no longer imposing a specific dominance of any  
709 particular aspect of the service's provision. Such services are submitted as Component Services and are  
710 referred-to as Pre-Approved Services when they become incorporated into another CSP's service. It is  
711 therefore to be expected that the SoCA applicable to a Component Service would have omissions in the  
712 set of criteria to which it claimed conformance in comparison to the full set of criteria for a given set.

713 **6.1.1.3 Special Provisions - Full Services**

714 Whereas the Provider of a Full Service SHALL ordinarily be conformant with all criteria within the  
715 applicable SACs which are within the scope of its service a CSP MAY exclude specific criteria, but in  
716 order to do so it SHALL show that the responsibility for meeting those criteria is assumed by the CSP's  
717 customer(s). This provision allows for the CSP's customers to efficiently leverage information and  
718 processes already in their hands. CSPs who claim such exclusions SHALL demonstrate how the excluded  
719 requirements are communicated to their customers and how their customers are obliged to fulfill them and  
720 the measures by which they SHALL be held accountable (typically through explicit notices and sections  
721 in service agreements).

722 **6.1.2 Assessment types**

723 **6.1.2.1 Triennial**

724 Triennial Assessments (i.e. those conducted for the purposes of an initial Grant of a three-year  
725 Approval and for subsequent renewal of that Grant each three years) SHALL require Assessment  
726 against all criteria specified in the Applicant's SoCA. They are effectively Period-of-Time  
727 assessments.

728 Triennial Assessments SHALL address the full set of applicable criteria, including review of  
729 operational performance and records. Such Assessments shall cover at least a minimum  
730 operating Period-of-Time of 60 days if the service has not operated for any longer and shall  
731 otherwise review an operating Period-of-Time up to a maximum of twelve months, prior to the  
732 date on which the Assessment commenced.

733 **6.1.2.2 Ready To Operate**

734 Experience has shown that, prior to becoming operational, some CSPs might desire a Kantara  
735 Approval in advance of there being any operational history on which a Triennial (i.e. Period-of-  
736 Time) Assessment could be based. Kantara provides for such circumstances by granting a Ready  
737 To Operate (RTO) Approval (i.e. one resulting from an Assessment for which there is no  
738 operational record to underpin the quality of the Assessment) as an interim measure, conditional  
739 upon a follow-up Fully Operational Service (FOS) Assessment (see §6.1.2.3) being provided  
740 within a specific period (see below) after the point in time at which operational records begin to  
741 be generated.

742 RTO Assessments SHALL require that the service meets all applicable criteria to the fullest  
743 extent practicable but for the provision of proof of effective operation through the furnishing as  
744 evidence of records accumulated during the service's operations.

745 Consequently, a RTO Assessment will conclude with some criteria, which fall within overall  
746 scope of the service's fully operational provisioning, being determined as fully or partially out of  
747 scope for the RTO Assessment because the CSP's demonstration of full compliance is pending  
748 the availability of sufficient operational data to support those claims.

749 When Approval is granted on the basis of a RTO Assessment the published status of the  
750 Approval SHALL carry the qualifier 'Ready To Operate'.

751 If no application for Approval based upon a FOS Assessment is received within twelve months  
752 of the granting of a RTO Approval, the Approval SHALL lapse and the CSP shall be required to  
753 re-start the whole Application process.

### 754 **6.1.2.3 Fully Operational Service**

755 When the subject Service becomes operational after previously undergoing a RTO Assessment,  
756 the service SHOULD be operating for a minimum 60 days before a Fully Operational Service  
757 (FOS) Assessment can commence (i.e. one addressing a Period-of-Time over which the Service  
758 has been operational and therefore has established logs and records of operations which can  
759 provide adequate supporting evidence). This minimum period MAY be varied by the Assessor,  
760 who SHALL document the reasons for doing so in the associated KAR, and the final  
761 acceptability of this shall be the responsibility of the ARB.

762 Until such time as Approval is granted on the basis of a FOS Assessment, any 'Ready To  
763 Operate' Approval status based upon a RTO Assessment will remain, subject to its normal  
764 termination terms.

765 Subject to the following provision, the scope of the FOS Assessment SHALL be limited to only  
766 those criteria which were specifically excluded, fully or partially, from the RTO Assessment by  
767 its nature. However, Assessors SHALL have discretion to include within the FOS Assessment  
768 such additional criteria as were already included in the RTO Assessment as they deem necessary  
769 to ensure that, at conclusion of the FOS Assessment, the subject Credential Service is effectively  
770 at the same state of assurance as if a Triennial Assessment had been performed. This provision  
771 accounts for instances where there is a significant lapse between the two Assessments, taking  
772 into account the fact that a full Triennial cycle will commence on the conclusion of the FOS  
773 Assessment. Assessors SHALL document the reasons for setting a broader scope for the FOS  
774 Assessment in the associated KAR.

775 At the conclusion of a FOS Assessment the ARB SHALL recommend unqualified Approval to  
776 the KIBoD, on the Grant of which the 'three year' triennial cycle SHALL commence.

### 777 **6.1.3 Site visits**

778 No site visits are required at AL1 or xAL1.

779 At AL2/xAL2 and above, when performing either Triennial Assessment or a Fully Operational  
780 Service Assessment, the Assessor SHALL conduct an on-site visit sufficient to ensure that  
781 operations are being adequately executed.

782 Although site visits are not mandatory when a RTO Assessment is being performed, Assessors  
783 SHALL consider whether, in their review of risk associated with the Assessment and the reason  
784 for its performance, an on-site visit is necessary. The Assessor's reasoning as to whether the on-  
785 site visit is performed SHALL be documented in the KAR.

## 786 **6.2 Required actions**

787 This section applies to all scopes and types of service Assessments against any selected SAC.

### 788 **CSP:**

789 *The CSP SHALL contract for its Assessment with an Assessor selected from*  
790 *Kantara's published Trust Status List (which includes both Approved Services*  
791 *and Accredited Assessors).*

792 *The CSP SHALL provide to its selected Assessor copy of its Application Package*  
793 *and/or of any preceding KAR/S3A/SoCA/Application Package documents, in*  
794 *order that the Assessor can understand the nature and scope of the Assessment.*

795 *The CSP SHALL provide to the Assessor references to documented evidence of*  
796 *conformity and allow the Assessor access to its records, physical locations and*  
797 *other materiel, as the Assessor reasonably requests in order to perform the*  
798 *Assessment.*

### 799 **Assessor:**

800 *The CSP's selected Assessor SHALL perform the Assessment in accordance with:*

- 801 *a) the terms of their Accreditation;*  
802 *b) the requirements of the [IAF Assessor Accreditation Handbook](#);*  
803 *c) the scope determined by the CSP's S3A, the associated SoCA and the*  
804 *applicable SAC.*

805 *It must be noted that, in accordance with the [IAF Assessor Accreditation](#)*  
806 *[Handbook](#), an Assessor SHALL report as a Major non-conformity any prior Minor*  
807 *non-conformity which the CSP has not resolved by the conclusion of the*  
808 *Assessment in hand.*

809 *On completion of the Assessment the Assessor SHALL furnish the CSP with a*  
810 *completed SoC recording its findings and a Kantara Assessor's Report (KAR),*  
811 *prepared in accordance with the requirements of the [IAF Assessor Accreditation](#)*  
812 *[Handbook](#).*



813 **6.2.1 Submission of the KAR**

814 A KAR can record a finding of conformity citing no, one or more **minor** non-conformities, OR a  
815 failure to find conformity, citing one or more **major** non-conformities. Each of these cases is  
816 addressed below.

817 **6.2.1.1 Finding of conformity**

818 **CSP:**

819 *The CSP SHALL submit to the Secretariat its Approval Package, consisting of:*

820 a) *the KAR and supporting SoC (which must align to the applicable SoCA – see*  
821 *b), be low), which MAY be redacted, if the CSP considers details of evidential*  
822 *sources to be sensitive, to show only the Assessor’s specific findings, whether*  
823 *they be unqualified conformity or finding of a Minor non-conformity;*

824 b) *updated SoCA and S3A, if any of the information in either or both of them*  
825 *has changed since the last time it was submitted. Since each document is a*  
826 *source of information that will be posted on the Kantara TSL, the CSP*  
827 *SHALL ensure this information continues to reflect the service as assessed.*

828 *The CSP SHALL highlight any part of their SoCA which has changed since the*  
829 *last submission to the ARB.*

830

IS17065: §7.7.1

831 **ARB:**

832 *On receipt of an Approval Package the Secretariat SHALL review its contents*  
833 *and undertake the following validations:*

834 c) *review all documents associated with the package for completeness,*  
835 *including the accessibility of any linked documents;*

836 d) *ensure consistency with information previously submitted;*

837 e) *ensure that there are no **Major** Non-Conformities recorded in the KAR;*

838 f) *if any **Minor** Non-Conformities are recorded in the KAR, ensure each*  
839 *has an acceptable remedial action and completion date stated;*

840 g) *if a prior Assessment has been conducted, that the KAR being reviewed*  
841 *refers to the previous Assessment’s KAR and explicitly reports on how*  
842 *those non-conformities have been satisfactorily resolved;*

843 h) *ensure that membership sign-up and all applicable fees have been paid and*  
844 *cleared.*

845 *If any of these conditions are not fulfilled or show irregularities the Secretariat*  
846 *SHALL return the Approval Package to the CSP’s PoC with a request that the*  
847 *discrepancies be resolved and the package re-submitted.*

848 *Once an Approval Package has met the above requirements the Secretariat*  
849 *SHALL inform the ARB Chairperson of its status.*

850 *The ARB Chairperson SHALL form the ARB Review Team, accounting for the*  
851 *ARB’s Recusal policy (see ARB Charter). When the Review Team members have*

852 *been confirmed the Chairperson SHALL set a target completion date of not more*  
853 *than three weeks hence.*

854 *The Secretariat SHALL then:*

855 *i) pass the Approval Package to the ARB Review Team;*

856 *j) during the course of the Review Team's evaluation of the Approval Package (see*  
857 *§6.2.2), advise the CSP's PoC of any irregularities with the package and seek whatever*  
858 *clarification is necessary.*

859 **Assessor:**

860 *By issuing a KAR that includes minor non-conformities and remedial actions the*  
861 *Assessor is asserting their satisfaction that the defined actions are likely to yield*  
862 *a conformant result.*

863 **CSP:**

864 *By its submission of the KAR, the CSP SHALL commit to applying its best efforts*  
865 *to resolve the non-conformity by the actions stated in the KAR and to perform*  
866 *such actions within the specified period of time.*

#### 867 **6.2.1.2 Finding of non-conformity**

868 **CSP:**

869 *If the CSP receives a KAR that states that the Assessor has not found conformity*  
870 *(which SHALL be determined by there being one or more **major** non-*  
871 *conformities), or if the CSP chooses to terminate the Assessment because of*  
872 *adverse findings during the course of it, the CSP is advised to strive to resolve*  
873 *the non-conformities and re-engage with the Assessor to achieve a finding of*  
874 *conformance and then proceed with submission of its Approval package as*  
875 *described in §6.2.1.1.*

876 *If the CSP chooses not to proceed with the Assessment it need do nothing more -*  
877 *its 'Registered Applicant' status will terminate twelve months after its granting.*  
878 *The CSP MAY however, at any time until its termination, request the Secretariat*  
879 *to remove from the TSL with immediate effect the service's 'Registered Applicant'*  
880 *status.*

881 **ARB:**

882 *If the Secretariat receives an Approval package that includes a KAR stating a*  
883 *finding of a Major non-conformity it SHALL be rejected and returned to the CSP,*  
884 *citing the above two paragraphs which address the CSP's choice of actions in*  
885 *such cases.*

886 *The Secretariat SHALL record the rejection in its files.*

#### 887 **6.2.2 ARB Review Team Evaluation**

888 **ARB:**

889 *On notification that an Approval Package is ready for evaluation, the ARB*  
890 *Review Team SHALL review the package within their terms of reference as*



891 *assigned by the Chairperson of the ARB (who MAY choose to assign specific*  
892 *focuses to specific ARB members, as their particular skills apply to the package).*

893 *The Review Team's evaluation of the package SHALL progress as follows, taking*  
894 *into account the type of service Assessment which has been conducted (see the*  
895 *introductory paragraph to §6):*

896 a) *review the SoCA to ensure that the applicable criteria continue to be appropriate for the*  
897 *service definition given in the S3A;*

898 b) *review the SoC for any Assessor comments that might be a cause for concern as to the*  
899 *findings;*

900 c) *if there are non-conformities cited in the KAR, review the proposed remedial actions*  
901 *for their appropriateness in terms of solution and timescale;*

902 d) *whether there are such a number of non-conformities or a number of non-trivial (but*  
903 *nonetheless **Minor**) Non-Conformities that the Review Team cannot accept the finding*  
904 *of conformity;*

905 e) *if the Review Team finds the material submitted in the package is insufficient to allow*  
906 *it to reach an understanding that would support a recommendation for Approval,*  
907 *requests for clarification or additional information SHALL be made to the Secretariat,*  
908 *who SHALL communicate with the CSP's PoC;*

909 f) *such requests SHALL be recorded, as SHALL be the Applicant's response, in whatever*  
910 *form;*

911 g) *the Review's Team's findings and its recommendation as to whether Approval be*  
912 *recommended/continued to the KIBoD or whether the package be rejected, with*  
913 *justification, SHALL be communicated to the Secretariat;*

914 The Assessment could have been based on either a 'Ready To Operate' (RTO) status or a 'Fully  
915 Operational Service' (FOS) status. In the case of the former, the next step is [4](#); in the case of the  
916 latter, it is [5](#).

### 917 **6.2.3 Post-ARB Review actions**

918 **ARB:**

919 *If the Review Team's recommendation is for Approval the Secretariat SHALL*  
920 *notify the KIBoD of the ARB's recommendation, with any conditions which the*  
921 *Review Team have also recommended;*

922 *The KIBoD SHALL take a decision, based upon the ARB's recommendation and any other*  
923 *considerations the KIBoD deems necessary, that SHALL be conveyed to the Secretariat. The*  
924 *KIBoD SHALL also advise on any conditions it chooses to apply.*

925 *If the KIBoD's decision is to extend a Grant of Approval, the Secretariat SHALL:*

926 a) *advise the CSP's POC that the Service has been extended a Grant of Approval (or that*  
927 *the Grant remains in effect, as appropriate to the type of Assessment being reviewed);*

- 928            *b) record the CSP's service as being 'Approved', with any qualifications;*  
929            *c) unless the CSP has requested anonymity in its Application package, update the Kantara*  
930            *TSL to include the CSP's service as being 'Approved', with any qualifications;*

931            IS17065: §7.7.1

932            *In all other cases the Secretariat SHALL:*

- 933            *d) advise the CSP's PoC that Approval has been denied, with reasons why;*  
934            *e) unless an appeal is lodged by the CSP within a calendar month:*  
935            *i) if the service has not already been issued a Grant of Approval as a FOS*  
936            *service, Terminate the Approval, record the application as 'rejected'*  
937            *and close the file.*

938            IS17065: §7.4.6 - '4.9 inc.

#### 939    **6.2.4 Appeals**

940    A CSP can only appeal decisions against either a conditional Grant or a denial. The process for  
941    handling an appeal SHALL follow that set out in [§5.2.4](#).

942            IS17065: §5.1.3 l)

#### 943    **6.2.5 Assessor Evaluation**

944    Whenever a review is finally concluded the ARB SHALL ensure that its obligations under [AAH]  
945    §10 are fulfilled.

## 946 **7 STAGE 4 - 'READY-TO-OPERATE' PROCEDURES**

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### 947 **7.1 Purpose and processes**

948 The 'Ready To Operate' status of a service is a 'holding' stage while the service commences operations  
949 and accumulates operational records etc. as evidence of its adherence to the terms of its Service  
950 Definition, policies, processes and procedures, etc.

### 951 **7.2 Required actions**

#### 952 **CSP:**

953 *The CSP SHALL contract for its Assessment with an Assessor selected from*  
954 *Kantara's published Trust Status List (which includes both Approved Services*  
955 *and Accredited Assessors). It is expected, but not mandatory, that a CSP will*  
956 *retain the services of the same assessor that conducted its 'RTO' Assessment for*  
957 *its 'Fully Operational Service' (FOS) Assessment, simply for reasons of efficacy.*

958 *Once the CSP has accumulated the requisite minimum period of operations the*  
959 *CSP SHALL advise the Assessor that it is ready for the performance of the FOS*  
960 *Assessment.*

961 *From hereon, the process for the CSP is the same as that described for*  
962 *stage ③, noting that the Application package SHALL be amended if there have*  
963 *been any changes since the RTO Assessment, so as to reflect the service as it is at*  
964 *this time of Assessment.*

#### 965 **ARB:**

966 *When an RTO application is issued a Grant of Approval the Secretariat SHALL*  
967 *set a deadline 12 months forward, by which date the Secretariat must have*  
968 *received a KAR based on a FOS Assessment (i.e. the CSP re-enters the process*  
969 *at ③ on the FOS path) or the Secretariat SHALL terminate the Approval (see*  
970 *⑦).*

## 971 **8 STAGE 5 - ANNUAL CONFORMITY REVIEWS**

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### 972 **8.1 Purpose and processes**

973 Once approved on the basis of a Triennial or FOS Assessment the CSP SHALL then undergo two  
974 successive Annual Conformity Reviews to confirm continued Approval, before undergoing a full  
975 Assessment to re-start the triennial Approval cycle. Annual Conformity Reviews MAY have a reduced  
976 scope, as defined below.

977 CSPs have the responsibility for ensuring that they have performed an annual Assessment in order to  
978 maintain their Approved status, whether that be by an Annual Conformity Review or a Triennial  
979 Assessment.

980 IS17065: §7.9

#### 981 **8.1.1 AL1/xAL1 ACRs**

982 For ACRs conducted at AL1/xAL1, no actual Assessment SHALL be required. CSPs SHALL  
983 submit to the ARB a self-assertion of their continued conformance with all applicable criteria (per  
984 their SoC).

#### 985 **8.1.2 AL2/xAL2 AND HIGHER ACRs**

986 For ACRs conducted at AL2/xAL2 and higher, the scope of criteria to be assessed SHALL be:

- 987 a) all applicable CO\_SAC criteria, when that SAC is included in the SoCA;
- 988 b) all criteria which Kantara has revised through re-publication of the applicable SAC prior  
989 to 120 days of the commencement of the ACR;
- 990 c) any criteria addressing areas of risk that are of concern to either the CSP itself or to its  
991 Assessor;
- 992 d) any criteria against which a non-conformity was identified and subsequently remediated  
993 (or for which remediation is outstanding) at the preceding Assessment (of either type);
- 994 e) any criteria where there has been a significant change to how the service is operated and  
995 needs to be assessed (e.g. changes to outsourcing arrangements, or to applicable  
996 policies);
- 997 f) sufficient of the remaining criteria (inclusive of those indicated as being ‘Not applicable,  
998 which SHALL be re-validated as such) not already included within the preceding  
999 categorizations to make up a nominal 50% of the selectable (i.e. non CO\_SAC) criteria,  
1000 subject to ensuring that each selectable criterion is assessed at least once in either  
1001 ACR#1 or ACR#2 of the triennial cycle.

1002 For ACRs conducted at AL2/xAL2 and higher, CSPs SHALL submit to the ARB a KAR confirming  
1003 continued conformance with all ‘In scope’ criteria (per the CSP’s SoCA).

1004 **8.1.3 Site visits**

1005 No site visits are required at AL1/xAL1.

1006 Although site visits are not mandatory at AL2/xAL2 and above, when an ACR is being  
1007 performed, Assessors SHALL consider whether, in their review of risk associated with the  
1008 Assessment, an on-site visit is necessary. The Assessor's reasoning as to whether the on-site  
1009 visit is performed SHALL be documented in the KAR.

1010 **8.2 Required actions**

1011 The process for going through these ACRs is essentially that defined at ③, subject to the variances noted  
1012 below.

1013 **ARB:**

1014 *The Secretariat SHALL notify a CSP of the pending renewal date for each of its*  
1015 *approved services.*

1016 **CSP:**

1017 *On receipt of its KAR and prior to submission to Kantara, the Application*  
1018 *package SHALL be amended if necessary to reflect the service as it is at this time*  
1019 *of Assessment.*

1020 *CSPs SHALL have their necessary Assessment performed and submit to Kantara the appropriate*  
1021 *documents by the renewal/termination date.*

## 1022 **9 STAGE 6 - UNSCHEDULED ASSESSMENTS**

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### 1023 **9.1 Purpose and processes**

#### 1024 **9.1.1 CSP-notified**

1025 An unscheduled Assessment might arise because the context or specification of the service changes such  
1026 that it no longer meets the scope for which it has been Approved and therefore a modification or extension  
1027 of the scope is required. The CSP commits to Kantara to monitor its conformance against scope and to  
1028 initiate actions when it believes that a service is no longer in scope.

#### 1029 **9.1.2 ARB-requested**

1030 The ARB could be presented with information from which it concludes that an unscheduled Assessment is  
1031 necessary. If so, it SHALL instruct the CSP of the need to perform an unscheduled Assessment, define  
1032 the scope of that Assessment and set a deadline for the submission of a revised Application Package  
1033 which addresses the required scope.

IS17065: §7.11.1

#### 1035 **9.1.3 Site visits**

1036 No site visits are required at AL1.

1037 At AL2/xAL2 and above, the need for a site visit SHALL be determined by the Assessor, taking  
1038 into account the nature of the need for the Assessment and the risk associated with the  
1039 Assessment, or it may be requested by the ARB. The Assessor's reasoning as to whether the on-  
1040 site visit is performed SHALL be documented in the KAR.

### 1041 **9.2 Required actions**

1042 At any time during the period over which a service is Approved, in any capacity, there could be an un-  
1043 scheduled Assessment required, either because of something which causes the ARB to request such an  
1044 event, or because the CSP determines that there have been changes surrounding the provision of the  
1045 service in question that put it beyond the scope of its current Approval. This MAY lead to a continuation  
1046 of the triennial cycle already in progress or require a 'reset' by undertaking a full Assessment (see stage  
1047 ③).

#### 1048 **9.2.1 CSP-notified**

1049 **CSP:**

1050 *The CSP SHALL document the changes that it believes require re-Assessment and*  
1051 *discuss these with its Assessor.*

1052 **Assessor:**

1053 *The Assessor SHALL review the changes and, depending on their scope and where*  
1054 *in the annual cycle the service sits, make a determination as to whether there is a*

1055 *need to perform re-Assessment, and if so the scope and timing of that Assessment.*  
1056 *It SHALL communicate its determination to the CSP.*

1057 *If an Assessor determines that an Assessment is required but is not contracted to*  
1058 *perform that Assessment within four weeks of the date on which it recommended*  
1059 *that the Assessment commence, it SHALL send a notification to the CSP stating*  
1060 *that the Assessment is overdue and copy that notification to the Kantara*  
1061 *Secretariat.*

1062 **ARB:**

1063 *If the Secretariat receives notice from an Assessor that, to the best of its*  
1064 *knowledge, a recommended re-Assessment has not been performed by the*  
1065 *recommended date then it SHALL notify a CSP of the matter and attempt to*  
1066 *determine the circumstances, before deciding what further action is required.*

1067 **CSP:**

1068 *The CSP MAY, either independently or after discussion with its Assessor, elect to*  
1069 *undergo a full Assessment (i.e. Triennial or ACR, whichever is next due, as*  
1070 *determined by its point in the annual cycle at the time), in which case the*  
1071 *Assessment SHALL be treated as such and on conclusion, the ‘annual cycle’ date*  
1072 *for the specific service SHALL be reset.*

1073 From this point on, the performance and review of an Assessment follows that described for stage ③,  
1074 with allowance being made for the fact that the scope of an un-scheduled Assessment might be  
1075 significantly less than that of even an ACR.

## 1076 **9.2.2 ARB-requested**

1077 **ARB:**

1078 *The ARB SHALL provide the CSP its justification for requesting an unscheduled Assessment, and*  
1079 *allow reasonable time for the CSP to submit a response.*

1080 *If the ARB considers that the CSP’s response is satisfactory, the ARB SHALL close the matter,*  
1081 *keeping a record of it in the file.*

1082 *If the ARB considers that the CSP’s response is **not** satisfactory, the ARB SHALL document the*  
1083 *scope of the required Assessment and set a date by which it wishes to receive a KAR which finds the*  
1084 *area of concern to be conformant. This SHALL be communicated to the CSP, with dates and*  
1085 *durations modified to suit the circumstances.*

1086 *If the circumstances are deemed by the ARB to be sufficiently grave, it SHALL put the service into a*  
1087 *‘Suspended’ status until a satisfactory resolution is arrived at.*

1088 **CSP:**

1089 *The CSP MAY, either independently or after discussion with the ARB, elect to undergo a full Assessment*  
1090 *(i.e. Triennial or ACR, whichever is next due, as determined by its point in the annual cycle at the time),*  
1091 *in which case the Assessment SHALL be treated as such and on conclusion, the ‘annual cycle’ date for the*  
1092 *specific service SHALL be reset.*

1093 From this point on, the performance and review of an Assessment follows that described for stage ③,  
1094 with allowance being made for the fact that the scope of an un-scheduled Assessment might be  
1095 significantly less than that of even an ACR.

1096 **9.2.2.1 Appeals**

1097 A CSP MAY appeal against an ARB-requested unscheduled Assessment. The process for  
1098 handling an appeal SHALL follow that set out in [§5.2.4](#).

1099 IS17065: §5.1.3 I)



## 1100 **10 STAGE 7 - APPROVAL TERMINATION**

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### 1101 **10.1 Purpose and processes**

1102 At any time a CSP MAY elect to terminate its Approval for any specific service(s) simply by  
1103 submitting such a request. Alternatively, the ARB MAY determine that an approved CSP has not  
1104 met the conditions for continued Grant of Approval and take action accordingly, including action  
1105 to terminate the Grant.

1106 A CSP may also allow Approval of a service to naturally terminate without seeking its renewal.

1107 Termination of an Approval will also bring about the termination of the TMLA, excepting any  
1108 enduring terms, but only for the specific service being terminated (i.e. if the CSP has more than  
1109 one Approved service, the TMLA will remain in effect with respect to those other services for the  
1110 continuing duration of their respective Approved status).

1111 IS17065: §7.11.3, '4

### 1112 **10.2 Required actions**

#### 1113 ***CSP:***

1114 *At any time a CSP MAY elect to terminate its Approval for any specific service(s)*  
1115 *simply by submitting such a request, which SHALL be signed by its nominated*  
1116 *PoC. The request SHALL be for immediate termination or for a specific date on*  
1117 *which it is to be effective, which SHALL be on or before the current termination*  
1118 *date.*

#### 1119 ***ARB:***

1120 *The Secretariat SHALL acknowledge the CSP's request.*

1121 *On the selected date the Secretariat SHALL send a confirmatory notification to*  
1122 *the CSP and SHALL update the TSL to show the service's status as 'Terminated'.*

1123 *In the event that an Approval reaches its termination date without the CSP*  
1124 *indicating any intention to submit an application for renewal of a service's*  
1125 *Approval then the Secretariat SHALL send a confirmatory notification to the CSP*  
1126 *and SHALL update the TSL to show the service's status as 'Terminated'.*

1127 IS17065: §7.7.1

## 1128 **11 RECORDS**

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### 1129 **11.1 Record types to be retained**

1130 For each CSP and their application(s) for Service Approval, the ARB SHALL maintain records of  
1131 each application, included all associated supporting documents. This requirement extends to  
1132 Initial Application Packages which may be rejected. Records SHALL capture the status of each  
1133 application through its life, including:

- 1134 1) each subsequent application for an ACR or Triennial Assessment;
- 1135 2) the ARB's findings, including any conditions upon Approval;
- 1136 3) all material communication and notifications between the ARB and the Applicant;
- 1137 4) all material communication and notifications between the ARB and the KIBoD;
- 1138 5) the applicable Class(es) of Approval;
- 1139 6) the identity of the Assessor;
- 1140 7) all Appeals processes.

### 1141 **11.2 Record retention period**

1142 The ARB SHALL maintain the above records for the duration of each service's Approval plus 42  
1143 months (this being 36 months to cover the period of any formal recognition under [IS17065] which  
1144 may in future be sought, plus a further period of six months during which any pending need for  
1145 access might be notified and prosecuted)

### 1146 **11.3 KIBoD Records**

1147 The Board Secretary is assumed to have responsibility for records management of Approval events  
1148 which concern it, on behalf of the KIBoD, above and beyond the responsibilities assigned herein  
1149 to the Secretariat / ARB.

1150 IS17065: §7.10.3, §7.12 (all of this SAH §11)

1151 **12 REFERENCES**

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1152 [AAH] Kantara IAF-1350 “*Identity Assurance Framework: Assessor Accreditation*  
1153 *Handbook*”, at its latest published and effective version

1154 [IS17021-1]<sup>4</sup> ISO/IEC 17021-1 (2015) “*Conformity assessment — Requirements for bodies*  
1155 *providing audit and certification of management systems — Part 1: Requirements*”

1156 [IS17065] ISO/IEC 17065 (2012) “*Conformity assessment - Requirements for bodies*  
1157 *certifying products, processes and services*”

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<sup>4</sup> IS17021-2 and '-3 deal specifically with environmental and quality management systems respectively, and hence have no applicability to Kantara Initiative's IAF.

1159 **13 REVISION HISTORY**

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Vn.	Date	Status	Notes	Approved
1.0	2018-01-29	Final	Approved for publication	ARB
2.0	2019-05-28	Final	Approved for publication	ARB
3.0	2020-07-20	Final	Approved for publication	ARB

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1162

IS17065: §7.10.3

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