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3 Identity Assurance Framework: 4 Assurance Assessment Scheme

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9 **Editor:** Richard G. Wilsher
10 Zyigma LLC

11 **Contributors:** <https://kantarainitiative.org/confluence/x/k4PEAw>

12 Abstract

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

24 The latest versions of each of these documents can be found on Kantara's [Identity](#)
25 [Assurance Framework - General Information web page](#).

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125 1 INTRODUCTION

126 1.1 Status and Readership

127 This document sets out **normative** Kantara requirements (with the exceptions noted in §1.4) and is
128 required reading for all Kantara Accredited Assessors, applicant Service Providers, Service
129 Approval Authorities, federation Operators and other bodies explicitly identified herein. It will
130 also be of interest to those wishing to gain a detailed knowledge of the workings of the Kantara
131 Initiative's Identity Assurance Framework.

132 1.2 Purpose

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

137 To accomplish this Kantara Initiative operates an *Assurance Assessment Scheme (AAS)*, an
138 **assessment and approval** program which assesses the operating standards of certain players in the
139 Identity and Credential Assurance Management space against strict criteria, and grants to
140 Applicants to the scheme the right to use the Kantara Initiative Mark, a symbol of trustworthy
141 identity and credential management services at specified Assurance Levels (i.e. a Grant of Rights
142 of Use – hereafter 'Grant').

143 The AAS grants rights of use of the Kantara Initiative Mark to:

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

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

155 These are summarized in the following table and this document sets out in detail the discrete
156 processes for each case. A complete *Overview* of the Kantara Initiative Identity Assurance
157 Framework is available, and other key documents are linked-to in this table, as is the applicable
158 part in this document.

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

164 The latest versions of each of the IAF documents referenced in this document can be
165 found on Kantara's [Identity Assurance Framework - General Information web page](#).
166

167 **1.3 Reference to Authoritative Bodies**

168 Where, in the remainder of this document, reference is made to 'Kantara', 'Kantara Initiative', or
169 the 'ARB' (Assurance Review Board) such reference may be taken as meaning any other
170 Authoritative Body and its parent organization, where the context so permits, based upon clause
171 3.1 (see also the following Table).

172 **1.4 Future intent**

173 Parts of this specification have been written as statements of intent and are not presently
174 implemented as defined. Such text is represented in grey font and is therefore neither applicable
175 nor enforceable.

176 **1.5 Changes in this revision**

- 177 a) Accommodation of re-structuring of the SAC and consequential changes on processes and
178 Secretariat actions;
- 179 b) Removal of form *pro formae* (since these have now been applied and examples exist for
180 future use);
- 181 c) Minor changes to align terminology, where required.

1.6 Summary of Grant Categories and Evaluation

| Grant Category ... | Authoritative body | Application Document | Applicable assessment criteria or requirements | Applicable agreement (with the applicable authoritative body) | Described in Clause ... |
|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------------------------|-------------------------|
| Approved Service | Kantara Assurance Review Board OR Service Approval Authority (by delegation)—future work item OR Certified Federation Operator (by delegation) | Application for Kantara Approval | Kantara Assessment Report | Service Provider Agreement | 6 |
| | Accredited Assessors | - | Service Assessment Criteria | | |
| Accredited Assessor | Kantara Initiative Board of Trustees | Application for Kantara Accreditation | Assessor Qualifications & Experience Requirements | Kantara-Accredited Assessor's Agreement | 7 |
| Service Approval Authority—future work item | Kantara Initiative Board of Trustees | Application for Service Approval Authority —future work item | Service Approval Authority Requirements—future work item | Kantara Service Approval Authority's Agreement— future work item | 8 |
| Certified Federation | Kantara Initiative Board of Trustees | Application for Kantara Recognition | Federation Operator Rules & Guidance | Kantara-Recognized Federation Operator's Agreement | 9 |

186 **2 TERMINOLOGY**

187 All special terms used in this document are defined in the *IAF Glossary*.

188 **3 REVIEW BOARD AND SECRETARIAT**

189 **3.1 Authoritative Bodies**

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

194 **3.1.1 Assurance Review Board**

195 The principle authoritative body shall be the Kantara Initiative Board of Trustees (KIBoT) which
196 shall, at all times, be the final arbiter on all decisions concerning use of the Kantara Initiative
197 Mark. The constitution of the KIBoT is beyond the scope of this document. Please see the
198 Kantara Initiative website (www.kantarainitiative.org) for a description of the KIBoT and its
199 members.

200 The operational authoritative body shall be the Assurance Review Board (ARB) which shall have
201 delegated authority from the KIBoT to undertake evaluations of all types of Applications for a
202 Grant of Rights of Use of the Kantara Initiative Mark and shall make recommendations to the
203 KIBoT for the award or denial of such Grants.

204 The constitution and authority of the Assurance Review Board is determined by the KIBoT.

205 **3.1.2 Assessors as Authoritative Bodies**

206 Kantara-Accredited Assessors have the authority to make Approval recommendations based upon
207 the terms of their Kantara Accreditation and their capabilities as assessors, and the ARB (or its
208 equivalent where a Service Approval Authority is acting as the authoritative body when such
209 program is in place) shall make its own recommendations to the KIBoT concerning the granting of
210 Kantara-Approved Service status based upon the Assessor's Approval recommendation.

211 **3.1.3 Service Approval Authorities as Authoritative Bodies**

212 Kantara Service Approval Authorities (SAA) have the delegated authority to review Applications
213 for and make recommendations to the KIBoT concerning the granting of Kantara-Approved
214 Service status based upon a Kantara-Accredited Assessors' Approval recommendation.

215 **3.2 Secretariat**

216 Authoritative Bodies shall be supported by an administrative function known as the Secretariat,
217 which shall be responsible for the receipt and handling of Applications, checking that all necessary
218 supporting documents and processes are complied with, communicating with the Applicant,
219 providing a package for evaluation to the ARB for its consideration, and all other necessary

220 supportive functions not requiring the executive or operational authority of the KIBoT and ARB
221 (or their equivalents where delegated authority prevails).

222 **4 GENERAL ASSESSMENT RESPONSIBILITIES & PROCEDURES**

223 This clause describes the general processes for conducting an evaluation of any Application for the
224 Grant of Rights of Use for one of the Kantara IAF Grant Categories.

225 **4.1 Receipt of Applications**

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

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

239 Receipt of an [Application document] shall cause an automatic acknowledgement which shall be
240 sent to the email of record (by reference to the Application form). This shall be automatically
241 copied to the Kantara Secretariat as a stimulus to initiate the processing of the Application.

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

245 Where the Authoritative Body is *not* the Kantara ARB then the applicable Secretariat should
246 contact the Kantara Secretariat to ensure that the applicant has not made and been denied any
247 submissions through other recognized Authoritative Bodies.

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

- 250 1. review the Application for completeness, including the accessibility of attached documents
251 (where not protected and presently un-accessible). Ability to access should be attempted

- 252 for all documents submitted with the Application, to ensure that protected documents are
253 so-protected¹;
- 254 2. confirm by voice, using the telephone contact number of record (by reference to the
255 Application form), that an Application has indeed been submitted and then confirm the
256 name, affiliation, and e-mail address of the Applicant's Point-of-Contact (APoC)² and the
257 purpose of the Application (given that multiple Application forms will be available);
- 258 3. advise the APoC of any irregularities with the Application and seek whatever clarification
259 is necessary, including dealing with any documents which are insufficiently protected;
- 260 4. agree a secure means of exchanging with the APoC any secrets required to enable Kantara
261 to access the Application's contents (either as submitted or as to be submitted);
- 262 5. agree with the APoC the means by which any non-included documents are to be submitted
263 by other means/media;
- 264 6. where required and possible, validate any claims made in the Application;
- 265 7. ensure all necessary fees have been paid and have cleared;
- 266 8. execute the above steps until all pre-requisites have been fulfilled and all documentation
267 received.

268 Some additional [Specific Evaluation steps] may need to be undertaken, depending upon the
269 particular type of Application being made.

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

- 271 9. advise the APoC that the Application has been found fit for **assessment**, and;
- 272 10. pass the Application to the Chairman of the ARB.

273 **4.2 Evaluation of Applications**

274 On notification that a complete Application is ready for evaluation the Chairman of the ARB shall,
275 in conjunction with other Board members:

- 276 1. review the Application with regard to its scope and the supporting material;

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

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

- 277 2. determine the required evaluation effort and agree with the other ARB members a plan for
278 the evaluation;
- 279 3. disseminate the Application Package, in part or whole, to the ARB members;
- 280 4. notify the Applicant (via the Secretariat) of the anticipated date on which a decision will be
281 declared (typically one month or less shall be the target).

282 Appointed ARB members shall then review the Application and supporting documents within their
283 terms of reference as assigned by the Chairman of the ARB (who may choose to assign specific
284 focuses to specific ARB members either because of their particular skills as apply to the
285 Application, or potentially to avoid any conflict of interests).

286 Evaluation of the Application shall progress along the following lines, according to the specific
287 purpose. Some additional [Specific Evaluation steps] may need to be undertaken, depending upon
288 the particular type of Application being made:

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

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

315 When an Application is granted with conditions, the applicable conditions should be such that
316 their cause(s) can be addressed and resolved within a six-month period of the grant.

317 **4.3 Grant of Rights of Use (to the Kantara Initiative Mark)**

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

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

341 **4.4 Appeal of Decision**

342 Should an Applicant appeal against either a Grant with conditions or a denial with justifications,
343 the ARB shall second three additional members to act as *ad hoc* Board members (the Appeal
344 Board). These three *ad hoc* members shall be drawn from the IAWG membership and shall be
345 acceptable to both the Chairman of the ARB and to the APoC, each of whom shall use their best

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

346 endeavors to find mutually-acceptable members. However, in the event that three mutually-
347 acceptable members cannot be found within one calendar month of the appeal being lodged the
348 Chairman of the ARB shall have the right to appoint three members without further referral to the
349 APoC.

350 Where the Authoritative Body is *not* the Kantara Initiative ARB, the appeal shall be passed to the
351 Kantara Initiative ARB from whose membership shall be constituted the Appeal Board.

352 The Appeal shall be heard within a two-week period of the Appeal Board being established. The
353 Appeal Board will review the appeal and its rationale for countering the original findings and
354 make a recommendation, which shall be one of: uphold the appeal (i.e. condition(s) removed in
355 full); partially uphold the appeal with revised condition(s); or deny the appeal outright.

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

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

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

366 **4.5 Termination of Application**

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

- 368 1. if at any time during the receipt of an Application, the Applicant either chooses to
369 withdraw its Application or fails to fulfill any justifiable requests made of it by the
370 Secretariat within three weeks of the request (or within any other timescale which the
371 Secretariat or ARB accepts);
- 372 2. if, during the processing of an Application, the ARB considers that the Applicant does not
373 fulfill the requirements, in fact or in spirit, and on being so advised the Applicant chooses
374 to voluntarily withdraw their Application;
- 375 3. in the event that an Application and any subsequent appeal is denied.

376 On termination of an Application the Secretariat shall:

- 377 4. advise the APoC in writing of the termination, giving the reasons why;
- 378 5. allow a period of two weeks, within which (where no right of appeal has been exhausted)
379 any notice of intention to appeal the termination must be received so as to be processed,
380 and in the absence of any such notification (or after a final decision denying an appeal) and
381 within a further two-week period, destroy all record of and documents related to the

- 382 Application, save the basic administrative data required to record the fact that an
383 Application was received in the name of the Applicant and terminated for the reasons
384 determined, which shall be recorded, including record of the date, time and means of
385 notice of termination and of the destruction of related materials⁴, ensuring that the
386 Applicant receives a written confirmation that their protected materials have been securely
387 disposed-off.
- 388 6. return any fees due (refer to [Schedule of Fees and Related Terms](#)).

389 **4.6 Oversight of Grantees**

390 Oversight of Grantees shall be effected by:

- 391 1. the Secretariat establishing at the time of granting any rights of use a schedule allowing
392 for:
- 393 a. review and removal of any conditions on which the Grant was conditionally awarded;
394 b. annual review by the ARB of the Applicant's standing with regard to the circumstances
395 defined by the initial Application and supporting evidence, and;
396 c. submission by the Grantee of evidence of renewal of any prior qualification(s), to
397 which the Grant was subject, which will lapse during the period of accreditation;
- 398 2. the ARB exercising review and validation of conformity and currency at points defined in
399 the plan required by the preceding clause;
- 400 3. according to the degree of reliance upon prior qualifications (i.e., the greater the reliance,
401 the less necessary is this measure), periodic re-assessment by the ARB of selected areas of
402 conformity, based on a random sampling technique (which the ARB shall determine at its
403 discretion alone);
- 404 4. re-assessment by the ARB in response to any observed or reported deficiency or other
405 event which may give cause for concern as to the degree of conformity being exercised by
406 the Grantee.

407 In the event that oversight identifies areas for concern then the ARB shall investigate further the
408 circumstances and determine whether any corrective action is required, e.g. as allowed for under
409 §4.7(3).

410 Annual review (1(a) above) shall be undertaken against a submission of the [Applicable Annual
411 Conformity Review] by the Grantee. This is intended to identify any revisions to status of prior

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

412 qualifications and submitted evidence since the initial Application or previous annual review. Any
413 new material submitted shall be subject to assessment using the validation techniques applied for
414 the initial Application assessment.

415 Review of renewal of any prior qualification(s) (1(b) above) shall be undertaken by receipt of
416 evidence of the renewed qualification using the validation techniques applied for the initial
417 Application assessment.

418 Oversight also requires revision of the [Kantara Trust Status List](#) in response to any notification of
419 a change in the Grantee's status or of any service to which they may have awarded a Grant.

420 Should the [Applicable Requirements] be revised all current Applicants and Grantees shall be
421 explicitly notified of the availability of the new versions including identification of all pertinent
422 changes. Existing Grantees shall be allowed twelve months (fifteen months where publication
423 occurs within three calendar months of an Annual Conformity review) in which to comply with
424 the new requirements. Current Applicants shall be required to make any necessary revisions to
425 their Application to bring them into lines with the revisions.

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

429 **4.7 Revocation of Grant**

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

- 431 1. if it chooses to terminate or let lapse its Grantee status;
- 432 2. if at any time during the validity of its Grant a complaint against the Grantee is received
433 and, after investigation, is upheld beyond any allowed appeal;
- 434 3. if, for any reason, the circumstances of the Grantee or its service have diverged from that
435 described in the current Application package (including any approved revisions subsequent
436 to the Grant being awarded) such that corrective action to restore conformity cannot be
437 taken either at all or in a timely fashion;
- 438 4. if, following a Day-zero Service Assessment against which Approval has been granted, the
439 Grantee fails to provide a Period-of-Time Assessment Report within the allotted time
440 period (which is set forth in the *Rules governing Assurance Assessments*);
- 441 5. non-payment of renewal fees.

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

449 On revocation of Grant status the Secretariat shall:

- 450 6. advise the APoC in writing of the revocation, giving the reasons why;
- 451 7. destroy all record of and documents related to the Grant, save the basic administrative data
452 required to record the fact that an Application was received in the name of the Applicant
453 and revoked for the reasons determined, which shall be recorded, including record of the
454 date, time and means of notice of revocation and of the destruction of related materials⁵;
- 455 8. *clause deleted*;
- 456 9. if the Authoritative Body is *not* the Kantara Initiative ARB then that body shall notify the
457 Kantara Initiative Secretariat of the required details of the change in status of the Grantee;
- 458 10. Kantara Initiative shall update the [Kantara Trust Status List](#) with the revised status details
459 of the Grantee.

460

461 **4.8 Annual Conformity Review**

462 **4.8.1 Introduction**

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

470 **4.8.2 Process**

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

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

476 On receipt of the returned ACR the Secretariat shall review it for any indication that
477 inconsistencies or variations have occurred during the course of the preceding twelve months, and

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

478 if so shall request of the Grantee such supporting evidence as it deems necessary to determine
479 whether the Grantee remains in conformity with its obligations. Generally the ACR will serve as a
480 consistency audit covering the preceding twelve months. Since the appropriate [Agreement
481 Document] requires Grantees to notify of any divergences as and when they are identified, the
482 ACR should act only as verification of their occurrence and a cross-check that both parties are
483 aware of them. Return of an ACR should therefore not be a cause for any immediate action,
484 although the Secretariat needs to review with all vigor in order to avoid incipient complacency, on
485 the part of either party.

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

494 **5 APPLICANT'S GENERAL RESPONSIBILITIES AND ACTIONS**

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

500 **5.1 Submission of Applications**

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

503 Applications shall be completed and submitted electronically using the appropriate [Application
504 document] found on the Kantara Initiative web site. The submission shall include either electronic
505 documents as evidential support or indicate whether evidential documents are to be submitted by
506 non-electronic means or may only be viewed at the Applicant's premises.

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

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

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

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

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

523 **5.2 Assessment of Applications**

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

526 Prior to that date the Application and supporting documents will be reviewed by the ARB.

527 Applicants should be prepared to respond to requests for clarification or additional evidence in

528 support of their Application. The anticipated date for notification of a decision may be extended
529 as a result of any request for additional input, depending upon the extent of further material
530 required and the timeliness of responses to the Secretariat's request(s).

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

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

536 When an Application is granted with conditions the applicable conditions should be such that their
537 cause(s) can be addressed and resolved within a six-month period of the Grant.

538 **5.3 On Receiving a Grant of Rights of Use (to the Kantara Initiative** 539 **Mark)**

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

- 542 1. the Applicant shall reaffirm its commitment to the terms and conditions defined in the
543 appropriate [Agreement document]⁶ and submit it to the Kantara Initiative Secretariat;
- 544 2. based upon the [Applicable Mark], the Applicant shall receive a seal issued to the
545 Applicant as a part of formal notice of the Grant of Rights of Use with its applicable 'Grant
546 Id' (as unique reference for the specific Grant, also embedded in the seal), with any
547 conditions stated. The correctness of the seal and accompanying documents should be
548 verified and any discrepancies noted within two business days;
- 549 3. the Applicant should ensure that its Grant status is correctly published in the [Kantara Trust](#)
550 [Status List](#), within two business days of receipt of its seal;
- 551 4. where the Grant is conditional the Applicant should agree with the Secretariat a review
552 schedule within which it shall submit adequate evidence and grounds for the removal of
553 the conditions.

554 **5.4 Right of Appeal**

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

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

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

561 Applicants shall receive in writing from the Secretariat notice of the outcome of their appeal,
562 which shall be one of: appeal upheld (denial or condition(s) removed); appeal partially upheld
563 with revised condition(s); or the appeal is denied outright. A final appeal decision shall have no
564 further recourse.

565 Applicants need not appeal against an unconditional Grant.

566 **5.5 Termination of Application**

567 An Applicant may voluntarily terminate its Application by giving the Secretariat written notice of
568 its withdrawal. No reason need be given, although this may be a decision taken in the light of
569 feedback received from the ARB or Secretariat during the processing of the Application, wherein
570 the Applicant elects to gracefully withdraw in the face of its likely denial.

571 The ultimate denial of an Application shall also be deemed a termination (see §4.5).

572 Applicants will receive a formal notification in writing of the circumstances of the termination
573 which shall include a confirmation that their protected materials have been securely disposed-off.

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

576 **5.6 Response to Oversight**

577 Whilst holding a Grant, Grantees shall be subject to oversight which shall require them to
578 cooperate with and make appropriate periodic reports to the Secretariat in accordance with the
579 provisions of the appropriate [Agreement document].

580 Applicants shall avail themselves of the latest versions of all applicable Kantara IAF documents
581 and be in conformity with their requirements, within:

- 582 1. for revised Requirements, six months of their publication unless publication occurs within
583 three calendar months of an Annual Conformity Review or renewal, in which case nine
584 months shall be allowed;
- 585 2. for revisions to the appropriate [Agreement document], immediately upon their
586 publication.

587 **5.7 Revocation of Grant**

588 Grantees may electively revoke their status either by allowing it to lapse, without seeking to renew
589 it, or terminating it prior to its expiry.

590 Revocation may also arise for other reasons, as set forth in §4.7.

- 591 Applicants will receive formal notification of revocation in writing from the Secretariat, which
592 shall state the reasons for revocation. They should also expect their entry in [Kantara Trust Status](#)
593 [List](#) to be amended⁷ accordingly.
- 594 Under certain circumstances the Applicant may be eligible for the return of fees (refer to [Schedule](#)
595 [of Fees and Related Terms](#)).

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

596 **6 EVALUATION: APPROVED SERVICE**

597 This clause describes aspects of the Application and evaluation processes which are specific to
598 Kantara-Approved Services. This covers both Service Components and Full Services (refer to
599 Rules governing Assurance Assessments for an explanation of these classifications).

600 **6.1 Overview**

601 Kantara Initiative will grant a non-transferable, non-exclusive, right to use the Kantara Initiative
602 Mark in connection with a CSP's services conditional upon the CSP submitting a formal
603 Application regarding the services in question, agreeing to the terms of the appropriate Agreement,
604 paying the applicable fee and gaining certification of the services in question after having them
605 assessed by a Kantara-Accredited Assessor.

606 Kantara-Accredited Assessors are bound by their agreement with Kantara Initiative to only assess
607 for SAC-conformity those services for which the owning CSP has signed the appropriate
608 Agreement in advance of the Assessment.

609 Thus, although the principal focus of the Kantara Approval process is the conduct of the
610 assessment, the overall process starts and stops with Kantara Initiative.

611 **6.2 Type of Grant**

612 The type of Grant shall be that of a Kantara-Approved Service, denoted by the «type» field in the
613 Grant Id being 'SVC(C)' or 'SVC(F)', as applies to either a Service Component or Full Service
614 Application, respectively.

615 **6.3 Authoritative Body**

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

- 617 a) the Kantara Initiative Board of Trustees;
- 618 b) a Kantara Service Approval Authority (see Part IV), when available, or;
- 619 c) a Kantara Approval-Qualified Certified Federation Operator with SAA qualification
620 (see Part VI).

621 One of the principal factors in determining the Applicant's suitability to be granted the 'Kantara-
622 Approved Service' status will be confirmation that the Applicant conforms to all applicable criteria
623 and that they are recommended for Approval, for which the chosen Kantara-Accredited Assessor
624 shall be the Authoritative Body (see Part III).

625 **6.4 Application**

626 Applications shall be submitted using the [Application for Kantara Approval](#) form ('Application',
627 for the purposes of this clause), describing their service(s) for which recognition is sought.

628 The Application includes two documents on which the evaluation will rely: the first is the
629 agreement document; the second is the *Specification of Services Subject to Assessment (S3A)*.

630 On submission of the Application the web-based function should capture the Applicant's inputs,
631 gather the identified files and prepare a package to be sent to the Kantara Secretariat. After
632 packaging but prior to the point at which it is submitted, require the Applicant to electronically
633 sign the submission and to seal it using Kantara's applicable public key. This will provide
634 (primarily) confidentiality protection of the Applicant's information whilst it is being transmitted
635 to the Kantara Secretariat.

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

639 **6.5 Basis of Evaluation**

640 The *Kantara IAF Service Assessment Criteria (SAC)* shall be the basis against which the
641 Application is evaluated. Actual assessment must be carried-out by a Kantara-Accredited
642 Assessor, which will perform an assessment of the service(s) referenced in the Application, with
643 the objective of certifying the specified service as being conformant to the applicable SACs.

644 **6.6 Agreement document**

645 The agreement document required when submitting an Application for service approval is the
646 [Service Provider Agreement](#) (SPA). This document will be automatically called-up during the
647 Application submission process, which cannot proceed without acceptance of the SPA's Terms and
648 Conditions.

649 **6.7 Specific Evaluation Steps**

650 The Secretariat will validate the initial Application submission up to and including Part I clause
651 4.1, step 9.

652 Where the Application is for a Full Service Approval, the Secretariat will ensure that the overlay
653 of the collective criteria covered by the combination of the Applicant's SoC and those of its
654 component parts encompasses 100% of all SAC for the chosen Assurance Level.

655 When all of these validation steps are completed affirmatively, the Secretariat shall advise the
656 Applicant's Point of Contact (APoC) that the Application has been found fit for assessment. The
657 Secretariat shall then take these additional steps:

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

662 Evidence of its acceptance of the SPA is a necessary pre-requisite to enable the Applicant's chosen
663 Assessor to formalize the contract for Assessment (see clause 6.8, below). Once the Assessment
664 has been completed and the Applicant has received the Assessor's Assessment Report, that Report
665 shall then be returned to the Secretariat and the Application processing shall then continue
666 according to the recommendation conveyed in the Kantara Assessment Report (KAR), i.e. whether
667 or not a recommendation for Approval has been made.

668 When the KAR indicates that the Assessment has been successful it shall be added to the
669 evaluation package which shall then be passed to the ARB, per Part I clause 4.1, step (10).

670 The KAR will indicate the type of Assessment undertaken, i.e. Period-of-Time or Day-zero; in the
671 latter case the Secretariat should make the required scheduling notes for when a Period-of-Time
672 assessment shall be due, by which date either the complete Full Service Assessment will have
673 been provided or, failing that, Revocation proceedings should be commenced (see §4.7).

674 If the Assessment Report does not give an unqualified Approval recommendation the Secretariat
675 must determine whether the Applicant wishes to:

- 676 d) withdraw its Application outright;
677 e) suspend processing of its Application, pending resolution of any impediments to an
678 affirmative recommendation, or;
679 f) negotiate with the Secretariat as to whether the Application can proceed, with the risk that
680 it will be rejected or, at best, be granted with conditions.

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

683 Withdrawal of an Application constitutes termination, which is addressed in Part I clause 4.5.

684 **6.8 Annual Conformity Review**

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

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

690 **6.9 Assessment of Services**

691 **6.9.1 Contracting for Assessment**

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

694 On receipt of the counter-signed SPA the CSP should select and contract with a Kantara-
695 Accredited Assessor, in order to have their service(s) assessed. Kantara Initiative will maintain
696 and publish a list of Accredited Assessors in the [Kantara Trust Status List](#). Assessors have
697 executed an agreement not to engage with a CSP for the purposes of assessing for conformity to
698 the SAC unless the CSP provides copy of its SPA, counter-signed by Kantara Initiative.

699 Kantara Initiative's only requirement is that the Applicant selects an Assessor which is Kantara-
700 Accredited: Kantara has no preference and considers any Assessor which it accredits to be equal to
701 all others, for the given range of *Assurance Levels* and technologies for which they have
702 recognized expertise. It is therefore the Applicant's sole responsibility to select, and make and
703 fulfill all contractual arrangements with, their chosen Assessor. Subject to the adherence of both
704 the Assessor and the CSP to their respective agreements with Kantara Initiative, all arrangements
705 between the CSP and its selected Assessor for the performance of the Assessment of the CSP's
706 services are entirely between those two parties and Kantara Initiative shall have neither interest
707 nor influence in them.

708 It should be noted that, depending on the scope of their Application for Accreditation, some
709 Assessors may not be accredited to assess against the full scope of the SAC. CSPs should
710 therefore check the entitlement of the Assessor to address their service(s), whilst at the same time
711 it is incumbent upon Assessors to do likewise and advise potential client CSPs where the scope of
712 the required Assessment services exceeds that of their Accreditation. Although this is not
713 anticipated to be a frequent problem it is nonetheless a real possibility which needs to be
714 accounted for.

715 **6.9.2 Performing the Assessment**

716 The CSP shall submit to its contracted Assessor the following documents as the minimum set
717 required by Kantara Initiative. The Assessor may have its own processes which require additional
718 submissions from the CSP which will be a matter of private contract between those parties. This
719 clause primarily addresses the responsibilities which Accredited Assessors have in performing a
720 Kantara assessment. The CSP's minimum document set is its:

- 721 1. SPA, counter-signed by Kantara Initiative;
- 722 2. S3A;
- 723 3. SoC;
- 724 4. supporting evidence demonstrating its compliance with the applicable SAC, per its
725 SoC.

726 The Assessor shall then perform the Assessment according to the terms of its Accreditations and
727 its defined processes.

728 At the conclusion of the assessment the Assessor shall prepare a [Kantara Assessor's Report](#)
729 [\(KAR\)](#). This report may be a separate document prepared for Kantara's consumption or may be a
730 document with wider applicability, subject only to fulfilling at least the requirements for a KAR.

731 A KAR shall always be required, irrespective of whether the CSP withdraws from the assessment,
732 concludes the assessment but fails to demonstrate its conformity as required, or succeeds in
733 gaining an Approval recommendation from its Assessor. Only in the last of these possible
734 outcomes (i.e. an affirmative Approval recommendation) will Kantara exercise its right to make
735 public that information from the S3A that is specified as being for publication. All other
736 information and all other outcomes Kantara Initiative shall retain as confidential under the terms
737 of the [Service Provider Agreement](#) (SPA).

738 (Even in the case of withdrawal of the CSP, provision of the KAR will allow Kantara Initiative to
739 close the processing of the Application for recognition.)

740 **7 EVALUATION: ACCREDITED ASSESSOR**

741 This clause describes aspects of the Application and evaluation processes which are specific to
742 Kantara-Accredited Assessors.

743 **7.1 Overview**

744 Kantara Initiative will grant a non-transferable, non-exclusive, right to use the Kantara Initiative
745 Mark in connection with an organization's assessment services conditional upon the assessor
746 submitting a formal Application regarding the services in question, agreeing to the terms of the
747 appropriate Agreement, paying the applicable fee, and gaining a recommendation for Approval of
748 the assessment services in question after having them assessed by a Kantara-Accredited Assessor.

749 Kantara-Accredited Assessors are bound by their agreement with Kantara Initiative to only assess
750 for SAC-conformity those services for which the owning CSP has signed the Service Provider's
751 Agreement.

752 **7.2 Type of Grant**

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

755 **7.3 Authoritative Body**

756 The Authoritative Body for granting such status is the Kantara Initiative Board of Trustees,
757 exclusively.

758 **7.4 Application document**

759 Applications shall be submitted using the on-line [Application for Kantara Accreditation](#) form
760 ('Application', for the purposes of this clause).

761 The Application includes the agreement document.

762 On submission of the Application the web-based Application should capture the Applicant's
763 inputs, gather the identified files and prepare a package to be sent to the Kantara Secretariat. After
764 packaging but prior to the point at which it is submitted require the Applicant to electronically sign
765 the submission and to seal it using Kantara's applicable public key. This will provide (primarily)
766 confidentiality protection of the Applicant's information whilst it is being transmitted to the
767 Kantara Secretariat.

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

771 **7.5 Basis of Evaluation**

772 The Kantara IAF *Assessor Qualifications & Experience Requirements* (AQR) shall be the basis
773 against which the Application is evaluated.

774 **7.6 Agreement document**

775 The agreement document required when submitting an Application for accreditation is the
776 [Kantara-Accredited Assessor's Agreement](#) (LA3). This document will be automatically called-up
777 during the on-line Application submission process, which cannot proceed without acceptance of
778 the LA3's Terms and Conditions.

779 **7.7 Specific Evaluation steps**

780 When initially validating the Application the Secretariat shall apply the following specific steps in
781 executing Part I clause 4.1, step (6):

- 782 a) Documents which assert qualifications on which are based claims of 'credit' with regard to
783 Accreditation requirements shall first of all be validated. Validation shall be either by
784 visual inspection, or online (e.g. authentication of issuer's seal or validation against a
785 recognized registry). Currency and longevity of these qualifications shall be validated and
786 those having less than three months remaining validity shall not be validation;
- 787 b) Claims of 'credit' based on validated prior qualifications shall be recognized, subject to
788 any qualifications applied by Kantara Initiative;
- 789 c) On a per requirement basis:
 - 790 i) Validated unqualified credit shall be granted without question (unless exceptional
791 circumstances prevail);
 - 792 ii) Validated qualified credit shall be assessed to ensure that supporting evidence
793 provided fulfills the requirement;
 - 794 iii) For any other requirement, ensure that supporting evidence provided fulfills the
795 requirement.

796 In ensuring that supporting evidence provided fulfills each requirement (Part I, clause 4.2) the
797 ARB shall apply whatever measures and expectations it considers reasonable. Whilst guidance is
798 given for each AQR clause the ARB is in no sense constrained by the scope of that guidance and
799 shall assess any material provided by the Applicant in support of its compliance. The ARB may,
800 furthermore, ask for clarification or additional evidence in support of the Application where it
801 finds wanting the material submitted.

802 **7.8 Annual Conformity Review**

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

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

808 **7.9 Performing the Assessment**

809 **7.9.1 Process**

810 Assessors shall require CSP's to submit the following documents as the minimum set required for
811 an assessment for the purposes of supporting an Application for Kantara Initiative Approval. The
812 assessor may have its own processes which require additional submissions from the CSP which
813 will be matter of private contract between them. This clause primarily addresses the
814 responsibilities which Accredited Assessors have in performing a Kantara assessment. The CSP's
815 minimum document set is its:

- 816 1. [Service Provider Agreement](#) (SPA), counter-signed by Kantara Initiative;
- 817 2. [Specification of a Service Subject to Assessment](#) (S3A);
- 818 3. [Statement of Conformity](#) (SoC);
- 819 4. supporting documentation demonstrating its compliance with the applicable SAC (may be
820 in the S3A).

821 The Assessor shall then perform the Assessment according to the terms of its Accreditations and
822 its defined processes.

823 At the conclusion of the Assessment the Assessor shall prepare a [Kantara Assessment Report](#).
824 This report may be a separate document prepared for Kantara's consumption or may be a
825 document with wider applicability, subject only to fulfilling at least the requirements for a KAR.

826 A KAR shall always be required, irrespective of whether the CSP withdraws from the assessment,
827 concludes the assessment but fails to demonstrate its conformity as required or succeeds in gaining
828 certification from its assessor. Only in the last of these possible outcomes (successful
829 certification) will Kantara Initiative exercise its right to make public that information from the
830 S3A that is specified as being for publication. All other information and all other outcomes
831 Kantara Initiative shall retain as confidential under the terms of the SPA.

832 (Even in the case of withdrawal of the CSP, provision of the KAR will allow Kantara Initiative to
833 close the processing of the Application for recognition.)

834 **8 EVALUATION: SERVICE APPROVAL AUTHORITY**

835 This clause describes aspects of the Application and evaluation processes which are specific to
836 Kantara Initiative Service Approval Authorities.

837 **Editor's Note – this section addresses an area out of scope of the present drafting objectives and a**
838 **future work item for the IAWG. Elementary 'boiler-plate' text has been provided but the detail**
839 **elements of the process and specific requirements to be eligible for the Grant have not been**
840 **addressed in detail, and certainly not resolved.**

841 **8.1 Overview**

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

847 Approval shall be conditional upon the CSP submitting to the SAA a formal Application regarding
848 the services in question, agreeing to the terms of the appropriate Agreement, paying the applicable
849 fee and gaining certification of the services in question after having them assessed by the Kantara-
850 Accredited Assessor service operated by the SAA organization.

851 **8.2 Type of Grant**

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

854 **8.3 Authoritative Body**

855 The Authoritative Body for granting such status is the Kantara Initiative Board of Trustees,
856 exclusively.

857 **8.4 Application document**

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

860 The Application includes the agreement document.

861 **8.5 Basis of Evaluation**

862 The Kantara IAF Service Approval Authority Requirements (SAAR) shall be the basis against
863 which the Application is evaluated.

864 **8.6 Agreement document**

865 The agreement document required when submitting an Application is the Kantara Service
866 Approval Authority's Agreement (SA3). This document will be automatically called-up during the
867 Application submission process, which cannot proceed without acceptance of the SA3's Terms
868 and Conditions.

869 **8.7 Specific Evaluation steps**

870 Editor's Note – None yet determined.

871 **8.8 Annual Conformity Review**

872 To be determined.

873 9 EVALUATION: RECOGNIZED FEDERATION OPERATOR

874 This clause describes aspects of the Application and evaluation processes which are specific to
875 Kantara-Recognized Federation Operators.

876 **Editor's Note – this section addresses an area out of scope of the present drafting objectives that is**
877 **currently in development within the IAWG. Elementary 'boiler-plate' text has been provided but**
878 **the detail elements of the process and specific requirements to be eligible for the Grant have not**
879 **been addressed in detail, and certainly not resolved.**

880 9.1 Overview

881 Kantara Initiative will grant a non-transferable, non-exclusive, right to use the Kantara Initiative
882 Mark in connection with a Federation Operator and its community conditional upon the FO
883 submitting a formal Application regarding the services in question, agreeing to the terms of the
884 appropriate Agreement, paying the applicable fee and gaining recognition of its operations.

885 Kantara-Recognized Federation Operators, and by extension their communities, are bound by their
886 agreement with Kantara to extend mutual recognition to all services operated and credentials
887 issued under the Kantara Initiative Mark, whether from within their own community, from within
888 other Kantara-Recognized Federations or operated independently under the Kantara Initiative
889 Mark.

890 9.2 Type of Grant

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

893 9.3 Authoritative Body

894 The Authoritative Body for granting such status is the Kantara Initiative Board of Trustees,
895 exclusively.

896 9.4 Application document

897 Applications shall be submitted using the on-line [Application for Kantara Recognition](#) form
898 ('Application', for the purposes of this clause).

899 The Application includes the agreement document.

900 **9.5 Basis of Evaluation**

901 The Kantara IAF Federation Operator Rules & Guidance (FORG) shall be the basis against which
902 the Application is evaluated.

903 **9.6 Agreement document**

904 The agreement document required when submitting an Application for recognition is the Kantara-
905 Recognized Federation Operator's Agreement (RFOA). This document will be automatically
906 called-up during the on-line Application submission process, which cannot proceed without
907 acceptance of the RFOA's Terms and Conditions.

908 **9.7 Specific Evaluation steps**

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| Editor's Note – None yet determined. |
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910 **9.8 Annual Conformity Review**

911 To be determined.

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Revision History

| Vn. | Date | Status | Notes | Approved |
|-------|------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| 1.0 | 2008-05-08 | Initial Draft | | Liberty Alliance |
| 1.1 | 2008-06-23 | Final Draft | | Liberty Alliance |
| 1.1 | 2009-10-01 | Final Draft | | Kantara Initiative |
| 2.0 | 2010-04-dd | Public | Significant scope build | Kantara Initiative |
| 2.0.1 | 2012-03-05 | Internal draft | <ul style="list-style-type: none"> a. Initial drafting to accommodate revision to SAC re. re-definition of how criteria may be selected and conformity demonstrated; b. Alignment of terminology between this doc, actual practices and other IAF documents; c. Incidental revisions. | Editor/IAWG |
| 2.0.1 | 2012-03-05 | Internal draft | Amended after review comments | |
| 2.0.2 | 2012-03-29 | Internal draft | Amended after review comments | |
| 2.0.3 | 2012-03-29 | Internal draft | Amended after review comments | |
| 2.1 | 2012-04-09 | Internal draft | Release for pre-publication review | IAWG by vote |
| 2.2 | 2012-10-03 | Internal draft | Revision after disposition of public review comments | IAWG by vote |
| 3.0 | 2012-10-10 | Public | | IAWG by vote |

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