



Identity Assurance Framework: Assurance Assessment Scheme

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Abstract

The Kantara Initiative Identity Assurance Work Group (IAWG) was formed to foster adoption of identity trust services. The primary deliverable of the IAWG is the Identity Assurance Framework (IAF); this document describes the IAF's *Assurance Assessment Scheme (AAS)*, a component of the IAF. The AAS consists of a set of requirements which assessors must fulfill in order to become 'Kantara-Accredited', a statement of applicable 'credit' granted to assessor applicants with certain prior-qualifications, a description of the Application processes from both the Kantara perspective and the applicant's, and guidance on undertaking assessments which will benefit both Kantara-accredited Assessors and Credential Service Providers having their services assessed against the *IAF Service Assessment Criteria (SAC)*, a key AAS subordinate document. These processes are underpinned by a number of agreements and records.

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

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48	CONTENTS	
49	1 INTRODUCTION.....	5
50	1.1 Status and Readership	5
51	1.2 Purpose	5
52	1.3 Changes in this revision	5
53	2 TERMINOLOGY.....	7
54	3 REVIEW BOARD AND SECRETARIAT	8
55	3.1 Authoritative Bodies.....	8
56	3.1.1 Assurance Review Board.....	8
57	3.1.2 Accredited Assessors	8
58	3.2 Secretariat.....	8
59	3.3 Recusal Policy for ARB Reviews	8
60	3.3.1 Introduction	8
61	3.3.2 Calling for recusals	9
62	4 GENERAL ASSESSMENT RESPONSIBILITIES & PROCEDURES ...	10
63	4.1 Receipt of Applications	10
64	4.2 Evaluation of Applications.....	10
65	4.3 Grant of Rights of Use	11
66	4.4 Appeal	12
67	4.5 Termination of Application.....	12
68	4.6 Oversight of Grantee	13
69	4.7 Revocation of Grant.....	14
70	4.8 Annual Conformity Review	14
71	4.8.1 Introduction	14
72	4.8.2 Process.....	15
73	5 ASSESSMENT: APPROVED SERVICE.....	16
74	5.1 Type of Grant.....	16
75	5.2 Application.....	16
76	5.3 Basis of Assessment	16
77	5.4 Specific Application Review Steps.....	16
78	5.5 Annual Conformity Review	17

79	5.6	Assessment of Services	17
80	5.6.1	Contracting for Assessment.....	17
81	5.6.2	Performing Assessments.....	18
82	5.6.3	Initial Assessment versus Annual Conformity Review	18
83	6	ASSESSMENT: ACCREDITED ASSESSOR	20
84	6.1	Type of Grant.....	20
85	6.2	Application document	20
86	6.3	Basis of Assessment	20
87	6.4	Specific Assessment steps	20
88	6.5	Annual Conformity Review	21
89	6.6	Performing the Assessment.....	21
90	6.6.1	Process.....	21
91	7	REVISION HISTORY	22
92			

93 **1 INTRODUCTION**

94 **1.1 Status and Readership**

95 This document sets out **normative** Kantara requirements and is required reading for all applicant Service
96 Providers and Kantara Accredited Assessors. It will also be of interest to those wishing to gain a detailed
97 knowledge of the workings of the Kantara Initiative’s Identity Assurance Framework.

98 **1.2 Purpose**

99 The goal of the Kantara Initiative Identity Assurance Framework (IAF) is the facilitation of intra- and
100 inter-Federation transactions based upon a range of identity credentials, across various levels of
101 assurance, so that Relying Parties can have the confidence that the credentials bearing the Kantara
102 Initiative Trust Mark are worthy of their trust.

103 To accomplish this Kantara Initiative operates an *Assurance Assessment Scheme (AAS)*, an assessment and
104 approval program that assesses the operating standards of service providers in the Identity and Credential
105 Assurance Management space against strict criteria, and grants to Applicants to the scheme the right to
106 use the Kantara Initiative Trust Mark, a symbol of trustworthy identity and credential management
107 services at specified Assurance Levels (i.e. a Grant of Rights of Use – hereafter ‘Grant’).

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

- 109 a) Services and Service Components, operated by their providers as Kantara-Approved Services
110 and Service Components
- 111 b) Assessors assessing those services as Kantara-Accredited Assessors;

112

113 A common model is used as the basis for all assessments for receiving the rights to use of the Kantara
114 Initiative Trust Mark, varying only in terms of, the mutual obligations which are established between
115 Kantara Initiative and the Application / Grant holder, and the nature of the Grant.

116 §4 of this document describes the generic procedures and rules that shall be applied in handling
117 Applications for any type of Kantara Initiative Grant which may be awarded in connection with the
118 Kantara Initiative Trust Mark. §5 and §6 of this document describe specific requirements for Service
119 Assessments and Assessor Accreditation, respectively.

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

122 **1.3 Changes in this revision**

123 This AAS revision records actual evolved practices being applied within Kantara. These include:

- 124 a) recognizing that the ARB and Assessors are the only authoritative bodies within the
125 operation of the IAF;

- 126 b) re-structuring to more efficiently address that scope;
- 127 c) revisions to better align with 'Ready-To-Operate' and 'Period-of-Time' assessment
- 128 practices as described in K-IAF 1800 RAA;
- 129 d) general practices.

130 In addition, the document has been revised to align with the latest IAF document identification
131 and authorization practices, and internal structure.

132 All revisions between v3.0 and v4.0 are shown with a grey background.

133 **2 TERMINOLOGY**

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

135 **3 REVIEW BOARD AND SECRETARIAT**

136 **3.1 Authoritative Bodies**

137 **3.1.1 Assurance Review Board**

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

142 The operational authoritative body shall be the Assurance Review Board (ARB), which shall
143 have delegated authority from the BoT to undertake **assessments** of all types of Applications for
144 a Grant of Rights of Use of the Kantara Initiative Mark and shall make recommendations to the
145 BoT for the award or denial of such Grants.

146 The constitution and authority of the Assurance Review Board is determined by the BoT.

147 **3.1.2 Accredited Assessors**

148 Kantara-Accredited Assessors have the authority to **produce** Kantara Assessor's Reports
149 expressing findings of conformity, based upon the terms of their Kantara Accreditation and their
150 capabilities as assessors, and the ARB shall determine whether to make a recommendation to the
151 BoT concerning the granting of Kantara-Approved Service **status**.

152 **3.2 Secretariat**

153 Authoritative Bodies shall be supported by an administrative function known as the Secretariat,
154 which shall be responsible for the receipt and handling of Applications, checking that all
155 necessary supporting documents and processes are complied with, communicating with the
156 Applicant, providing a package for **assessment** to the ARB for its consideration, and all other
157 necessary supportive functions not requiring the executive or operational authority of the BoT
158 and ARB.

159 **3.3 Recusal Policy for ARB Reviews**

160 **3.3.1 Introduction**

161 Kantara Initiative operates according to the highest level of independence, and accountability.

162 This document defines a procedure for identifying and dealing with conflicts of interest within
163 the ARB membership.

164 The objective of this policy is to enforce a robust, consistent and comprehensive framework for
165 ensuring the integrity of recommendations made by the ARB.

166 **3.3.2 Calling for recusals**

167 Once an application is ready to be evaluated by the ARB, the Secretariat shall call for recusals.

168 Members shall recuse themselves for any of the following reasons:

- 169 a) Financial conflict;
- 170 b) Direct or indirect gain (of all sorts) arising from access to confidential information
171 and/or creation of ARB recommendations;
- 172 c) Family/personal relationships and bias;
- 173 d) Contractual or affiliation relationships;
- 174 e) ARB members seeking employment or post-employment activities in interested
175 Parties;
- 176 f) Other circumstances, as they may identify.

177 Any member of the ARB may identify a conflict they perceive another member to have and may
178 request the recusal of that member.

179 Those members not recused shall form the Review Team.

180 **4 GENERAL ASSESSMENT RESPONSIBILITIES & PROCEDURES**

181 This Section describes the general processes for conducting an assessment of any Application for
182 the Grant of Rights of Use for one of the Kantara IAF Grant Categories.

183 **4.1 Receipt of Applications**

184 Applicants will complete and submit the appropriate Application document, describing the scope
185 and/or purpose of their Application and initiating thereby the initial processing functions.

186 Kantara Initiative will protect against the potential misuse of its Trust Mark by requiring all
187 applicants to sign the Trademark License Agreement (TMLA) prior to seeking assessment of
188 their service(s). Each Application includes the Applicant's commitment to the terms and
189 conditions defined in the TMLA. These terms and conditions address the complete life-cycle of
190 participation in the AAS: Application for a Grant of Rights of Use, withdrawal of Application
191 (without receipt of a Grant of Rights of Use), during the period in which a Grant of Rights of Use
192 is awarded, after termination of a Grant of Rights of Use, and the Applicant's signature to the
193 TMLA at the time of Application shall bind them to the terms and conditions at all stages of
194 participation in the AAS thereafter.

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

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

- 200 a) review the Application for completeness, including the accessibility of attached
201 documents. All documents should be downloaded by the Secretariat;
- 202 b) Secretariat shall confirm receipt of application;
- 203 c) where possible, validate any claims made in the Application; such as certifications,
204 insurance policies, etc.;
- 205 d) ensure the membership package has been completed and all necessary fees have been
206 paid and have cleared;
- 207 e) form the ARB review team, accounting for the Recusal policy (see §3.3);
- 208 f) pass the Application for initial approval to the ARB review team;
- 209 g) upon completion of the ARB review's deliberations, advise the Applicant's Point of
210 Contact (APoC) of the outcome, either that the Application has been found fit for
211 assessment, or that the application has been rejected with reasons why;
- 212 h) advise the APoC of any irregularities with the Application and seek whatever
213 clarification is necessary.

214 **4.2 Evaluation of Applications**

215 On notification that an Application is ready for evaluation, the ARB review team shall review the
216 Application and supporting documents within their terms of reference as assigned by the

217 Chairman of the ARB (who may choose to assign specific focuses to specific ARB members
218 because of their particular skills as apply to the Application).

219 Evaluation of the Application shall progress as follows:

220 a) in ensuring that supporting evidence provided fulfills each requirement the ARB shall
221 apply whatever measures and expectations it considers reasonable. Whilst guidance may
222 be given with regard to the expected form of conformity (or evidence of such) the ARB is
223 in no sense constrained by the scope of that guidance and shall assess any material
224 provided by the Applicant in support of its compliance. The ARB may, furthermore, ask
225 for clarification or additional evidence in support of the Application where it finds
226 wanting the material submitted;

227 b) requests for clarification or additional material shall be made to the APoC and recorded,
228 as shall be the Applicant's response, in whatever form;

229 c) for each evaluation Requirement, determination of conformity shall be made and
230 recorded in the records of the Application;

231 d) after all evidence has been assessed the Chairman of the ARB shall call a meeting at
232 which the ARB shall consider the Review's Team's findings and determine its
233 recommendation as to whether the Application should be: Granted unconditionally;
234 Granted with conditions, or; Denied, with justification;

235 e) the ARB's recommendation shall be communicated to the Kantara Initiative Board of
236 Trustees;

237 f) the Kantara Initiative Board of Trustees shall take a decision, based upon the ARB's
238 recommendation and any other considerations the Kantara Initiative Board of Trustees
239 deems necessary, which shall be conveyed in writing by the Secretariat to the Applicant.

240 When an Application is granted with conditions, the applicable conditions should be such that
241 their cause(s) can be addressed and resolved within six months period of the grant, to be
242 determined by the ARB.

243 **4.3 Grant of Rights of Use**

244 When the Application is to be granted rights of use to the Kantara Initiative Trust Mark (and if
245 conditional, after any appeal has been heard and a final decision made), the following actions
246 shall be performed:

247 a) a 'Grant Id' will be allocated (using the format 'IAF-«type»-«yy»-«nn»', where:
248 «type» is the type of Grant,
249 «yy» is the year as two digits,
250 «nn» is a sequence beginning at 01 each new year) and,

251 b) based upon the applicable Trust Mark, a seal shall be issued to the Applicant as a part of
252 formal notice of the applicable Grant, with any conditions stated;

253 c) the validity period of the Grant shall be set at three years subject to the continued
254 adherence to conformity terms and conditions defined in the TMLA.

- 255 d) the Grant is conditional, a review schedule shall be set to ensure that the Applicant
256 provides, within the required timescale, adequate grounds for the removal of the
257 conditions, without which the Grant shall lapse at the expiry of that timescale;
- 258 e) Kantara Initiative shall update the [Kantara Trust Status List](#) details of the new Grantee
259 within two business days.

260 4.4 Appeal

261 An Applicant may only appeal decisions against either a conditional Grant or a denial. The ARB
262 shall select three volunteers from the Board of Trustees or among recognized authorities in good
263 standing with the Kantara community to act as *ad hoc* ARB members. This Appeal Board shall
264 be subject to ARB confidentiality procedures, for the duration of the conflict resolution process.
265 The *ad hoc* members shall be acceptable to both the Chairman of the ARB and to the Applicant,
266 each of whom shall endeavor to find mutually-acceptable members. However, in the event that
267 the mutually acceptable members cannot be found within one calendar month of the appeal being
268 lodged, the Chairman of the ARB shall have the right to appoint an Appeal Board without further
269 referral to the Applicant.

270 The appeal shall be heard within a two-week period of the Appeal Board being established. The
271 Appeal Board shall make one of the following recommendations: uphold the ARB decision;
272 override the ARB decision; or, propose a remediation.

273 4.5 Termination of Application

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

- 275 a) if at any time during the receipt of an Application, the Applicant either chooses to
276 withdraw its Application or fails to fulfill any requests made of it by the Secretariat
277 within a reasonable amount of time to be defined by the ARB
- 278 b) if, during the processing of an Application, the Applicant chooses to voluntarily withdraw
279 their Application;
- 280 c) in the event that an Application and any subsequent appeal is denied.

281 On termination of an Application the Secretariat shall:

- 282 a) advise the APoC in writing of the termination, giving the reasons why;
- 283 b) allow a period of two weeks for:
- 284 i) notice of intention to appeal the termination to be received and processed, and
285 in the absence of any such notification (or after a final decision denying an
286 appeal) and within a further two-week period, destroy all record of and
287 documents related to the Application,
- 288 ii) save the basic administrative data required to record the fact that an
289 Application was received in the name of the Applicant and terminated for the
290 reasons determined, which shall be recorded, including record of the date,
291 time and means of notice of termination and of the destruction of related

292 materials¹, ensuring that the Applicant receives a written confirmation that
293 their protected materials have been securely disposed-off.

294 **4.6 Oversight of Grantee**

295 Oversight of Grantees shall be effected by:

296 a) the Secretariat, who shall establish a schedule for:

297 i) review and removal of any grant conditions on which the Grant was conditionally
298 awarded;

299 ii) annual review by the ARB;

300 iii) a request to Grantee to provide evidence of renewal of any prior qualification(s),
301 to which the Grant was subject, which will lapse during the period of
302 accreditation;

303 b) the ARB exercising review and validation of conformity and currency at points defined in
304 the plan required by the preceding clause;

305 c) at the discretion of the ARB or in response to any observed or reported deficiency,
306 periodic re-assessment by the ARB of selected areas of conformity.

307 In the event that oversight identifies areas for concern then the ARB shall investigate further the
308 circumstances and determine whether any corrective action is required.

309 Annual review (see a) ii), above) shall be undertaken against a submission of the applicable
310 Annual Conformity Review by the Grantee. This is intended to identify any revisions to status
311 of prior qualifications and submitted evidence since the initial Application or previous annual
312 review. Any new material submitted shall be subject to assessment using the validation
313 techniques applied for the initial Application assessment.

314 Review of renewal of any prior qualification(s) (see a) iii), above) shall be undertaken by receipt
315 of evidence of the renewed qualification using the validation techniques applied for the initial
316 Application assessment.

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

319 Should the applicable requirements be revised all current Applicants and Grantees shall be
320 explicitly notified of the availability of the new versions including identification of all pertinent
321 changes. Existing Grantees shall be allowed twelve months (fifteen months where publication
322 occurs within three calendar months of an Annual Conformity Review) in which to comply with

1 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.

323 the new requirements. Current Applicants shall be required to make any necessary revisions to
324 their Application to bring them into lines with the revisions.

325 Any revisions to the applicable agreements shall become effective immediately, subject to a
326 consultation period having been offered to all current Grantees and Applicants.

327 **4.7 Revocation of Grant**

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

- 329 a) if it chooses to terminate or let lapse its Grantee status;
- 330 b) if the oversight described in the previous sections determines that the conditions of grant
331 are no longer applicable;
- 332 c) a failure to pay renewal fees.

333 Divergence of a Grantee or its services pertaining to that Grant from that described in the current
334 Application package may not necessarily be a negative event, e.g. the ownership of the Grantee
335 may change such that a conflict of interest comes into existence, or a non-trivial enhancement or
336 revision to the service terms or processes. On the other hand, dereliction on the part of the
337 Grantee, failure to honor the terms of the TMLA, or loss of a prior qualification to which the
338 Grant was subject would be less positively-viewed developments, demanding the ARB's
339 intervention.

340 On revocation of Grant status the Secretariat shall:

- 341 a) advise the APoC in writing of the revocation, giving the reasons why;
- 342 b) destroy all record of and documents related to the Grant, save the basic administrative
343 data required to record the fact that an Application was received in the name of the
344 Applicant and revoked for the reasons determined, which shall be recorded, including
345 record of the date, time and means of notice of revocation and of the destruction of
346 related materials²;
- 347 c) Kantara Initiative shall update [Kantara Trust Status List](#) with the revised status details of
348 the Grantee.

349 **4.8 Annual Conformity Review**

350 **4.8.1 Introduction**

351 An Annual Conformity Review (ACR) is undertaken as a positive check and reminder to
352 Grantees that their conformity to the TMLA remains their obligation.

² 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.

353 **4.8.2 Process**

354 The Secretariat shall populate an ACR pro forma specific to the Grantee and submit that to the
355 Grantee for their completion and return.

356 The Secretariat shall review the grantee's returned ACR for any indication that inconsistencies or
357 variations have occurred during the period of the review. If the Secretariat observes
358 inconsistencies or variations, the grantee shall provide supporting evidence as deemed necessary
359 for the ARB to review conformity.

360 The TMLA requires Grantees to notify the Secretariat of any divergences as and when they are
361 identified.

362 Verifications that were required during the Application processing stage should be applied
363 during the ACR, e.g. ensuring dates are concurrent and extend beyond the present period. In the
364 event that actual assessment of additional evidence is required then a 'mini-review' shall be
365 performed, adopting the procedures defined for the initial processing of Applications so as to
366 limit time and effort expended whilst ensuring Kantara's expectations and standards are
367 maintained. The Chairman of the ARB has sole authority to seek additional information as
368 appropriate.

369 **5 ASSESSMENT: APPROVED SERVICE**

370 This Section describes aspects of the Application and **assessment** processes that are specific to
371 Kantara-Approved Services.

372 **5.1 Type of Grant**

373 The type of Grant shall be that of a Kantara-Approved Service, denoted by the «type» field in the
374 Grant Id being ‘Approval’ or ‘Component’, as applies to either a Service Component or Full
375 Service Application, respectively.

376 **5.2 Application**

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

379 The Application includes two documents on which the evaluation will rely: the first is the
380 [Trademark License Agreement](#) (TMLA); the second is the [Specification of Services Subject to](#)
381 [Assessment](#) (S3A).

382 **5.3 Basis of Assessment**

383 The *Kantara IAF Service Assessment Criteria* (SAC) shall be the **minimum** basis against which
384 the Application is **assessed**. Actual assessment must be carried-out by a Kantara-Accredited
385 Assessor, which will perform an assessment of the service(s) referenced in the Application, with
386 the objective of determining the specified service as being conformant to the applicable SACs.
387 The CSP may identify further criteria and profiles which do not conflict with the applicable SAC
388 criteria to be included in the scope of the assessment.

389 **5.4 Specific Application Review Steps**

390 Where the Application is for a Full Service Approval, the ARB will ensure that the overlay of the
391 collective criteria covered by the combination of the Applicant’s **Statement of Conformity (SoC)**
392 and those of its component parts encompasses 100% of all SAC for the chosen Assurance Level.

393 Evidence of its acceptance of the TMLA is a necessary pre-requisite to enable the Applicant’s
394 chosen Assessor to formalize the contract for Assessment. Once the Assessment has been
395 completed and the Applicant has received the Assessor’s Assessment Report, that Report shall
396 then be returned to the Secretariat and the Application processing shall then continue according
397 to the **finding** conveyed in the Kantara Assessment Report (KAR), i.e. whether or not a **finding**
398 **of conformance** has been made.

399 When the KAR indicates that the Assessment has **found conformity** it shall be added to the
400 **assessment package**, which shall then be passed to the ARB.

401 The KAR will indicate the type of Assessment undertaken, i.e. 'Period-of-Time' or 'Ready-To-
402 Operate'.

403 The Secretariat shall review each application package and ensure that the application and S3A
404 are consistent with those previously submitted, and resolve with the applicant any discrepancies.
405 The Secretariat shall also review the KAR and ensure that it states either a finding of unqualified
406 conformity or, if qualified, that only a small number of **minor** non-conformities are found, and
407 that each has a remedial action indicated. Any KAR which does not meet these conditions shall
408 be rejected and returned to the Applicant, with a letter explaining the reasons for rejection.

409 Once an application package has met the above requirements it shall be passed to the ARB for
410 review.

411 Withdrawal of an Application constitutes termination, which is addressed in §4.

412 When Approval is granted on the basis of a RTO assessment the status of the Approval shall
413 carry the qualifier 'Ready To Operate'.

414 **5.5 Annual Conformity Review**

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

417 **5.6 Assessment of Services**

418 **5.6.1 Contracting for Assessment**

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

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

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

435 It should be noted that, depending on the scope of their Application for Accreditation, some
436 Assessors may not be accredited to assess against the full scope of the SAC. CSPs should
437 therefore check the entitlement of the Assessor to address their service(s), whilst at the same time

438 it is incumbent upon Assessors to do likewise and advise potential client CSPs where the scope
439 of the required Assessment services exceeds that of their Accreditation. Although this is not
440 anticipated to be a frequent problem it is nonetheless a real possibility which needs to be
441 addressed.

442 **5.6.2 Performing Assessments**

443 The CSP shall submit to its contracted Assessor the following documents as the minimum set
444 required by Kantara Initiative. The Assessor may have its own processes which require
445 additional submissions from the CSP which will be a matter of private contract between those
446 parties. This clause primarily addresses the responsibilities which Accredited Assessors have in
447 performing a Kantara assessment. **CSPs shall provide, as a minimum, the following required**
448 **document set:**

- 449 a) TMLA, counter-signed by Kantara Initiative;
- 450 b) S3A;
- 451 c) SoC;
- 452 d) supporting evidence demonstrating its compliance with the applicable SAC, per its
453 SoC.

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

456 At the conclusion of the assessment the Assessor shall prepare a Kantara Assessor's Report
457 (KAR). This report may be a separate document prepared for Kantara's consumption or may be
458 a document with wider applicability, subject only to fulfilling at least the requirements for a
459 KAR.

460 A KAR shall always be required, irrespective of whether the CSP withdraws from the
461 assessment, concludes the assessment but fails to demonstrate its conformity as required, or
462 succeeds in gaining an Approval recommendation from its Assessor. Only in the last of these
463 possible outcomes (i.e. an affirmative Approval recommendation) will Kantara exercise its right
464 to make public that information from the S3A that is specified as being for publication. All other
465 information and all other outcomes Kantara Initiative shall retain as confidential under the terms
466 of the TMLA.

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

469 **5.6.3 Initial Assessment versus Annual Conformity Review**

470 Initial Assessments (i.e. those conducted for the purposes of a Grant of a three-year Approval)
471 shall require assessment against all criteria defined in the Applicant's SoC and agreed-to by the
472 ARB

473 The Kantara IAF's assessment model is based on established best practice as defined in
474 ISO/IEC 17021, "*Conformity assessment - Requirements for bodies providing audit and*
475 *certification of management systems*"), which allows for annual reviews to be less demanding

476 than the initial assessment, subject to the three-year cycle being re-commenced when the Grant
477 of Approval is renewed on the third anniversary of it being last granted.

478 Therefore, the Annual Conformity Reviews performed on the first and second anniversaries of
479 the initial Grant of Approval may have a reduced scope, as defined in the RAA.

480 For ACRs conducted at ALs 2, 3 and 4, CSP's shall submit to the ARB a KAR confirming
481 continued conformance with all applicable criteria (per the CSP's SoC), on which the ARB shall
482 base its decision regarding a recommendation that the Grant of Approval shall be confirmed.

483 **6 ASSESSMENT: ACCREDITED ASSESSOR**

484 This Section describes aspects of the Application and **assessment** processes which are specific to
485 Kantara-Accredited Assessors.

486 **6.1 Type of Grant**

487 The type of Grant shall be that of a Kantara-Accredited Assessor, denoted by the «type» field in
488 the Grant Id being ‘AA’.

489 **6.2 Application document**

490 Applications shall be submitted using the on-line [Accredited Assessor Application](#) form
491 (‘Application’, for the purposes of this clause).

492 The Application includes the agreement document.

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

496 **6.3 Basis of Assessment**

497 The Kantara IAF [Assessor Qualifications & Requirements](#) (AQR) shall be the basis against
498 which the Application is evaluated.

499 **6.4 Specific Assessment steps**

500 When initially validating the Application the ARB review team shall apply the following specific
501 steps in executing the **general procedures defined in §4**:

- 502 a) Documents that are used to claim ‘credit’ with regard to Accreditation requirements
503 shall first of all be validated. Validation shall be either by visual inspection, or online
504 (e.g. authentication of issuer’s seal or validation against a recognized registry). The
505 ARB review team shall take the longevity and currency of such documents into
506 consideration.
- 507 b) Claims of ‘credit’ based on validated prior qualifications shall be recognized, subject to
508 any qualifications applied by Kantara Initiative;
- 509 c) For each such requirement:
- 510 i) Validated unqualified credit shall be granted without question (unless
511 exceptional circumstances prevail);
- 512 ii) Validated qualified credit shall be assessed to ensure that supporting evidence
513 provided fulfills the requirement;

514 iii) For any other requirement, ensure that supporting evidence provided fulfills
515 the requirement.

516 ARB review team shall apply whatever measures and expectations it considers reasonable in
517 order to ensure the supporting evidence fulfills each requirement The ARB is not constrained by
518 the guidance provided in the AQR for assessment of materials provided by the applicant in
519 support of its compliance, and shall assess any material provided by the Applicant in support of
520 its compliance. The ARB review team may ask for clarification or additional evidence from the
521 applicant.

522 **6.5 Annual Conformity Review**

523 The schedule maintained by the Secretariat shall record the expiration dates of any Prior
524 Qualifications and shall seek from the Grantee evidence of renewal.

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

528 **6.6 Performing the Assessment**

529 **6.6.1 Process**

530 An Assessor shall require a CSP to submit the minimum set documents identified in §5.6. The
531 assessor may have its own processes that require additional submissions from the CSP. This
532 clause primarily addresses the responsibilities Accredited Assessors have in performing a
533 Kantara assessment.

534 The Assessor shall perform the Assessment according to the terms of its Accreditations and its
535 defined processes.

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

540 Regardless of whether the CSP successfully concludes or withdraws an assessment, a KAR shall
541 always be required. Kantara may publish information from the S3A that is specified as being for
542 publication, only if the assessment is successful.

543 All other information and all other outcomes Kantara shall retain as confidential under the terms
544 of the TMLA.

545 **7 REVISION HISTORY**

546

Vn.	Date	Status	Notes	Approved
1.0	2008-05-08	Initial Draft	-	Liberty Alliance
2.0	2010-04-dd	Public	Significant scope build	Kantara Initiative
3.0	2012-10-10	Public		IAWG by vote
4.0	2015-08-31	Public	Revision to eliminate un-used procedures and reflect current practice.	Kantara ARB

547