



# Identity Assurance Framework: IAF-1340

## Service Approval Handbook

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10 **Editor** Richard G. Wilsher  
11 Zygmia Inc.

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

### 13 **Abstract**

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

### 19 **Reference Standard**

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

24 IS17065: §«clause no.»

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

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## 116 1 INTRODUCTION

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### 117 1.1 Status and Readership

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

122 IS17065: §7.1.2, 7.1.3, 7.4.1

### 123 1.2 Key words

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

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

### 145 1.3 Purpose

146 The ultimate goal of the Kantara Initiative's Trust Framework Operations Program (TFOP) is the  
147 facilitation of intra- and inter-Federation transactions based upon a range of identity credentials in which  
148 Relying Parties can have the confidence that the credentials issued under the Kantara Initiative Trust Mark  
149 are being managed to address identified risks. Some of these credential management services may  
150 include differing levels of rigour, generally referred-to as Assurance Levels (AL). Kantara grants  
151 Approvals against a number of specific Classes of Approval. The Classes of Approval and their  
152 parameters (AL, etc.) are described at <https://kantarainitiative.org/trustoperations/classes-of-approval/>.

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

159 a) **IAF-1340 “Service Approval Handbook”** - this Specification.

160 This present document, which defines the types of Assessments required and establishes rules  
161 governing how they are to be performed and how the status of service Approvals is managed and  
162 published, whilst also describing the processes required to be followed by the parties involved to  
163 make application for service Approvals, to have assessments performed, to maintain those  
164 Approvals, and how Approvals may be terminated;

165 b) **IAF-1350 “Assessor Accreditation Handbook”**

166 This document is intended to complement the Service Approval Handbook by describing the  
167 additional rules and processes required to be followed for Assessors to make application for being  
168 Accredited, to maintain their Accreditation, to perform Assessments and how Accreditations may  
169 be terminated.

170

171 An overall description of Kantara’s operations can be found on the Trust Framework Operations  
172 Program (TFOP) web page - <https://kantarainitiative.org/trustoperations/>. The latest versions of  
173 each of the above-referenced documents can be found on Kantara’s Identity Assurance  
174 Framework web page -  
175 <https://kantarainitiative.org/confluence/display/LC/Identity+Assurance+Framework>.

## 176 **1.4 Effectiveness**

177 This document MAY be applied immediately upon its publication.

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

IS17065: §7.10.1

## 183 **1.5 Review**

184 The ARB SHALL review this document as a whole:

185 a) whenever it is revised to accommodate any material changes which are determined to be  
186 necessary;

187 b) at least annually, by the end of the month of publication of any version resulting from material  
188 changes; and

- 189 c) whenever the ARB becomes aware of any circumstances which may require modification of its  
190 service assessment operational practices.

191 IS17065: §7.10.1

## 192 **1.6 Changes in this revision**

193 V1.3 - This revision incorporates:

- 194 i) reinforced requirement to prepare and deliver formal notifications to both the KIBoD and to  
195 CSPs;
- 196 ii) a prompt to conduct Assessor Evaluation as required by [AAH];
- 197 iii) refined requirements in areas where experience has suggested scope for improvements, and  
198 also to align processes and wording with those applied through the [AAH];
- 199 iv) an express requirement to capture and retain records of applications and processes;
- 200 v) minor editorial revisions having absolutely minimal (non-normative) impact;
- 201 vi) inclusion of ‘xAL’ assurance levels as well as ‘AL’s;
- 202 vii) re-titling of ‘POT’ Assessments as ‘FOS’ Assessments;
- 203 viii) reinforcement of the criteria scope between RTO and FOS Assessments;
- 204 ix) removal of Annex A (Recusal Policy), which will henforth be found in the ARB Charter;
- 205 x) replacement of ISO/IEC 17021 by ISO/IEC 17065;
- 206 xi) other editing and typographical corrections, where they are entirely immaterial in nature.

207 IS17065: §7.10.1



## 208 **2 TERMINOLOGY**

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

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

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

## 216 **3 OVERVIEW**

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### 217 **3.1 Principles**

218 Kantara offers a range of Classes of Approval, each being determined according to the choice of Service  
219 Assessment Criteria against which the service is assessed. Kantara extends Grants of Approval on a per-  
220 service basis, for that service as operated by the specific Applicant Service Provider (SP) and as  
221 applicable to the specific set(s) of Service Assessment Criteria (SAC) against which the Service Provider  
222 elects to have its service Assessed.

223 A service SHALL be designated as a ‘Registered Service’, pending its assessment and SHALL become an  
224 ‘Approved Service’ once the Assessment and submission of the SP’s formal application have been  
225 successfully completed, and a Grant of Approval made by the Kantara Initiative Board of Directors  
226 (KIBoD).

227 Further Service attributes are addressed in later parts of this Handbook.

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

235 Each service SHALL have a ‘Statement of Conformity’ (SoC) that defines the actual criteria from the  
236 applicable selected SAC(s) with which the SP for the specific service intends to demonstrate its  
237 conformity and with which the service must be found to be conformant in order for it to be the subject of  
238 a Grant of Approval. It is acceptable that the SoC may contain a sub-set of the full set of selected criteria  
239 if they have been selectively chosen to meet the scope of the service, as described.

240 Approval is granted against a specific scope (in terms of the specification of the service and the applicable  
241 criteria), on the basis of on-going conformity with the terms of Approval and operation within the defined  
242 scope, and resolution of any non-conformities, as agreed<sup>1</sup>.

### 243 **3.2 Applicable Service Assessment Criteria**

244 Kantara supports a number of specific sets of Service Assessment Criteria (SAC), which accommodate  
245 various reference bases for the criteria therein. Some of these SAC are developed by Kantara, others are

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

246 hosted by Kantara on behalf of third parties who wish to enjoy the benefits of Kantara’s Trust Framework  
247 Operations Program.

248 Each available (i.e. formally released) version of any specific SAC has a published date and an effective  
249 date. When a new version of a SAC is published it may be applied immediately although the preceding  
250 version (assuming there is one) SHALL remain available and usable until the effective date of the newer  
251 version, after which the preceding version SHALL be withdrawn.

252 Kantara also provides additional sets of assessment criteria, known as Assessment Profiles, that  
253 applicants may voluntarily choose for conformity assessment and approval.

254 The available sets of SAC and associated Assessment Profiles are described at “Available  
255 Approvals, Service Assessment Criteria & Profiles”.

256 At any given assessment, the applicable version of each selected SAC SHALL be identified by the SP,  
257 subject to the following conditions:

- 258 a) for new Approval applications, the latest effective version of the selected SAC at the date of  
259 application; OR
- 260 b) for all other assessments, the latest effective version of the selected SAC on the date on which the  
261 assessment is concluded and the Kantara Assessor’s Report (KAR) is published.

262 Any Assessment Profiles applied during an assessment are selected entirely at the SP’s discretion.

263 The remainder of this document refers to a singular SAC, but readers should assume the same processes  
264 to be applicable when multiple SACs are ‘bundled’ by Kantara (see “Available Approvals, Service  
265 Assessment Criteria & Profiles”) or selected by the SP.

### 266 **3.3 Statement of Conformity**

267 The Statement of Conformity (SoC) (documentation required by the [Specification of a Service Subject to](#)  
268 [Assessment – S3A](#)) must identify the selected SAC(s) and the applicable version of it/them. For each  
269 criterion (and at each applicable Assurance Level(s), if the selected SAC has such) the SoC must state  
270 whether the criterion is:

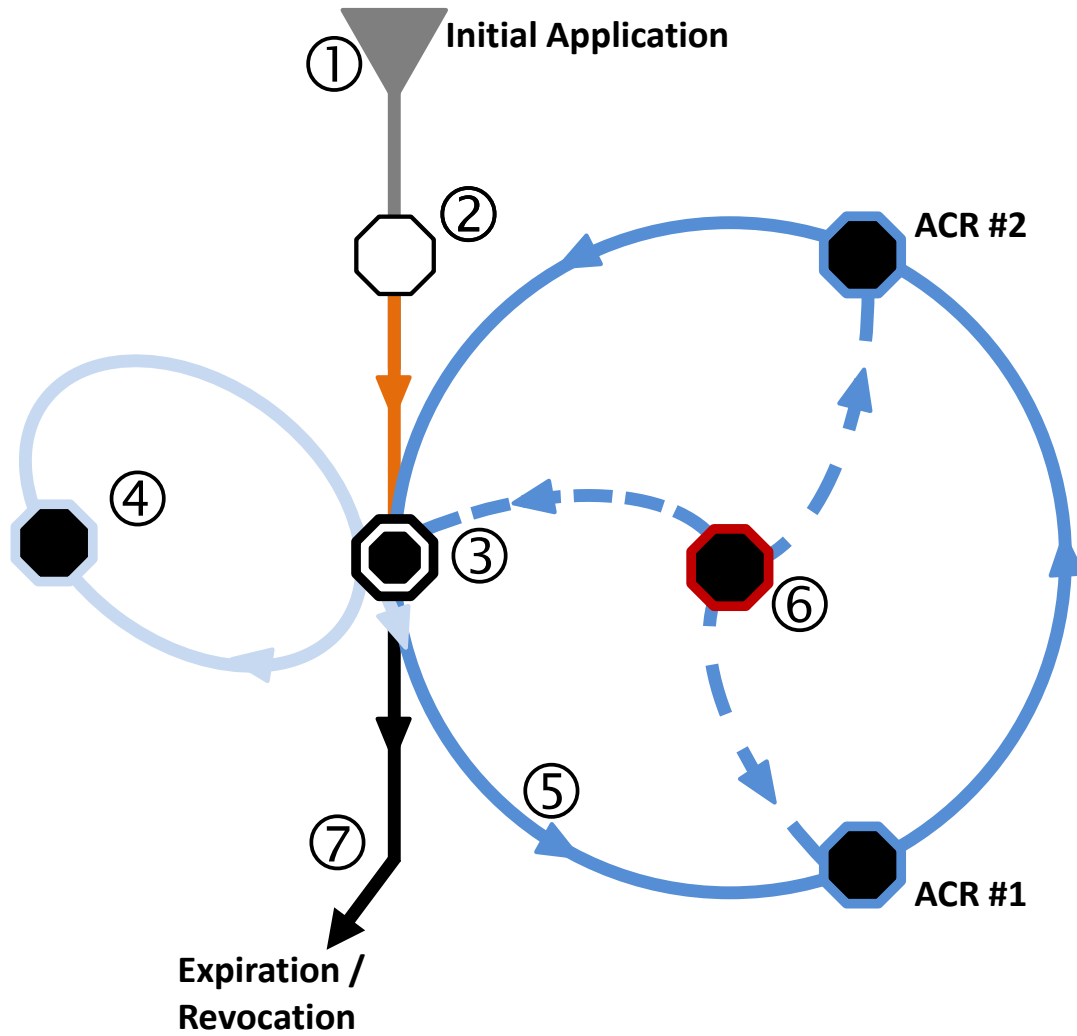
- 271 a) is fulfilled directly by the Applicant’s Service, in which case the SoC must state how conformity is  
272 achieved; or
- 273 b) fulfilled by another, previously-Approved, Component Service which is incorporated into the  
274 Applicant’s Service (which must be identified according to its Kanata Approval reference); or
- 275 c) “not applicable”, with a justification as to why the criterion is deemed non-applicable (e.g. where  
276 the service excludes specific functionality or where a criterion permits a choice of means for  
277 conforming).

278 Kantara prescribes the required minimum content of the SoC but not a specific structure. The SoC can be  
279 a stand-alone document or can be incorporated into another document if that is justified. Kantara’s  
280 requirement is that a specific documented source of the required information be available and labeled as  
281 the SoC.

## 282 **3.4 The Overall Application / Approval Process**

283 The overall process that governs the application for service approval and the granting and  
284 maintenance of approval consists of seven key stages. These are summarized below, are  
285 shown in Figure 1 and each numeric symbol in the list below is hyper-linked to the  
286 respective descriptive section of this Handbook.

- 287 [①](#) SP's Initial Application;
- 288 [②](#) ARB review of the Application;
- 289 [③](#) Service Assessment Review;
- 290 [④](#) 'Ready To Operate' procedures;
- 291 [⑤](#) Annual Conformity Reviews
- 292 [⑥](#) Unscheduled Assessments;
- 293 [⑦](#) Approval Termination.



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

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

294  
295  
296  
297

298 The Kantara IAF’s assessment model is based on established best practice as defined in ISO/IEC  
299 17065:2012 “*Conformity assessment — Requirements for bodies certifying [...] services*”  
300 [IS17065], which allows for annual reviews to be less demanding than the initial assessment,  
301 subject to the three-year cycle being re-commenced when the Grant of Approval is renewed on the  
302 third anniversary of it being last granted (or reset).

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

305 The first part, ‘x.1’, describes the purpose and place in the overall scheme of the key stage in  
306 question and sets out the ‘rules’ for the processes involved.

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

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

314 **SP:**

315 *Text assigned to the Credential Service Provider (SP) defines actions that are the*  
316 *responsibility of the SP to enact.*

317 **ARB:**

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

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

324 **Assessor:**

325 *Text assigned to the Assessor defines actions that are the responsibility of the*  
326 *Assessor to enact.*

327 *NOTE: Only actions directly pertinent to the approval process are described in*  
328 *this Handbook. A separate Handbook, ‘IAF-1350 Assessor Accreditation*  
329 *Handbook’ will address the details of the performance of assessor accreditation*  
330 *and assessor-specific aspects of assessments.*

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

### 332 **3.5 Assessor selection and Assessment**

333 The selected SAC SHALL be the minimum basis against which the Service Subject to Assessment  
334 SHALL be assessed. That is, at least the applicable criteria from the selected SAC must be

335 assessed-against. The SP can elect to have other criteria included in the assessment, e.g. related  
336 Assessment Profiles, technical profiles, etc.

337 Actual assessment must be carried-out by a Kantara-Accredited Assessor, which will perform an  
338 assessment of the service(s) referenced in the Application, with the objective of determining the  
339 specified service as being conformant to the selected SAC. The SP can, by agreement with its  
340 selected Assessor, identify further criteria and profiles to be included in the scope of the assessment  
341 so long as these do not conflict with the selected SAC and the Assessor has the competence to  
342 assess the full scope required by the SP.

343 IS17065: §6.1.1.2, 7.4.2

344 SPs are at liberty to select a different Accredited Assessor for successive assessments, if they so  
345 choose.

346 Following an assessment the Assessor SHALL provide to the SP a KAR. A KAR attesting to a  
347 finding of conformity will be required of the SP to support any application for Approval of their  
348 service.

349 IS17065: §7.4.3, 7.4.6

### 350 **3.6 Trust Status List**

351 The Kantara Secretariat SHALL maintain a register of all Approvals (see §3.5), their Class of Approval,  
352 their status and their termination date.

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

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

357 IS17065: §7.7.1

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

### 360 **3.7 Effective dates of Approval**

361 Effective dates of Approval termination, fulfillment of remedial actions and any other specific events  
362 SHALL be set to be the last day of the month in which an event is due. For example, a Grant of Approval  
363 issued on any day of a given month SHALL naturally terminate on the last day of that same month, in the  
364 following year (in the absence of evidence of continued conformity being provided by the SP).

### 365 **3.8 Exceptions**

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

369 of the event which is in keeping with [Section 1.2 \(Purpose\)](#) and [Section 3.1 \(Principles\)](#) of this  
370 handbook.

371 After the event the Secretariat SHALL either:

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



## 377 **4 STAGE 1 - SP's INITIAL APPLICATION**

---

### 378 **4.1 Purpose and processes**

#### 379 **4.1.1 General description**

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

382 SPs SHALL submit an Initial Application Package, essentially to introduce themselves and their service  
383 to Kantara, defining the scope and nature of their service, and other essential information, including  
384 which SAC and specific criteria therein they believe are applicable to their service.

385 SPs are encouraged to make contact with the Secretariat during the preparation of their Approval package  
386 to give themselves the best chance of getting through assessment of their application with minimal, if any,  
387 difficulties. SPs can also at this time discuss their requirements for assessment with Kantara-Accredited  
388 Assessors, though they should note that Assessors are prohibited from performing assessments until such  
389 time as the SP can provide copy of its TMLA, counter-signed by Kantara Initiative.

#### 390 **4.1.2 Supporting templates**

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

- 395 a) Application for Service Approval (ASA);
- 396 b) Specification of a Service Subject to Assessment (S3A);
- 397 c) Statement of Conformity (SoC);
- 398 d) Kantara Assessor's Report (KAR).

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

- 402 e) Membership Agreement;
- 403 f) Trademark License Agreement ([TMLA](#)).

#### 404 **4.1.3 Acceptance of applicable terms**

405 Kantara Initiative protects against the potential misuse of its Trust Mark by requiring all applicants  
406 to sign the Trademark License Agreement ([TMLA](#)) prior to seeking assessment of their service(s).  
407 Each Application includes the SP's commitment to the terms and conditions defined in the [TMLA](#).  
408 These terms and conditions address the complete life-cycle of participation in the IAF and must  
409 be re-signed at the commencement of each three-year cycle and confirmed on the first and second  
410 anniversaries of that signature.

411 Application for a Grant of Rights of Use, withdrawal of Application (without receipt of a Grant of  
412 Rights of Use) during the period in which a Grant of Rights of Use is awarded, after termination

413 of a Grant of Rights of Use, and the SP's signature to the TMLA at the time of Application shall  
414 bind the SP to the terms and conditions at all stages of participation in the IAF thereafter. This  
415 includes adherence to the conditions of Membership which is a mandatory pre-condition before a  
416 Grant of Rights of Use can be made.

## 417 **4.2 Required actions**

418 *SP:*

419 *The SP must down-load and review the latest versions of the template documents*  
420 *referenced above. If, after review, the SP has any questions concerning the*  
421 *documents and their implications, they are advised to contact the Secretariat to*  
422 *discuss them.*

423 *Assuming the SP finds the terms etc. acceptable they must complete the*  
424 *documents, noting the following:*

425 *a) the S3A does not need to be comprehensively completed at this stage;*

426 *b) The SoC has to be completed according to the type of service the SP*  
427 *wishes to have approved and not all criteria in its selected SAC will*  
428 *necessarily apply.*

429 *Both of these documents give guidance for their completion.*

430 *When all documents are ready for submission they should be submitted to the*  
431 *Secretariat.*

432

IS17065: §7.4.3

## 433 5 STAGE 2 - ARB REVIEW OF INITIAL APPLICATIONS

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### 434 5.1 Purpose and processes

435 This stage is the ARB's first formal notification of the SP's intentions to have their service assessed and is  
436 the ARB's opportunity to ensure that, prior to any assessment commencing, the SP understands what is  
437 expected of them, that they have accepted their obligations through the appropriate agreements, that the  
438 service is, in principle, suitable for Approval by Kantara, subject to the service being found conformant to  
439 the applicable criteria, and that an appropriate set of criteria have been identified and which align to the  
440 description of the service.

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

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

451 IS17065: §7.7.1

### 452 5.2 Required actions

#### 453 5.2.1 Handling of Initial Applications on receipt

454 **ARB:**

455 *On receipt of an Application Package the Secretariat SHALL review its contents*  
456 *and undertake the following validations:*

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

459 *b) send the SP's Point of Contact (PoC) confirmation of receipt of its*  
460 *application, and request of the SP any revisions or explanations necessary*  
461 *to resolve problems identified during the validation;*

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

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

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

- 468 f) *pass the package to the ARB Review Team, setting a target completion date of not more*  
469 *than three weeks hence;*
- 470 g) *during the course of the Review Team’s evaluation of the package (see §5.2.2), advise*  
471 *the SP’s PoC of any irregularities with the package and seek whatever clarification is*  
472 *necessary.*

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

## 476 5.2.2 ARB Review Team Evaluation

### 477 **ARB:**

478 *On notification that an Application Package is ready for evaluation, the ARB*  
479 *Review Team SHALL review the package within their terms of reference as*  
480 *assigned by the Chairperson of the ARB (who can choose to assign specific*  
481 *focuses to specific ARB members, as their particular experience might apply to*  
482 *the package).*

483 *The Review Team’s evaluation of the package SHALL progress as follows:*

- 484 a) *the S3A SHALL be reviewed to determine whether it provides a sufficient description*  
485 *of the SP’s service;*
- 486 b) *the SoC SHALL be reviewed to determine whether, based upon the description*  
487 *provided in the S3A, the SP’s selection of criteria against which its service is to be*  
488 *assessed is a good ‘fit’;*
- 489 c) *Where the Application is for a Full Service, that the overlay of the collective criteria*  
490 *covered by the combination of the Applicant’s SoC and those of its component parts*  
491 *encompasses the full set of SAC (including for any chosen Assurance Level, where*  
492 *applicable),including allowance for criteria being addressed by prior-approved*  
493 *component services;*
- 494 d) *if the Review Team finds the material submitted in support of the Application*  
495 *insufficient to allow it to reach an understanding of the service or to determine a*  
496 *finding, requests for clarification or additional information SHALL be made to the*  
497 *Secretariat, who SHALL communicate with the SP’s PoC;*
- 498 e) *such requests (see d), above) SHALL be recorded, as SHALL be the Applicant’s*  
499 *response, in whatever form;*
- 500 f) *the Review Team’s findings and its recommendation as to whether the Application be*  
501 *accepted or rejected, with justification, SHALL be communicated to the Secretariat;*

### 502 **SP:**

503 *SPs are entitled to withdraw their Application at any time during this review*  
504 *period, and need not give any reason.*

505 **ARB:**  
506 *If the SP advises that they wish to withdraw their application the Secretariat*  
507 *SHALL record the application as withdrawn and close the file.*

### 508 **5.2.3 Post-ARB Review actions**

509 **ARB:**  
510 *Upon receipt of the Review Team’s decision, the Secretariat SHALL advise the*  
511 *SP’s PoC of the outcome, either that the Application has been accepted as being*  
512 *fit for assessment, or that the application has been rejected, with reasons why<sup>2</sup>;*  
513 *If the ARB’s recommendation is to accept the application the Secretariat SHALL:*  
514 *a) further advise the SP that their ‘Registered Service status will be valid for 12 months*  
515 *from the date of notification of the ARB’s decision;*  
516 *b) unless the SP has requested otherwise in its Application package, update the Kantara*  
517 *TSL to include the SP and its service as a ‘Registered Service.*

IS17065: §7.7.1

519 *Notification of a rejection shall:*

- 520 *c) state the reasons for rejection;*  
521 *d) describe any conditions which if fulfilled would enable the ARB to find*  
522 *reason to recommend a grant of Approval;*  
523 *e) advise the SP of their entitlements as to lodging an Appeal (see 5.2.5).*

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

### 526 **5.2.4 Formal Notification**

527 *The Secretariat shall notify the KIBoD of the ARB’s recommendation for*  
528 *Approval, providing copy of the ARB’s record of its Application review findings.*

IS17065: §7.5.2, §7.6.3, §7.6.6

530 *On receipt of the KIBoD’s decision the Secretariat SHALL give formal*  
531 *notification to the SP’s PoC. Notification of Approval SHALL include, as a*  
532 *minimum:*

- 533 *f) Approval reference;*

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

- 534 g) *Geographical applicability;*  
535 h) *Applicable Class(es) of Approval;*  
536 i) *Date of start and termination of current Approval;*  
537 j) *Deadline for completion of next ACR;*  
538 k) *Any qualifications or limitations on the scope of the Approval.*

539  
540 *Notification of a rejection shall:*

- 541 l) *state the reasons for rejection;*  
542 m) *describe any conditions which if fulfilled would enable the KIBoD to find*  
543 *reason to grant Approval;*  
544 n) *advise the SP of their entitlements as to lodging an Appeal (see 5.2.5).*

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

547 IS17065: §7.4.6 - '4.9 inc.

548

## 549 **5.2.5 Appeals**

550 **SP:**

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

556 **ARB:**

557 *Upon receipt of an appeal the Secretariat SHALL acknowledge its receipt to the*  
558 *SP and request that the ARB gives the appeal consideration and selects three of*  
559 *its members, or persons from other recognized authorities in good standing with*  
560 *the Kantara community, to act as ad hoc ARB members, thereby constituting an*  
561 *Appeals Board. This Appeal Board SHALL be subject to ARB confidentiality*  
562 *procedures, for the duration of the conflict resolution process. The ad hoc*  
563 *members SHALL be acceptable to both the Chairperson of the ARB and to the*  
564 *Applicant, each of whom SHALL endeavor to find mutually-acceptable members.*  
565 *However, in the event that three mutually-acceptable members cannot be found*  
566 *within one calendar month of the appeal being lodged, the Chairperson of the*  
567 *ARB SHALL have the right to appoint three Appeal Board members without*  
568 *further reference to the Applicant.*

569 *The appeal SHALL be heard within a two-week period of the Appeal Board being*  
570 *established. The Appeal Board SHALL hold a meeting of all parties in order to*  
571 *hear the arguments from the ARB’s Review Team and the Applicant, before*  
572 *determining their findings in camera. The Appeal Board SHALL make one of the*

573 *following recommendations: uphold the ARB's or KIBoD's decision; override the*  
574 *ARB's decision (but not a decision of the KIBoD); or, propose a remediation that*  
575 *is agreeable to the Applicant and put that recommendation either to the ARB for*  
576 *action or as a recommended resolution for the KIBoD's consideration.*

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

579

IS17065: §5.1.3 I)

## 580 **6 STAGE 3 - SERVICE ASSESSMENT REVIEW**

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### 581 **6.1 Purpose and processes**

582 This stage is the nucleus of the assessment framework (see Figure 1). Although there are different types  
583 of assessments, the required actions described for this stage (see below in §6.2) are generally  
584 representative of those required for Triennial Assessments (see §6.1.2 for a description of all assessment  
585 types). The steps described might require to be adjusted in small degrees to accommodate other  
586 assessment types.

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

#### 589 **6.1.1 Scope of Service**

##### 590 **6.1.1.1 Full Service**

591 A Full Service SHALL be required to show conformity to all criteria within a SAC, for the applicable  
592 Assurance Level(s). A full Service can have all SAC criteria met by the Applicant itself or they can be  
593 met by the inclusion of any number of Approved Component Services.

594 The Applicant's SoC SHALL state which criteria (if any) are met by any already-Approved Component  
595 Services, which SHALL be initially verified by the Secretariat on first receipt of an Application for Full  
596 Service Assessment.

597 The Assessment of a Full Service SHALL address the full set of the SAC criteria within the  
598 collective service. This assessment SHOULD NOT include re-examination of the conformity of  
599 Component Services being included, unless circumstances suggest there is a justified reason to  
600 do so, but the assessment SHALL establish that:

- 601 a) where any criterion happens to fall into more than one Component, that there is a clear  
602 responsibility on the part of one specific provider that that criterion is being met or that its dual  
603 operation does not present any conflicts in the overall provision of the service;
- 604 b) the provider of each Component Service has, within the thirty calendar days preceding the start of  
605 the assessment, provided an attestation to the effect that the scope, description, operation and  
606 conformity of their Component has not materially changed<sup>3</sup> since the last Assessment of that  
607 Component.

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



608 The implication of the above is that a Full Service Provider can submit for Assessment and Approval a  
609 service constructed purely of previously-Approved Components (i.e. one in which the Provider making  
610 the Application provided no technical functionality whatsoever), thus making the determination of  
611 contractual arrangements fundamental to ensuring that the Components collectively deliver a Full Service.

612 Additionally, the Provider of a Full Service MAY exclude specific criteria but in order to do so it SHALL  
613 show that the responsibility for meeting those criteria is assumed by the SP's customer(s). This provision  
614 allows for the SP's customers to efficiently leverage information and processes already in their hands.  
615 SPs who claim such exclusions SHALL demonstrate how the excluded requirements are communicated to  
616 their customers and how their customers are obliged to fulfill them and the measures by which they  
617 SHALL be held accountable (typically through explicit notices and sections in service agreements).

618 Where a SP seeks to exclude specific criteria by declaring them to be "not applicable" they SHALL  
619 provide a justification for that claim, with an explicit explanation of how any alternative measures they  
620 will put in place SHALL ensure the best likelihood of conformity being accomplished by the parties to  
621 whom those responsibilities are transferred. Other justification for criteria not being applicable could be  
622 that a service does not provide a specific set of functions within its scope.

623 Full Service Approvals SHALL require Triennial Assessment of all applicable criteria, with Annual  
624 Conformity Reviews being performed in the two intervening years, all such assessments being on the  
625 anniversary of the preceding Triennial Assessment (if any).

#### 626 **6.1.1.2 Component Service**

627 The concept of a Component Service is intended to permit flexibility with a Full Service whose Provider  
628 chooses to operate their service core as the basis for multiple service offerings using different Component  
629 Services (e.g. to satisfy different market sectors or to permit operations in different jurisdictions). This  
630 approach allows significant flexibility in how services are developed by no longer imposing a specific  
631 dominance of any particular aspect of the service's provision.

632 A Component Service's SoC SHALL identify which of the selected SAC criteria are applicable (i.e. are  
633 within the service's scope) and for those criteria SHALL further state how conformity with them is  
634 achieved.

635 Applicants for Component Service Approval SHALL justify the selection of OP-SAC criteria to which  
636 they have elected to conform. The ARB, in assessing an application, SHALL review the scope of the SoC  
637 and SHALL have the right to ask the Applicant to justify their scope.

638 Component Service Approvals SHALL require triennial assessment of all applicable criteria, with Annual  
639 Conformity Reviews being performed in the two intervening years, all such assessments being on the  
640 anniversary of the preceding triennial assessment (if any).

### 641 **6.1.2 Assessment types**

#### 642 **6.1.2.1 Triennial**

643 Triennial Assessments (i.e. those conducted for the purposes of an initial Grant of a three-year  
644 Approval and for subsequent renewal of that Grant each three years) SHALL require assessment  
645 against all criteria specified in the Applicant's SoC and agreed-to by the ARB.

646 Triennial Assessments SHALL address the full set of applicable criteria, including review of  
647 operational performance and records. Such Assessments shall cover at least a minimum  
648 operating period of time of 60 days if the service has not operated for any longer and shall  
649 otherwise review an operating period of time of up to a maximum of twelve months, prior  
650 to the date on which the Assessment commenced.

#### 651 **6.1.2.2 Ready To Operate**

652 It has been a basic Kantara requirement that Approved services are fully operational. However,  
653 experience has shown that, prior to becoming operational, some Service Providers might desire a  
654 Kantara Approval in advance of there being any operational history on which a Triennial (i.e.  
655 Period-of-Time) assessment could be based. Kantara provides for such circumstances by  
656 granting a Ready To Operate (RTO) Approval (i.e. one resulting from an Assessment for which  
657 there is no operational record to underpin the quality of the Assessment) as an interim measure,  
658 conditional upon a follow-up Fully Operational Service (FOS) Assessment (see §6.1.2.3) being  
659 provided within a specific period (see below) after the point in time at which operational records  
660 begin to be generated.

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

664 Service Providers that elect to seek Approval based on a RTO Assessment MAY submit their  
665 Application at any time at which they are able to fulfill the applicable SAC, supported by a KAR  
666 stating that an RTO Assessment was performed, subject to the requirement that they SHALL  
667 subsequently provide an Assessment Report based upon a FOS Assessment, as described in  
668 clause §6.1.2.3.

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

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

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

#### 678 **6.1.2.3 Fully Operational Service**

679 When the subject Service becomes operational after previously undergoing a RTO Assessment,  
680 the service SHOULD be operating for a minimum 60 days before a Fully Operational Service  
681 (FOS) Assessment can commence (i.e. one addressing a period of time over which the Service  
682 has been operational and therefore has established logs and records of operations which can  
683 provide adequate supporting evidence). This minimum period MAY be varied by the Assessor,  
684 who SHALL document the reasons for doing so in the associated KAR.

685 Until such time as Approval is granted on the basis of a FOS Assessment, any ‘Ready To  
686 Operate’ Approval status based upon a RTO Assessment will remain, subject to its normal  
687 termination terms.

688 Subject to the following provision, the scope of the FOS Assessment SHALL be limited to only  
689 those criteria which were specifically excluded from the RTO Assessment by its nature.  
690 However, Assessors SHALL have discretion to include within the FOS Assessment such  
691 additional criteria as were already included in the RTO Assessment as they deem necessary to  
692 ensure that, at conclusion of the FOS Assessment, the subject Service is effectively at the same  
693 state of assurance as if a Triennial Assessment had been performed. This provision accounts for  
694 instances where there is a significant lapse between the two assessments, taking into account the  
695 fact that a full Triennial cycle will commence on the conclusion of the FOS Assessment.  
696 Assessors SHALL document the reasons for setting a broader scope for the FOS Assessment in  
697 the associated KAR.

698 At the conclusion of a FOS assessment the ‘three year’ triennial cycle SHALL commence.

### 699 **6.1.3 Site visits**

700 No site visits are required at AL1 or xAL1.

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

704 Although site visits are not mandatory when a RTO Assessment is being performed, Assessors  
705 should consider, in their review of risk associated with the assessment and the reason for its  
706 performance, the need for an on-site visit and act accordingly.

## 707 **6.2 Required actions**

708 This section applies to all scopes and types of service assessments against any selected SAC.

709 **SP:**

710 *The SP SHALL contract for its assessment with an Assessor selected from*  
711 *Kantara’s published Trust Status List (which includes both Approved Services*  
712 *and Accredited Assessors).*

713 *The SP SHALL provide to its selected Assessor copy of its Application package*  
714 *and of any preceding KAR/S3A/SoC/Application Package documents, in order*  
715 *that the Assessor can understand the nature and scope of the assessment.*

716 *The SP SHALL provide to the Assessor references to documented evidence of*  
717 *conformity and allow the Assessor access to its records, physical locations and*  
718 *other materiel, as the Assessor reasonably requests in order to perform the*  
719 *assessment.*

720 **Assessor:**

721 *The SP’s selected Assessor SHALL perform the assessment in accordance with:*

722 *a) the terms of their Accreditation;*

- 723            b) *the requirements of the [IAF Assessor Accreditation Handbook](#);*  
724            c) *the scope determined by the SP's S3A, the associated SoC and the applicable*  
725                *SAC.*

726            *It must be noted that, iaw the [IAF Assessor Accreditation Handbook](#), an Assessor*  
727            *SHALL report as a Major non-conformity any prior Minor non-conformity which*  
728            *the SP has not resolved by the conclusion of the assessment in hand.*

729            *On completion of the assessment the Assessor SHALL furnish the SP with a*  
730            *completed SoC recording its findings and a Kantara Assessor's Report (KAR),*  
731            *prepared in accordance with the requirements of the [IAF Assessor Accreditation](#)*  
732            *[Handbook](#).*

### 733    **6.2.1 Submission of the KAR**

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

#### 737    **6.2.1.1 Finding of conformity**

738    **SP:**

739    *The SP SHALL submit to the Secretariat its Approval Package, consisting of:*

- 740    a) *the KAR and supporting SoC, which MAY be redacted, if the SP considers*  
741    *details of evidential sources to be sensitive, to show only the Assessor's*  
742    *specific findings, whether they be unqualified conformity or finding of a*  
743    *Minor non-conformity;*  
744    b) *an updated S3A, if any of the information on it has changed since the last*  
745    *time it was submitted. Since the S3A is the source of information that will be*  
746    *posted on the Kantara TSL, the SP SHALL ensure this information continues*  
747    *to reflect the service as assessed.*

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749    **ARB:**

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

- 752    a) *review all documents associated with the package for completeness,*  
753    *including the accessibility of any linked documents;*  
754    b) *ensure consistency with information previously submitted;*  
755    c) *ensure that there are no **major** non-conformities recorded in the KAR;*  
756    d) *if any **minor** non-conformities are recorded in the KAR, each has a*  
757    *remedial action stated;*  
758    e) *if a prior assessment has been conducted, that the KAR being reviewed*  
759    *refers to the previous assessment's KAR and explicitly reports on how*  
760    *those non-conformities have been satisfactorily resolved;*

761 f) ensure that membership sign-up and all applicable fees have been paid and  
762 cleared.

763 If any of these conditions are not fulfilled or show irregularities the Secretariat  
764 SHALL return the Approval Package to the SP's PoC with a request that the  
765 discrepancies be resolved and the package re-submitted.

766 Once an Approval Package has met the above requirements the Secretariat  
767 SHALL inform the ARB Chairperson of its status.

768 The ARB Chairperson SHALL form the ARB Review Team, accounting for the  
769 ARB's Recusal policy (see ARB Charter). When the Review Team members have  
770 been confirmed the Chairperson SHALL set a target completion date of not more  
771 than three weeks hence.

772 The Secretariat SHALL then:

773 g) pass the Approval Package to the ARB Review Team;

774 h) during the course of the Review Team's evaluation of the Approval Package (see  
775 §6.2.2), advise the SP's PoC of any irregularities with the package and seek whatever  
776 clarification is necessary.

777 **Assessor:**

778 By issuing a KAR that includes minor non-conformities and remedial actions the  
779 Assessor is asserting their satisfaction that the defined actions are likely to yield  
780 a conformant result.

781 **SP:**

782 By its submission of the KAR, the SP SHALL commit to applying its best efforts  
783 to resolve the non-conformity by the actions stated in the KAR and to perform  
784 such actions within a reasonable period of time.

#### 785 **6.2.1.2 Finding of non-conformity**

786 **SP:**

787 If the SP receives a KAR that states that the Assessor has not found conformity  
788 (which SHALL be determined by there being one or more **major** non-  
789 conformities), or if the SP chooses to terminate the assessment because of adverse  
790 findings during the course of it, the SP is advised to strive to resolve the non-  
791 conformities and re-engage with the Assessor to achieve a finding of conformance  
792 and then proceed with submission of its Approval package as described in  
793 §6.2.1.1.

794 If the SP chooses not to proceed with the assessment it need do nothing more - its  
795 'Registered Applicant' status will terminate twelve months after its granting.

796 **ARB:**

797 If the Secretariat receives an Approval package that includes a KAR stating a  
798 finding of a Major non-conformity it SHALL be rejected and returned to the SP,  
799 citing the above two paragraphs which address the SP's choice of actions in such  
800 cases.

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

## 802 **6.2.2 ARB Review Team Evaluation**

803 **ARB:**

804 *On notification that an Approval Package is ready for evaluation, the ARB*  
805 *Review Team SHALL review the package within their terms of reference as*  
806 *assigned by the Chairperson of the ARB (who MAY choose to assign specific*  
807 *focuses to specific ARB members, as their particular skills apply to the package).*

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

- 811 a) *review the SoC to ensure that the applicable criteria continue to relate to the definition*  
812 *given in the S3A;*
- 813 b) *review the SoC for any Assessor comments that might be a cause for concern as to the*  
814 *findings;*
- 815 c) *if there are non-conformities cited in the KAR, review the proposed remedial actions*  
816 *for their appropriateness in terms of solution and timescale;*
- 817 d) *whether there are such a number of non-conformities or a number of non-trivial (but*  
818 *nonetheless **minor**) non-conformities that the Review Team cannot accept the finding*  
819 *of conformity;*
- 820 e) *if the Review Team finds the material submitted in the package is insufficient to allow*  
821 *it to reach an understanding that would support a recommendation for Approval,*  
822 *requests for clarification or additional information SHALL be made to the Secretariat,*  
823 *who SHALL communicate with the SP's PoC;*
- 824 f) *such requests SHALL be recorded, as SHALL be the Applicant's response, in whatever*  
825 *form;*
- 826 g) *the Review's Team's findings and its recommendation as to whether Approval be*  
827 *recommended/continued to the KIBoD or whether the package be rejected, with*  
828 *justification, SHALL be communicated to the Secretariat;*

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

## 832 **6.2.3 Post-ARB Review actions**

833 **ARB:**

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

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

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

- 841 a) *advise the SP’s POC that the Service has been extended a Grant of Approval (or that*  
842 *the Grant remains in effect, as appropriate to the type of assessment being reviewed);*
- 843 b) *record the SP’s service as being ‘Approved’, with any qualifications (see [section yet to*  
844 *be written])*
- 845 c) *unless the SP has requested anonymity in its Application package, update the Kantara*  
846 *TSL to include the SP’s service as being ‘Approved’, with any qualifications;*

847 IS17065: §7.7.1

848  
849 *In all other cases the Secretariat SHALL:*

- 850 a) *advise the SP’s PoC that Approval has been denied, with reasons why;*
- 851 b) *unless an appeal is lodged by the SP within a calendar month:*
  - 852 i) *if the service has not already been issued a Grant of Approval as a FOS*  
853 *service, Terminate the Approval, record the application as ‘rejected’*  
854 *and close the file.*

855 IS17065: §7.4.6 - ‘4.9 inc.

## 856 **6.2.4 Appeals**

857 A SP can only appeal decisions against either a conditional Grant or a denial. The process for  
858 handling an appeal SHALL follow that set out in §5.2.5.

859 IS17065: §5.1.3 I)

## 860 **6.2.5 Assessor Evaluation**

861 Whenever a review is finally concluded the ARB SHALL ensure that its obligations under [AAH]  
862 §10 are fulfilled.

## 863 **7 STAGE 4 - 'READY-TO-OPERATE' PROCEDURES**

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### 864 **7.1 Purpose and processes**

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

### 868 **7.2 Required actions**

869 **SP:**

870 *The SP SHALL contract for its assessment with an Assessor selected from*  
871 *Kantara's published Trust Status List (which includes both Approved Services*  
872 *and Accredited Assessors). It is expected, but not mandatory, that a SP will retain*  
873 *the services of the same assessor that conducted its 'RTO' assessment for its*  
874 *'Fully Operational Service' (FOS) assessment, simply for reasons of efficacy.*

875 *Once the SP has accumulated the requisite minimum period of operations the SP*  
876 *SHALL advise the Assessor that it is ready for the performance of the FOS*  
877 *Assessment.*

878 *From hereon, the process for the SP is the same as that described for*  
879 *stage ③, noting that the Application package SHALL be amended if there have*  
880 *been any changes since the RTO Assessment, so as to reflect the service as it is at*  
881 *this time of Assessment.*

882 **ARB:**

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



## 887 **8 STAGE 5 - ANNUAL CONFORMITY REVIEWS**

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### 888 **8.1 Purpose and processes**

889 Once approved on the basis of a Triennial or FOS Assessment the SP must then undergo two successive  
890 Annual Conformity Reviews to confirm continued Approval, before undergoing a full assessment to re-  
891 start the triennial Approval cycle. Annual Conformity Reviews MAY have a reduced scope, as defined  
892 below.

893 SPs have the responsibility for ensuring that they have performed an annual assessment in order to  
894 maintain their Approved status, whether that be by an Annual Conformity Review or a Triennial  
895 Assessment.

896 IS17065: §7.9

#### 897 **8.1.1 AL1/xAL1 ACRs**

898 For ACRs conducted at AL1/xAL2, no actual assessment SHALL be required. SPs SHALL  
899 submit to the ARB a self-assertion of their continued conformance with all applicable criteria (per  
900 their SoC).

#### 901 **8.1.2 AL2/xAL2 AND HIGHER ACRs**

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

- 903 a) all criteria falling within the CO\_SAC;
- 904 b) any criteria addressing areas of risk that are of concern to either the SP itself or to its  
905 Assessor;
- 906 c) any criteria against which a non-conformity was identified and subsequently remediated  
907 (or for which remediation is outstanding) at the preceding assessment (of either type);
- 908 d) any criteria where there has been either:
- 909 i) a change arising from a revision to the applicable version of the SAC; or  
910 ii) a significant change to how the service is operated and needs to be assessed (e.g.  
911 changes to outsourcing arrangements, or to applicable policies);
- 912 e) fifty per cent of all other criteria, such that, over the course of two ACRs, all criteria not  
913 already included within a) – d) above are assessed.

914 For ACRs conducted at AL2/xAL2 and higher, SPs SHALL submit to the ARB a KAR confirming  
915 continued conformance with all applicable criteria (per the SP's SoC).

#### 916 **8.1.3 Site visits**

917 No site visits are required at AL1/xAL2.

918 At AL2/xAL2 and above, although site visits are not mandatory when an ACR is being  
919 performed, Assessors SHALL consider, in their review of risk associated with the assessment,  
920 the need for an on-site visit and act accordingly.

## 921 **8.2 Required actions**

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

924 **ARB:**

925 *The Secretariat SHALL notify a SP of the pending renewal date for each of its*  
926 *approved services.*

927 **SP:**

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

931 *SPs SHALL have their necessary assessment performed and submit to Kantara the appropriate*  
932 *documents, including their Assessor's KAR, by the renewal/termination date.*

## 933 **9 STAGE 6 - UNSCHEDULED ASSESSMENTS**

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### 934 **9.1 Purpose and processes**

#### 935 **9.1.1 SP-notified**

936 An unscheduled assessment might arise because the context or specification of the service changes such  
937 that it no longer meets the scope for which it has been Approved and therefore a modification or extension  
938 of the scope is required. The SP commits to Kantara to monitor its conformance against scope and to  
939 initiate actions when it believes that a service is no longer in scope.

#### 940 **9.1.2 ARB-requested**

941 The ARB could be presented with information from which it concludes that an unscheduled assessment is  
942 necessary. If so, it SHALL instruct the SP of the need to perform an unscheduled assessment and of the  
943 scope of that assessment.

944 IS17065: §7.11.1

#### 945 **9.1.3 Site visits**

946 No site visits are required at AL1/xAL1.

947 At AL2/xAL2 and above, the need for a site visit SHALL be determined by the Assessor, taking  
948 into account the nature of the need for the assessment and the risk associated with the  
949 assessment.

### 950 **9.2 Required actions**

951 At any time during the period over which a service is Approved, in any capacity, there could be an un-  
952 scheduled assessment required, either because of something which causes the ARB to request such an  
953 event, or because the SP determines that there have been changes surrounding the provision of the service  
954 in question that put it beyond the scope of its current Approval. This MAY lead to a continuation of the  
955 triennial cycle already in progress or require a ‘re-set’ by undertaking a full assessment (see stage **③**).

#### 956 **9.2.1 SP-notified**

957 *SP:*

958 *The SP SHALL document the changes that it believes require re-assessment (a*  
959 *revised S3A would be a convenient basis for doing this) and discuss these with its*  
960 *Assessor.*

961 *Assessor:*

962 *The Assessor SHALL review the changes and, depending on their scope and where*  
963 *in the annual cycle the service sits, make a determination as to whether there is a*  
964 *need to perform re-assessment, and if so the scope and timing of that assessment.*  
965 *It SHALL communicate its determination to the SP.*

966 *If an Assessor determines that an assessment is required but is not contracted to*  
967 *perform that assessment within four weeks of the date on which it recommended*  
968 *that the assessment commence, it SHALL send a notification to the SP stating that*  
969 *the assessment is overdue and copy that notification to the Kantara Secretariat.*

970 **ARB:**

971 *If the Secretariat receives notice from an Assessor that, to the best of its*  
972 *knowledge, a recommended re-assessment has not been performed by the*  
973 *recommended date then it SHALL notify a SP of the matter and attempt to*  
974 *determine the circumstances, before deciding what further action is required.*

975 **SP:**

976 *The SP MAY, either independently or after discussion with its Assessor, elect to*  
977 *undergo a full assessment (i.e. Triennial or ACR, whichever is next due, as*  
978 *determined by its point in the annual cycle at the time), in which case the*  
979 *assessment SHALL be treated as such and on conclusion, the ‘annual cycle’ date*  
980 *for the specific service SHALL be reset.*

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

## 984 9.2.2 ARB-requested

985 **ARB:**

986 *The ARB SHALL provide the SP its justification for requesting an unscheduled assessment, and*  
987 *allow reasonable time for the SP to submit a response.*

988 *If the ARB considers that the SP’s response is satisfactory, the ARB SHALL close the matter,*  
989 *keeping a record of it in the file.*

990 *If the ARB considers that the SP’s response is **not** satisfactory, the ARB SHALL document the scope*  
991 *of the required assessment and set a date by which it wishes to receive a KAR which finds the area*  
992 *of concern to be conformant. This SHALL be communicated to the SP, with dates and durations*  
993 *modified to suit the circumstances.*

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

996 **SP:**

997 *The SP MAY, either independently or after discussion with the ARB, elect to undergo a full assessment*  
998 *(i.e. Triennial or ACR, whichever is next due, as determined by its point in the annual cycle at the time),*  
999 *in which case the assessment SHALL be treated as such and on conclusion, the ‘annual cycle’ date for the*  
1000 *specific service SHALL be reset.*

1001 From this point on, the performance and review of an assessment follows that described for stage ③,  
1002 with allowance being made for the fact that the scope of an un-scheduled assessment might be  
1003 significantly less than that of even an ACR.

1004 **9.2.2.1 Appeals**

1005 A SP MAY appeal against an ARB-requested unscheduled Assessment. The process for handling  
1006 an appeal SHALL follow that set out in [§5.2.5](#).

1007 IS17065: §5.1.3 l)

## 1008 **10 STAGE 7 - APPROVAL TERMINATION**

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### 1009 **10.1 Purpose and processes**

1010 At any time a SP MAY elect to terminate its Approval for any specific service(s) simply by  
1011 submitting such a request. Alternatively, the ARB MAY determine that an approved SP has not  
1012 met the conditions for continued Grant of Approval and take action accordingly, including action  
1013 to terminate the Grant.

1014 A SP may also allow Approval of a service to naturally terminate without seeking its renewal.

1015 Termination of an Approval will also bring about the termination of the TMLA, excepting any  
1016 enduring terms, for the specific service being terminated (i.e. if the SP has more than one Approved  
1017 service, the TMLA will remain in effect with respect to those other services for the continuing  
1018 duration of their respective Approved status).

1019 IS17065: §7.11.3, '4

### 1020 **10.2 Required actions**

1021 **SP:**

1022 *At any time a SP MAY elect to terminate its Approval for any specific service(s)*  
1023 *simply by submitting such a request, which must be signed by its nominated PoC.*

1024 *The request SHALL be for immediate termination or for a specific date on which*  
1025 *it is to be effective, which SHALL be on or before the current termination date.*

1026 **ARB:**

1027 *The Secretariat SHALL acknowledge the SP's request.*

1028 *On the selected date the Secretariat SHALL send a confirmatory notification to*  
1029 *the SP and SHALL update the TSL to show the service's status as 'Terminated'.*

1030 *In the event that an Approval reaches its termination date without the SP*  
1031 *indicating any intention to submit an application for renewal of a service's*  
1032 *Approval then the Secretariat SHALL send a confirmatory notification to the SP*  
1033 *and SHALL update the TSL to show the service's status as 'Terminated'.*

1034 IS17065: §7.7.1

## 1035 **11 RECORDS**

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### 1036 **11.1 Record types to be retained**

1037 For each CSP and their application(s) for Service Approval, the Secretariat / ARB SHALL  
1038 maintain records of each application, including those Initial applications which may be rejected.  
1039 Records SHALL capture the status of each application through its life, including:

- 1040 1) each subsequent application for an ACR or Triennial Assessment;
- 1041 2) the ARB's findings, including any conditions upon Approval;
- 1042 3) all material communication and notifications between the ARB and the Applicant;
- 1043 4) all material communication and notifications between the ARB and the KIBoD;
- 1044 5) the Class(es) of Approval and version of applicable criteria (SAC) at the time of each  
1045 application/assessment;
- 1046 6) the identity of the Assessor;
- 1047 7) all Appeals processes.

### 1048 **11.2 Record retention period**

1049 The Secretariat / ARB SHALL maintain the above records for the duration of each service's  
1050 Approval plus 42 months (this being 36 months to cover the period of any formal recognition under  
1051 [IS17065] which may in future be sought, plus a further period of six months during which any  
1052 pending need for access might be notified and prosecuted)

### 1053 **11.3 KIBoD Records**

1054 The Board Secretary is assumed to have responsibility for records management of Approval events  
1055 which concern it, on behalf of the KIBoD, above and beyond the responsibilities assigned herein  
1056 to the Secretariat / ARB.

1057 IS17065: §7.10.3, §7.12 (all of this SAH §11)

1058 **12 REFERENCES**

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1059 [AAH] Kantara IAF-1350 “*Identity Assurance Framework: Assessor Accreditation*  
1060 *Handbook*”, at its latest published and effective version

1061 [IS17021-1]<sup>4</sup> ISO/IEC 17021-1 (2015) “*Conformity assessment — Requirements for bodies*  
1062 *providing audit and certification of management systems — Part 1: Requirements*”

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



1064 **13 REVISION HISTORY**

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

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IS17065: §7.10.3

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