



Identity Assurance Framework: IAF-1350

Assessor Accreditation Handbook

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Abstract

This document describes the ARB's Policy for handling applications for Accreditation of Assessors, upon whom shall fall responsibility for assessing service providers against specific selections of available Kantara Service Assessment Criteria (SAC). These procedures define the obligations upon Applicant and Accredited Assessors and the ARB and its Secretariat, with regard to the Approval assessment and application processes.

Reference Standard

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

IS17065: §«clause no.»)

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

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1 INTRODUCTION

1.1 Status and Readership

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

IS17065: §6.1.2.1

1.2 Key words

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

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

1.3 Purpose

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

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

- a) **IAF-1350 “Assessor Accreditation Handbook”** - this Specification.
This present document, which describes the rules and processes required to be followed for Assessors to make application for becoming Accredited, to maintain their Accreditation, to perform Assessments and how Accreditations may be terminated.
- b) **[IAF-1340 “Service Approval Handbook”](#)**.
This document defines the types of Assessments required and establishes rules governing how they are to be performed and how the status of service Approvals is managed and published, whilst also describing the processes required to be followed by the parties involved to make application for service Approvals, to have assessments performed, to maintain those Approvals, and how Approvals may be terminated;

IS17065: §6.1.2.1

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

1.4 Effectiveness

This document may be applied immediately upon its publication.

It SHALL become fully effective from the first day of the fourth month following the month of its publication (notionally a minimum 90-day period), whereupon application of this document SHALL be mandatory and any preceding versions SHALL be withdrawn.

1.5 Review

The ARB SHALL review this document as a whole:

- a) whenever it is revised to accommodate any material changes which are determined to be necessary;
- b) at least annually, by the end of the month of publication of any version resulting from material changes; and
- c) whenever the ARB becomes aware of any circumstances which may require modification of its assessor accreditation operational practices.

IS17065: §6.1.2.1

1.6 Changes in this revision

v1.1 – This revision incorporates these material changes:

- a) Remove the membership requirement as a prerequisite for the assurance program; and
- b) Updated the approval flow and appeals process ([§5.2.5](#))

IS17065: §7.10.1

2 TERMINOLOGY

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

Initial Accreditation Package: the collection of documentation required to make an initial application to Kantara to have an entity recognized as an Accredited Assessor for the performance of Kantara Assessments.

Annual Conformity Review (ACR) Accreditation Package: the collection of documentation required to apply for Kantara's continued Approval of a registered service following its Initial Assessment and a finding of conformity.

3 OVERVIEW

3.1 Principles

Kantara offers a range of Classes of Approval, each being determined according to the choice of Service Assessment Criteria against which the service is assessed. Assessments are performed by Accredited Assessors who are tasked with determining a service's conformity to the selected SAC(s).

Kantara extends Grants of Approval on a per-service basis, based on the findings of an Accredited Assessor which has reviewed the CSP's evidence of its service's conformity to applicable Service Assessment Criteria (SAC) against which the Service Provider elects to have its service Assessed. KIAF-1340 describes the processes by which CSPs' applications for Approval are handled.

3.2 Applicable Assessor Knowledge and Skills

Entities which wish to become Kantara-Accredited Assessors shall submit applications for such recognition in accordance with the policy set forth in this specification and shall demonstrate how they meet the requirements in the latest published version of Kantara's required Assessor's knowledge and skills [RAKS].

IS17065: §6.1.2

3.3 Not used

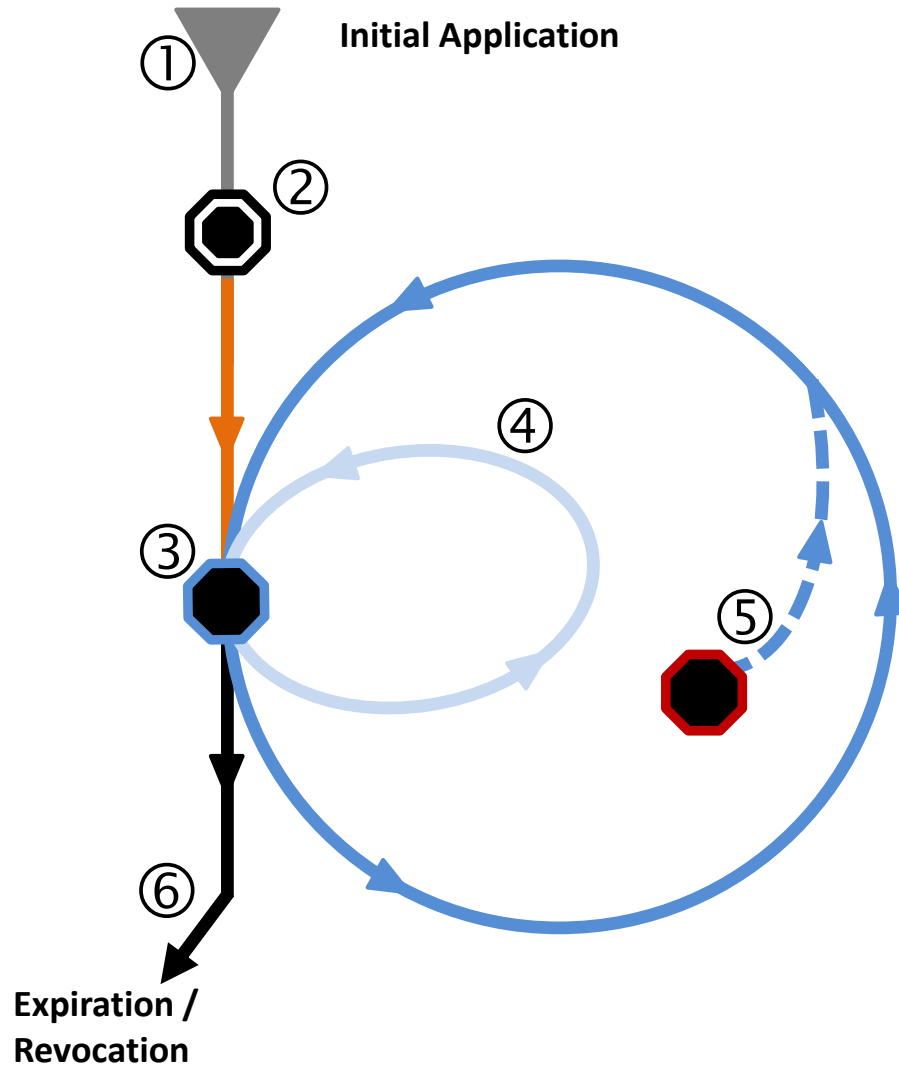
This clause is present solely to maintain alignment to the sections and topics assigned in IAF-1340, Kantara's Service Assessment Handbook [SAH] and thus has no stipulation.

3.4 The Overall Application / Approval Process

The overall process that governs the application for Assessor Accreditation and the granting and maintenance of Accreditation consists of six key stages. These are summarized below, are shown in Figure 1 and each numeric symbol in the list below is hyper-linked to the respective descriptive section of this Handbook.

IS17065: §5.1, §6.1

- ① Assessor's Initial Application;
- ② ARB review of the Initial Application;
- ③ ARB review of ACR Application;
- ④ Grace Period;
- ⑤ Unscheduled Assessments;
- ⑥ Accreditation Termination.



Key:

— Applicant	⬡ Initial Review
— Accredited	⬡ Annual Conformity Review
— Recurrent	⬡ Unscheduled review
— Grace Period	

Figure 1 - High-level view of the Accreditation processes.

The Kantara IAF's assessment model is based on established best practice as defined in [IS17065].

IS17065: §1 et seq.

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

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

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

The following passages show how this scripting is laid out.

AA:

Text assigned to the Applicant or Accredited Assessor (AA) (essentially the same entity, but at different stages in the accreditation process) defines actions that are the responsibility of the AA to enact.

ARB:

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

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

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

3.5 Not used

This clause is present solely to maintain alignment to the sections and topics assigned in IAF-1340 and thus has no stipulation.

3.6 Trust Status List

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

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

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

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

IS17065: §7.8

3.7 Effective dates of Approval

Effective dates of Approval termination, fulfillment of remedial actions and any other specific events SHALL be set to be the last day of the month in which an event is due. For example, a Grant of Approval issued on any day of a given month SHALL naturally expire on the last day of that same month, in the following year (in the absence of evidence of continued conformity from the AA).

IS17065: §7.8

3.8 Exceptions

In the event that any circumstances arise, concerning the processing of applications for and maintenance of a Grant of Accreditation, which are not directly or not adequately covered by this handbook the ARB SHALL have the authority to determine and prosecute a resolution at the time of the event which is in keeping with [Section 1.2 \(Purpose\)](#) and [Section 3.1 \(Principles\)](#) of this handbook.

After the event the Secretariat SHALL either:

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

4 STAGE 1 -INITIAL APPLICATION

4.1 Purpose and processes

4.1.1 General description

An Initial Application for Accreditation by an Accreditation Applicant (AA) is required of any entity which is not already Accredited.

AAs SHALL submit an Initial Application Package, essentially to introduce themselves and their capabilities to Kantara / the ARB, defining the scope and nature of their services, audit/assessment/evaluation experience, and other essential information, including the SACs/Classes of Approval against which they believe they are capable of assessing.

AAs are encouraged to make contact with the Secretariat during the preparation of their Application package to give themselves the best chance of getting through assessment of their application with minimal, if any, difficulties.

4.1.2 Supporting templates

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

- a) Application for Accreditation;
- b) Response to [RAKS].

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

- c) Membership Agreement;
- d) Trademark License Agreement ([TMLA](#)).

4.1.3 Acceptance of applicable terms

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

Application for a Grant of Rights of Use, withdrawal of an Application (without receipt of a Grant of Rights of Use) during the period in which a Grant of Rights of Use is awarded, after termination of a Grant of Rights of Use, and the AA's signature to the TMLA at the time of Application shall bind the AA to the terms and conditions at all stages of participation in the IAF

thereafter. This includes adherence to the conditions of Membership which is a mandatory pre-condition before a Grant of Rights of Use can be made.

IS17065: §6.1.3

4.2 Required actions

AA:

The AA must download and review the latest versions of the template documents referenced above. If, after review, the AA has any questions concerning the documents and their implications, they are advised to contact the Secretariat to discuss them.

Assuming the AA finds the terms etc. acceptable they must complete the application documents.

Both of these documents give guidance for their completion.

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

5 STAGE 2 - ARB REVIEW OF INITIAL APPLICATIONS

5.1 Purpose and processes

This stage is the ARB's first formal notification of the AA's intentions to seek accreditation and is the ARB's opportunity to ensure that, prior to any review commencing, the AA understands what is expected of them, that they have accepted their obligations through the appropriate agreements, and that the AA has provided responses to all clauses of [RAKS].

5.2 Required actions

5.2.1 Handling of Initial Applications on receipt

ARB:

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

- a) review all documents associated with the package for completeness, including the accessibility of any linked documents;*
- b) send the AA's Point of Contact (PoC) confirmation of receipt of its application, and request of the AA any revisions or explanations necessary to resolve problems identified during the validation;*
- c) where possible, validate any claims made in the package; such as certifications, insurance policies, etc.;*
- d) form the ARB Review Team, accounting for the ARB's Recusal policy (see ARB Charter);*
- e) pass the package to the ARB Review Team, setting a target completion date of not more than three weeks hence;*
- f) during the course of the Review Team's evaluation of the package (see §5.2.2), advise the AA's PoC of any irregularities with the package and seek whatever clarification is necessary.*

The ARB reserves the right to reject an Application without any effort to evaluate it if, within the preceding three month period, the ARB has rejected an Initial Accreditation Application from the Applicant.

5.2.2 ARB Review Team Evaluation

ARB:

On notification that an Application Package is ready for evaluation, the ARB Review Team SHALL review the package within their terms of reference as assigned by the Chairperson of the ARB (who can choose to assign specific

focuses to specific ARB members, as their particular experience might apply to the package).

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

- a) the Application SHALL be reviewed to determine whether it provides a sufficient description of the AA's service;*
- b) the Application SHALL be reviewed to determine whether, based upon the description provided, the AA's responses to [RAKS] clauses demonstrate acceptable standards and levels of experience and capability;*
- c) the Application SHALL be reviewed to verify the AA's eligibility for any pre-qualification according to their responses and the entitlements under KIAF-2101;*
- d) if the Review Team finds the material submitted within or in support of the Application insufficient to allow it to reach an understanding of the service or to determine a finding, requests for clarification or additional information SHALL be made to the Secretariat, who SHALL communicate with the AA's PoC;*
- e) such requests (see d), above) SHALL be recorded, as SHALL be the Applicant's response, in whatever form;*
- f) the Review Team's findings and its recommendation as to whether the Application be accepted or rejected, with justification, SHALL be communicated to the Secretariat;*

AA:

AAs are entitled to withdraw their Application at any time during this review period, and need not give any reason

ARB:

If the AA advises that they wish to withdraw their application the Secretariat SHALL record the application as withdrawn and close the file.

5.2.3 Post-ARB Review actions

ARB:

Upon receipt of the Review Team's decision, the Secretariat SHALL advise the AA's PoC of the outcome, either that the Application has been accepted and that a recommendation for Accreditation is being made to the KI Executive Director, or that the application has been rejected¹;

¹ It is expected that any irregularities or omissions will have been addressed by 5.2.1 f) (above), exercised multiple times if necessary, and hence any rejection at this stage shall be for cause which has not been resolved by the AA.

If the application is rejected the Secretariat SHALL deliver a formal notification, stating:

Notification of a rejection shall:

- a) state the reasons for rejection;*
- b) describe any conditions which if fulfilled would enable the ARB to find reason to recommend a grant of Accreditation;*
- c) advise the AA of their entitlements as to lodging an Appeal (see 5.2.5).*

Unless an appeal is lodged by the AA within the permitted period, the Secretariat SHALL record the application as 'rejected' and close the file.

5.2.4 Formal Notification

The Secretariat shall notify the KI Executive Director of the ARB's recommendation for Accreditation, providing copy of the ARB's record of its Application review findings.

IS17065: §6.1.2.1 d)

On receipt of the KI Executive Director's decision the Secretariat SHALL give formal notification to the AA's PoC. Notification of Accreditation SHALL include, as a minimum:

- d) Accreditation reference;*
- e) Geographical applicability;*
- f) Classes of Approval which the Assessor is accredited to assess;*
- g) Date of start and expiration of current Accreditation;*
- h) Date of next ACR;*
- i) Any qualifications or limitations on the scope of the Accreditation.*

Notification of a rejection shall:

- j) state the reasons for rejection;*
- k) describe any conditions which if fulfilled would enable the KI Executive Director to find reason to grant Accreditation;*
- l) advise the AA of their entitlements as to lodging an Appeal (see §5.2.5).*

Unless an appeal is lodged by the AA within the permitted period, the Secretariat SHALL record the application as 'rejected' and close the file.

5.2.5 Appeals

AA:

AAs SHALL have the right to appeal against the KI Executive Director's decision to reject its application by submitting an appeal to the Secretariat

stating the grounds and arguments on which their appeal is founded. Appeals SHALL be submitted within four weeks of the date of notification of the KI Executive Director's decision. All Appeals SHALL be handled by the KIBoD.

ARB:

Upon receipt of an appeal the Secretariat SHALL acknowledge its receipt to the AA and request that the KIBoD gives the appeal consideration and selects three of its members, without current involvement in the assurance program, to act as ad hoc KIBoD committee members, thereby constituting an Appeals Board. This Appeal Board SHALL be subject to ARB confidentiality procedures, for the duration of the conflict resolution process

The appeal SHALL be heard within a two-week period of the Appeal Board being established. The Appeal Board SHALL hold a meeting of all parties in order to hear the arguments from the KI Executive Director and the Applicant, before determining their findings in camera. The Appeal Board SHALL make one of the following recommendations: uphold the KI Executive Director's decision; override the KI Executive Director's decision; or, propose a remediation that is agreeable to the Applicant and put that recommendation to the KI Executive Direction for action.

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

6 STAGE 3 - ANNUAL CONFORMITY REVIEW

6.1 Purpose and processes

Once an Assessor has been Accredited their continued Accreditation requires their ongoing annual submission of an ACR Application.

Initial AAs have the responsibility for ensuring that they have prepared and submitted an ACR Application in order to maintain their accredited status.

6.2 Required actions

The process for an ACR is essentially that defined at ②, subject to the variances noted below.

ARB:

The Secretariat SHALL notify an AA of the pending renewal date for its Accreditation.

AA:

The AA SHALL prepare and submit to the Secretariat an ACR application, in accordance with [IAF-1610 “Required Assessor Knowledge and Skills” \[RAKS\]](#), save that the AA SHALL either confirm its previous submission for each requirement or state what changes have occurred in its disposition with respect to each requirement.

In performing the review the ARB shall be cognizant of the provision, as set out in [RAKS], that an AA must perform at least one assessment assignment per annum to be considered to have remained current. In the event that the application submitted fails to provide evidence of such the ARB SHALL follow the actions described in ④, and the Secretariat SHALL ensure that the required notification to the AA makes clear this condition upon the AA’s continued Accreditation.

7 STAGE 4 – GRACE PERIOD

7.1 Purpose and processes

In the event that, at the time of a Recurrent Review, an AA is not able to meet, at all or in part, any of the applicable criteria the ARB MAY, at its sole discretion, determine remedial actions required of the applicant and grant a ‘Grace Period’ for a specific period of time during which the determined actions must be accomplished. During this period AA SHALL remain published on the Trust Status List as an Accredited Assessor without qualification. Should the AA be unable to accomplish the required remediation within the designated period then the ARB SHALL have the authority to decide to Revoke the AA’s Accredited Status, if it determines this to be necessary.

Following the successful remediation of any non-conformities the Accredited Assessor shall revert to the requirement to undergo an ACR against their established annual schedule which SHALL be handled as for ③.

Should the ARB determine that remedial actions are required these SHALL be fully documented and communicated to the AA, so as to form a formal record of the event, as SHALL be the circumstances of its conclusion.

8 STAGE 5 - UNSCHEDULED REVIEWS

8.1 Purpose and processes

8.1.1 AA-notified

An unscheduled review might arise because something in the AA's management or operations changes such that it no longer meets the scope for which it has been Accredited and therefore a modification or extension of the Accreditation is required. The AA commits to Kantara to monitor its conformance against scope and to initiate actions when it believes that its operations are no longer within the scope of its Grant of Accreditation.

8.1.2 ARB-requested

The ARB could be presented with information from which it concludes that an unscheduled review is necessary. If so, it SHALL instruct the AA of the need to perform an unscheduled review and of the specific scope and focus of that review.

8.2 Required actions

At any time during the period during which an AA is Accredited there could be an un-scheduled review required, either because of something which causes the ARB to request such an event, or because the AA determines that there have been changes surrounding its operations that put it beyond the scope of its current Approval.

8.2.1 AA-notified

AA:

The AA SHALL document the changes that it believes require a review (a revised ACR application would be a convenient basis for doing this) and submit this to the ARB.

From this point on, the performance and review of an assessment follows that described for stage ③, excepting that the ARB may choose to make no change to its records and the AA's status if, after consideration, it deems the notification to not require any change.

The ARB SHALL retain the right to require that the AA either continue within its annual cycle with the renewal date unchanged or may elect to re-set the annual cycle to the date on which the un-scheduled review was concluded.

8.2.2 ARB-requested

ARB:

The ARB SHALL provide the AA its justification for requesting an unscheduled review, and allow reasonable time for the AA to submit a response.

If the ARB considers that the AA's response is satisfactory, the ARB SHALL close the matter, keeping a record of it in the file.

*If the ARB considers that the AA's response is **not** satisfactory, the ARB SHALL document the scope of the required review and set a date by which it wishes to receive further input to address the area of concern. This SHALL be communicated to the AA, with dates and durations modified to suit the circumstances.*

If the circumstances are deemed by the ARB to be sufficiently grave, it SHALL put the Accreditation into a 'Suspended' status until a satisfactory resolution is arrived at.

AA:

The AA MAY, either independently or after discussion with the ARB, elect to undergo an ACR, in which case the review SHALL be treated as such and on conclusion, the 'annual renewal' date for the Accreditation SHALL be reset.

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

8.2.2.1 Appeals

An AA MAY appeal against an ARB-requested unscheduled Assessment. The process for handling an appeal SHALL follow that set out in §5.2.5.

9 STAGE 7 - APPROVAL TERMINATION/REVOCAION

9.1 Purpose and processes

At any time an AA MAY elect to terminate its Accreditation simply by submitting such a request to the Secretariat. Alternatively, the ARB MAY determine that an AA has not met the conditions for continued Grant of Accreditation and take action accordingly, including action to revoke the Grant.

An AA may also allow its Accreditation to naturally expire without seeking its renewal.

Both revocation and expiration will also bring about the termination of the TMLA, excepting any enduring terms.

9.2 Required actions

AA:

At any time an AA MAY elect to terminate its Accreditation simply by submitting such a request, which must be signed by its nominated PoC. The request SHALL be for immediate revocation or a specific date on which it is to be effective, which SHALL be on or before the current expiration date.

ARB:

The Secretariat SHALL acknowledge the AA's request.

On the selected date the Secretariat SHALL send a confirmatory notification to the AA and SHALL update the TSL to show the AA's status as 'Expired', but SHALL retain publication of the Approval status for a period of twelve months.

In the event that an Accreditation reaches its expiration date without the AA indicating any intention to submit an application for its renewal then the Secretariat SHALL send a confirmatory notification to the AA and SHALL update the TSL to show the AA's status as 'Expired', but SHALL retain publication of the Approval status for a period of twelve months

10 ONGOING ASSESSOR EVALUATION

During the course of each review of a Service Assessment, under [SAH], the ARB SHALL document and record its determinations as regards the AA's competence and performance in the assessment, which shall be taken into consideration during any review of the AA.

IS17065: §6.1.2.1 e), §6.1.2.2 f)

The ARB's determinations shall be communicated to the AA only as the ARB deems fit, but in the case that any determination is communicated, which SHALL always be the case where the ARB deems a particular action to be necessary and that action affects the status of an Accreditation, it SHALL be done formally, such as to create a record of that communication.

11 RECORDS

11.1 Record types to be retained

For each Applicant for Accreditation, the Secretariat / ARB SHALL maintain records of each application, including those Initial applications which may be rejected. Records SHALL capture the status of each application through its life, including:

- 1) each subsequent application for a Recurrent Review;
- 2) the ARB's findings, including any conditions upon Accreditation;
- 3) all material communication and notifications between the ARB and the Applicant;
- 4) all material communication and notifications between the ARB and the KI Executive Director;
- 5) the version of [RAKS] applicable at the time of each application/review;
- 6) documentation relating to any Appeals processes;
- 7) the nature of termination of an Assessor's Accreditation.

In addition, the evaluation records created by the process described in §10 SHALL be retained.

IS17065: §6.1.2.2

11.2 Minimum record retention period

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

12 REFERENCES

- [IS 17065] ISO/IEC 17065:2012“*Conformity assessment - Requirements for bodies certifying products, processes and services*”
- [RAKS] Kantara IAF-1600 “*Identity Assurance Framework: Required Assessor Knowledge and Skills*”, at its latest published and effective version
- [SAH] Kantara IAF-1340 “*Identity Assurance Framework: Service Assessment Handbook*”, at its latest published and effective version

13 REVISION HISTORY

Vn.	Date	Status	Notes	Approved
1.0	2019-05-28	Final	First Publication	ARB
1.1	2022-06-09	Final	Approved for Publication	ARB