



# Identity Assurance Framework: Assurance Assessment Scheme

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## Abstract

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

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

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## 93 **1 INTRODUCTION**

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### 94 **1.1 Status and Readership**

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

### 98 **1.2 Purpose**

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

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

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

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

112

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

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

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

122 **1.3 Changes in this revision**

123 This AAS revision introduces a specific process which CSPs and their selected Assessors shall  
124 follow when Un-scheduled Assessments are required as a result of changes to a CSP and/or its  
125 Approved service(s), or when the ARB requests such an assessment, both of which are addressed  
126 in §4.7:

127 All revisions between v4.0 and v5.0 are shown with a grey background.

## 128 **2 TERMINOLOGY**

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

## 130 **3 REVIEW BOARD AND SECRETARIAT**

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### 131 **3.1 Authoritative Bodies**

#### 132 **3.1.1 Assurance Review Board**

133 The principle authoritative body shall be the Kantara Initiative Board of Trustees (BoT) which  
134 shall, at all times, be the final arbiter on all decisions concerning use of the Kantara Initiative  
135 Mark. The constitution of the BoT is beyond the scope of this document. Please see the Kantara  
136 Initiative website ([www.kantarainitiative.org](http://www.kantarainitiative.org)) for a description of the BoT and its members.

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

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

#### 142 **3.1.2 Accredited Assessors**

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

### 147 **3.2 Secretariat**

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

### 154 **3.3 Recusal Policy for ARB Reviews**

#### 155 **3.3.1 Introduction**

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

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



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

### 161 **3.3.2 Calling for recusals**

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

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

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

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

174 Those members not recused shall form the Review Team.

## 175 **4 GENERAL ASSESSMENT RESPONSIBILITIES & PROCEDURES**

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

### 178 **4.1 Receipt of Applications**

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

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

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

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

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

## 209 **4.2 Evaluation of Applications**

210 On notification that an Application is ready for evaluation, the ARB review team shall review the  
211 Application and supporting documents within their terms of reference as assigned by the  
212 Chairman of the ARB (who may choose to assign specific focuses to specific ARB members  
213 because of their particular skills as apply to the Application).

214 Evaluation of the Application shall progress as follows:

- 215 a) in ensuring that supporting evidence provided fulfills each requirement the ARB shall  
216 apply whatever measures and expectations it considers reasonable. Whilst guidance may  
217 be given with regard to the expected form of conformity (or evidence of such) the ARB is  
218 in no sense constrained by the scope of that guidance and shall assess any material  
219 provided by the Applicant in support of its compliance. The ARB may, furthermore, ask  
220 for clarification or additional evidence in support of the Application where it finds  
221 wanting the material submitted;
- 222 b) requests for clarification or additional material shall be made to the APoC and recorded,  
223 as shall be the Applicant's response, in whatever form;
- 224 c) for each evaluation Requirement, determination of conformity shall be made and  
225 recorded in the records of the Application;
- 226 d) after all evidence has been assessed the Chairman of the ARB shall call a meeting at  
227 which the ARB shall consider the Review's Team's findings and determine its  
228 recommendation as to whether the Application should be: Granted unconditionally;  
229 Granted with conditions, or; Denied, with justification;
- 230 e) the ARB's recommendation shall be communicated to the Kantara Initiative Board of  
231 Trustees;
- 232 f) the Kantara Initiative Board of Trustees shall take a decision, based upon the ARB's  
233 recommendation and any other considerations the Kantara Initiative Board of Trustees  
234 deems necessary, which shall be conveyed in writing by the Secretariat to the Applicant.

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

## 238 **4.3 Grant of Rights of Use**

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

- 242 a) a ‘Grant Id’ will be allocated (using the format ‘IAF-«type»-«yy»-«nn»’, where:  
243 «type» is the type of Grant,  
244 «yy» is the year as two digits,  
245 «nn» is a sequence beginning at 01 each new year) and,
- 246 b) based upon the applicable Trust Mark, a seal shall be issued to the Applicant as a part of  
247 formal notice of the applicable Grant, with any conditions stated;
- 248 c) the validity period of the Grant shall be set at three years subject to the continued  
249 adherence to conformity terms and conditions defined in the TMLA.
- 250 d) the Grant is conditional, a review schedule shall be set to ensure that the Applicant  
251 provides, within the required timescale, adequate grounds for the removal of the  
252 conditions, without which the Grant shall lapse at the expiry of that timescale;
- 253 e) Kantara Initiative shall update the [Kantara Trust Status List](#) details of the new Grantee  
254 within two business days.

#### 255 **4.4 Appeal**

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

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

#### 268 **4.5 Termination of Application**

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

- 270 a) if at any time during the receipt of an Application, the Applicant either chooses to  
271 withdraw its Application or fails to fulfill any requests made of it by the Secretariat  
272 within a reasonable amount of time to be defined by the ARB
- 273 b) if, during the processing of an Application, the Applicant chooses to voluntarily withdraw  
274 their Application;

- 275 c) in the event that an Application and any subsequent appeal is denied.  
276 On termination of an Application the Secretariat shall:  
277 a) advise the APoC in writing of the termination, giving the reasons why;  
278 b) allow a period of two weeks for:  
279 i) notice of intention to appeal the termination to be received and processed, and  
280 in the absence of any such notification (or after a final decision denying an  
281 appeal) and within a further two-week period, destroy all record of and  
282 documents related to the Application,  
283 ii) save the basic administrative data required to record the fact that an  
284 Application was received in the name of the Applicant and terminated for the  
285 reasons determined, which shall be recorded, including record of the date,  
286 time and means of notice of termination and of the destruction of related  
287 materials<sup>1</sup>, ensuring that the Applicant receives a written confirmation that  
288 their protected materials have been securely disposed-off.

## 289 **4.6 Oversight of Grantee**

- 290 Oversight of Grantees shall be effected by:  
291 a) the Secretariat, who shall establish a schedule for:  
292 i) review and removal of any grant conditions on which the Grant was conditionally  
293 awarded;  
294 ii) annual review by the ARB;  
295 iii) a request to Grantee to provide evidence of renewal of any prior qualification(s),  
296 to which the Grant was subject, which will lapse during the period of  
297 accreditation;  
298 b) the ARB exercising review and validation of conformity and currency at points defined in  
299 the plan required by the preceding clause;

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<sup>1</sup> Destruction of data shall be according to the National Industrial Security Program Operating Manual / DoD 5220.22-M, §5-7 (physical media) and §8-301 (electronic media), the latter requiring three-times over-write sanitization of electronic storage media, rather than physical destruction.

300 c) at the discretion of the ARB or in response to any observed or reported “non-  
301 conformity”, periodic re-assessment by the ARB of selected areas of conformity.

302 In the event that oversight identifies areas for concern then the ARB shall investigate further the  
303 circumstances and determine an appropriate course of action.

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

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

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

314 Should the applicable requirements be revised all current Applicants and Grantees shall be  
315 explicitly notified of the availability of the new versions including identification of all pertinent  
316 changes. Existing Grantees shall be allowed twelve months (fifteen months where publication  
317 occurs within three calendar months of an Annual Conformity Review) in which to comply with  
318 the new requirements. Current Applicants shall be required to make any necessary revisions to  
319 their Application to bring them into lines with the revisions.

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

## 322 **4.7 Material Changes During Grant Period**

323 The Grantee shall provide advance notification to the ARB of any material change(s) to the  
324 services as described in the Application Package (i.e., Grant Application, S3A) that are  
325 anticipated to be implemented during the Grant period. The notification shall include appropriate  
326 updated information to the Application Package and a statement regarding the affect of the  
327 anticipated change(s) on the Grantee’s continued conformity to the applicable Service  
328 Assessment Criteria. Such notification should be provided to ARB as early in the planning  
329 process as administratively feasible, but no less than 60 days before the intended date of  
330 implementation. ARB will advise the Grantee in a timely manner of any action necessary in  
331 order to maintain the Grant.

## 332 **4.8 Revocation of Grant**

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

- 334 a) if it chooses to terminate or let lapse its Grantee status;
- 335 b) if the oversight described in the previous sections determines that the conditions of grant  
336 are no longer applicable;
- 337 c) a failure to pay renewal fees.
- 338 Divergence of a Grantee or its services pertaining to that Grant from that described in the current  
339 Application package may not necessarily be a negative event, e.g. the ownership of the Grantee  
340 may change such that a conflict of interest comes into existence, or a non-trivial enhancement or  
341 revision to the service terms or processes. On the other hand, dereliction on the part of the  
342 Grantee, failure to honor the terms of the TMLA, or loss of a prior qualification to which the  
343 Grant was subject would be less positively-viewed developments, demanding the ARB's  
344 intervention.
- 345 On revocation of Grant status the Secretariat shall:
- 346 a) advise the APoC in writing of the revocation, giving the reasons why;
- 347 b) destroy all record of and documents related to the Grant, save the basic administrative  
348 data required to record the fact that an Application was received in the name of the  
349 Applicant and revoked for the reasons determined, which shall be recorded, including  
350 record of the date, time and means of notice of revocation and of the destruction of  
351 related materials<sup>2</sup>;
- 352 c) Kantara Initiative shall update [Kantara Trust Status List](#) with the revised status details of  
353 the Grantee.

## 354 4.9 Annual Conformity Review

### 355 4.9.1 Introduction

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

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<sup>2</sup> Destruction of data shall be according to the National Industrial Security program Operating Manual / DoD 5220.22-M, §5-7 (physical media) and §8-301 (electronic media), the latter requiring three-times over-write sanitization of electronic storage media which is intended for re-use rather than its physical destruction.

358 **4.9.2 Process**

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

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

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

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



## 374 **5 ASSESSMENT: APPROVED SERVICE**

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375 This Section describes aspects of the Application and assessment processes that are specific to  
376 Kantara-Approved Services.

### 377 **5.1 Type of Grant**

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

### 381 **5.2 Application**

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

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

### 387 **5.3 Basis of Assessment**

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

### 394 **5.4 Specific Application Review Steps**

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

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

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

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

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

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

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

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

## 419 **5.5 Annual Conformity Review**

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

## 422 **5.6 Assessment of Services**

### 423 **5.6.1 Contracting for Assessment**

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

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

431 Kantara Initiative's only requirement is that the Applicant selects an Assessor which is Kantara-  
432 Accredited: Kantara has no preference and considers any Assessor which it accredits to be equal  
433 to all others, for the given range of *Assurance Levels* and technologies for which they have  
434 recognized expertise. It is therefore the Applicant's sole responsibility to select, and make and  
435 fulfill all contractual arrangements with, their chosen Assessor. Subject to the adherence of both  
436 the Assessor and the CSP to their respective agreements with Kantara Initiative, all arrangements

437 between the CSP and its selected Assessor for the performance of the Assessment of the CSP's  
438 services are entirely between those two parties and Kantara Initiative shall have neither interest  
439 nor influence in them.

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

## 447 **5.6.2 Performing Assessments**

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

- 454 a) TMLA, counter-signed by Kantara Initiative;
- 455 b) S3A;
- 456 c) SoC;
- 457 d) supporting evidence demonstrating its compliance with the applicable SAC, per its  
458 SoC.

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

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

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

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

### 474 **5.6.3 Initial Assessment versus Annual Conformity Review**

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

478 The Kantara IAF's assessment model is based on established best practice as defined in  
479 ISO/IEC 17021, "*Conformity assessment - Requirements for bodies providing audit and*  
480 *certification of management systems*"), which allows for annual reviews to be less demanding  
481 than the initial assessment, subject to the three-year cycle being re-commenced when the Grant  
482 of Approval is renewed on the third anniversary of it being last granted.

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

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

## 488 **6 ASSESSMENT: ACCREDITED ASSESSOR**

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489 This Section describes aspects of the Application and assessment processes which are specific to  
490 Kantara-Accredited Assessors.

### 491 **6.1 Type of Grant**

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

### 494 **6.2 Application document**

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

497 The Application includes the agreement document.

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

### 501 **6.3 Basis of Assessment**

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

### 504 **6.4 Specific Assessment steps**

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

- 507 a) Documents that are used to claim ‘credit’ with regard to Accreditation requirements  
508 shall first of all be validated. Validation shall be either by visual inspection, or online  
509 (e.g. authentication of issuer’s seal or validation against a recognized registry). The  
510 ARB review team shall take the longevity and currency of such documents into  
511 consideration.
- 512 b) Claims of ‘credit’ based on validated prior qualifications shall be recognized, subject to  
513 any qualifications applied by Kantara Initiative;
- 514 c) For each such requirement:

- 515 i) Validated unqualified credit shall be granted without question (unless  
516 exceptional circumstances prevail);
- 517 ii) Validated qualified credit shall be assessed to ensure that supporting evidence  
518 provided fulfills the requirement;
- 519 iii) For any other requirement, ensure that supporting evidence provided fulfills  
520 the requirement.

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

## 527 **6.5 Annual Conformity Review**

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

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

## 533 **6.6 Performing the Assessment**

### 534 **6.6.1 Process**

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

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

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

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

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

550 **7 REVISION HISTORY**

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Vn.	Date	Status	Notes	Approved
1.0	2008-05-08	Initial Draft	-	Liberty Alliance
2.0	2010-04-dd	Public	Significant scope build	Kantara Initiative
3.0	2012-10-10	Public		IAWG by vote
4.0	2015-08-31	Public	Revision to eliminate un-used procedures and reflect current practice.	Kantara ARB
5.0	2016-06-27	Public	Revision to introduce process for material changes to a service during its grant period.	Kantara ARB

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