



# Identity Assurance Framework: IAF-1340

## Service Approval Handbook

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10 **Contributors** ARB Members current as of the date of approval.

### 11 **Abstract**

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

16  
17

### 18 **Reference Standard**

19 References to ISO/IEC 17065:2012 “*Conformity assessment — Requirements for bodies*  
20 *certifying [...] services*” [IS17065] are made within this text for the purposes of showing a  
21 conformity mapping. They are placed right-justified after any clauses (single or multiple) to  
22 which the conformity cross-reference applies, always at the lowest indexed level to which they  
23 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  
26 intended to demonstrate a complete nor a formal conformance to IS17065.

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46	<b>CONTENTS</b>	
47	1 INTRODUCTION .....	6
48	1.1 Status and Readership.....	6
49	1.2 Key words .....	6
50	1.3 Purpose.....	6
51	1.4 Effectiveness .....	7
52	1.5 Review .....	7
53	1.6 Changes in this revision .....	8
54	2 TERMINOLOGY .....	9
55	3 OVERVIEW .....	10
56	3.1 Principles .....	10
57	3.2 Applicable Service Assessment Criteria .....	11
58	3.3 Statement of Criteria Applicability .....	11
59	3.3.1 Requirements .....	11
60	3.3.2 Guidance .....	12
61	3.4 Statement of Conformity .....	13
62	3.4.1 Requirements .....	13
63	3.4.2 Guidance .....	14
64	3.5 The Overall Application / Approval Process.....	16
65	3.6 Assessor selection and Assessment .....	19
66	3.7 Trust Status List.....	19
67	3.8 Effective dates of Approval.....	19
68	3.9 Exceptions .....	20
69	4 STAGE 1 - CSP's INITIAL APPLICATION PACKAGE.....	21
70	4.1 Purpose and processes.....	21
71	4.1.1 General description .....	21
72	4.1.2 Supporting templates .....	21
73	4.1.3 Acceptance of applicable terms .....	21
74	4.2 Required actions.....	22
75	5 STAGE 2 - ARB REVIEW OF INITIAL APPLICATION PACKAGES ..	23
76	5.1 Purpose and processes.....	23

77	5.2	Required actions.....	23
78	5.2.1	Handling of Initial Application Packages on receipt .....	23
79	5.2.2	ARB Review Team Evaluation.....	24
80	5.2.3	Post-ARB Review actions .....	25
81	5.2.4	Appeals.....	25
82	6	STAGE 3 - SERVICE ASSESSMENT REVIEW .....	27
83	6.1	Purpose and processes.....	27
84	6.1.1	Scope of Service .....	27
85	6.1.2	Assessment types .....	28
86	6.1.3	Site visits.....	29
87	6.2	Required actions.....	29
88	6.2.1	Submission of the KAR .....	30
89	6.2.2	ARB Review Team Evaluation.....	32
90	6.2.3	Post-ARB Review actions .....	33
91	6.2.4	Appeals.....	33
92	6.2.5	Assessor Evaluation.....	34
93	7	STAGE 4 - 'READY-TO-OPERATE' PROCEDURES .....	35
94	7.1	Purpose and processes.....	35
95	7.2	Required actions.....	35
96	8	STAGE 5 - ANNUAL CONFORMITY REVIEWS.....	36
97	8.1	Purpose and processes.....	36
98	8.1.1	AL1/xAL1 ACRs.....	36
99	8.1.2	AL2/xAL2 AND HIGHER ACRs .....	36
100	8.1.3	Site visits.....	37
101	8.2	Required actions.....	37
102	9	STAGE 6 - UNSCHEDULED ASSESSMENTS .....	38
103	9.1	Purpose and processes.....	38
104	9.1.1	CSP-notified.....	38
105	9.1.2	ARB-requested.....	38
106	9.1.3	Site visits.....	38
107	9.2	Required actions.....	38

108	9.2.1	CSP-notified.....	38
109	9.2.2	ARB-requested.....	39
110	10	STAGE 7 - APPROVAL TERMINATION.....	41
111	10.1	Purpose and processes.....	41
112	10.2	Required actions.....	41
113	11	RECORDS.....	42
114	11.1	Record types to be retained.....	42
115	11.2	Record retention period.....	42
116	12	REFERENCES.....	43
117	13	REVISION HISTORY.....	44
118			

## 119 **1 INTRODUCTION**

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### 120 **1.1 Status and Readership**

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

125 Statements within this document are therefore to be taken as having Normative status unless they appear  
126 under a heading such as 'Guidance', or are included in either an in-line 'note' or as footnotes.

127 IS17065: §7.1.2, 7.1.3, 7.4.1

### 128 **1.2 Key words**

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

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

### 150 **1.3 Purpose**

151 The ultimate goal of the Kantara Initiative's Trust Framework Operations Program (TFOP) is the  
152 facilitation of intra- and inter-Federation transactions based upon a range of identity credentials in which  
153 Relying Parties can have the confidence that the credentials issued under the Kantara Initiative Trust Mark  
154 are being managed to address identified risks. Some of these credential management services may  
155 include differing levels of rigor, generally referred to as Assurance Levels (AL). Kantara grants

156 Approvals against a number of specific Classes of Approval. The Classes of Approval and their  
157 parameters are described at <https://kantarainitiative.org/trustoperations/classes-of-approval/>.

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

- 164 a) **IAF-1340 “Service Approval Handbook”** - this Specification.  
165 This present document, which defines the types of Assessments required and establishes rules  
166 governing how they are to be performed and how the status of service Approvals is managed and  
167 published, whilst also describing the processes required to be followed by the parties involved to  
168 make application for service Approvals, to have Assessments performed, to maintain those  
169 Approvals, and how Approvals may be terminated;
- 170 b) **IAF-1350 “Assessor Accreditation Handbook”**  
171 This document is intended to complement the Service Approval Handbook by describing the  
172 additional rules and processes required to be followed for Assessors to make application for being  
173 Accredited, to maintain their Accreditation, to perform Assessments, and how Accreditations may  
174 be terminated.

175 An overall description of Kantara’s operations can be found on the TFOP web page -  
176 <https://kantarainitiative.org/trustoperations/>. The latest versions of each of the above-referenced  
177 documents can be found on Kantara’s Identity Assurance Framework web page -  
178 <https://kantarainitiative.org/identity-assurance-framework/>

## 179 **1.4 Effectiveness**

180 This document MAY be applied immediately upon its publication.

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

185 IS17065: §7.10.1

## 186 **1.5 Review**

187 The ARB SHALL review this document as a whole:

- 188 a) whenever it is revised to accommodate any material changes it deems necessary;
- 189 b) at least annually, by the end of the month of publication of any version resulting from material  
190 changes; and
- 191 c) whenever the ARB becomes aware of any circumstances which may require modification of its  
192 service Assessment operational practices.

193

IS17065: §7.10.1

## 194 **1.6 Changes in this revision**

195 V4.0 - This revision incorporates these material changes:

- 196 a) removed “-fulfilled by a pre-approved service” as an Assessor’s SoC finding and  
197 corresponding guidance (§3.4.1);
- 198 b) introduced “Registered Applicant Fee” (§5.1, §5.2.3);
- 199 c) added special provision for non-Kantara Approved services (§6.1.1.3)
- 200 d) increased duration that a service must be operating before a Fully Operational Service  
201 Assessment shall be completed (§6.1.2.1; §6.1.2.3);
- 202 e) redefined a Fully Operational Assessment once RTO status lapses (§6.1.2.3);
- 203 f) requirements for Assessor on-site visits (§6.1.3; §8.1.3); and
- 204 g) updated the due date of renewal applications for Triennial or ACR assessments (§8.2).

205 Additionally, the following non-material changes have been embodied:

- 206 h) changed “Registered Service” status to “Registered Applicant” (§5);
- 207 i) relaxed target completion date for ARB reviews (§6.2.1.1); and
- 208 j) revisions throughout to increase clarity of the process.
- 209

IS17065: §7.10.1



## 210 **2 TERMINOLOGY**

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

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

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

## 218 **3 OVERVIEW**

---

### 219 **3.1 Principles**

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

225 A service SHALL be designated as one of the following:

- 226 a) a ‘Registered Applicant’, after being accepted on its Initial Application, pending its first  
227 Assessment; or
- 228 b) as an ‘Approved Service’ once a Grant of Approval has been made by the Kantara Initiative  
229 Executive Director.

230 Further service attributes are addressed in later parts of this Handbook.

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

238 Each service SHALL have associated with it a ‘Statement of Criteria Applicability’ (SoCA) that identifies  
239 the selected SAC(s) and the specific criteria within those SAC(s) against which the CSP intends to  
240 demonstrate the conformity of its specific service. §3.3 describes how a SoCA SHALL be documented by  
241 the CSP.

242 Approval is granted against a specific scope (in terms of the specification of the service and the applicable  
243 criteria), on the basis of on-going conformity with the terms of Approval and operation within the defined  
244 scope, and resolution of any non-conformities, as agreed<sup>1</sup>. After the performance of the first Triennial  
245 Assessment, and after each subsequent Assessment (be it a Triennial or an Annual Conformity Review), a  
246 Statement of Conformity SHALL be prepared, recording the Assessor’s findings with respect to the  
247 applicable criteria (per the SoCA). §3.4 describes the Statement of Conformity more fully.

---

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

## 248 **3.2 Applicable Service Assessment Criteria**

249 Kantara supports a number of specific sets of Service Assessment Criteria (SAC), which accommodate  
250 various reference bases for the criteria therein. Some of these SAC are developed by Kantara, others may  
251 be hosted by Kantara on behalf of third-parties who wish to enjoy the benefits of Kantara's Trust  
252 Framework Operations Program.

253 Each available (i.e. formally released) version of any specific SAC has a published date and an effective  
254 date. When a new version of a SAC is published it MAY be applied immediately although the preceding  
255 version (assuming there is one) SHALL remain available and usable until the effective date of the newer  
256 version, after which the preceding version SHALL be withdrawn and the new version SHALL be  
257 applicable in all cases.

258 Kantara also supports additional sets of Assessment criteria, known as Assessment Profiles, that  
259 applicants MAY voluntarily choose for conformity Assessment and approval.

260 At any given Assessment, the applicable version of each selected SAC SHALL be identified by the CSP,  
261 subject to the following conditions:

262 a) for Initial Application Packages, the latest effective version of the selected SAC at the date of  
263 application; OR

264 b) for all other Application Packages, the latest effective version of the selected SAC on the date on  
265 which the Assessment is concluded and the Kantara Assessor's Report (KAR) is published.

266 Any Assessment Profiles applied during an Assessment are selected entirely at the CSP's discretion.

267 The remainder of this document refers to a singular SAC, but readers should assume the same processes  
268 to be applicable when multiple SACs are 'bundled' by Kantara or selected by the CSP.

## 269 **3.3 Statement of Criteria Applicability**

### 270 **3.3.1 Requirements**

271 The Statement of Criteria Applicability (SoCA) SHALL, for the specific service, identify the selected  
272 SAC(s) and the applicable version of each. The SoCA SHALL include all criteria from each of the  
273 applicable SAC sets accounting for the Assurance Levels claimed and class(es) of Approval being sought.

274 The SoCA SHALL then, for each complete criterion within each SAC and accounting for the service  
275 scope, state whether the criterion is or is not in scope of the service and if in scope, whether the criterion  
276 is applicable or not (either in part or whole).

277 Where a criterion is applicable but fulfilled by a Kantara Initiative Pre-Approved Service, the criterion  
278 SHALL be included in the SoCA as being in scope and the unique reference of the Kantara Initiative Pre-  
279 Approved Service's Grant ID SHALL be provided.

280 Each criterion (or part thereof) deemed not to be applicable SHALL state a justification for the claim of  
281 non-applicability.

282 The SoCA SHALL be reviewed and made up-to-date by the CSP prior to each submission to the ARB and  
283 SHALL be published by Kantara as a part of its [Trust Status List](#).

284 Thus, a SoCA SHALL provide the following information:  
285

Applicability Expression:	Applicability
SAC reference, title and applicable version «repeated for each applicable SAC»	
SAC criterion tag / title / requirement (in full)  «repeated for each criterion in each SAC»	In scope – Applicable (either for a full criterion or the specified sub-part thereof, as scope and applicability require)
	In scope – Not applicable with justified non-applicability (either for a full criterion or the specified sub-part thereof, as scope and applicability require)
	In scope – Applicable – fulfilled by «reference to the Grant ID of a Kantara Initiative Pre-Approved Service employed by the subject service »
	Not in scope

286 **3.3.2 Guidance**

287 ‘In scope – Applicable’  
288 means that the functionality, activity or status that is required (or a sub-part thereof) applies to  
289 the scope of the subject service and that the CSP will provide adequate evidence of  
290 conformity.

291 ‘In scope – Not applicable’  
292 means that the functionality, activity or status that is required (or a sub-part thereof) inherently  
293 applies to the scope of the subject service but that there is a reason with justification why the  
294 clause does actually not apply, and therefore no evidence of conformity will be tendered.

295  
296 As a simple example, a criterion could state that “*The CSP SHALL do one of a), b) or c)*”, in  
297 which case one of a), b) or c) must be complied with (therefore that sub-part is ‘In scope –  
298 applicable’) and the other two options are declared as being ‘In scope – not applicable’ with  
299 the justification that ‘another mutually-exclusive option is chosen (stating which).  
300 If a group of additional criteria depended on the choice made then two of the three groups of  
301 additional criteria would be not applicable by the same justification, and one would apply.  
302 A similar case can be seen if the requirement was to do “*at least one of a), b) or c)*”.

303 ‘In scope – Applicable – fulfilled by ...’  
304 means that the functionality, activity or status that is required applies to the scope of the  
305 subject service and that the CSP employs a Kantara Initiative Pre-Approved Service to  
306 accomplish the required need. The Grant ID which is assigned to the Kantara Initiative Pre-  
307 Approved Service must be cited and the SoCA for that service must be one which shows this  
308 criterion to be completely ‘In scope – applicable’ (see above).

309 ‘Not in scope’  
310 means that the functionality, activity or status that is required is expressly outside the scope of  
311 the subject service, at least as far as concerning its consideration for Approval.  
312  
313 It may not be immediately apparent why a Full Service would have criteria which were out of  
314 scope, but as just a simple example, consider a service which offered ONLY unsupervised  
315 proofing. Thus, all criteria pertinent to supervised proofing would be out of scope but it  
316 would nonetheless be a legitimate (if limited) service.

317 It is necessary that the applicability of each discrete criterion within each included SAC be asserted, not  
318 least to allow all parties to ensure that if there have been changes to criteria, these have been taken into  
319 account.

320 The Kantara publication [KIAF-1405 Service Assessment Criteria – Overview](#) provides guidance for the  
321 creation of a SoCA.

## 322 **3.4 Statement of Conformity**

### 323 **3.4.1 Requirements**

324 The Statement of Conformity (SoC) SHALL identify the selected SAC(s) and the applicable version of  
325 it/them. For each criterion (and at each applicable Assurance Level(s), if the selected SAC has such) the  
326 SoC presents for the benefit of the Assessor and the evidence which the CSP believes demonstrates their  
327 conformity to each criterion (or that evidence which may have been requested by the Assessor, e.g., records  
328 of events, etc.).

329 After reviewing the evidence presented to them by the CSP the Assessor SHALL record their findings using  
330 one of the following ‘finding’ expressions. Use of these defined expressions ensures that each criterion  
331 receives a definitive finding expression from the Assessor, rather than being left blank with no explicit  
332 statement, which could lead to uncertainty as to the final outcome of the Assessment. This also ensures  
333 consistency between the CSP’s SoCA and the Assessor’s findings, which in turn gives the ARB confidence  
334 in their review. The finding expressions SHALL be limited to those described in the following table.

335

SoCA expression:	Assessor's SoC finding
SAC reference, title and applicable version «repeated for each applicable SAC, with one of the following finding expressions being used for each criterion (or if necessary, its sub-parts) within the SAC»	
In scope – applicable (to include “-fulfilled by”)	Conformant
	Not assessed in this ACR
	Minor Non-Conformity
	<b>MAJOR Non-Conformity</b>
	RTO – Deferred, pending PoT Assessment
In scope – not applicable	Non-applicability accepted - with justified non-applicability stated in the SoCA
Not in scope	Not in scope

336 The precise meanings and required actions to determine each of the finding expressions used above are  
337 explained further in §3.4.2.

338 Recognizing that some persons may have different color perception, the use of color-coding is suggested  
339 but not absolutely mandated. However, adoption of these colors if possible, would provide consistent use  
340 of colors, so the ARB is provided with uniform presentation.

341 Kantara’s requirement is that a specific documented source of the required information SHALL be  
342 available and labeled as the SoC. Kantara prescribes the required minimum content of the SoC. The SoC  
343 SHOULD be completed on the Kantara provided template.

344 **3.4.2 Guidance**

345 ‘Conformant’  
346 means that, for a criterion (or a sub-part thereof) which the SoCA defines as being ‘In scope –  
347 applicable’ or ‘In scope – applicable – fulfilled by’ the Assessor has been presented with  
348 sufficient evidence to determine with all reasonable confidence that the functionality, activity,  
349 or status of the complete criterion is being met;

350 ‘Not assessed in this ACR’  
351 means that, based on the notional 50-50 split of criteria between the two ACRs executed  
352 within a triennial cycle, this criterion, as a whole, has been omitted from the ACR being  
353 executed.

354 ‘Minor Non-Conformity’  
355 means that, for a criterion (or a sub-part thereof) which the SoCA defines as being ‘In scope –  
356 applicable’ the Assessor has been presented with insufficient evidence to justify a

357 determination of ‘Conformant’ for the functionality, activity, or status that is required, such  
358 that they find there to be a non-conformity which presents a **minor but non-negligible risk** to  
359 the assurability of the service.

360 ‘Major Non-Conformity’

361 means that, for a criterion (or a sub-part thereof) which the SoCA defines as being ‘In scope –  
362 applicable’ the Assessor has been presented with insufficient evidence to justify a  
363 determination of ‘Conformant’ for the functionality, activity, or status that is required, such  
364 that they find there to be a non-conformity which presents an **unacceptable risk** to the  
365 assurability of the service.  
366

367 Although extremely unlikely that a CSP would submit to the ARB an SoC with a ‘Major Non-  
368 Conformity’ finding (since the ARB would not recommend Approval for such a service) this  
369 provides for a consistent manner in which it should be presented by the Assessor to the CSP.

370 ‘RTO – Deferred, pending PoT Assessment’

371 means that the assessment has not been able to review operational records and hence a  
372 ‘Period-of-Time’ assessment is yet to be completed. Refer to §6.1.2.2 ‘Ready To Operate’.

373 ‘Non-applicability accepted’

374 means that for a criterion (or a sub-part thereof) which the SoCA defines as being ‘In scope –  
375 not applicable’ the Assessor has verified and accepted the justification for its non-  
376 applicability.  
377

378 Irrespective of the ARB’s acceptance of a SoCA, an Assessor is entitled to challenge a claim  
379 of non-applicability and where necessary to provide an alternative finding according to the  
380 CSP’s ability to fulfill the requirement where it is agreed to be applicable. Correspondingly,  
381 the CSP is responsible for amending its SoCA to reflect the changes to applicability.

382 ‘Not in scope’

383 is a repetition of the assertion in the SoCA and needs no Assessment.

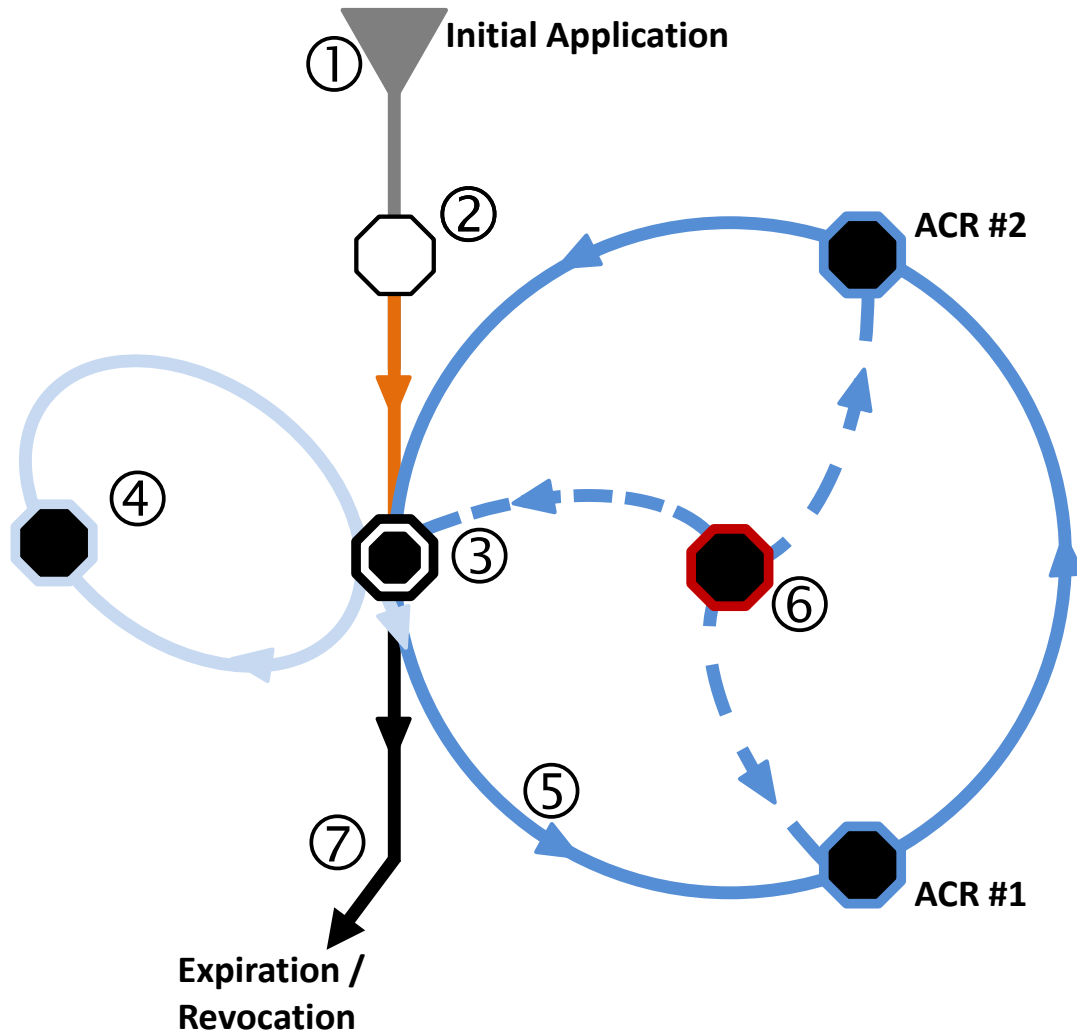
384 The Kantara publication [KIAF-1405 Service Assessment Criteria – Overview](#) provides guidance for the  
385 creation of an SoC.

### 386           **3.5 The Overall Application / Approval Process**

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

- 391           ① CSP's Initial Application;
- 392           ② ARB review of the Application;
- 393           ③ Service Assessment Review;
- 394           ④ 'Ready To Operate' procedures;
- 395           ⑤ Annual Conformity Reviews
- 396           ⑥ Unscheduled Assessments;
- 397           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 CSP Application / Approval processes.

398  
399  
400  
401

402 The Kantara IAF's Assessment model is based on established best practice as defined in ISO/IEC  
403 17065:2012 "Conformity assessment — Requirements for bodies certifying [...] services"  
404 [IS17065], which allows for annual reviews to be less demanding than the initial Assessment,  
405 subject to the three-year cycle being re-commenced when the Grant of Approval is renewed on the  
406 third anniversary of it being last granted (or reset).

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

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

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

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

418 **CSP:**

419 *Text assigned to the Credential Service Provider (CSP) defines actions that are*  
420 *the responsibility of the CSP to enact.*

421 **ARB:**

422 *Text assigned to the Assurance Review Board (ARB) defines actions that are the*  
423 *responsibility of the ARB to enact.*

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

428 **Assessor:**

429 *Text assigned to the Assessor defines actions that are the responsibility of the*  
430 *Assessor to enact.*

431 *NOTE: Only actions directly pertinent to the approval process are described in*  
432 *this Handbook. A separate Handbook, 'IAF-1350 Assessor Accreditation*  
433 *Handbook' will address the details of the performance of assessor accreditation*  
434 *and assessor-specific aspects of Assessments.*

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

436

### 437 **3.6 Assessor selection and Assessment**

438 The SAC declared as being ‘In Scope’ in the SoCA SHALL be the minimum basis against which  
439 the Service Subject to Assessment SHALL be assessed. That is, at least the applicable criteria  
440 from the selected SAC SHALL be assessed against. The CSP MAY have other criteria included  
441 in the Assessment, e.g., related Assessment Profiles, technical profiles, etc.

442 Actual Assessment SHALL be carried-out by a Kantara-Accredited Assessor, which will perform  
443 an Assessment of the service(s) referenced in the Application, with the objective of determining  
444 the specified service as being conformant to the selected SAC.

445 The CSP MAY, by agreement with its selected Assessor, identify further criteria and profiles to  
446 be included in the scope of the Assessment so long as these do not conflict with the selected SAC  
447 and the Assessor has the competence to assess the full scope required by the CSP.

448 IS17065: §6.1.1.2, 7.4.2

449 CSPs are at liberty to select a different Kantara-Accredited Assessor for successive Assessments,  
450 if they so choose.

451 Following an Assessment, the Assessor SHALL provide to the CSP a Kantara Assessor’s Report  
452 (KAR). A KAR attesting to a finding of conformity will be one of the documents required of the  
453 CSP to support any application for Approval of their service.

454 IS17065: §7.4.3, 7.4.6

### 455 **3.7 Trust Status List**

456 The Kantara Secretariat SHALL maintain a register of all Grants of Approval, their service type, their  
457 Class of Approval, their status and termination date, and other essential information.

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

460 Status changes SHALL be posted by published process within two calendar weeks of them being formally  
461 Approved or determined by a published process.

462 IS17065: §7.7.1

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

### 465 **3.8 Effective dates of Approval**

466 Effective dates of Approval termination, fulfillment of remedial actions, and any other specific events  
467 SHALL be set to be the last day of the month in which an event is due. For example, a Grant of Approval  
468 issued on any day of a given month SHALL naturally terminate on the last day of that same month, in the  
469 following year (in the absence of any other actions being taken which might affect the status of the  
470 Grant).

471 **3.9 Exceptions**

472 In the event that any circumstances arise, concerning the processing of applications for and  
473 maintenance of a Grant of Approval, which are not directly or not adequately covered by this  
474 handbook the ARB SHALL have the authority to determine and prosecute a resolution at the time  
475 of the event which is in keeping with §1.3(Purpose) and §3.1(Principles) of this handbook, subject  
476 to due notice being given in the case of changes to procedures and practices which affect an  
477 Applicant.

478 After the event the Secretariat SHALL either:

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

## 484 **4 STAGE 1 - CSP's INITIAL APPLICATION PACKAGE**

---

### 485 **4.1 Purpose and processes**

#### 486 **4.1.1 General description**

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

489 CSPs SHALL submit an Initial Application Package, essentially to introduce themselves and their service  
490 to Kantara, defining the scope and nature of their service, and other essential information, including the  
491 SoCA, specifying which SAC and specific criteria therein against which they wish their service to be  
492 assessed.

493 CSPs are encouraged to make contact with the [Secretariat](#) during the preparation of their Approval  
494 package to give themselves the best chance of getting through Assessment of their application with  
495 minimal difficulties. CSPs can also discuss their requirements for Assessment with Kantara-Accredited  
496 Assessors at this time, though they should note that Assessors should not perform Assessments until the  
497 ARB accepts the initial application.

#### 498 **4.1.2 Supporting templates**

499 The CSP SHALL use all of the supporting *pro formæ* documents listed here:

- 500 a) Application for Service Approval ([ASA](#));
- 501 b) Specification of a Service Subject to Assessment ([S3A](#));
- 502 c) Statement of Criteria Applicability (SoCA);
- 503 d) Trust Mark License Agreement ([TMLA](#)).

504 These *pro formæ* SHALL be available as templates on the KI website such that they can be readily  
505 located and downloaded by any interested parties.

#### 506 **4.1.3 Acceptance of applicable terms**

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

513 Application for a Grant of Rights of Use, withdrawal of Application (without receipt of a Grant of  
514 Rights of Use) during the period in which a Grant of Rights of Use is awarded, after termination  
515 of a Grant of Rights of Use, and the CSP's signature to the [TMLA](#) at the time of Application shall  
516 bind the CSP to the terms and conditions at all stages of participation in the IAF thereafter.

517

518 **4.2 Required actions**

519 **CSP:**

520 *The CSP SHALL download and review the latest versions of the template*  
521 *documents referenced above. If, after review, the CSP has any questions*  
522 *concerning the documents and their implications, they are advised to contact the*  
523 *Secretariat to discuss them.*

524 *Assuming the CSP finds the terms etc. acceptable they SHALL complete the*  
525 *documents, noting that the SoCA has to be completed according to the type of*  
526 *service the CSP wishes to have approved and the applicability of all criteria in*  
527 *its selected SAC must be stated.*

528 *All of these documents give guidance for their completion.*

529 *When all documents are ready for submission they SHOULD be submitted to the*  
530 *Secretariat.*

531

IS17065: §7.4.3

## 532 **5 STAGE 2 - ARB REVIEW OF INITIAL APPLICATION PACKAGES**

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### 533 **5.1 Purpose and processes**

534 This stage is the ARB's first formal notification of the CSP's intentions to have their service assessed and  
535 is the ARB's opportunity to ensure that, prior to any Assessment commencing, the CSP understands what  
536 is expected of them, that they have accepted their obligations through the appropriate agreements, that the  
537 service is, in principle, suitable for Approval by Kantara, subject to the service being found conformant to  
538 the applicable criteria, and that an appropriate set of criteria have been identified and which align to the  
539 description of the service.

540 Depending on the SAC which the CSP has selected, the CSP MAY be required to state at the time of their  
541 initial application whether they are submitting for Approval a Full Service or a Component Service. In  
542 addition, when it comes to performing the Assessment, the CSP will have to indicate whether it has a  
543 fully-operational service to be assessed or have one which is ready for, but not actually engaged in,  
544 operations. These types of service scope and Assessment type are addressed in §6.1.1 and §0,  
545 respectively.

546 On Kantara's acceptance of the initial application the Applicant can request that their service be recorded  
547 and published through the TSL as a 'Registered Applicant'. Irrespective of whether published or not, the  
548 'Registered Applicant' status SHALL be effective for a period not exceeding twelve months. If by the  
549 end of this period the 'Registered Applicant' status has not been replaced by a Grant of Approval, then  
550 either the Registered Applicant status SHALL become lapsed or the 'Registered Applicant' Fee is paid to  
551 demonstrate an intention to complete the process in the next 12-month period. The Applicant Fee is  
552 offered only to extend the 'Registered Applicant' status for one 12-month period.

IS17065: §7.7.1

### 554 **5.2 Required actions**

#### 555 **5.2.1 Handling of Initial Application Packages on receipt**

556 **ARB:**

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

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

561 b) *send the CSP's Point of Contact (PoC) confirmation of receipt of its*  
562 *application, and request of the CSP any revisions or explanations necessary*  
563 *to resolve problems identified during the validation;*

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

566 d) *form the ARB Review Team, accounting for the ARB's Recusal policy (see*  
567 *[ARB Charter](#));*

- 568 e) *pass the package to the ARB Review Team;*  
569 f) *during the course of the Review Team’s evaluation of the package (see §5.2.2), advise*  
570 *the CSP’s PoC of any irregularities with the package and seek whatever clarification*  
571 *is necessary.*

## 572 **5.2.2 ARB Review Team Evaluation**

### 573 **ARB:**

574 *On notification that an Initial Application Package is ready for evaluation, the*  
575 *ARB Review Team SHALL review the package within their terms of reference as*  
576 *assigned by the Chairperson of the ARB (who can choose to assign specific*  
577 *focuses to specific ARB members, as their particular experience might apply to*  
578 *the package).*

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

- 580 a) *the Outline S3A SHALL be reviewed to determine whether it provides a sufficient*  
581 *description of the CSP’s service;*  
582 b) *the SoCA SHALL be reviewed to determine whether, based upon the description*  
583 *provided in the Outline S3A, the CSP’s selection of criteria against which its service*  
584 *is to be assessed is a good ‘fit’;*  
585 c) *Where the Application makes use of a Pre-Approved Service, that the overlay of the*  
586 *collective criteria covered by the combination of the Applicant’s SoCA and those of*  
587 *the included Pre-Approved Services SHALL encompass the full set of criteria declared*  
588 *as being ‘In scope’, for all chosen Assurance Levels, where applicable;*  
589 d) *if the Review Team finds the material submitted in support of the Application*  
590 *insufficient to allow it to reach an understanding of the service or to determine a*  
591 *finding, requests for clarification or additional information SHALL be made to the*  
592 *Secretariat, who SHALL communicate with the CSP’s PoC;*  
593 e) *such requests (see d), above) SHALL be recorded, as SHALL be the Applicant’s*  
594 *response, in whatever form;*  
595 f) *the Review Team’s findings and its recommendation as to whether the Application be*  
596 *accepted or rejected, with justification, SHALL be communicated to the Secretariat;*

### 597 **CSP:**

598 *CSPs are entitled to withdraw their Application at any time during this review*  
599 *period, and need not give any reason. If the CSP has let their ‘Registered*  
600 *Applicant’ status lapse, as explained in §5.1, they must resubmit an initial*  
601 *application.*

602

### 603 **ARB:**

604 *If the CSP advises that they wish to withdraw their application the Secretariat*  
605 *SHALL record the application as withdrawn and close the file.*



606 **5.2.3 Post-ARB Review actions**

607 **ARB:**

608 *Upon receipt of the Review Team’s decision, the Secretariat SHALL advise the*  
609 *CSP’s PoC of the outcome, either that the Initial Application has been accepted*  
610 *as being fit for Assessment, or that the application has been rejected, with reasons*  
611 *why<sup>2</sup>;*

612 *If the ARB’s recommendation is to accept the application the Secretariat SHALL:*

613 a) *further advise the CSP that their ‘Registered Applicant’ status will be valid for 12*  
614 *months from the date of notification of the ARB’s decision;*

615 i) *if a service assessment review is not received in the 12-month period, the CSP*  
616 *may pay a ‘Registered Applicant’ fee to extend the ‘Registered Applicant’*  
617 *status for one additional 12-month period, after which time they will need to*  
618 *reapply with a new Initial Application.*

619 b) *unless the CSP has requested otherwise in its Application package, update the Kantara*  
620 *TSL to include the CSP and its service as a ‘Registered Applicant’.*

621 IS17065: §7.7.1

622 *Notification of a rejection shall:*

623 c) *state the reasons for rejection;*

624 d) *describe any conditions which if fulfilled would enable the ARB to find*  
625 *reason to accept a resubmission of the Application;*

626 e) *advise the CSP of their entitlements as to lodging an Appeal (see §5.2.4).*

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

629 **5.2.4 Appeals**

630 **CSP:**

631 *CSPs SHALL have the right to appeal the KI Executive Director’s decision to*  
632 *reject its application by submitting an appeal to the Secretariat stating the*  
633 *grounds and arguments on which their appeal is founded. Appeals SHALL be*  
634 *submitted within four weeks of the date of notification of the KI Executive*

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<sup>2</sup> 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 CSP.

635 *Director's decision. All Appeals SHALL be handled by the Kantara Initiative*  
636 *Board of Directors (KIBoD).*

637 **ARB:**

638 *Upon receipt of an appeal the Secretariat SHALL acknowledge its receipt to the*  
639 *CSP and request that the KIBoD give the appeal consideration and select three*  
640 *of its members, without current involvement in the assurance program, to act as*  
641 *an ad hoc KIBoD committee, thereby constituting an Appeals Board. This*  
642 *Appeals Board SHALL be subject to ARB confidentiality procedures, for the*  
643 *duration of the conflict resolution process.*

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

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

654

IS17065: §5.1.3 I)

## 655 **6 STAGE 3 - SERVICE ASSESSMENT REVIEW**

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### 656 **6.1 Purpose and processes**

657 This stage is the nucleus of the Assessment Framework (see 3.5). Although there are different types of  
658 Assessments, the required actions described for this stage (see below in §6.2) are generally representative  
659 of those required for Triennial Assessments (see §0 for a description of all Assessment types). The steps  
660 described might require to be adjusted in small degrees to accommodate other Assessment types.

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

#### 663 **6.1.1 Scope of Service**

664 A CSP SHALL be required to show conformity of its service to all criteria within the applicable SoCA,  
665 for the applicable Assurance Level(s). A Credential Service can have all criteria classified in the  
666 applicable SoCA as 'In scope' as being met by the service itself or they can be met by the inclusion of any  
667 number of Pre-Approved Services.

668 The Applicant's SoCA SHALL state which criteria (if any) are met by any Pre-Approved Services, which  
669 SHALL be identified in the SoCA by their Kantara Grant ID (see §3.3).

670 This Assessment SHOULD NOT include re-examination of the conformity of included Pre-Approved  
671 Services, unless circumstances suggest there is a justified reason to do so, but the Assessment SHALL  
672 establish that where any criterion happens to fall into more than one Pre-Approved Service, that there is a  
673 clear responsibility on the part of the Applicant CSP that reliance upon such a criterion is being  
674 appropriately met or that its dual operation does not present any conflicts in the overall provision of the  
675 service.

##### 676 **6.1.1.1 Special Provisions – Component Services**

677 The concept of a Component Service is intended to permit flexibility wherein a CSP offers their service as  
678 a core function for the clients of that service to build upon, in the provision of their own service (e.g. to  
679 satisfy different market sectors or to permit operations in different jurisdictions). This approach allows  
680 significant flexibility in how services are developed by no longer imposing a specific dominance of any  
681 particular aspect of the service's provision. Such services are submitted as Component Services and are  
682 referred to as Pre-Approved Services when they become incorporated into another CSP's service. It is  
683 therefore to be expected that the SoCA applicable to a Component Service would have omissions in the  
684 set of criteria to which it claimed conformance in comparison to the full set of criteria for a given set.

##### 685 **6.1.1.2 Special Provisions – Full Services**

686 Whereas the Provider of a Full Service SHALL ordinarily be conformant with all criteria within the  
687 applicable SACs which are within the scope of its service a CSP MAY exclude specific criteria, but in  
688 order to do so it SHALL show that the responsibility for meeting those criteria is assumed by the CSP's  
689 customer(s). This provision allows for the CSP's customers to efficiently leverage information and  
690 processes already in their hands. CSPs who claim such exclusions SHALL demonstrate how the excluded  
691 requirements are communicated to their customers and how their customers are obliged to fulfill them and

692 the measures by which they SHALL be held accountable (typically through explicit notices and sections  
693 in service agreements).

### 694 **6.1.1.3 Special Provisions – Non-Kantara-Approved Services**

695 Some CSPs may incorporate the use of services that are not a Kantara Pre-Approved Service into their  
696 service provision. The use of these Non-Kantara-Approved services is permissible but SHALL be fully  
697 documented in the S3A. Assessors SHALL make documented tests appropriate for the CSPs intended  
698 assurance level and share the results of these tests in their conformance assessment.

## 699 **6.1.2 Assessment types**

### 700 **6.1.2.1 Triennial**

701 Triennial Assessments (i.e. those conducted for the purposes of an initial Grant of a three-year  
702 Approval and for subsequent renewal of that Grant each three years) SHALL require Assessment  
703 against all criteria specified in the Applicant’s SoCA. They are effectively Period-of-Time  
704 assessments.

705 Triennial Assessments SHALL address the full set of applicable criteria, including review of  
706 operational performance and records. Such Assessments shall cover at least a minimum  
707 operating Period-of-Time of 90 days if the service has not operated for any longer and shall  
708 otherwise review an operating Period-of-Time up to a maximum of twelve months, prior to the  
709 date on which the Assessment commenced.

### 710 **6.1.2.2 Ready To Operate**

711 Experience has shown that some CSPs might desire a Kantara Approval in advance of there  
712 being any operational history on which a Triennial (i.e. Period-of-Time) Assessment could be  
713 based. Kantara provides for such circumstances by granting a Ready To Operate (RTO)  
714 Approval (i.e. one resulting from an Assessment for which there is no operational record to  
715 underpin the quality of the Assessment) as an interim measure, conditional upon a follow-up  
716 Fully Operational Service (FOS) Assessment (see §6.1.2.3) being provided within a specific  
717 period (see below) after the point in time at which operational records begin to be generated.

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

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

725 When Approval is granted on the basis of a RTO Assessment the published status of the  
726 Approval SHALL carry the qualifier ‘Ready To Operate’.

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

730 **6.1.2.3 Fully Operational Service**

731 When the subject Service becomes operational after previously undergoing a RTO Assessment,  
732 the service SHOULD be operating for a minimum 90 days before a Fully Operational Service  
733 (FOS) Assessment can commence (i.e. one addressing a Period-of-Time over which the Service  
734 has been operational and therefore has established logs and records of operations which can  
735 provide adequate supporting evidence). This minimum period MAY be varied by the Assessor,  
736 who SHALL document the reasons for doing so in the associated KAR, and the final  
737 acceptability of this shall be the responsibility of the ARB.

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

741 Assessors SHALL consider a FOS Assessment equivalent to a Triennial Assessment. See  
742 §6.1.2.1 above for more on a Triennial Assessment. At the conclusion of a FOS Assessment the  
743 ARB SHALL recommend unqualified Approval to the KI Executive Director, on the Grant of  
744 which the ‘three year’ triennial cycle SHALL commence.

745 **6.1.3 Site visits**

746 No site visits are required at AL1 or xAL1.

747 At AL2/xAL2 and above, when performing either Triennial Assessment or a Fully Operational  
748 Service Assessment, the Assessor SHOULD conduct an on-site visit sufficient to ensure that  
749 operations are being adequately executed. When a RTO Assessment is being performed,  
750 Assessors SHALL consider whether, in their review of risk associated with the Assessment and  
751 the reason for its performance, an on-site visit is necessary. In all cases, the Assessor’s  
752 reasoning as to whether the on-site visit is performed SHALL be documented in the KAR.

753 **6.2 Required actions**

754 This section applies to all scopes and types of service Assessments against any selected SAC.

755 **CSP:**

756 *The CSP SHALL contract for its Assessment with an Assessor selected from*  
757 *Kantara’s published Trust Status List (which includes both Approved Services*  
758 *and Accredited Assessors).*

759 *The CSP SHALL provide to its selected Assessor copy of its Application Package*  
760 *and/or of any preceding KAR/S3A/SoCA/Application Package documents, in*  
761 *order that the Assessor can understand the nature and scope of the Assessment.*

762 *The CSP SHALL provide to the Assessor references to documented evidence of*  
763 *conformity and allow the Assessor access to its records, physical locations and*  
764 *other material, as the Assessor reasonably requests in order to perform the*  
765 *Assessment.*

766

767 **Assessor:**  
768 *The CSP's selected Assessor SHALL perform the Assessment in accordance with:*  
769 *a) the terms of their Accreditation;*  
770 *b) the requirements of the [IAF Assessor Accreditation Handbook](#);*  
771 *c) the scope determined by the CSP's Comprehensive S3A, the associated SoCA*  
772 *and the applicable SAC.*

773 *It must be noted that, in accordance with the [IAF Assessor Accreditation](#)*  
774 *[Handbook](#), an Assessor SHALL report as a Major non-conformity any prior Minor*  
775 *non-conformity which the CSP has not resolved by the conclusion of the*  
776 *Assessment in hand.*

777 *On completion of the Assessment the Assessor SHALL furnish the CSP with a*  
778 *completed SoC recording its findings and a Kantara Assessor's Report (KAR),*  
779 *prepared in accordance with the requirements of the [IAF Assessor Accreditation](#)*  
780 *[Handbook](#).*

## 781 **6.2.1 Submission of the KAR**

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

### 785 **6.2.1.1 Finding of conformity**

786 **CSP:**  
787 *The CSP SHALL submit to the Secretariat its Approval Package, consisting of:*  
788 *a) the KAR and supporting SoC (which must align to the applicable SoCA – see*  
789 *b), below), which MAY be redacted, if the CSP considers details of evidential*  
790 *sources to be sensitive, to show only the Assessor's specific findings to*  
791 *include a citation or nature of the source of finding, whether they be*  
792 *unqualified conformity or finding of a Minor non-conformity;*  
793 *b) updated SoCA and Comprehensive S3A, if any of the information in either or*  
794 *both of them has changed since the last time it was submitted. Since each*  
795 *document is a source of information that will be posted, in part, on the*  
796 *Kantara TSL, the CSP SHALL ensure this information continues to reflect*  
797 *the service as assessed.*

798 *The CSP SHALL highlight any part of their SoCA which has changed since the*  
799 *last submission to the ARB.*

800

IS17065: §7.7.1

801 **ARB:**  
802 *On receipt of an Approval Package the Secretariat SHALL review its contents*  
803 *and undertake the following validations:*  
804 *c) review all documents associated with the package for consistency and*  
805 *completeness, including the accessibility of any linked documents;*

- 806 d) ensure consistency with information previously submitted;
- 807 e) ensure that there are no **Major** Non-Conformities recorded in the KAR;
- 808 f) if any **Minor** Non-Conformities are recorded in the KAR, ensure each
- 809 has an acceptable remedial action and completion date stated;
- 810 g) if site-visits were not undertaken, review rationale for why not;
- 811 h) if a prior Assessment has been conducted, that the KAR being reviewed
- 812 refers to the previous Assessment's KAR and explicitly reports on how
- 813 those non-conformities have been satisfactorily resolved;
- 814 i) ensure that all applicable fees have been paid and cleared.

815 *If any of these conditions are not fulfilled or show irregularities the Secretariat*

816 *SHALL return the Approval Package to the CSP's PoC with a request that the*

817 *discrepancies be resolved and the package re-submitted.*

818 *Once an Approval Package has met the above requirements the Secretariat*

819 *SHALL inform the ARB Chairperson of its status.*

820 *The ARB Chairperson SHALL form the ARB Review Team, accounting for the*

821 *ARB's Recusal policy (see [ARB Charter](#)). When the Review Team members have*

822 *been confirmed the Chairperson SHALL set a target completion date that is*

823 *reasonable.*

824 *The Secretariat SHALL then:*

- 825 j) pass the Approval Package to the ARB Review Team;
- 826 k) during the course of the Review Team's evaluation of the Approval Package (see
- 827 [§6.2.2](#)), advise the CSP's PoC of any irregularities with the package and seek whatever
- 828 clarification is necessary.

829 **Assessor:**

830 *By issuing a KAR that includes minor non-conformities and remedial actions the*

831 *Assessor is asserting their satisfaction that the defined actions are likely to yield*

832 *a conformant result.*

833 **CSP:**

834 *By its submission of the KAR, the CSP SHALL commit to applying its best efforts*

835 *to resolve the non-conformity by the actions stated in the KAR and to perform*

836 *such actions within the specified period of time.*

### 837 **6.2.1.2 Finding of non-conformity**

838 **CSP:**

839 *If the CSP receives a KAR that states that the Assessor has not found conformity*

840 *(which SHALL be determined by there being one or more **major** non-*

841 *conformities), or if the CSP chooses to terminate the Assessment because of*

842 *adverse findings during the course of it, the CSP is advised to strive to resolve*

843 *the non-conformities and re-engage with the Assessor to achieve a finding of*

844 *conformance and then proceed with submission of its Approval package as*  
845 *described in §6.2.1.1.*

846 *If the CSP chooses not to proceed with the Assessment it need do nothing more -*  
847 *its 'Registered Applicant' status will terminate twelve months after its granting,*  
848 *unless the Registered Applicant fee is paid. See §5.1 for details on the Registered*  
849 *Applicant fee. The CSP MAY however, at any time until its termination, request*  
850 *the Secretariat to remove from the TSL with immediate effect the service's*  
851 *'Registered Applicant' status.*

852 **ARB:**

853 *If the Secretariat receives an Approval package that includes a KAR stating a*  
854 *finding of a Major non-conformity it SHALL be rejected and returned to the CSP,*  
855 *citing the above two paragraphs which address the CSP's choice of actions in*  
856 *such cases.*

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

## 858 **6.2.2 ARB Review Team Evaluation**

859 **ARB:**

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

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

- 867 a) *review the SoCA to ensure that the applicable criteria continue to be appropriate for*  
868 *the service definition given in the S3A;*
- 869 b) *review the SoC for any Assessor comments that might be a cause for concern as to the*  
870 *findings;*
- 871 c) *if there are non-conformities cited in the KAR, review the proposed remedial actions*  
872 *for their appropriateness in terms of solution and timescale;*
- 873 d) *whether there are such a number of non-conformities or a number of non-trivial (but*  
874 *nonetheless **Minor**) non-conformities that the Review Team cannot accept the finding*  
875 *of conformity;*
- 876 e) *if the Review Team finds the material submitted in the package is insufficient to allow*  
877 *it to reach an understanding that would support a recommendation for Approval,*  
878 *requests for clarification or additional information SHALL be made to the Secretariat,*  
879 *who SHALL communicate with the CSP's PoC;*
- 880 f) *such requests SHALL be recorded, as SHALL be the Applicant's response, in whatever*  
881 *form;*



882 g) *the Review’s Team’s findings and its recommendation as to whether Approval be*  
883 *recommended/continued to the KI Executive Director or whether the package be*  
884 *rejected, with justification, SHALL be communicated to the Secretariat;*

885 The Assessment could have been based on either a ‘Ready To Operate’ (RTO) status or a ‘Fully  
886 Operational Service’ (FOS) status. In the case of the former, the next step is ④; in the case of the  
887 latter, it is ⑤.

### 888 6.2.3 Post-ARB Review actions

#### 889 **ARB:**

890 *If the Review Team’s recommendation is for Approval the Secretariat SHALL*  
891 *notify the KI Executive Director of the ARB’s recommendation, with any*  
892 *conditions which the Review Team have also recommended;*

893 *The KI Executive Director SHALL take a decision, based upon the ARB’s recommendation*  
894 *and any other considerations the KI Executive Director deems necessary, that SHALL be*  
895 *conveyed to the Secretariat. The KI Executive Director SHALL also advise on any conditions*  
896 *it chooses to apply.*

897 *If the KI Executive Director’s decision is to extend a Grant of Approval, the Secretariat*  
898 *SHALL:*

- 899 a) *advise the CSP’s POC that the Service has been extended a Grant of Approval (or that*  
900 *the Grant remains in effect, as appropriate to the type of Assessment being reviewed);*
- 901 b) *record the CSP’s service as being ‘Approved’, with any qualifications;*
- 902 c) *unless the CSP has requested anonymity in its Application package, update the Kantara*  
903 *TSL to include the CSP’s service as being ‘Approved’, with any qualifications;*

904 IS17065: §7.7.1

905 *In all other cases the Secretariat SHALL:*

- 906 d) *advise the CSP’s PoC that Approval has been denied, with reasons why;*
- 907 e) *unless an appeal is lodged by the CSP within a calendar month:*
  - 908 i) *if the service has not already been issued a Grant of Approval as a FOS*  
909 *service, Terminate the Approval, record the application as ‘rejected’*  
910 *and close the file.*

911 IS17065: §7.4.6 - ‘4.9 inc.

### 912 6.2.4 Appeals

913 A CSP can only appeal decisions against either a conditional Grant or a denial. The process for  
914 handling an appeal SHALL follow that set out in §5.2.4.

915 IS17065: §5.1.3 l)

916           **6.2.5   Assessor Evaluation**

917   Whenever a review is finally concluded the ARB SHALL ensure that its obligations under [AAH]  
918   §10 are fulfilled.

## 919 **7 STAGE 4 - 'READY-TO-OPERATE' PROCEDURES**

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### 920 **7.1 Purpose and processes**

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

### 924 **7.2 Required actions**

#### 925 **CSP:**

926 *The CSP SHALL contract for its Assessment with an Assessor selected from*  
927 *Kantara's published Trust Status List (which includes both Approved Services*  
928 *and Accredited Assessors). It is expected, but not mandatory, that a CSP will*  
929 *retain the services of the same assessor that conducted its 'RTO' Assessment for*  
930 *its 'Fully Operational Service' (FOS) Assessment, simply for reasons of efficacy.*

931 *Once the CSP has accumulated the requisite minimum period of operations the*  
932 *CSP SHALL advise the Assessor that it is ready for the performance of the FOS*  
933 *Assessment.*

934 *From hereon, the process for the CSP is the same as that described for*  
935 *stage ③, noting that the Application package SHALL be amended if there have*  
936 *been any changes since the RTO Assessment, so as to reflect the service as it is at*  
937 *this time of Assessment.*

#### 938 **ARB:**

939 *When an RTO application is issued a Grant of Approval the Secretariat SHALL*  
940 *set a deadline 12 months forward, by which date the Secretariat must have*  
941 *received a KAR based on a FOS Assessment (i.e. the CSP re-enters the process*  
942 *at ③ on the FOS path) or the Secretariat SHALL terminate the Approval (see*  
943 *⑦).*

## 944 **8 STAGE 5 - ANNUAL CONFORMITY REVIEWS**

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### 945 **8.1 Purpose and processes**

946 Once approved on the basis of a Triennial or FOS Assessment the CSP SHALL then undergo two  
947 successive Annual Conformity Reviews (ACR) to confirm continued Approval, before undergoing a full  
948 Assessment to re-start the triennial Approval cycle. Annual Conformity Reviews MAY have a reduced  
949 scope, as defined below.

950 CSPs have the responsibility for ensuring that they have performed an annual Assessment in order to  
951 maintain their Approved status, whether that be by an Annual Conformity Review or a Triennial  
952 Assessment.

953 IS17065: §7.9

#### 954 **8.1.1 AL1/xAL1 ACRs**

955 For ACRs conducted at AL1/xAL1, no actual Assessment SHALL be required. CSPs SHALL  
956 submit to the ARB a self-assertion of their continued conformance with all applicable criteria (per  
957 their SoC).

#### 958 **8.1.2 AL2/xAL2 AND HIGHER ACRs**

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

- 960 a) all applicable CO\_SAC criteria, when that SAC is included in the SoCA (criteria  
961 applicable to LoA3 are applied to these assessments);
- 962 b) all criteria which Kantara has revised through re-publication of the applicable SAC prior  
963 to 120 days of the commencement of the ACR;
- 964 c) any criteria addressing areas of risk that are of concern to either the CSP itself or to its  
965 Assessor;
- 966 d) any criteria against which a non-conformity was identified and subsequently remediated  
967 (or for which remediation is outstanding) at the preceding Assessment (of either type);
- 968 e) any criteria where there has been a significant change to how the service is operated and  
969 needs to be assessed (e.g. changes to outsourcing arrangements, or to applicable  
970 policies);
- 971 f) sufficient of the remaining criteria (inclusive of those indicated as being ‘Not applicable,  
972 which SHALL be re-validated as such) not already included within the preceding  
973 categorizations to make up a nominal 50% of the selectable (i.e., non-CO\_SAC) criteria,  
974 subject to ensuring that each selectable criterion is assessed at least once in either  
975 ACR#1 or ACR#2 of the triennial cycle.

976 For ACRs conducted at AL2/xAL2 and higher, CSPs SHALL submit to the ARB a KAR confirming  
977 continued conformance with all ‘In scope’ criteria (per the CSP’s SoCA).

978           **8.1.3    Site visits**

979    No site visits are required at AL1/xAL1.

980    At AL2/xAL2 and above, when an ACR is being performed, the Assessor SHOULD conduct an  
981    on-site visit sufficient to ensure that operations are being adequately executed. In all cases, the  
982    Assessor’s reasoning as to whether the on-site visit is performed SHALL be documented in the  
983    KAR.

984

985           **8.2    Required actions**

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

988           **ARB:**

989           *The Secretariat SHALL notify a CSP of the pending renewal date for each of its*  
990           *approved services.*

991           **CSP:**

992           *On receipt of its KAR and prior to submission to Kantara, the Application*  
993           *package SHALL be amended if necessary to reflect the service as it is at this time*  
994           *of Assessment. The ACR submission SHALL include the KAR, all applicable*  
995           *SoCA/SoCs, updated S3A, and an updated application.*

996           *CSPs SHALL have their necessary Assessment performed and submit to Kantara the appropriate*  
997           *documents by the first day of the renewal/termination month.*

## 998 **9 STAGE 6 - UNSCHEDULED ASSESSMENTS**

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### 999 **9.1 Purpose and processes**

#### 1000 **9.1.1 CSP-notified**

1001 An unscheduled Assessment might arise because the context or specification of the service changes such  
1002 that it no longer meets the scope for which it has been Approved and therefore a modification or extension  
1003 of the scope is required. The CSP commits to Kantara to monitor its conformance against scope and to  
1004 initiate actions when it believes that a service is no longer in scope.

#### 1005 **9.1.2 ARB-requested**

1006 The ARB could be presented with information from which it concludes that an unscheduled Assessment is  
1007 necessary. If so, it SHALL instruct the CSP of the need to perform an unscheduled Assessment, define  
1008 the scope of that Assessment and set a deadline for the submission of a revised Application Package  
1009 which addresses the required scope.

IS17065: §7.11.1

#### 1011 **9.1.3 Site visits**

1012 No site visits are required at AL1.

1013 At AL2/xAL2 and above, the need for a site visit SHALL be determined by the Assessor, taking  
1014 into account the nature of the need for the Assessment and the risk associated with the  
1015 Assessment, or it may be requested by the ARB. The Assessor's reasoning as to whether the on-  
1016 site visit is performed SHALL be documented in the KAR.

### 1017 **9.2 Required actions**

1018 At any time during the period over which a service is Approved, in any capacity, there could be an  
1019 unscheduled Assessment required, either because of something which causes the ARB to request such an  
1020 event, or because the CSP determines that there have been changes surrounding the provision of the  
1021 service in question that put it beyond the scope of its current Approval. This MAY lead to a continuation  
1022 of the triennial cycle already in progress or require a 'reset' by undertaking a full Assessment (see stage  
1023 **③**).

#### 1024 **9.2.1 CSP-notified**

1025 **CSP:**

1026 *The CSP SHALL document the changes that it believes require re-Assessment and*  
1027 *discuss these with its Assessor.*

1028 **Assessor:**

1029 *The Assessor SHALL review the changes and, depending on their scope and where*  
1030 *in the annual cycle the service sits, make a determination as to whether there is a*

1031 *need to perform re-Assessment, and if so the scope and timing of that Assessment.*  
1032 *It SHALL communicate its determination to the CSP.*

1033 *If an Assessor determines that an Assessment is required but is not contracted to*  
1034 *perform that Assessment within four weeks of the date on which it recommended*  
1035 *that the Assessment commence, it SHALL send a notification to the CSP stating*  
1036 *that the Assessment is overdue and copy that notification to the Kantara*  
1037 *Secretariat.*

1038 **ARB:**

1039 *If the Secretariat receives notice from an Assessor that, to the best of its*  
1040 *knowledge, a recommended re-Assessment has not been performed by the*  
1041 *recommended date then it SHALL notify a CSP of the matter and attempt to*  
1042 *determine the circumstances, before deciding what further action is required.*

1043 **CSP:**

1044 *The CSP MAY, either independently or after discussion with its Assessor, elect to*  
1045 *undergo a full Assessment (i.e., Triennial or ACR, whichever is next due, as*  
1046 *determined by its point in the annual cycle at the time), in which case the*  
1047 *Assessment SHALL be treated as such and on conclusion, the ‘annual cycle’ date*  
1048 *for the specific service SHALL be reset.*

1049 From this point on, the performance and review of an Assessment follows that described for stage ③,  
1050 with allowance being made for the fact that the scope of an unscheduled Assessment might be  
1051 significantly less than that of even an ACR.

## 1052 **9.2.2 ARB-requested**

1053 **ARB:**

1054 *The ARB SHALL provide the CSP its justification for requesting an unscheduled Assessment, and*  
1055 *allow reasonable time for the CSP to submit a response.*

1056 *If the ARB considers that the CSP’s response is satisfactory, the ARB SHALL close the matter,*  
1057 *keeping a record of it in the file.*

1058 *If the ARB considers that the CSP’s response is **not** satisfactory, the ARB SHALL document the*  
1059 *scope of the required Assessment and set a date by which it wishes to receive a KAR which finds the*  
1060 *area of concern to be conformant. This SHALL be communicated to the CSP, with dates and*  
1061 *durations modified to suit the circumstances.*

1062 *If the circumstances are deemed by the ARB to be sufficiently grave, it SHALL put the service into a*  
1063 *‘Suspended’ status until a satisfactory resolution is arrived at.*

1064 **CSP:**

1065 *The CSP MAY, either independently or after discussion with the ARB, elect to undergo a full Assessment*  
1066 *(i.e., Triennial or ACR, whichever is next due, as determined by its point in the annual cycle at the time),*  
1067 *in which case the Assessment SHALL be treated as such and on conclusion, the ‘annual cycle’ date for the*  
1068 *specific service SHALL be reset.*

1069 From this point on, the performance and review of an Assessment follows that described for stage ③,  
1070 with allowance being made for the fact that the scope of an unscheduled Assessment might be  
1071 significantly less than that of even an ACR.

1072 **9.2.2.1 Appeals**

1073 A CSP MAY appeal against an ARB-requested unscheduled Assessment. The process for  
1074 handling an appeal SHALL follow that set out in §5.2.4.

1075 IS17065: §5.1.3 I)



## 1076 **10 STAGE 7 - APPROVAL TERMINATION**

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### 1077 **10.1 Purpose and processes**

1078 At any time, a CSP MAY elect to terminate its Approval for any specific service(s) simply by  
1079 submitting such a request. Alternatively, the ARB MAY determine that an approved CSP has not  
1080 met the conditions for continued Grant of Approval and take action accordingly, including action  
1081 to terminate the Grant.

1082 A CSP may also allow Approval of a service to naturally terminate without seeking its renewal.

1083 Termination of an Approval will also bring about the termination of the TMLA, excepting any  
1084 enduring terms, but only for the specific service being terminated (i.e., if the CSP has more than  
1085 one Approved service, the TMLA will remain in effect with respect to those other services for the  
1086 continuing duration of their respective Approved status).

IS17065: §7.11.3, '4

### 1088 **10.2 Required actions**

#### 1089 ***CSP:***

1090 *At any time a CSP MAY elect to terminate its Approval for any specific service(s)*  
1091 *simply by submitting such a request, which SHALL be signed by its nominated*  
1092 *PoC. The request SHALL be for immediate termination or for a specific date on*  
1093 *which it is to be effective, which SHALL be on or before the current termination*  
1094 *date.*

#### 1095 ***ARB:***

1096 *The Secretariat SHALL acknowledge the CSP's request.*

1097 *On the selected date the Secretariat SHALL send a confirmatory notification to*  
1098 *the CSP and SHALL update the TSL to show the service's status as 'Terminated'.*

1099 *In the event that an Approval reaches its termination date without the CSP*  
1100 *indicating any intention to submit an application for renewal of a service's*  
1101 *Approval then the Secretariat SHALL send a confirmatory notification to the CSP*  
1102 *and SHALL update the TSL to show the service's status as 'Terminated'.*

IS17065: §7.7.1

## 1104 **11 RECORDS**

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### 1105 **11.1 Record types to be retained**

1106 For each CSP and their application(s) for Service Approval, the ARB SHALL maintain records of  
1107 each application, including all associated supporting documents. This requirement extends to  
1108 Initial Application Packages which may be rejected. Records SHALL capture the status of each  
1109 application through its life, including:

- 1110 1) each subsequent application for an ACR or Triennial Assessment;
- 1111 2) the ARB's findings, including any conditions upon Approval;
- 1112 3) all material communication and notifications between the ARB and the Applicant;
- 1113 4) all material communication and notifications between the ARB and the KI Executive  
1114 Director;
- 1115 5) the applicable Class(es) of Approval;
- 1116 6) the identity of the Assessor;
- 1117 7) all Appeals processes.

### 1118 **11.2 Record retention period**

1119 The ARB SHALL maintain the above records for the duration of each service's Approval plus 42  
1120 months (this being 36 months to cover the period of any formal recognition under [IS17065] which  
1121 may in future be sought, plus a further period of six months during which any pending need for  
1122 access might be notified and prosecuted).

1123 IS17065: §7.10.3, §7.12 (all of this SAH §11)

## 1124 **12 REFERENCES**

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- 1125 [AAH] Kantara IAF-1350 “*Identity Assurance Framework: Assessor Accreditation*  
1126 *Handbook*”, at its latest published and effective version
- 1127 [IS17021-1]<sup>3</sup> ISO/IEC 17021-1 (2015) “*Conformity assessment — Requirements for bodies*  
1128 *providing audit and certification of management systems — Part 1: Requirements*”
- 1129 [IS17065] ISO/IEC 17065 (2012) “*Conformity assessment - Requirements for bodies*  
1130 *certifying products, processes and services*”
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<sup>3</sup> IS17021-2 and '3 deal specifically with environmental and quality management systems respectively, and hence have no applicability to Kantara Initiative's IAF.

1132 **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
3.0	2020-07-20	Final	Approved for publication	ARB
3.1	2022-06-09	Final	Approved for publication	ARB
4.0	2023-06-21	Final	Approved for publication	ARB

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1135

IS17065: §7.10.3