



# Identity Assurance Framework: Assurance Assessment Scheme

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This document is a draft and not in final release form. The full list of contributors will be added prior to the final release of this document.

## 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.

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## 122 1 INTRODUCTION

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123 The ultimate goal of the Kantara Initiative Identity Assurance Framework (IAF) is the  
124 facilitation of intra- and inter-Federation transactions based upon a range of identity  
125 credentials, across a number of levels of assurance, in which Relying Parties can have the  
126 confidence that the credentials bearing the Kantara Initiative Mark are worthy of their  
127 trust.

128 To accomplish this Kantara Initiative operates an Assurance Assessment Scheme (AAS),  
129 a certification and assessment program which assesses the operating standards of certain  
130 players in the Identity and Credential Assurance Management space against strict criteria,  
131 and grants to candidates of the scheme the right to use the Kantara Initiative Mark, a  
132 symbol of trustworthy identity and credential management services at specified  
133 Assurance Levels.

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

- 135 i) services, operated by their providers as Kantara-Approved Services;
- 136 ii) assessors, assessing those services as Kantara-Accredited Assessors;
- 137 iii) approval authorities, who, under delegated authority, assess services, as Kantara  
138 Service Approval Authorities (SAA)—a future work item, and;
- 139 iv) federation operators which represent communities of users which agree to recognize  
140 Kantara-marked functions of all kinds, as Kantara-Certified Federations.

141 A common model is used as the basis for all evaluations of these various parties for  
142 receiving the rights to use of the Kantara Initiative Mark, varying only in terms of who is  
143 the approved assessment body, against which criteria applicants are assessed, the mutual  
144 obligations which are established between Kantara Initiative and the application / grant  
145 holder, and the nature of the grant of rights.

146 These are summarized in the following table and this document sets out in detail the  
147 discrete processes for each case. A complete [Overview](#) of the Kantara Initiative Identity  
148 Assurance Framework is available, and other key documents are linked-to in this table, as  
149 is the applicable part in this document.

150 Part I (i.e. this part) of this document describes the generic procedures and rules which  
151 shall be applied in handling applications for any of the types of Grants of Rights of Use  
152 (Grants) which may be awarded in connection with the Kantara Initiative Mark. Parts II  
153 to V of this document describe type-specific requirements, in the sub-clauses of which  
154 any text [within square brackets, thus] refers to the heading of that title in the type-  
155 specific Parts.

156 **1.1 Reference to Authoritative Bodies**

157 Where, in the remainder of this document, reference is made to ‘Kantara’, ‘Kantara  
158 Initiative’, or the ‘ARB’ (Assurance Review Board) such reference may be taken as  
159 meaning any other Authoritative Body and its parent organization, where the context so  
160 permits, based upon clause 3.1 (see also the following Table).

## 1.2 Summary of Grant Categories and Evaluation

Grant Category ...	Authoritative body	Application Document	Applicable assessment criteria or requirements	Applicable agreement (with the applicable authoritative body)	Described in Clause ...
Approved Service	Kantara <a href="#">Assurance Review Board</a> OR <a href="#">Service Approval Authority</a> (by delegation)—future work item OR <a href="#">Certified Federation Operator</a> (by delegation)	<a href="#">Application for Kantara Approval</a>	<a href="#">Kantara Assessment Report</a>	<a href="#">Service Provider Agreement</a>	6
	<a href="#">Accredited Assessors</a>	-	<a href="#">Service Assessment Criteria</a>		
Accredited Assessor	<a href="#">Kantara Initiative Board of Trustees</a>	<a href="#">Application for Kantara Accreditation</a>	<a href="#">Assessor Qualifications &amp; Experience Requirements</a>	<a href="#">Kantara-Accredited Assessor's Agreement</a>	7
Service Approval Authority—future work item	<a href="#">Kantara Initiative Board of Trustees</a>	<a href="#">Application for Service Approval Authority</a> —future work item	Service Approval Authority Requirements—future work item	<a href="#">Kantara Service Approval Authority's Agreement</a> – future work item	<b>Error! Reference source not found.</b>
Certified Federation	<a href="#">Kantara Initiative Board of Trustees</a>	<a href="#">Application for Kantara Recognition</a>	Federation Operator Rules & Guidance	<a href="#">Kantara-Recognized Federation Operator's Agreement</a>	<b>Error! Reference source not found.</b>

## 165 2 GLOSSARY

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166 The following terms are used in this document with these specific meanings (additional  
167 Glossary terms for the IAF are available in the [Identity Assurance Framework: Glossary](#)  
168 document):

169 Grant Category	One of the specific purposes for which the Kantara Initiative 170 Mark may be used by a third party, being one of: 171 ● Approved Service; 172 ● Accredited Assessor; 173 ● Service Approval Authority; 174 ● Certified Federation Operator.
175 Grant (of Rights of Use)	The Granting, by the Kantara Initiative Board of Trustees 176 (KIBoT), or another authoritative body to which the KIBoT 177 has given a delegated authority (itself via a Grant), to use of 178 the Kantara Initiative Mark for a specific Grant Category.
179 Grantee	An organization to which a Grant of Rights of Use of the 180 Kantara Initiative Mark has been awarded.



## 181 **3 REVIEW BOARD AND SECRETARIAT**

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### 182 **3.1 Authoritative Bodies**

183 Applications submitted using the appropriate [Application document] shall be evaluated,  
184 decided, and overseen by recognized Authoritative Bodies. Where this term is used in  
185 this document it shall apply to whichever of the following three bodies is carrying the  
186 authority for executive decisions in the context being discussed.

#### 187 **3.1.1 Assurance Review Board**

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

193 The operational authoritative body shall be the Assurance Review Board (ARB) which  
194 shall have delegated authority from the KIBoT to undertake evaluations of all types of  
195 applications for a Grant of Rights of Use of the Kantara Initiative Mark and shall make  
196 recommendations to the KIBoT for the award or denial of such Grants.

197 The constitution and authority of the Assurance Review Board is determined by the  
198 KIBoT.

#### 199 **3.1.2 Assessors as Authoritative Bodies**

200 Kantara-Accredited Assessors have the authority to make certification decisions based  
201 upon the terms of their Kantara accreditation and their capabilities as assessors, and the  
202 ARB (or its equivalent where a Service Approval Authority is acting as the authoritative  
203 body when such program is in place) shall make its recommendations concerning the  
204 granting of Kantara-Approved Service status based upon the certification decision.

#### 205 **3.1.3 Service Approval Authorities as Authoritative Bodies**

206 Kantara Service Approval Authorities (SAA) have the delegated authority to review  
207 applications for and make recommendations to the KIBoT concerning the granting of  
208 Kantara-Approved Service status based upon a Kantara-Accredited Assessors'  
209 certification decision.

210 **3.2 Secretariat**

211 Authoritative Bodies shall be supported by an administrative function known as the  
212 Secretariat, which shall be responsible for the receipt and handling of applications,  
213 checking that all necessary supporting documents and processes are complied with,  
214 communicating with the Applicant, providing a package for evaluation to the ARB for its  
215 consideration, and all other necessary supportive functions not requiring the executive or  
216 operational authority of the KIBoT and ARB (or their equivalents where delegated  
217 authority prevails).

## 218 **4 GENERAL ASSESSMENT RESPONSIBILITIES &** 219 **PROCEDURES**

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220 This clause describes the general processes for conducting an evaluation of any  
221 application for the Grant of Rights of Use for one of the Kantara IAF Grant Categories.

### 222 **4.1 Receipt of Applications**

223 Applicants will complete and submit electronically the appropriate on-line [Application  
224 document], describing the scope and/or purpose of their application and initiating thereby  
225 the initial processing functions.

226 Because of the high value and integrity placed upon the Kantara Initiative Mark, Kantara  
227 Initiative will protect against the potential misuse of its Mark by requiring that, in each  
228 case, Applicants sign an Agreement prior to seeking evaluation of their service(s). Each  
229 application includes the Applicant's commitment to the terms and conditions defined in  
230 the appropriate [Agreement document]. These terms and conditions address the complete  
231 life-cycle of participation in the AAS: application for a Grant of Rights of Use,  
232 withdrawal of application (without receipt of a Grant of Rights of Use), during the period  
233 in which a Grant of Rights of Use is awarded, after termination of a Grant of Rights of  
234 Use, and the Applicant's signature to the appropriate [Agreement document] at the time  
235 of Application shall bind them to the terms and conditions at all stages of participation in  
236 the AAS thereafter.

237 Receipt of an [Application document] shall cause an automatic acknowledgement which  
238 shall be sent to the email of record (by reference to the application form). This shall be  
239 automatically copied to the Kantara Secretariat as a stimulus to initiate the processing of  
240 the application.

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

244 Where the Authoritative Body is *not* the Kantara ARB then the applicable Secretariat  
245 should contact the Kantara Secretariat to ensure that the applicant has not made and been  
246 denied any submissions through other recognized Authoritative Bodies.

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

- 249 1. review the application for completeness, including the accessibility of attached  
250 documents (where not protected and presently un-accessible). Ability to access

- 251 should be attempted for all documents submitted with the application, to ensure  
252 that protected documents are so-protected<sup>1</sup>;
- 253 2. confirm by voice, using the telephone contact number of record (by reference to  
254 the application form), that an application has indeed been submitted and then  
255 confirm the name, affiliation, and e-mail address of the Applicant's Point-of-  
256 Contact (APoC)<sup>2</sup> and the purpose of the application (given that multiple  
257 application forms will be available);
- 258 3. advise the APoC of any irregularities with the application and seek whatever  
259 clarification is necessary, including dealing with any documents which are  
260 insufficiently protected;
- 261 4. agree a secure means of exchanging with the APoC any secrets required to enable  
262 Kantara to access the application's contents (either as submitted or as to be  
263 submitted);
- 264 5. agree with the APoC the means by which any non-included documents are to be  
265 submitted by other means/media;
- 266 6. where required and possible, validate any claims made in the application;
- 267 7. ensure all necessary fees have been paid and have cleared;
- 268 8. execute the above steps until all pre-requisites have been fulfilled and all  
269 documentation received.
- 270 Some additional [Specific Evaluation steps] may need to be undertaken, depending upon  
271 the particular type of application being made.
- 272 When the above, and any specific, steps have been satisfactorily concluded the Secretariat  
273 shall:
- 274 9. advise the APoC that the application has been found fit for evaluation, and;
- 275 10. pass the application to the Chairman of the ARB.

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<sup>1</sup> This measure is intended to protect Kantara Initiative: in the event that a document intended to have protective measures applied is found to be wanting in its protections, this check enables Kantara Initiative to give notice to the Applicant at the earliest possible opportunity and to determine corrective measures in concert with the Applicant.

<sup>2</sup> When available, submission of the [on-line submission form](#) cannot be executed unless the Applicant's PoC has been obliged to scroll-through all the Terms of Application and indicate acceptance of the terms, on behalf of the Applicant, hence such a specific check with the APoC to this effect is not required to be performed by the Secretariat.

## 276 **4.2 Evaluation of Applications**

277 On notification that a complete application is ready for evaluation the Chairman of the  
278 ARB shall, in conjunction with other Board members:

- 279 1. review the application with regard to its scope and the supporting material;
- 280 2. determine the required evaluation effort and agree with the other ARB members a  
281 plan for the evaluation;
- 282 3. disseminate the application package, in part or whole, to the ARB members;
- 283 4. notify the Applicant (via the Secretariat) of the anticipated date on which a  
284 decision will be declared (typically one month or less shall be the target).

285 Appointed ARB members shall then review the application and supporting documents  
286 within their terms of reference as assigned by the Chairman of the ARB (who may choose  
287 to assign specific focuses to specific ARB members either because of their particular  
288 skills as apply to the application, or potentially to avoid any conflict of interests).

289 Evaluation of the application shall progress along the following lines, according to the  
290 specific purpose. Some additional [Specific Evaluation steps] may need to be  
291 undertaken, depending upon the particular type of application being made:

- 292 5. in ensuring that supporting evidence provided fulfills each requirement the ARB  
293 shall apply whatever measures and expectations it considers reasonable. Whilst  
294 guidance may be given with regard to the expected form of conformity (or  
295 evidence of such) the ARB is in no sense constrained by the scope of that  
296 guidance and shall assess any material provided by the Applicant in support of its  
297 compliance. The ARB may, furthermore, ask for clarification or additional  
298 evidence in support of the application where it finds wanting the material  
299 submitted;
- 300 6. requests for clarification or additional material shall be made to the APoC and  
301 recorded, as shall be the Applicant's response, in whatever form;
- 302 7. for each evaluation Requirement, determination of conformity shall be made and  
303 recorded in the records of the application;
- 304 8. after all evidence has been assessed the Chairman of the ARB shall call a meeting  
305 at which the Board shall consider the assessment findings and determine its  
306 recommendation as to whether the application should be: Granted  
307 unconditionally; Granted with conditions, or; Denied, with justification;
- 308 9. the ARB's recommendation shall be communicated to the Approval Authority;
- 309 10. the Approval Authority shall take a decision, based upon the ARB's  
310 recommendation and any other considerations the Approval Authority deems  
311 necessary, which shall be conveyed in writing by the Secretariat to the Applicant.

312 It is the intention and expectation that, in evaluating an application, there will be no need  
313 to visit the Applicant's premises. This expectation is based largely on the notion that  
314 Applicants with prior qualifications will have been sufficiently rigorously evaluated  
315 already in order to attain those qualifications. Should an Applicant have few prior  
316 qualifications the evaluation will naturally be at a more detailed level than one where  
317 prior qualifications abound, and in such a circumstance the ARB may feel that it is  
318 necessary to visit the Applicant's premises. Such an event should be the exception rather  
319 than the rule.

320 When accreditation is granted with conditions the applicable conditions should be such  
321 that their cause(s) can be addressed and resolved within a six-month period of the grant.

### 322 **4.3 Grant of Rights of Use (to the Kantara Initiative Mark)**

323 When the application is to be granted (and if conditional, after any appeal has been heard  
324 and a final decision made), the following actions shall be performed:

- 325 1. the Applicant shall be asked to reaffirm its commitment to the terms and  
326 conditions defined in the appropriate [Agreement document].<sup>3</sup>;
- 327 2. a 'Grant Id' will be allocated (using the format 'IAF/«type»/«yy».«nn»/«iss»',  
328 where:  
329 «type» is the [Type of Grant],  
330 «yy» is the year as two digits,  
331 «nn» is a sequence beginning at 01 each new year) and,  
332 «iss» is the three-letter code allocated by Kantara Initiative to the Authoritative  
333 Body's parent organization (Kantara Initiative shall use 'KI');
- 334 3. based upon the [Applicable Mark], a seal (constituting a signed logo associated to  
335 unique identifiers) shall be created and issued to the Applicant as a part of formal  
336 notice of the [Applicable Grant], with any conditions stated;
- 337 4. the validity period of the Grant shall be set at three years subject to the continued  
338 adherence to conformity terms and conditions defined in the appropriate  
339 [Agreement document];
- 340 5. where the Grant is conditional, a review schedule shall be set to ensure that the  
341 Applicant provides, within the required timescale, adequate grounds for the  
342 removal of the conditions, without which the Grant shall lapse at the expiry of that  
343 timescale;

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<sup>3</sup> Applicants will have become bound to the terms of the agreement at the time of their initial application. This activity on Granting Rights of Use should merely reiterate the terms to the incipient Grantee and seek their affirmation and acknowledgement.

- 344 6. if the Authoritative Body is *not* the Kantara Initiative ARB then that body shall  
345 notify the Kantara Secretariat of the required details of the Grant;
- 346 7. Kantara Initiative shall update the [Kantara Trust Status List](#) with details of the  
347 new Grantee within two business days.

#### 348 **4.4 Appeal of Decision**

349 Should an Applicant appeal against either a Grant with conditions or a denial with  
350 justifications, the ARB shall second three additional members to act as *ad hoc* Board  
351 members (the Appeal Board). These three *ad hoc* members shall be drawn from the  
352 IAWG membership and shall be acceptable to both the Chairman of the ARB and to the  
353 APoC, each of whom shall use their best endeavors to find mutually-acceptable members.  
354 However, in the event that three mutually-acceptable members cannot be found within  
355 one calendar month of the appeal being lodged the Chairman of the ARB shall have the  
356 right to appoint three members without further referral to the APoC.

357 Where the Authoritative Body is *not* the Kantara Initiative ARB, the appeal shall be  
358 passed to the Kantara Initiative ARB from whose membership shall be constituted the  
359 Appeal Board.

360 The Appeal shall be heard within a two-week period of the Appeal Board being  
361 established. The Appeal Board will review the appeal and its rationale for countering the  
362 original findings and make a recommendation, which shall be one of: uphold the appeal  
363 (i.e. condition(s) removed in full); partially uphold the appeal with revised condition(s);  
364 or deny the appeal outright.

365 During the appeal review the Appeal Board shall review the original ARB findings, the  
366 Applicant's appeal justification and shall seek from the original ARB members, the  
367 independent advisor and the Applicant such further information as the Appeal Board  
368 deems fit. After consideration of all pertinent facts, which may include seeking further  
369 information from the Applicant, the Appeal Board shall make a recommendation to the  
370 Chairman of the original ARB, indicating whether the recommendation is unanimous or  
371 split 2-1.

372 The Chairman of the original ARB shall make a final decision based upon the Appeal  
373 Board's recommendation and shall have that decision communicated in writing by its  
374 Secretariat to the Applicant and to the Appeal Board. A final appeal decision shall have  
375 no further recourse.

376 There is no defined process for handling an appeal against an unconditional Grant.

#### 377 **4.5 Termination of Application**

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

- 379 1. if at any time during the receipt of an application, the Applicant either chooses to  
380 withdraw its application or fails to fulfill any justifiable requests made of it by the  
381 Secretariat within three weeks of the request (or within any other timescale which  
382 the Secretariat accepts);
- 383 2. if, during the processing of an application, the ARB considers that the Applicant  
384 does not fulfill the requirements, in fact or in spirit, and on being so advised the  
385 Applicant chooses to voluntarily withdraw their application;
- 386 3. in the event that an Application and any subsequent appeal is denied.
- 387 On termination of an application the Secretariat shall:
- 388 4. advise the APoC in writing of the termination, giving the reasons why;
- 389 5. allow a period of two weeks, within which (where no right of appeal has been  
390 exhausted) any notice of intention to appeal the termination must be received so  
391 as to be processed, and in the absence of any such notification (or after a final  
392 decision denying an appeal) and within a further two-week period, destroy all  
393 record of and documents related to the application, save the basic administrative  
394 data required to record the fact that an application was received in the name of the  
395 Applicant and terminated for the reasons determined, which shall be recorded,  
396 including record of the date, time and means of notice of termination and of the  
397 destruction of related materials<sup>4</sup>, ensuring that the Applicant receives a written  
398 confirmation that their protected materials have been securely disposed-off.
- 399 6. return any fees due (refer to [Schedule of Fees and Related Terms](#)).

## 400 **4.6 Oversight of Grantees**

401 Oversight of Grantees shall be effected by:

- 402 1. the Secretariat establishing at the time of granting any rights of use a schedule  
403 allowing for:
- 404 a. review and removal of any conditions on which the Grant was conditionally  
405 awarded;
- 406 b. annual review by the ARB of the Applicant's standing with regard to the  
407 circumstances defined by the initial application and supporting evidence, and;

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<sup>4</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.



- 408 c. submission by the Grantee of evidence of renewal of any prior  
409 qualification(s), to which the Grant was subject, which will lapse during the  
410 period of accreditation;
- 411 2. the ARB exercising review and validation of conformity and currency at points  
412 defined in the plan required by the preceding clause;
- 413 3. according to the degree of reliance upon prior qualifications (i.e., the greater the  
414 reliance, the less necessary is this measure), periodic re-assessment by the ARB of  
415 selected areas of conformity, based on a random sampling technique (which the  
416 ARB shall determine at its discretion alone);
- 417 4. re-assessment by the ARB in response to any observed or reported deficiency or  
418 other event which may give cause for concern as to the degree of conformity  
419 being exercised by the Grantee.

420 In the event that oversight identifies rise for concern then the ARB shall investigate  
421 further the circumstances and determine whether any corrective action is required, e.g. as  
422 allowed for under §4.7(3).

423 Annual review (1(a) above) shall be undertaken against a submission of the [Applicable  
424 Annual Conformity Review] by the Grantee. This is intended to identify any revisions to  
425 status of prior qualifications and submitted evidence since the initial application or  
426 previous annual review. Any new material submitted shall be subject to assessment using  
427 the validation techniques applied for the initial application assessment.

428 Review of renewal of any prior qualification(s) (1(b) above) shall be undertaken by  
429 receipt of evidence of the renewed qualification using the validation techniques applied  
430 for the initial application assessment.

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

434 Should the [Applicable Requirements] be revised all current Applicants and Grantees  
435 shall be explicitly notified of the availability of the new versions including identification  
436 of all pertinent changes. Existing Grantees shall be allowed twelve months (fifteen  
437 months where publication occurs within three calendar months of an Annual Conformity  
438 review) in which to comply with the new requirements. Current Applicants shall be  
439 required to make any necessary revisions to their application to bring them into lines with  
440 the revisions.

441 Any revisions to the [Applicable Agreement] shall become effective immediately, subject  
442 to a consultation period having been offered to all current Grantees and Applicants at  
443 least four weeks prior to the revisions becoming effective.

## 444 **4.7 Revocation of Grant**

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

- 446 1. if it chooses to terminate or let lapse its Grantee status;
- 447 2. if at any time during the validity of its Grant a complaint against the Grantee is  
448 received and, after investigation, is upheld beyond any allowed appeal;
- 449 3. if, for any reason, the circumstances of the Grantee or its service have diverged  
450 from that described in the current application package (including any approved  
451 revisions subsequent to the Grant being awarded) such that corrective action to  
452 restore conformity cannot be taken either at all or in a timely fashion;
- 453 4. non-payment of renewal fees.

454 Divergence of a Grantee or its service from that described in the current application  
455 package may not necessarily be a negative event, e.g. the ownership of the Grantee may  
456 change such that a conflict of interest comes into existence, or a non-trivial enhance or  
457 revision to the service terms or processes. On the other hand, dereliction on the part of  
458 the Grantee, failure to honor the terms of the [Applicable Agreement], or loss of a prior  
459 qualification to which the Grant was subject would be less positively-viewed  
460 developments, demanding the ARB's intervention.

461 On revocation of Grant status the Secretariat shall:

- 462 5. advise the APoC in writing of the revocation, giving the reasons why;
- 463 6. destroy all record of and documents related to the Grant, save the basic  
464 administrative data required to record the fact that an application was received in  
465 the name of the Applicant and revoked for the reasons determined, which shall be  
466 recorded, including record of the date, time and means of notice of revocation and  
467 of the destruction of related materials<sup>5</sup>;
- 468 7. return any fees due (refer to [Schedule of Fees and Related Terms](#))
- 469 8. if the Authoritative Body is *not* the Kantara Initiative ARB then that body shall  
470 notify the Kantara Initiative Secretariat of the required details of the change in  
471 status of the Grantee;
- 472 9. Kantara Initiative shall update the [Kantara Trust Status List](#) with the revised status  
473 details of the Grantee.

474

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<sup>5</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.

## 475 **4.8 Annual Conformity Review**

### 476 **4.8.1 Introduction**

477 A Grant is nominally valid for three years, but may expire or be revoked sooner if certain  
478 obligations are not fulfilled (refer to the appropriate [Agreement Document]). An Annual  
479 Conformity Review (ACR) is undertaken as a positive check and reminder to Grantees  
480 that their conformity to the appropriate [Agreement Document] (and thereby the  
481 requirements of this scheme) remains their obligation. The design of the ACR is intended  
482 to limit intrusion into the Grantee's and Approval Authority's time and resources by  
483 offering a check-list which will only require additional action if changes have occurred or  
484 prior claims cannot continue to be upheld.

### 485 **4.8.2 Process**

486 The Secretariat shall maintain a schedule against which it will prompt Grantees for  
487 completion of an ACR.

488 The Secretariat shall first populate an [Annual Conformity Review] pro forma specific to  
489 the Grantee to reflect its record of the facts of the Grantee's entitlements as currently  
490 understood, and submit that to the Grantee for their completion and return.

491 On receipt of the returned ACR the Secretariat shall review it for any indication that  
492 inconsistencies or variations have occurred during the course of the preceding twelve  
493 months, and if so shall request of the Grantee such supporting evidence as it deems  
494 necessary to determine whether the Grantee remains in conformity with its obligations.  
495 Generally the ACR will serve as a consistency audit covering the preceding twelve  
496 months. Since the appropriate [Agreement Document] requires Grantees to notify of any  
497 divergences as and when they are identified, the ACR should act only as verification of  
498 their occurrence and a cross-check that both parties are aware of them. Return of an ACR  
499 should therefore not be a cause for any immediate action, although the Secretariat needs  
500 to review with all vigor in order to avoid incipient complacency, on the part of either  
501 party.

502 Verifications required to be performed during the application processing stage should be  
503 applied (e.g. ensuring dates are concurrent and extend beyond the present period). In the  
504 event that actual assessment of additional evidence is required then a 'mini-review' shall  
505 be performed, adopting the procedures defined for the initial processing of Applications  
506 so as to limit time and effort expended whilst ensuring Kantara's expectations and  
507 standards are maintained. The Chairman of the ARB has sole authority to determine the  
508 extent of a 'mini-review' and may, if deemed necessary, seek additional information from  
509 any parties as he sees fit, including any visit to the Grantees' premises.

## 510 **5 APPLICANT'S GENERAL RESPONSIBILITIES AND ACTIONS**

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511 This clause gives a summary description of the Application processes from the  
512 Applicant's perspective. However, Applicants should be fully conversant with the  
513 description of the process from Kantara's perspective by reading clauses [2](#), [3](#) & [4](#) of this  
514 Part, and the contents of the Part(s) – an overview will be found in clause [1.2](#) - which  
515 address their specific interests in participating in the Kantara AAS.

### 516 **5.1 Submission of Applications**

517 All applications shall be submitted by a representative of the Applicant with authority to  
518 commit the organization, identified as the Applicant Point of Contact (APoC).

519 Applications shall be completed and submitted electronically using the appropriate  
520 [Application document] found on the Kantara Initiative web site. The submission shall  
521 include either electronic documents as evidential support or indicate whether evidential  
522 documents are to be submitted by non-electronic means or may only be viewed at the  
523 Applicant's premises.

524 Note that the submission form requires the Applicant to indicate their commitment to  
525 terms and conditions defined in the appropriate [Agreement document], terms and  
526 conditions which address the complete life-cycle of participation in the AAS: application  
527 for a Grant of Rights of Use, withdrawal of application (without receipt of a Grant of  
528 Rights of Use), during the period in which a Grant of Rights of Use is awarded and after  
529 termination of a Grant of Rights of Use.

530 Applicants will receive an automatic acknowledgement of their submission, sent to the  
531 email of record (by reference to the submission form).

532 Applicants should be aware that, if a previous application has been ultimately denied the  
533 Applicant may not make a further application, neither for the same nor any different  
534 service(s), within a three month period from the date of denial of that application (or of  
535 any subsequent appeal).

536 Notwithstanding that provision, following submission of an application the Applicant can  
537 expect the Secretariat to make contact for any of the reasons explained in clause 4.

538 When the Application has been found to be satisfactory the APoC will receive  
539 notification that the application has been found fit for evaluation. The Accreditation  
540 Review Board (ARB – note comment in clause 1.1) shall then proceed with an evaluation  
541 of the application.

## 542 **5.2 Assessment of Applications**

543 Applicants will be given an anticipated date by which the Secretariat expects to be able to  
544 notify of a decision (typically within one month of the application being found to be in  
545 good order).

546 Prior to that date the application and supporting documents will be reviewed by the ARB.  
547 Applicants should be prepared to respond to requests for clarification or additional  
548 evidence in support of their application. The anticipated date for notification of a  
549 decision may be extended as a result of any request for additional input, depending upon  
550 the extent of further material required and the timeliness of responses to the Secretariat's  
551 request(s).

552 If the Applicant has identified certain documents as having to be inspected at its premises  
553 then appropriate arrangements will have to be made for representatives of the ARB to  
554 attend for that purpose.

555 Applicants shall receive in writing notification of the ARB's decision, once that is made  
556 known to the Secretariat.

557 When accreditation is granted with conditions the applicable conditions should be such  
558 that their cause(s) can be addressed and resolved within a six-month period of the Grant.

## 559 **5.3 On Receiving a Grant of Rights of Use (to the Kantara** 560 **Initiative Mark)**

561 When a Grant is made (and if conditional, after any appeal has been heard and a final  
562 decision made), the Applicant should anticipate the following actions and events:

- 563 1. the Applicant shall reaffirm its commitment to the terms and conditions defined in  
564 the appropriate [Agreement document]<sup>6</sup> and submit it to the Kantara Initiative  
565 Secretariat;
- 566 2. based upon the [Applicable Mark], the Applicant shall receive a seal issued to the  
567 Applicant as a part of formal notice of the Grant of Rights of Use with its  
568 applicable 'Grant Id' (as unique reference for the specific Grant, also embedded in  
569 the seal), with any conditions stated. The correctness of the seal and  
570 accompanying documents should be verified and any discrepancies noted within  
571 two business days;

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<sup>6</sup> Applicants will have become bound to the terms of the agreement at the time of their initial application. This activity on Granting Rights of Use should merely reiterate the terms to the incipient Grantee and seek their affirmation and acknowledgement.

- 572 3. the Applicant should ensure that its Grant status is correctly published in the  
573 [Kantara Trust Status List](#), within two business days of receipt of its seal;
- 574 4. where the Grant is conditional the Applicant should agree with the Secretariat a  
575 review schedule within which it shall submit adequate evidence and grounds for  
576 the removal of the conditions.

## 577 **5.4 Right of Appeal**

578 Applicants have the right of appeal against either a Grant with conditions or a denial with  
579 justifications. Any appeal shall be lodged in writing with the Secretariat within two  
580 weeks of notification of the ARB's decision.

581 Appeals will be assessed according to the process defined in §4.4. Applicants should be  
582 prepared to respond to any requests from the ARB for further information. Typically an  
583 appeal will be processed within a one-month period.

584 Applicants shall receive in writing from the Secretariat notice of the outcome of their  
585 appeal, which shall be one of: appeal upheld (denial or condition(s) removed); appeal  
586 partially upheld with revised condition(s); or the appeal is denied outright. A final appeal  
587 decision shall have no further recourse.

588 Applicants need not appeal against an unconditional Grant.

## 589 **5.5 Termination of Application**

590 An Applicant may voluntarily terminate its application by giving the Secretariat written  
591 notice of its withdrawal. No reason need be given, although this may be a decision taken  
592 in the light of feedback received from the ARB or Secretariat during the processing of the  
593 application, wherein the Applicant elects to gracefully withdraw in the face of its likely  
594 denial.

595 The ultimate denial of an application shall also be deemed a termination (see §4.5).

596 Applicants will receive a formal notification in writing of the circumstances of the  
597 termination which shall include a confirmation that their protected materials have been  
598 securely disposed-off.

599 Under certain circumstances the Applicant may be eligible for the return of fees (refer to  
600 [Schedule of Fees and Related Terms](#)).

## 601 **5.6 Response to Oversight**

602 Whilst holding a Grant, Grantees shall be subject to oversight which shall require them to  
603 cooperate with and make appropriate periodic reports to the Secretariat in accordance  
604 with the provisions of the appropriate [Agreement document].

605 Applicants shall avail themselves of the latest versions of all applicable Kantara IAF  
606 documents and be in conformity with their requirements, within:

- 607 1. for revised Requirements, six months of their publication unless publication  
608 occurs within three calendar months of an Annual Conformity Review or renewal,  
609 in which case nine months shall be allowed;
- 610 2. for revisions to the appropriate [Agreement document], immediately upon their  
611 publication.

## 612 **5.7 Revocation of Grant**

613 Grantees may electively revoke their status either by allowing it to lapse, without seeking  
614 to renew it, or terminating it prior to its expiry.

615 Revocation may also arise for other reasons, as set forth in §4.7.

616 Applicants will receive formal notification of revocation in writing from the Secretariat,  
617 which shall state the reasons for revocation. They should also expect their entry in  
618 [Kantara Trust Status List](#) to be amended<sup>7</sup> accordingly.

619 Under certain circumstances the Applicant may be eligible for the return of fees (refer to  
620 [Schedule of Fees and Related Terms](#)).

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<sup>7</sup> Amendment does not automatically mean removal from the list, since there may be good cause to provide historical status information and thus record will be retained although the status will be ‘revoked’ from the applicable date.



## 621 **6 EVALUATION: APPROVED SERVICE**

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622 This clause describes aspects of the application and evaluation processes which are  
623 specific to Kantara-Approved Services.

### 624 **6.1 Overview**

625 Kantara Initiative will grant a non-transferable, non-exclusive, right to use the Kantara  
626 Initiative Mark in connection with a CSP's services conditional upon the CSP submitting  
627 a formal application regarding the services in question, agreeing to the terms of the  
628 appropriate Agreement, paying the applicable fee and gaining certification of the services  
629 in question after having them assessed by a Kantara-Accredited Assessor.

630 Kantara-Accredited Assessors are bound by their agreement with Kantara Initiative to  
631 only assess for SAC-conformity those services for which the owning CSP has signed the  
632 appropriate Agreement.

633 Thus, although the principal focus of the Kantara Approval process is the conduct of the  
634 assessment, the overall process starts and stops with Kantara Initiative.

### 635 **6.2 Type of Grant**

636 The type of Grant shall be that of a Kantara-Approved Service, denoted by the «type»  
637 field in the Grant Id being 'SVC'.

### 638 **6.3 Authoritative Body**

639 The Authoritative Body for granting such status may be any one of:

- 640 a) the Kantara Initiative Board of Trustees;
- 641 b) a Kantara Service Approval Authority (see Part IV), when available, or;
- 642 c) a Kantara Approval-Qualified Certified Federation Operator with SAA  
643 qualification (see Part VI).

644 One of the principal factors in determining the Applicant's suitability to be granted the  
645 'Kantara-Approved Service' status will be Certification of the service, for which the  
646 chosen Kantara-Accredited Assessor shall be the Authoritative Body (see Part III).



647 **6.4 Application document**

648 Applications shall be submitted using the [Application for Kantara Approval](#) form  
649 ('Application', for the purposes of this clause), describing their service(s) for which  
650 recognition is sought.

651 The application includes two documents on which the evaluation will rely: the first is the  
652 agreement document; the second is the [Specification of Services Subject to Assessment](#)  
653 (S3A).

654 **6.4.1 Application format**

655 This clause outlines the required content and functionality of the [Application for Kantara](#)  
656 [Approval](#), from which an appropriate web-based capability shall be developed. Only on-  
657 line applications shall be accepted. Responses to text underlined in green will be placed  
658 into the public domain in the event that a Grant is awarded (until which point the  
659 information provided shall remain confidential unless the Applicant chooses otherwise).

660 Name of applicant organization;

661 Any 'DBA' aliases / informational uri;

663 Name & position/office/role of person having the authority to represent the organization (i.e.  
664 the APoC);

665 Contact details for above person: phone/email/postal address<sup>[Note 1]</sup>;

666 Second authoritative PoC, details as above;

668 Name & position/office/role of person as a service provision point of contact;

669 Contact details for above person: phone/email/postal address;

670 Second service provision PoC, details as above;

672 State all jurisdictions in which the service is offered, primary first – give country<sup>[Note 2]</sup> and  
673 state/region where applicable<sup>[Note 3]</sup>;

Country	State/Region/Province/Department/...
	<i>extend as required</i>

674 Applicable SAC:

675 CO-SAC	<input checked="" type="checkbox"/> <sup>[Note 4]</sup>	<input type="text" value="address of local doc(s) to be uploaded with the"/>
676 <input type="text" value="application"/>	<sup>[Note 5],[ Note 6]</sup>	
678 ID-SAC	<input checked="" type="checkbox"/>	<input type="text" value="address of local doc(s) to be uploaded with the"/>
679 <input type="text" value="application"/>		

680 CM-SAC    
681   
682 (note validation requirements)

683 Applicable Assurance Levels:

684 AL1  [Note 7]  
685 AL2   
686 AL3   
687 AL4

688 Details of service for which approval is being sought:

689 ; [Note 8], [Note 5],[ Note 6]  
690

691 Fee payment Reference [Note 9]

692 Terms of the Kantara [Service Provider Agreement](#) accepted & signed  [Note 10]  
693

694 Notes to the above:

- 695 1. validate to the fullest extent possible all entries to this point;  
696 2. use country code according to ISO 3166-1 alpha-2 coding;  
697 3. at least one entry required; validate as far as possible on entry. Possibly offer a  
698 pull-down of countries, deducing their corresponding codes, but that's a luxury  
699 (but validate against it);  
700 4. 'CO-SAC' is obligatory hence shall always be . The other two SAC default to  
701 , but the Applicant must select at least one of them, in which case it becomes ;  
702 5. provides a browse function whereby applicant can select a file or files to be  
703 uploaded when the application is submitted, or can specify a reference of their  
704 own choice which will identify a document or other medium by which evidence  
705 will be submitted by other means;  
706 6. for claimed SAC, this field not offered when an SAC is not selected (i.e. not '').  
707 When it is offered it is used to submit evidence of the qualification;  
708 7. defaults to , making Applicant positively select the applicable Assurance Levels  
709 (AL), in which case becomes . Each AL option is independent of the others,  
710 although at least one MUST be selected;  
711 8. this should be the S3A relating to the service – refer to [Specification of Services](#)  
712 [Subject to Assessment](#)  
713 9. a separate payment function which will generate a unique reference by which the  
714 payment can be mapped to the application – link to the payment page if not  
715 previously paid. No payment, no submission;

- 716 10. defaults to ; present the text of the LA3 for review and explicitly require it all to  
717 be scanned-through before requiring an affirmative response/signature which shall  
718 be captured and used to set this entry to ;
- 719 11. the on-line form should provide context-sensitive help;
- 720 12. common sense should prevail whenever and wherever possible – e.g., if the  
721 Applicant declines to commit to the SPA, they should at least be asked whether  
722 they know what they're doing and that the Application will be closed if they  
723 decline. If they still choose to decline, well ....

724 On submission of the application the web-based function should capture the Applicant's  
725 inputs, gather the identified files and prepare a package to be sent to the Kantara  
726 Secretariat. After packaging but prior to the point at which it is submitted, require the  
727 Applicant to electronically sign the submission and to seal it using Kantara's applicable  
728 public key. This will provide (primarily) confidentiality protection of the Applicant's  
729 information whilst it is being transmitted to the Kantara Secretariat.

730 On receipt the application package shall be stored separately from any other applicant's  
731 data. There shall be an application available to the Secretariat to select Applications by  
732 reference and to represent the material as seen by the Applicant, with the applicable  
733 evidential files available.

## 734 **6.5 Basis of Evaluation**

735 The [Kantara IAF Service Assessment Criteria](#) (SAC) shall be the basis against which the  
736 application is evaluated. Actual assessment must be carried-out by a Kantara-Accredited  
737 Assessor, which will perform an assessment of the service(s) referenced in the  
738 application, with the objective of certifying the specified service as being conformant to  
739 the applicable SACs.

## 740 **6.6 Agreement document**

741 The agreement document required when submitting an application for service approval is  
742 the [Service Provider Agreement](#) (SPA). This document will be automatically called-up  
743 during the application submission process, which cannot proceed without acceptance of  
744 the SPA's Terms and Conditions.

## 745 **6.7 Specific Evaluation Steps**

746 The Secretariat will validate the initial application submission up to and including Part I  
747 clause 4.1, step 9, advising the Applicant's Point of Contact (APoC) that the application  
748 has been found fit for evaluation. The Secretariat shall then take these additional steps:

- 749 a) Counter-sign and return the SPA to the CSP's APoC;  
750 b) File the application for later reference, and;  
751 c) Notify the Chairman of the ARB of the application's receipt (simply for advisory  
752 purposes – no action is required of the ARB at this stage).

753 Evidence of its acceptance of the SPA is a necessary pre-requisite to enable the  
754 Applicant's chosen Assessor to formalize the contract for assessment (see clause [6.8](#),  
755 below). Once the assessment has been completed and the Applicant has received the  
756 assessor's assessment report, that report shall then be returned to the Secretariat and the  
757 Application processing shall then continue according to the opinion conveyed in the  
758 Kantara Assessment Report (KAR), i.e. whether certification has been achieved or not.

759 When the KAR indicates that the assessment has been successful it shall be added to the  
760 evaluation package which shall then be passed to the ARB, per Part I clause 4.1, step  
761 (10).

762 If the assessment report does not give an unqualified certification decision the Secretariat  
763 must determine whether the Applicant wishes to:

- 764 d) withdraw its application outright;  
765 e) suspend processing of its application, pending resolution of any impediments to  
766 certification, or;  
767 f) negotiate with the Secretariat as to whether the application can proceed, with the  
768 risk that it will be rejected or, at best, be granted with conditions.

769 This decision lies with the Applicant, not the Secretariat, although the latter may give  
770 advice based on past examples or knowledge of the process and the ARB's likely  
771 position.

772 Withdrawal of an application constitutes termination, which is addressed in Part I clause  
773 4.5.

## 774 **6.8 Annual Conformity Review**

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

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

### 781 **6.8.1 ACR (Approved Service) form**

782 **Kantara IAF Assurance Assessment Scheme**

783 Annual Conformity Review (Approved Service) ref. «GrantId»:ACR#yy-mm  
784 «Grantee»'s service «name of service»

785 This service approval is based on the following Service Assessment Criteria (SAC):

786 CO-SAC  [ Note 1]  
787 ID-SAC   
788 CM-SAC

(note validation requirements)

791 Cite any divergences reported by «Grantee», giving date and reference applied by  
792 Kantara Initiative

Date	Reference
20yy-mm-dd	«GrantId»/Dnn
Extend as necessary <sup>[2]</sup>	

793 Cite any actions instigated through Kantara against your organization or services,  
794 giving date and reference applied by Kantara

Date	Reference
20yy-mm-dd	«GrantId»/Ann
Extend as necessary	

795 Management Assertion:

796 «Grantee»'s management, as represented by «APoC's name», asserts hereby that,  
797 during the period 20yy-mm-dd to 20yy-mm-dd, it maintained:

- 798 a) its compliance to all applicable terms of the SPA and its Grant of Approval for  
799 the named Service;
- 800 b) its conformity to the criteria set forth in the Kantara SAC v«state applicable  
801 version».

802 Signed:

803 «Grantee's electronic seal»

804

805 Notes to the above:

- 806 1. 'CO-SAC' is obligatory hence shall always be . The other two SAC default to  
807 , but the Applicant must select at least one of them, in which case it becomes ;
- 808 2. Defaults to , making Applicant positively select any Prior Qualifications (PQ),  
809 in which case becomes . Each PQ option is independent of the others. If  
810 selected (i.e. ) a date must be entered;
- 811 3. Form should have provision for additional entries to be added, although hopefully  
812 not too many. Otherwise fix at four but allow others to be provided separately.

## 813 **6.9 Assessment of Services**

### 814 **6.9.1 Contracting for Assessment**

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

817 On receipt of the counter-signed SPA the CSP should select and contract with a Kantara-  
818 Accredited Assessor, in order to have their service(s) assessed. Kantara Initiative will  
819 maintain and publish a list of Accredited Assessors in the [Kantara Trust Status List](#).

820 Assessors will not engage with a CSP for the purposes of assessing for conformity to the  
821 SAC unless the CSP provides copy of its SPA, counter-signed by Kantara Initiative.

822 Kantara Initiative's only requirement is that the Applicant select an Assessor which is  
823 Kantara-Accredited: Kantara has no preference and considers any Assessor which it  
824 accredits to be equal to all others, for the given range of [Assurance Levels](#) and  
825 technologies for which they have recognized expertise. It is therefore the Applicant's sole  
826 responsibility to select, and make and fulfill all contractual arrangements with, their  
827 chosen assessor. Subject to the adherence of both the Assessor and the CSP to their  
828 respective agreements with Kantara Initiative, all arrangements between the CSP and its  
829 selected Assessor for the performance of the assessment of the CSP's services are entirely  
830 between those two parties and Kantara Initiative shall have neither interest nor influence  
831 in them.

832 It should be noted that, depending on the scope of their application for accreditation,  
833 some assessors may not be accredited to assess against the full scope of the SAC. CSPs  
834 should therefore check the entitlement of the assessor to address their service(s), whilst at  
835 the same time it is incumbent upon assessors to do likewise and advise potential client  
836 CSPs where the scope of the required assessment services exceeds that of their  
837 accreditation. Although this is not anticipated to be a frequent problem it is nonetheless a  
838 real possibility which needs to be accounted for.

### 839 **6.9.2 Performing the Assessment**

840 The CSP shall submit to its contracted assessor the following documents as the minimum  
841 set required by Kantara Initiative. The assessor may have its own processes which  
842 require additional submissions from the CSP which will be matter of private contract  
843 between them. This clause primarily addresses the responsibilities which Accredited  
844 Assessors have in performing a Kantara assessment. The CSP's minimum document set  
845 is its:

- 846 1. SPA, counter-signed by Kantara Initiative;
- 847 2. S3A;

848 3. supporting documentation demonstrating its compliance with the applicable  
849 SAC.

850 The assessor shall then perform the assessment according to the terms of its  
851 accreditations and its defined processes.

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

856 A KAR shall always be required, irrespective of whether the CSP withdraws from the  
857 assessment, concludes the assessment but fails to demonstrate its conformity as required,  
858 or succeeds in gaining certification from its assessor. Only in the last of these possible  
859 outcomes (successful certification) will Kantara exercise its right to make public that  
860 information from the S3A that is specified as being for publication. All other information  
861 and all other outcomes Kantara Initiative shall retain as confidential under the terms of  
862 the SPA.

863 (Even in the case of withdrawal of the CSP, provision of the KAR will allow Kantara  
864 Initiative to close the processing of the application for recognition.)

## 865 **7 EVALUATION: ACCREDITED ASSESSOR**

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866 This clause describes aspects of the application and evaluation processes which are  
867 specific to Kantara-Accredited Assessors.

### 868 **7.1 Overview**

869 Kantara Initiative will grant a non-transferable, non-exclusive, right to use the Kantara  
870 Initiative Mark in connection with an organization's assessment services conditional upon  
871 the assessor submitting a formal application regarding the services in question, agreeing  
872 to the terms of the appropriate Agreement, paying the applicable fee, and gaining  
873 certification of the assessment services in question after having them assessed by a  
874 Kantara-Accredited Assessor.

875 Kantara-Accredited Assessors are bound by their agreement with Kantara Initiative to  
876 only assess for SAC-conformity those services for which the owning CSP has signed the  
877 Service Provider's Agreement.

### 878 **7.2 Type of Grant**

879 The type of Grant shall be that of a Kantara-Accredited Assessor, denoted by the «type»  
880 field in the Grant Id being 'SSR'.

### 881 **7.3 Authoritative Body**

882 The Authoritative Body for granting such status is the Kantara Initiative Board of  
883 Trustees, exclusively.

### 884 **7.4 Application document**

885 Applications shall be submitted using the on-line [Application for Kantara Accreditation](#)  
886 form ('application', for the purposes of this clause).

887 The application includes the agreement document.

#### 888 **7.4.1 Application format**

889 This clause outlines the required content and functionality of the [Application for Kantara](#)  
890 [Accreditation](#), from which an appropriate web-based capability shall be developed.  
891 Responses to text underlined in green will be placed into the public domain in the event



892 that a Grant is awarded (until which point the information provided shall remain  
893 confidential unless the Applicant chooses otherwise).

894 Name of applicant organization;

895 Any 'DBA' aliases;

896

897 Name & position/office/role of person having the authority to represent the organization (i.e.  
898 the APoC);

899 Contact details for above person: phone/email/postal address<sup>[Note 1]</sup>;

900 Second authoritative PoC, details as above;

901

902 Name & position/office/role of person as a service provision point of contact;

903 Contact details for above person: phone/email/postal address;

904 Second service provision PoC, details as above;

905

906 State all jurisdictions in which services are offered, primary first – give country<sup>[Note 2]</sup> and  
907 state/region where applicable<sup>[Note 3]</sup>;

Country	State/Region/Province/Department/...
	<i>extend as required</i>

908

909 Prior Qualifications claimed:

910 AICPA  <sup>[ Note 4]</sup>

911  <sup>[Note 5],[ Note 6]</sup>

912 ISACA/CISA

913

914 IRCA

915

916 IS 19011

917

918 IS 17021

919

920 IS 27006

921

922

(note validation requirements)

923 Applicable Assurance Levels:

924 AL1  <sup>[ Note 7]</sup>

925 AL2

926 AL3

927 AL4

928	Statement of Conformity. <sup>[Note 8]</sup>		
929	AQER reference	PQ	Evidence
930	AO.1	<input checked="" type="checkbox"/> <sup>[Note 9]</sup>	<input type="text" value="address of local doc(s) to be uploaded with the"/>
931		<input type="text" value="application"/> <sup>[Note 5]</sup>	
932		or <input type="checkbox"/>	<input type="text" value="address of local doc(s) to be uploaded with the"/>
933		<input type="text" value="application"/> <sup>[Note 5]</sup>	
934		or <input type="checkbox"/>	not required
935	AO.2		as AO.1
936	AO.3		etc.
937	etc.		
938	AQ.1		
939	etc.		
940	AT.1		
941	etc.		
942	AD.1		
943	etc.		
944	Fee payment Reference <sup>[Note 10]</sup>		
945	Terms of the Kantara-Accredited Assessor Agreement accepted & signed	<input checked="" type="checkbox"/> <sup>[Note 11]</sup>	
946			
947	Notes to the above:		
948	1. validate to the fullest extent possible all entries to this point;		
949	2. use country code according to ISO 3166-1 alpha-2 coding;		
950	3. at least one entry required; validate as far as possible on entry. Possibly offer a		
951	pull-down of countries, deducing their corresponding codes, but that's a luxury		
952	(but validate against it);		
953	4. defaults to <input checked="" type="checkbox"/> , making Applicant positively select any Prior Qualifications (PQ), in		
954	which case becomes <input checked="" type="checkbox"/> . Each PQ option is independent of the others;		
955	5. provides a browse function whereby applicant can select a file or files to be		
956	uploaded when the application is submitted, or can specify a reference of their		
957	own choice which will identify a document or other medium by which evidence		
958	will be submitted by other means;		
959	6. for claimed PQs, this field not offered when PQ not selected (i.e. not ' <input checked="" type="checkbox"/> '). When		
960	it is offered it is used to submit evidence of the qualification;		
961	7. defaults to <input checked="" type="checkbox"/> , making Applicant positively select the applicable Assurance Levels		
962	(AL), in which case becomes <input checked="" type="checkbox"/> . Each AL option is independent of the others,		
963	although at least one MUST be selected;		
964	8. the following table should include an entry for each AQER;		
965	9. dependent upon claimed PQ, automatically set this box to <input checked="" type="checkbox"/> (none), <input type="checkbox"/> (qualified)		
966	or <input type="checkbox"/> (un-qualified) as appropriate to the claimed PQs (this should be by reference		
967	to the corresponding entries in <a href="#">Table 1</a> . If more than one PQ applies, select the		

- 968 most favorable, i.e.  >  > ). Set the ‘Evidence’ field as indicated (noting that  
969  calls for no evidence, that being provided by the evidence of qualification);
- 970 10. a separate payment function which will generate a unique reference by which the  
971 payment can be mapped to the application – link to the payment page if not  
972 previously paid. No payment, no submission;
- 973 11. defaults to ; present the text of the LA3 for review and explicitly require it all to  
974 be scanned-through before requiring an affirmative response which shall be  
975 captured and used to set this entry to ;
- 976 12. the form should provide context-sensitive help;
- 977 13. common sense should prevail whenever and wherever possible – e.g., if the  
978 Applicant declines to commit to the LA3, they should at least be asked whether  
979 they know what they’re doing and that the Application will be closed if they  
980 decline. If they still choose to decline, well ....
- 981 On submission of the application the web-based application should capture the  
982 Applicant’s inputs, gather the identified files and prepare a package to be sent to the  
983 Kantara Secretariat. After packaging but prior to the point at which it is submitted require  
984 the Applicant to electronically sign the submission and to seal it using Kantara’s  
985 applicable public key. This will provide (primarily) confidentiality protection of the  
986 Applicant’s information whilst it is being transmitted to the Kantara Secretariat.
- 987 On receipt the application package shall be stored separately from any other applicant’s  
988 data. There shall be an application available to the Secretariat to select Applications by  
989 reference and to represent the material as seen by the Applicant, with the applicable  
990 evidential files available.

## 991 **7.5 Basis of Evaluation**

992 The Kantara IAF [Assessor Qualifications & Experience Requirements](#) (AQER) shall be  
993 the basis against which the application is evaluated.

## 994 **7.6 Agreement document**

995 The agreement document required when submitting an application for accreditation is the  
996 [Kantara-Accredited Assessor’s Agreement](#) (LA3). This document will be automatically  
997 called-up during the on-line application submission process, which cannot proceed  
998 without acceptance of the LA3’s Terms and Conditions.

999 **7.6.1 Agreement Terms**

1000 This Agreement (hereafter LA3) establishes Kantara’s and the Assessor’s mutual  
1001 obligations from the time of the Applicant first submitting their application, and during  
1002 and after any grant of accredited status and serves also as a Trade-Mark License  
1003 Agreement (TMLA).

1004 **7.6.1.1 Maintaining Conformity**

1005 «Applicant» undertakes to, at all times during the processing of its application, any period  
1006 during which it is the beneficiary of a Grant of Rights of Use and after any expiry or  
1007 termination of either the Grant of Kantara Accreditation or of its application for said  
1008 Grant:

- 1009 1. maintain its conformity to the Kantara Initiative AAS Requirements set forth in  
1010 this document or as may be subsequently revised and notified to «Applicant»;
- 1011 2. in the event that any material<sup>8</sup> divergence from conformity arises, take steps to  
1012 regain conformity within a period of three months and notify the Secretariat of the  
1013 divergence, stating the applicable Requirements and the corrective actions being  
1014 taken;
- 1015 3. within one month of resolving any material divergence, submit to the Secretariat  
1016 any revised evidential material;
- 1017 4. maintain, organizationally and individually, all applicable prior qualifications on  
1018 which the Grant of Accreditation is based;
- 1019 5. provide the Secretariat with copies of evidence of prior qualification renewal  
1020 which shows continuity of qualification;
- 1021 6. immediately following initial accreditation and at any change thereafter, provide  
1022 to the Secretariat the names and qualifications of those personnel who may  
1023 perform assessments for the purposes of Kantara-recognized Certification.

1024 **7.6.1.2 Use of the Kantara Initiative Mark**

1025 «Applicant» may use the Kantara Initiative Mark as provided in its seal of accreditation  
1026 only in respect of those certification assessments falling within the scope of their Grant.  
1027 «Applicant» understands that Kantara Initiative shall consider any abuse of this  
1028 restriction a sufficient misdemeanor to justify revocation of the accreditation, subject to

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<sup>8</sup> A non-material divergence is one that exists for no longer than one month and which is managed within the context of the Applicant’s internal management system and which does not call into question the independence and objectivity of the organization and its staff. Kantara Initiative reserves the right to take retrospective review and follow-up action if it finds that a divergence deemed to be ‘material’ has in fact imperiled these attributes.

1029 due notification and appeal, and that Kantara Initiative has the rights to invoke such  
1030 action if it deems it necessary.

### 1031 7.6.1.3 Client engagement and record

1032 «Applicant» undertakes to require in any client (i.e. Subscriber) engagement:

- 1033 1. identification of the applicable SACs and the Assurance Level(s) at which the  
1034 service is offered;
- 1035 2. the Subject’s commitment to terms which shall include clauses which achieve the  
1036 equivalent to those in this agreement;

1037 and to retain securely the evidential material submitted by the Subject for a minimum  
1038 period of twelve months after termination of the certification<sup>9</sup>.

1039 «Applicant» shall require the following information from the Subject when initiating a  
1040 new assessment:

1041 [«highlighted sections of relevance purely for the CSP application for certification»  
1042 For each service to be assessed:  
1043 Name of service & service type<sup>[1]</sup>:  
1044 SACs against which conformity is claimed: CO-SAC <sup>[2]</sup> ID-SAC  CM-  
1045 SAC   
1046 Highest Assurance Level at which the service is offered:<sup>[3]</sup> AL1  AL2  AL3   
1047 AL4   
1048 ]

1049  
1050 Notes to the above:

- 1051 1. ‘Service type’ requires consideration from a number of viewpoints:
- 1052 a. a number of services which go beyond simple credentialing exist or are  
1053 coming into existence, so a broader set of types than presently addressed  
1054 by the SACs may be desirable;
- 1055 b. consideration should be given to the service types defined in [ETSI\_TSL]  
1056 and used where congruent with those addressed by Kantara Initiative, with  
1057 any new services identified having to be integrated through any TSL  
1058 implementation;
- 1059 c. Kantara Initiative needs consistency across all its Accredited Assessors to  
1060 ensure service types can be collectively identified at the highest level and  
1061 therefore Kantara needs to lead on this.

---

<sup>9</sup> Many other processes will most likely require longer retention periods – this clause is not intended to override any such other requirements but merely establishes an absolute minimum from Kantara’s point of view.

- 1062 2. 'CO-SAC' is required by default – option to select  or  for the other two;  
1063 3. defaults blank - User must select one – when one is selected, set it and any lower  
1064 ALs to , all higher to . Allow re-selection, fill as defined.

## 1065 **7.7 Specific Evaluation steps**

1066 When initially validating the application the Secretariat shall apply the following specific  
1067 steps in executing Part I clause 4.1, step (6):

- 1068 a) Documents which assert qualifications on which are based claims of 'credit' with  
1069 regard to Accreditation requirements shall first of all be validated. Validation  
1070 shall be either by visual inspection, or online (e.g. authentication of issuer's seal  
1071 or validation against a recognized registry). Currency and longevity of these  
1072 qualifications shall be validated and those having less than three months  
1073 remaining validity shall not be validation;
- 1074 b) Claims of 'credit' based on validated prior qualifications shall be recognized,  
1075 subject to any qualifications applied by Kantara Initiative;
- 1076 c) On a per requirement basis:
- 1077 ii) Validated unqualified credit shall be granted without question (unless  
1078 exceptional circumstances prevail);
- 1079 iii) Validated qualified credit shall be assessed to ensure that supporting  
1080 evidence provided fulfills the requirement;
- 1081 iv) For any other requirement, ensure that supporting evidence provided fulfills  
1082 the requirement.

1083 In ensuring that supporting evidence provided fulfills each requirement (Part I, clause  
1084 4.2) the ARB shall apply whatever measures and expectations it considers reasonable.  
1085 Whilst guidance is given for each AQER clause the ARB is in no sense constrained by the  
1086 scope of that guidance and shall assess any material provided by the Applicant in support  
1087 of its compliance. The ARB may, furthermore, ask for clarification or additional  
1088 evidence in support of the application where it finds wanting the material submitted.

## 1089 **7.8 Annual Conformity Review**

1090 The schedule maintained by the Secretariat shall record the expiration dates of any Prior  
1091 Qualifications and shall seek from the Grantee evidence of renewal, as dates fall due.

1092 The use of an ACR as a consistency audit covering the preceding twelve months will rest  
1093 largely upon the fact that oversight provisions of Prior Qualifications (which most  
1094 Accredited Assessors are anticipated to rely upon) are themselves performing sufficient  
1095 oversight.

1096 **7.8.1 ACR (Accredited Assessor) form**

1097 **Kantara Initiative IAF Assurance Assessment Scheme**

1098 Annual Conformity Review (Accredited Assessor) ref. «GrantId»:ACR#yy-mm

1099 «Grantee» (i.e. its name)

1100 This accreditation is based on the following Prior Qualifications (PQ) – «Grantee»  
1101 confirms hereby that these PQs have continuing currency and will expire on the  
1102 given date(s)  
1103 (individual staff need not be individually accounted for).

1104 Prior Qualifications claimed:

	Current	Expires/Next review
1106 AICPA	<input checked="" type="checkbox"/> <sup>[1]</sup>	20yy-mm-dd
1107 ISACA/CISA	<input checked="" type="checkbox"/>	20yy-mm-dd
1108 IRCA	<input checked="" type="checkbox"/>	20yy-mm-dd
1109 IS 19011	<input checked="" type="checkbox"/>	20yy-mm-dd
1110 IS 17021	<input checked="" type="checkbox"/>	20yy-mm-dd
1111 IS 27006	<input checked="" type="checkbox"/>	20yy-mm-dd

1112  
1113 «Secretariat to tailor the above list to represent the facts»

1114 Cite any divergences reported by «Grantee», giving date and reference applied by  
1115 Kantara Initiative  
1116

Date	Reference
20yy-mm-dd	L-ACS#«AccredId»/Dnn
Extend as necessary <sup>[2]</sup>	

1117 Cite any actions instigated through Kantara Initiative against your organization or  
1118 services, giving date and reference applied by Kantara Initiative  
1119

Date	Reference
20yy-mm-dd	«GrantId»/Ann
Extend as necessary	

1120 Management Assertion:  
1121

1122 «Grantee»'s management, as represented by «APoC's name», asserts hereby that,  
1123 during the period 20yy-mm-dd to 20yy-mm-dd, it maintained:

- 1124 a) its compliance to all applicable terms of the LA3 and its Grant of Accreditation;
- 1125 b) its conformity to the Requirements set forth in the Kantara AQER v«state  
1126 applicable version»;
- 1127 c) organizationally and individually, all applicable prior qualifications on which its  
1128 Grant of Accreditation is based, in each case [without|subject to the] material  
1129 divergence or action[|s identified above].

1130 Signed:



1131 «Grantee's electronic seal»

1132

1133 Notes to the above:

1134 4. Defaults to , making Applicant positively select any Prior Qualifications (PQ),  
1135 in which case becomes . Each PQ option is independent of the others. If  
1136 selected (i.e. ) a date must be entered;

1137 5. Form should have provision for additional entries to be added, although hopefully  
1138 not too many. Otherwise fix at four but allow others to be provided separately.

## 1139 7.9 Performing the Assessment

### 1140 7.9.1 Process

1141 Assessors shall require CSP's to submit the following documents as the minimum set  
1142 required for an assessment for the purposes of supporting an application for Kantara  
1143 Initiative Approval. The assessor may have its own processes which require additional  
1144 submissions from the CSP which will be matter of private contract between them. This  
1145 clause primarily addresses the responsibilities which Accredited Assessors have in  
1146 performing a Kantara assessment. The CSP's minimum document set is its:

- 1147 1. [Service Provider Agreement](#) (SPA), counter-signed by Kantara Initiative;
- 1148 2. [Specification of a Service Subject to Assessment](#) (S3A);
- 1149 3. supporting documentation demonstrating its compliance with the applicable SAC  
1150 (may be in the S3A).

1151 The assessor shall then perform the assessment according to the terms of its  
1152 accreditations and its defined processes.

1153 At the conclusion of the assessment the Assessor shall prepare a [Kantara Assessment](#)  
1154 [Report](#). This report may be a separate document prepared for Kantara's consumption or  
1155 may be a document with wider applicability, subject only to fulfilling at least the  
1156 requirements for a KAR.

1157 A KAR shall always be required, irrespective of whether the CSP withdraws from the  
1158 assessment, concludes the assessment but fails to demonstrate its conformity as required  
1159 or succeeds in gaining certification from its assessor. Only in the last of these possible  
1160 outcomes (successful certification) will Kantara Initiative exercise its right to make  
1161 public that information from the S3A that is specified as being for publication. All other  
1162 information and all other outcomes Kantara Initiative shall retain as confidential under  
1163 the terms of the SPA.

1164 (Even in the case of withdrawal of the CSP, provision of the KAR will allow Kantara  
1165 Initiative to close the processing of the application for recognition.)