



# 1 Identity Assurance Framework: 2 Specification of a Service 3 Subject to Assessment

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6 **Editor:** Joni Brennan  
7 Kantara Initiative  
8 Richard G. Wilsher  
9 Zyigma LLC

## 10 **Contributors**

11 The full list of contributors can be referenced here:

12 <http://kantarainitiative.org/confluence/display/idassurance/IAF+2.0+Contributors>

## 13 **Abstract**

14 The Kantara Initiative Identity Assurance Work Group (IAWG) was formed to foster adoption of identity  
15 trust services. The primary deliverable of the IAWG is the Identity Assurance Framework (IAF), which is  
16 comprised of many different documents that detail the levels of assurance and the certification program that  
17 bring the Framework to the marketplace. The IAF is comprised of a set of documents that includes an  
18 Overview publication, the IAF [Glossary](#), a summary [Assurance Levels](#) document, and an [Assurance](#)  
19 [Assessment Scheme \(AAS\)](#), which encompasses the associated assessment and certification program, as well  
20 as several subordinate documents, among them the [Service Assessment Criteria \(SAC\)](#), which establishes  
21 baseline criteria for general organizational conformity, identity proofing services, credential strength, and  
22 credential management services against which all CSPs will be evaluated. The present document sets out the  
23 required structure of a Specification of a Service subject to Assessment, a primary component of an  
24 Application for Kantara Approval and the Assessment required to support that Application.

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## 65 1 INTRODUCTION

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66 *Introductory note:*

67 *In this model Specification of a Service Subject to Assessment (hereafter simply the 'S3A') the sub-sections of*  
68 *the Introduction refer explicitly to this document.*

69 *In preparing their own specific instantiation of the model S3A, the Applicant's own text to explain their*  
70 *reasons for preparing the document and seeking Kantara Registered Applicant status and/or Approval, as*  
71 *required, should be placed in the Introduction. They should also add any other introductory material they*  
72 *feel they require and the following Kantara text within this section should be deleted in its entirety.*

73 *This S3A is applicable to Applicants whose service covers only the Identity-proofing criteria (i.e. CO-SAC +*  
74 *ID-SAC) or a Full Service (i.e. a service covering CO-SAC + CM-SAC inc. ID-SAC according to the*  
75 *permitted options.).*

### 76 1.1 Purpose

77 This document intended for by Credential Service Providers (CSPs) for the production, as a prerequisite, of a  
78 Specification of a Service Subject to Assessment (S3A) by any CSP wishing to contract with a Kantara  
79 Accredited Assessor for the conduct of an Assessment with the intention of applying to have their service(s)  
80 accepted for Kantara Service Approval achieve Registered Applicant Status and/or apply for Kantara Service  
81 Approval.

82 This document is for the purpose of providing a high level overview to the CSP's chosen Kantara Accredited  
83 Assessor and to the Kantara Secretariat.

84

85 Conformance with this document is mandatory, per the Kantara Assurance Assessment Scheme.

### 86 1.2 Readership

87 This document is required reading for the following parties, whose awareness of it is a requirement of the  
88 Assurance Assessment Scheme:

- 89 • **Kantara Accredited Assessors** who will be performing the Assessment of a Credential Service  
90 Provider, as defined by an S3A;
- 91 • **CSPs** who which to have a Service submitted for an Assessment as the basis for seeking a Kantara  
92 Grant of Approval, for either a Component Service or a Full Service;
- 93 • **Kantara Initiative's representatives** who are available to offer guidance during the Assessment and  
94 Approval processes.

### 95 1.3 Overview & Preparation

96 The document provides a framework of sections and sub-headings together with proposed standardized text.  
97 Authors of specific S3As are required to adopt the style, phrasing and terminology of this model to the fullest

98 extent practical within the context of their own organizations. This will assist readers who have to deal with  
99 S3As from a number of different sources.

100 As previously stated, Kantara Initiative [Assurance Assessment Scheme](#) is required reading for S3A authors  
101 (amongst others). It sets out explicit requirements across the overall process of the Kantara Initiative  
102 Approval procedures and points to other detailed sources.

103 Within the suggested text there are a number of place-holders where authors should substitute the details of  
104 their own organizations and Services. These are indicated using « markers » as indicated in this sentence.

105 Throughout this document a distinction is made between an **Outline S3A** associated with a request for  
106 Registered Applicant status, and a **Full S3A**, which will become the focus of the Assessment itself.

107 Only the Outline S3A should be submitted to Kantara. The Full S3A is likely to be designated ‘Commercial  
108 In confidence’, it’s confidentiality protected within the context of an independent agreement signed with the  
109 chosen Assessor. However, certain parts of the Full S3A will be taken directly and used in preparing the  
110 Kantara Assessment Report and ultimately in Kantara’s Grant of Approval.

111 In order to alert the CSP as to which parts of their S3A will be taken directly when preparing their  
112 Assessment Report those parts of this model document are framed in blue without background shading (as  
113 per this paragraph).

114 In order to alert the CSP as to which parts of their S3A will be taken directly when preparing their Kantara  
115 Assessment Report those parts of this model document are framed in blue (as per this exemplar paragraph).  
116 Kantara will then copy such text from the Kantara Assessment Report and use it when preparing their Grant  
117 of Approval.

118 It is recommended that the S3A be agreed with the chosen Assessor prior to the Assessment. This will assist  
119 the Assessor in understanding the Service to be assessed and will ensure a sufficient and mutually-acceptable  
120 level of detail is documented. It is further a requirement that the S3A be revised as necessary to accurately  
121 define the Service as actually assessed.

122 It is recognized that individual companies will have their own house styles and possibly specific service-  
123 related requirements that will dictate the final appearance of their own S3A, and hence it is understood that  
124 the Kantara Initiative styling of this model document may be substituted by the owner’s own style. It is  
125 further assumed therefore that any specific instantiation of this model will be subject to the owner’s own  
126 configuration management practices.

127 Improvements, enhancements and the provision of additional information to support the explanation of the  
128 SACs are fully encouraged within the constraint of following the model format as much as possible.

129 Definitions of terms and acronyms that are not defined in this document may be found in the Identity  
130 Assurance Framework [Glossary of Terms](#).

131 Within the following Sections, an indication is given as to whether the heading and related text is applicable  
132 to either an Outline S3A, a Full S3A or both.

## 133 2 PURPOSE & READERSHIP

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134 *The following text is suggested for those seeking Kantara Registered Applicant status, i.e. preparing an*  
135 *Outline S3A.*

136 This document is the primary reference governing «company»’s application for Kantara Registered Applicant  
137 status in respect of their «name of service» Service, as a [Full | Component «delete as applicable»] Service  
138 providing the credential services described herein at Assurance Level «state level(s)».

139 It provides the necessary high-level service description, target customer market, and outline technical  
140 specification required by the Kantara Initiative.

141 The document is intended to give:

- 142 i) «company»’s management an understanding of what it is they are committing to;
- 143 ii) the chosen Assessor, «assessor», an understanding of the scope of Assessment that «company»  
144 requires to have conducted, and;
- 145 iii) the Kantara Assurance Review Board the basis for considering and accepting «company»’s  
146 application for Registered Applicant status.

147 *The following text is suggested for those wishing to have their services assessed and submitted for Kantara*  
148 *Approval, i.e. a Full S3A.*

149 This document is the primary reference governing the Assessment and submission for Kantara Approval of  
150 «company»’s «name of service» Service.

151 The document is intended to:

- 152 i) give «company»’s management an understanding of what it is they are committing to;
- 153 ii) define the full scope of the Assessment to be undertaken;
- 154 iii) define what evidence is to be provided and how it demonstrates compliance of the Service as a  
155 whole;
- 156 iv) form the central technical scoping of the contract between «company» and its chosen  
157 v) Assessor, «assessor»;
- 158 vi) support «company»’s submission to the Kantara Initiative Board of Trustees for a Grant of  
159 Approval;

## 160 3 SERVICE DESCRIPTION

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### 161 3.1 Credential Service Provider

162 *The following text is required in all S3As*

163 This document relates to «company», registered in «place of registration» under «registration reference /  
164 details» whose registered office is at «registered address». «company» is «status, e.g. independent  
165 corporation / wholly owned subsidiary of etc.».

166 «company»'s additional contact details are as follows: Contact person for the purposes of this Assessment:  
167 Primary contact:

168 «name, title»

169 «address»

170 «telephone»

171 «email»

172 Secondary contact:

173 «name, title»

174 «address»

175 «telephone»

176 «email»

177 *The following **additional** text is suggested for those wishing to have their services assessed and submitted for*  
178 *Kantara Service Approval (i.e. Full S3A).*

179 Contact points with regard to the service (e.g. Customer Support etc):

180 Contact 1:

181 «functional title»

182 «address»

183 «telephone»

184 «email»

185 «url»

186 Contact 2:

187 «functional title»

188 «address»

189 «telephone»

190 «email»

191 «url»

192 «... additional contacts as desired»

## 193 **3.2 Public Service Description**

194 *The following text is required in all S3As*

195 This S3A relates to «company»'s service known as «name of service».

196 «name of service» is a «Public Service Description of service».

197 *The Public Service Description will be preserved throughout the Assessment process, will be included in the*  
198 *Assessment Report and used subsequently by Kantara when preparing the Grant of Approval.*

199 *The Public Service Description should describe the principal features of the Service by setting out the*  
200 *purpose of the Service followed by additional detail, including, inter alia:*

- 201 - *features and functions incorporated;*
- 202 - *intended class(es) of users (subscribers and relying parties, as appropriate);*
- 203 - *list of tasks and usage;*
- 204 - *checks performed on supplied data;*
- 205 - *applicable restrictions;*
- 206 - *assumed user community characteristics;*
- 207 - *nature of provision / contracting with users & relying parties;*
- 208 - *etc.*

209 *This description must be a concise and accurate description of the scope and content of the SSA. It must be:*

- 210 - *suitable for unlimited public release;*
- 211 - *free of any jargon and marketing-hype;*
- 212 - *understandable to the non-specialist;*
- 213 - *suitable for prospective and actual customers of the service and for parties relying on the service;*
- 214 - *include a reference to the Service Policy and Service Policy Disclosure Statement<sup>1</sup>, giving a specific*  
215 *version number or date of publication.*

216 *Before an Assessment can commence the full S3A must be extended to provide an Assessor's Service*  
217 *Definition. This is addressed in Section 3.5.*

## 218 **3.3 Service topology**

219 *For those seeking Kantara Registered Applicant status (i.e. Outline S3A), a system-level diagram (or*  
220 *diagrams) should be provided showing physical sites (geographic locations), where specific service*  
221 *components are located and what interconnectivity is employed. Brief supporting narrative should be*  
222 *provided to describe the elements of the diagrams.*



223 *For an Assessor's Service Definition (i.e. Full S3A), a system-level diagram (or diagrams) should be*  
224 *provided showing physical sites (geographic locations), where specific service components are located and*  
225 *what interconnectivity is employed. Supporting narrative should be provided to describe the elements of the*  
226 *diagrams to a further level of detail, such that the way in which the Service is managed and delivered is*  
227 *explained, plus indications of levels of redundancy and resilience that are built into the architecture.*

### 228 **3.4 Service platform**

229 *In an Outline S3A the level of detail provided under this heading need only be a generalized description.*  
230 *For a Full S3A, the level of detail provided should include specific descriptions of physical premises,*  
231 *hardware installations and software versions and configurations, plus details of the credential types issued*  
232 *and/or managed and applicable technologies, such that the intended Assessor can plan the Assessment*  
233 *required of them.*

### 234 **3.5 Assessor's Service Definition**

235 *This section is only required in a Full S3A. It must give a comprehensive and precise definition of the*  
236 *Service, its constituent parts and its internal functions, suitable for Kantara-Accredited Assessors to identify*  
237 *and scope the Service for the purpose of the Assessment. It must provide information beyond the extent of*  
238 *that which would be found in the Service (Certification) Policy, Service Practice Statement and Service*  
239 *Policy Disclosure Statement, and which an assessor would need to know about the SSA in order to effectively*  
240 *conduct the Assessment. The Assessor's Service Definition is not aimed at customers and is not required to*  
241 *be publicly disseminated.*

242 *This definition may be in a separate document but it is catered for in this Model S3A, and should consist of*  
243 *an extension to the detail given in the Outline S3A, in §3.2 to §3.4 inclusive.*

## 244 **4 CRITERIA AND EVIDENCE**

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### 245 **4.1 Applicable Service Assessment Criteria**

246 *In an Outline S3A this section may simply be declared as 'TBD', since the actual version used will be*  
247 *determined according to that current at the time the Assessment is undertaken.*

248 «Company»'s «name of service» is submitted for Assessment against “Kantara IAF-1400 Service Assessment  
249 Criteria” version «state version of SAC used as reference for this Application».

### 250 **4.2 Statement of Conformity**

251 *The Statement of Conformity (SoC) may be included here, be a separate document or be within another*  
252 *document. However, its provision to Kantara is mandatory. Tables provided in the SAC are recommended*  
253 *as the basis for the SoC and allow for i) the specification of the criterion tag; ii) how the criterion is fulfilled,*  
254 *and iii) the source(s) of evidence.*

255 *For a Full S3A the chosen Assessor must be provided with all three pieces of information, per criterion. In*  
256 *an Outline S3A this section may simply state how it is proposed to fulfill the applicable criteria, including*  
257 *whether the application is for a complete service of just the Identity proofing component. In the former case,*  
258 *the SoC must also indicate whether the ID-SAC will be fulfilled by the Applicant Service Provider directly or by*  
259 *their use of a previously-Approved ID-proofing Service.*

## 260 **5 ADDITIONAL INFORMATION**

---

261 *The Applicant may provide here whatever additional information is felt necessary or useful to support the*  
262 *S3A, whether being used for an application for Kantara Registered Applicant status (Outline S3A) or for*  
263 *formal Kantara Approval (i.e. Full S3A). E.g., any specific national government requirements required to be*  
264 *fulfilled in addition to those established by Kantara.*

265 *The Applicant may, furthermore, express additional requirements for the Assessors to address that take the*  
266 *Assessment beyond the scope of the Kantara Approval. It is recommended that the necessary additional*  
267 *parts of the document be placed in the most appropriate section (e.g. additional criteria against which to be*  
268 *assessed might go under §4.1, with the proposed evidence under §4.2).*

269 *Annexes may also be added where required, and may be an alternative holding place for the SoC.*

270 *Applicants should ensure that any additional information is clearly included as such, rather than as Kantara-*  
271 *specific information.*