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4 **Identity Assurance Framework:** 5 **Assurance Assessment Scheme**

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15 **Abstract:**

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

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CONTENTS

57		
58		
59	1 INTRODUCTION	5
60	1.1 Reference to Authoritative Bodies	6
61	1.2 Summary of Grant Categories and Evaluation	7
62	2 GLOSSARY	8
63	3 REVIEW BOARD AND SECRETARIAT	9
64	3.1 Authoritative Bodies	9
65	3.1.1 Assurance Review Board	9
66	3.1.2 Assessors as Authoritative Bodies	9
67	3.1.3 Service Approval Authorities as Authoritative Bodies	9
68	3.2 Secretariat	10
69	4 GENERAL ASSESSMENT RESPONSIBILITIES & PROCEDURES	11
70	4.1 Receipt of Applications	11
71	4.2 Evaluation of Applications	13
72	4.3 Grant of Rights of Use (to the Kantara Initiative Mark)	14
73	4.4 Appeal of Decision	15
74	4.5 Termination of Application	15
75	4.6 Oversight of Grantees	16
76	4.7 Revocation of Grant	18
77	4.8 Annual Conformity Review	19
78	4.8.1 Introduction	19
79	4.8.2 Process	19
80	5 APPLICANT'S GENERAL RESPONSIBILITIES AND ACTIONS	20
81	5.1 Submission of Applications	20
82	5.2 Assessment of Applications	21
83	5.3 On Receiving a Grant of Rights of Use (to the Kantara Initiative Mark)	21
84	5.4 Right of Appeal	22
85	5.5 Termination of Application	22
86	5.6 Response to Oversight	23
87	5.7 Revocation of Grant	23
88	6 EVALUATION: APPROVED SERVICE	24
89	6.1 Overview	24
90	6.2 Type of Grant	24
91	6.3 Authoritative Body	24
92	6.4 Application document	25
93	6.4.1 Application format	25
94	6.5 Basis of Evaluation	27
95	6.6 Agreement document	27
96	6.7 Specific Evaluation Steps	27
97	6.8 Annual Conformity Review	28
98	6.8.1 ACR (Approved Service) form	28

99	6.9	Assessment of Services	30
100	6.9.1	Contracting for Assessment	30
101	6.9.2	Performing the Assessment	30
102	7	EVALUATION: ACCREDITED ASSESSOR.....	32
103	7.1	Overview	32
104	7.2	Type of Grant.....	32
105	7.3	Authoritative Body.....	32
106	7.4	Application document.....	32
107	7.4.1	Application format	32
108	7.5	Basis of Evaluation	35
109	7.6	Agreement document.....	35
110	7.6.1	Agreement Terms	36
111	7.7	Specific Evaluation steps.....	38
112	7.8	Annual Conformity Review	38
113	7.8.1	ACR (Accredited Assessor) form.....	39
114	7.9	Performing the Assessment	40
115	7.9.1	Process.....	40
116	8	EVALUATION: SERVICE APPROVAL AUTHORITY	41
117	8.1	Overview	41
118	8.2	Type of Grant.....	41
119	8.3	Authoritative Body.....	41
120	8.4	Application document.....	41
121	8.5	Basis of Evaluation	42
122	8.6	Agreement document.....	42
123	8.7	Specific Evaluation steps.....	42
124	8.8	Annual Conformity Review	42
125	9	EVALUATION: RECOGNIZED FEDERATION OPERATOR	43
126	9.1	Overview	43
127	9.2	Type of Grant.....	43
128	9.3	Authoritative Body.....	43
129	9.4	Application document.....	43
130	9.5	Basis of Evaluation	44
131	9.6	Agreement document.....	44
132	9.7	Specific Evaluation steps.....	44
133	9.8	Annual Conformity Review	44
134			

135 1 INTRODUCTION

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

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

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

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

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

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

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

169 **1.1 Reference to Authoritative Bodies**

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

174 **1.2 Summary of Grant Categories and Evaluation**

175

Grant Category ...	Authoritative body	Application Document	Applicable assessment criteria or requirements	Applicable agreement (with the applicable authoritative body)	Described in Clause ...
Approved Service	Kantara Assurance Review Board OR Service Approval Authority (by delegation)—future work item OR Certified Federation Operator (by delegation)	Application for Kantara Approval	Kantara Assessment Report	Service Provider Agreement	6
	Accredited Assessors	-	Service Assessment Criteria		
Accredited Assessor	Kantara Initiative Board of Trustees	Application for Kantara Accreditation	Assessor Qualifications & Experience Requirements	Kantara-Accredited Assessor’s Agreement	7
Service Approval Authority—future work item	Kantara Initiative Board of Trustees	Application for Service Approval Authority —future work item	Service Approval Authority Requirements—future work item	Kantara Service Approval Authority’s Agreement – future work item	8
Certified Federation	Kantara Initiative Board of Trustees	Application for Kantara Recognition	Federation Operator Rules & Guidance	Kantara-Recognized Federation Operator’s Agreement	9

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178 **2 GLOSSARY**

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

182 Grant Category	One of the specific purposes for which the Kantara Initiative 183 Mark may be used by a third party, being one of: 184 ● Approved Service; 185 ● Accredited Assessor; 186 ● Service Approval Authority; 187 ● Certified Federation Operator.
188 Grant (of Rights of Use)	The Granting, by the Kantara Initiative Board of Trustees 189 (KIBoT), or another authoritative body to which the KIBoT 190 has given a delegated authority (itself via a Grant), to use of 191 the Kantara Initiative Mark for a specific Grant Category.
192 Grantee	An organization to which a Grant of Rights of Use of the 193 Kantara Initiative Mark has been awarded.

194 **3 REVIEW BOARD AND SECRETARIAT**

195 **3.1 Authoritative Bodies**

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

200 **3.1.1 Assurance Review Board**

201 The principle authoritative body shall be the Kantara Initiative Board of Trustees
202 (KIBoT) which shall, at all times, be the final arbiter on all decisions concerning use of
203 the Kantara Initiative Mark. The constitution of the KIBoT is beyond the scope of this
204 document. Please see the Kantara Initiative website (www.kantarainitiative.org) for a
205 description of the KIBoT and its members.

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

210 The constitution and authority of the Assurance Review Board is determined by the
211 KIBoT.

212 **3.1.2 Assessors as Authoritative Bodies**

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

218 **3.1.3 Service Approval Authorities as Authoritative Bodies**

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

223 **3.2 Secretariat**

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

231 **4 GENERAL ASSESSMENT RESPONSIBILITIES &** 232 **PROCEDURES**

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

235 **4.1 Receipt of Applications**

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

239 Because of the high value and integrity placed upon the Kantara Initiative Mark, Kantara
240 Initiative will protect against the potential misuse of its Mark by requiring that, in each
241 case, Applicants sign an Agreement prior to seeking evaluation of their service(s). Each
242 application includes the Applicant's commitment to the terms and conditions defined in
243 the appropriate [Agreement document]. These terms and conditions address the complete
244 life-cycle of participation in the AAS: application for a Grant of Rights of Use,
245 withdrawal of application (without receipt of a Grant of Rights of Use), during the period
246 in which a Grant of Rights of Use is awarded, after termination of a Grant of Rights of
247 Use, and the Applicant's signature to the appropriate [Agreement document] at the time
248 of Application shall bind them to the terms and conditions at all stages of participation in
249 the AAS thereafter.

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

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

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

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

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

- 264 should be attempted for all documents submitted with the application, to ensure
265 that protected documents are so-protected¹;
- 266 2. confirm by voice, using the telephone contact number of record (by reference to
267 the application form), that an application has indeed been submitted and then
268 confirm the name, affiliation, and e-mail address of the Applicant's Point-of-
269 Contact (APoC)² and the purpose of the application (given that multiple
270 application forms will be available);
- 271 3. advise the APoC of any irregularities with the application and seek whatever
272 clarification is necessary, including dealing with any documents which are
273 insufficiently protected;
- 274 4. agree a secure means of exchanging with the APoC any secrets required to enable
275 Kantara to access the application's contents (either as submitted or as to be
276 submitted);
- 277 5. agree with the APoC the means by which any non-included documents are to be
278 submitted by other means/media;
- 279 6. where required and possible, validate any claims made in the application;
- 280 7. ensure all necessary fees have been paid and have cleared;
- 281 8. execute the above steps until all pre-requisites have been fulfilled and all
282 documentation received.
- 283 Some additional [Specific Evaluation steps] may need to be undertaken, depending upon
284 the particular type of application being made.
- 285 When the above, and any specific, steps have been satisfactorily concluded the Secretariat
286 shall:
- 287 9. advise the APoC that the application has been found fit for evaluation, and;
- 288 10. pass the application to the Chairman of the ARB.

¹ 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.

² 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.

289 **4.2 Evaluation of Applications**

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

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

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

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

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

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

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

335 **4.3 Grant of Rights of Use (to the Kantara Initiative Mark)**

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

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

³ 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.

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

361 **4.4 Appeal of Decision**

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

370 Where the Authoritative Body is *not* the Kantara Initiative ARB, the appeal shall be
371 passed to the Kantara Initiative ARB from whose membership shall be constituted the
372 Appeal Board.

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

378 During the appeal review the Appeal Board shall review the original ARB findings, the
379 Applicant's appeal justification and shall seek from the original ARB members, the
380 independent advisor and the Applicant such further information as the Appeal Board
381 deems fit. After consideration of all pertinent facts, which may include seeking further
382 information from the Applicant, the Appeal Board shall make a recommendation to the
383 Chairman of the original ARB, indicating whether the recommendation is unanimous or
384 split 2-1.

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

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

390 **4.5 Termination of Application**

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

- 392 1. if at any time during the receipt of an application, the Applicant either chooses to
393 withdraw its application or fails to fulfill any justifiable requests made of it by the
394 Secretariat within three weeks of the request (or within any other timescale which
395 the Secretariat accepts);
- 396 2. if, during the processing of an application, the ARB considers that the Applicant
397 does not fulfill the requirements, in fact or in spirit, and on being so advised the
398 Applicant chooses to voluntarily withdraw their application;
- 399 3. in the event that an Application and any subsequent appeal is denied.

400 On termination of an application the Secretariat shall:

- 401 4. advise the APoC in writing of the termination, giving the reasons why;
- 402 5. allow a period of two weeks, within which (where no right of appeal has been
403 exhausted) any notice of intention to appeal the termination must be received so
404 as to be processed, and in the absence of any such notification (or after a final
405 decision denying an appeal) and within a further two-week period, destroy all
406 record of and documents related to the application, save the basic administrative
407 data required to record the fact that an application was received in the name of the
408 Applicant and terminated for the reasons determined, which shall be recorded,
409 including record of the date, time and means of notice of termination and of the
410 destruction of related materials⁴, ensuring that the Applicant receives a written
411 confirmation that their protected materials have been securely disposed-off.
- 412 6. return any fees due (refer to [Schedule of Fees and Related Terms](#)).

413 **4.6 Oversight of Grantees**

414 Oversight of Grantees shall be effected by:

- 415 1. the Secretariat establishing at the time of granting any rights of use a schedule
416 allowing for:
- 417 a. review and removal of any conditions on which the Grant was conditionally
418 awarded;
- 419 b. annual review by the ARB of the Applicant's standing with regard to the
420 circumstances defined by the initial application and supporting evidence, and;

⁴ 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.

- 421 c. submission by the Grantee of evidence of renewal of any prior
422 qualification(s), to which the Grant was subject, which will lapse during the
423 period of accreditation;
- 424 2. the ARB exercising review and validation of conformity and currency at points
425 defined in the plan required by the preceding clause;
- 426 3. according to the degree of reliance upon prior qualifications (i.e., the greater the
427 reliance, the less necessary is this measure), periodic re-assessment by the ARB of
428 selected areas of conformity, based on a random sampling technique (which the
429 ARB shall determine at its discretion alone);
- 430 4. re-assessment by the ARB in response to any observed or reported deficiency or
431 other event which may give cause for concern as to the degree of conformity
432 being exercised by the Grantee.

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

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

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

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

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

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

457 **4.7 Revocation of Grant**

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

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

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

474 On revocation of Grant status the Secretariat shall:

- 475 5. advise the APoC in writing of the revocation, giving the reasons why;
- 476 6. destroy all record of and documents related to the Grant, save the basic
477 administrative data required to record the fact that an application was received in
478 the name of the Applicant and revoked for the reasons determined, which shall be
479 recorded, including record of the date, time and means of notice of revocation and
480 of the destruction of related materials⁵;
- 481 7. return any fees due (refer to [Schedule of Fees and Related Terms](#))
- 482 8. if the Authoritative Body is *not* the Kantara Initiative ARB then that body shall
483 notify the Kantara Initiative Secretariat of the required details of the change in
484 status of the Grantee;
- 485 9. Kantara Initiative shall update the [Kantara Trust Status List](#) with the revised status
486 details of the Grantee.

487

⁵ 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.

488 **4.8 Annual Conformity Review**

489 **4.8.1 Introduction**

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

498 **4.8.2 Process**

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

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

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

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

523 **5 APPLICANT'S GENERAL RESPONSIBILITIES AND ACTIONS**

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

529 **5.1 Submission of Applications**

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

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

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

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

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

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

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

555 **5.2 Assessment of Applications**

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

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

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

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

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

572 **5.3 On Receiving a Grant of Rights of Use (to the Kantara** 573 **Initiative Mark)**

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

- 576 1. the Applicant shall reaffirm its commitment to the terms and conditions defined in
577 the appropriate [Agreement document]⁶ and submit it to the Kantara Initiative
578 Secretariat;
- 579 2. based upon the [Applicable Mark], the Applicant shall receive a seal issued to the
580 Applicant as a part of formal notice of the Grant of Rights of Use with its
581 applicable 'Grant Id' (as unique reference for the specific Grant, also embedded in
582 the seal), with any conditions stated. The correctness of the seal and
583 accompanying documents should be verified and any discrepancies noted within
584 two business days;

⁶ 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.

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

590 **5.4 Right of Appeal**

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

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

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

601 Applicants need not appeal against an unconditional Grant.

602 **5.5 Termination of Application**

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

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

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

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

614 **5.6 Response to Oversight**

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

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

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

625 **5.7 Revocation of Grant**

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

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

629 Applicants will receive formal notification of revocation in writing from the Secretariat,
630 which shall state the reasons for revocation. They should also expect their entry in
631 [Kantara Trust Status List](#) to be amended⁷ accordingly.

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

⁷ 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.

634 **6 EVALUATION: APPROVED SERVICE**

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

637 **6.1 Overview**

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

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

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

648 **6.2 Type of Grant**

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

651 **6.3 Authoritative Body**

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

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

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

660 **6.4 Application document**

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

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

667 **6.4.1 Application format**

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

673 Name of applicant organization;

674 Any ‘DBA’ aliases / informational uri;

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

678 Contact details for above person: phone/email/postal address^[Note 1];

679 Second authoritative PoC, details as above;

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

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

683 Second service provision PoC, details as above;

685 State all jurisdictions in which the service is offered, primary first – give country^[Note 2] and
 686 state/region where applicable^[Note 3];

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

687 Applicable SAC:

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

693 CM-SAC
 694
 695 (note validation requirements)

696 Applicable Assurance Levels:

697 AL1 [Note 7]
 698 AL2
 699 AL3
 700 AL4

701 Details of service for which approval is being sought:

702 [Note 8], [Note 5],[Note 6]
 703

704 Fee payment Reference [Note 9]

705 Terms of the Kantara [Service Provider Agreement](#) accepted & signed [Note 10]
 706

707 Notes to the above:

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

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

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

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

747 **6.5 Basis of Evaluation**

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

753 **6.6 Agreement document**

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

758 **6.7 Specific Evaluation Steps**

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

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

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

772 When the KAR indicates that the assessment has been successful it shall be added to the
773 evaluation package which shall then be passed to the ARB, per Part I clause 4.1, step
774 (10).

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

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

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

785 Withdrawal of an application constitutes termination, which is addressed in Part I clause
786 4.5.

787 **6.8 Annual Conformity Review**

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

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

794 **6.8.1 ACR (Approved Service) form**

795 **Kantara IAF Assurance Assessment Scheme**

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

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

799 CO-SAC [Note 1]
800 ID-SAC
801 CM-SAC

(note validation requirements)

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

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

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

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

808 Management Assertion:

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

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

815 Signed:

816 «Grantee's electronic seal»

817

818 Notes to the above:

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

826 **6.9 Assessment of Services**

827 **6.9.1 Contracting for Assessment**

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

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

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

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

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

852 **6.9.2 Performing the Assessment**

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

- 859 1. SPA, counter-signed by Kantara Initiative;
- 860 2. S3A;

861 3. supporting documentation demonstrating its compliance with the applicable
862 SAC.

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

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

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

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

878 **7 EVALUATION: ACCREDITED ASSESSOR**

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

881 **7.1 Overview**

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

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

891 **7.2 Type of Grant**

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

894 **7.3 Authoritative Body**

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

897 **7.4 Application document**

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

900 The application includes the agreement document.

901 **7.4.1 Application format**

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

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

907 Name of applicant organization;

908 Any 'DBA' aliases;

909

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

912 Contact details for above person: phone/email/postal address^[Note 1];

913 Second authoritative PoC, details as above;

914

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

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

917 Second service provision PoC, details as above;

918

919 State all jurisdictions in which services are offered, primary first – give country^[Note 2] and
920 state/region where applicable^[Note 3];

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

921

922 Prior Qualifications claimed:

923 AICPA ^[Note 4]

924 ^{[Note 5],[Note 6]}

925 ISACA/CISA

926

927 IRCA

928

929 IS 19011

930

931 IS 17021

932

933 IS 27006

934

935

(note validation requirements)

936 Applicable Assurance Levels:

937 AL1 ^[Note 7]

938 AL2

939 AL3

940 AL4

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

- 981 most favorable, i.e. > >). Set the ‘Evidence’ field as indicated (noting that
982 calls for no evidence, that being provided by the evidence of qualification);
- 983 10. a separate payment function which will generate a unique reference by which the
984 payment can be mapped to the application – link to the payment page if not
985 previously paid. No payment, no submission;
- 986 11. defaults to ; present the text of the LA3 for review and explicitly require it all to
987 be scanned-through before requiring an affirmative response which shall be
988 captured and used to set this entry to ;
- 989 12. the form should provide context-sensitive help;
- 990 13. common sense should prevail whenever and wherever possible – e.g., if the
991 Applicant declines to commit to the LA3, they should at least be asked whether
992 they know what they’re doing and that the Application will be closed if they
993 decline. If they still choose to decline, well
- 994 On submission of the application the web-based application should capture the
995 Applicant’s inputs, gather the identified files and prepare a package to be sent to the
996 Kantara Secretariat. After packaging but prior to the point at which it is submitted require
997 the Applicant to electronically sign the submission and to seal it using Kantara’s
998 applicable public key. This will provide (primarily) confidentiality protection of the
999 Applicant’s information whilst it is being transmitted to the Kantara Secretariat.
- 1000 On receipt the application package shall be stored separately from any other applicant’s
1001 data. There shall be an application available to the Secretariat to select Applications by
1002 reference and to represent the material as seen by the Applicant, with the applicable
1003 evidential files available.

1004 **7.5 Basis of Evaluation**

1005 The Kantara IAF [Assessor Qualifications & Experience Requirements](#) (AQER) shall be
1006 the basis against which the application is evaluated.

1007 **7.6 Agreement document**

1008 The agreement document required when submitting an application for accreditation is the
1009 [Kantara-Accredited Assessor’s Agreement](#) (LA3). This document will be automatically
1010 called-up during the on-line application submission process, which cannot proceed
1011 without acceptance of the LA3’s Terms and Conditions.

1012 **7.6.1 Agreement Terms**

1013 This Agreement (hereafter LA3) establishes Kantara’s and the Assessor’s mutual
1014 obligations from the time of the Applicant first submitting their application, and during
1015 and after any grant of accredited status and serves also as a Trade-Mark License
1016 Agreement (TMLA).

1017 **7.6.1.1 Maintaining Conformity**

1018 «Applicant» undertakes to, at all times during the processing of its application, any period
1019 during which it is the beneficiary of a Grant of Rights of Use and after any expiry or
1020 termination of either the Grant of Kantara Accreditation or of its application for said
1021 Grant:

- 1022 1. maintain its conformity to the Kantara Initiative AAS Requirements set forth in
1023 this document or as may be subsequently revised and notified to «Applicant»;
- 1024 2. in the event that any material⁸ divergence from conformity arises, take steps to
1025 regain conformity within a period of three months and notify the Secretariat of the
1026 divergence, stating the applicable Requirements and the corrective actions being
1027 taken;
- 1028 3. within one month of resolving any material divergence, submit to the Secretariat
1029 any revised evidential material;
- 1030 4. maintain, organizationally and individually, all applicable prior qualifications on
1031 which the Grant of Accreditation is based;
- 1032 5. provide the Secretariat with copies of evidence of prior qualification renewal
1033 which shows continuity of qualification;
- 1034 6. immediately following initial accreditation and at any change thereafter, provide
1035 to the Secretariat the names and qualifications of those personnel who may
1036 perform assessments for the purposes of Kantara-recognized Certification.

1037 **7.6.1.2 Use of the Kantara Initiative Mark**

1038 «Applicant» may use the Kantara Initiative Mark as provided in its seal of accreditation
1039 only in respect of those certification assessments falling within the scope of their Grant.
1040 «Applicant» understands that Kantara Initiative shall consider any abuse of this
1041 restriction a sufficient misdemeanor to justify revocation of the accreditation, subject to

⁸ 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.

1042 due notification and appeal, and that Kantara Initiative has the rights to invoke such
1043 action if it deems it necessary.

1044 7.6.1.3 Client engagement and record

1045 «Applicant» undertakes to require in any client (i.e. Subscriber) engagement:

- 1046 1. identification of the applicable SACs and the Assurance Level(s) at which the
1047 service is offered;
- 1048 2. the Subject’s commitment to terms which shall include clauses which achieve the
1049 equivalent to those in this agreement;

1050 and to retain securely the evidential material submitted by the Subject for a minimum
1051 period of twelve months after termination of the certification⁹.

1052 «Applicant» shall require the following information from the Subject when initiating a
1053 new assessment:

1054 [«highlighted sections of relevance purely for the CSP application for certification»
1055 For each service to be assessed:
1056 Name of service & service type^[1]:
1057 SACs against which conformity is claimed: CO-SAC ^[2] ID-SAC CM-
1058 SAC
1059 Highest Assurance Level at which the service is offered:^[3] AL1 AL2 AL3
1060 AL4
1061]

1062

1063 Notes to the above:

- 1064 1. ‘Service type’ requires consideration from a number of viewpoints:
- 1065 a. a number of services which go beyond simple credentialing exist or are
1066 coming into existence, so a broader set of types than presently addressed
1067 by the SACs may be desirable;
- 1068 b. consideration should be given to the service types defined in [ETSI_TSL]
1069 and used where congruent with those addressed by Kantara Initiative, with
1070 any new services identified having to be integrated through any TSL
1071 implementation;
- 1072 c. Kantara Initiative needs consistency across all its Accredited Assessors to
1073 ensure service types can be collectively identified at the highest level and
1074 therefore Kantara needs to lead on this.

⁹ 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.

- 1075 2. 'CO-SAC' is required by default – option to select or for the other two;
1076 3. defaults blank - User must select one – when one is selected, set it and any lower
1077 ALs to , all higher to . Allow re-selection, fill as defined.

1078 **7.7 Specific Evaluation steps**

1079 When initially validating the application the Secretariat shall apply the following specific
1080 steps in executing Part I clause 4.1, step (6):

- 1081 a) Documents which assert qualifications on which are based claims of 'credit' with
1082 regard to Accreditation requirements shall first of all be validated. Validation
1083 shall be either by visual inspection, or online (e.g. authentication of issuer's seal
1084 or validation against a recognized registry). Currency and longevity of these
1085 qualifications shall be validated and those having less than three months
1086 remaining validity shall not be validation;
- 1087 b) Claims of 'credit' based on validated prior qualifications shall be recognized,
1088 subject to any qualifications applied by Kantara Initiative;
- 1089 c) On a per requirement basis:
- 1090 ii) Validated unqualified credit shall be granted without question (unless
1091 exceptional circumstances prevail);
- 1092 iii) Validated qualified credit shall be assessed to ensure that supporting
1093 evidence provided fulfills the requirement;
- 1094 iv) For any other requirement, ensure that supporting evidence provided fulfills
1095 the requirement.

1096 In ensuring that supporting evidence provided fulfills each requirement (Part I, clause
1097 4.2) the ARB shall apply whatever measures and expectations it considers reasonable.
1098 Whilst guidance is given for each AQER clause the ARB is in no sense constrained by the
1099 scope of that guidance and shall assess any material provided by the Applicant in support
1100 of its compliance. The ARB may, furthermore, ask for clarification or additional
1101 evidence in support of the application where it finds wanting the material submitted.

1102 **7.8 Annual Conformity Review**

1103 The schedule maintained by the Secretariat shall record the expiration dates of any Prior
1104 Qualifications and shall seek from the Grantee evidence of renewal, as dates fall due.

1105 The use of an ACR as a consistency audit covering the preceding twelve months will rest
1106 largely upon the fact that oversight provisions of Prior Qualifications (which most
1107 Accredited Assessors are anticipated to rely upon) are themselves performing sufficient
1108 oversight.

1109 **7.8.1 ACR (Accredited Assessor) form**

1110 **Kantara Initiative IAF Assurance Assessment Scheme**

1111 Annual Conformity Review (Accredited Assessor) ref. «GrantId»:ACR#yy-mm

1112 «Grantee» (i.e. its name)

1113 This accreditation is based on the following Prior Qualifications (PQ) – «Grantee»
1114 confirms hereby that these PQs have continuing currency and will expire on the
1115 given date(s)
1116 (individual staff need not be individually accounted for).

1117 Prior Qualifications claimed:

	Current	Expires/Next review
1118 AICPA	<input checked="" type="checkbox"/> ^[1]	20yy-mm-dd
1119 ISACA/CISA	<input checked="" type="checkbox"/>	20yy-mm-dd
1120 IRCA	<input checked="" type="checkbox"/>	20yy-mm-dd
1121 IS 19011	<input checked="" type="checkbox"/>	20yy-mm-dd
1122 IS 17021	<input checked="" type="checkbox"/>	20yy-mm-dd
1123 IS 27006	<input checked="" type="checkbox"/>	20yy-mm-dd

1124 «Secretariat to tailor the above list to represent the facts»

1127 Cite any divergences reported by «Grantee», giving date and reference applied by
1128 Kantara Initiative
1129

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

1130 Cite any actions instigated through Kantara Initiative against your organization or
1131 services, giving date and reference applied by Kantara Initiative
1132

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

1133 Management Assertion:
1134

1135 «Grantee»'s management, as represented by «APoC's name», asserts hereby that,
1136 during the period 20yy-mm-dd to 20yy-mm-dd, it maintained:

- 1137 a) its compliance to all applicable terms of the LA3 and its Grant of Accreditation;
- 1138 b) its conformity to the Requirements set forth in the Kantara AQER v«state
1139 applicable version»;
- 1140 c) organizationally and individually, all applicable prior qualifications on which its
1141 Grant of Accreditation is based, in each case [without|subject to the] material
1142 divergence or action[|s identified above].

1143 Signed:

1144 «Grantee's electronic seal»

1145

1146 Notes to the above:

- 1147 4. Defaults to , making Applicant positively select any Prior Qualifications (PQ),
1148 in which case becomes . Each PQ option is independent of the others. If
1149 selected (i.e.) a date must be entered;
- 1150 5. Form should have provision for additional entries to be added, although hopefully
1151 not too many. Otherwise fix at four but allow others to be provided separately.

1152 7.9 Performing the Assessment

1153 7.9.1 Process

1154 Assessors shall require CSP's to submit the following documents as the minimum set
1155 required for an assessment for the purposes of supporting an application for Kantara
1156 Initiative Approval. The assessor may have its own processes which require additional
1157 submissions from the CSP which will be matter of private contract between them. This
1158 clause primarily addresses the responsibilities which Accredited Assessors have in
1159 performing a Kantara assessment. The CSP's minimum document set is its:

- 1160 1. [Service Provider Agreement](#) (SPA), counter-signed by Kantara Initiative;
- 1161 2. [Specification of a Service Subject to Assessment](#) (S3A);
- 1162 3. supporting documentation demonstrating its compliance with the applicable SAC
1163 (may be in the S3A).

1164 The assessor shall then perform the assessment according to the terms of its
1165 accreditations and its defined processes.

1166 At the conclusion of the assessment the Assessor shall prepare a [Kantara Assessment](#)
1167 [Report](#). This report may be a separate document prepared for Kantara's consumption or
1168 may be a document with wider applicability, subject only to fulfilling at least the
1169 requirements for a KAR.

1170 A KAR shall always be required, irrespective of whether the CSP withdraws from the
1171 assessment, concludes the assessment but fails to demonstrate its conformity as required
1172 or succeeds in gaining certification from its assessor. Only in the last of these possible
1173 outcomes (successful certification) will Kantara Initiative exercise its right to make
1174 public that information from the S3A that is specified as being for publication. All other
1175 information and all other outcomes Kantara Initiative shall retain as confidential under
1176 the terms of the SPA.

1177 (Even in the case of withdrawal of the CSP, provision of the KAR will allow Kantara
1178 Initiative to close the processing of the application for recognition.)

1179 **8 EVALUATION: SERVICE APPROVAL AUTHORITY**

1180 This clause describes aspects of the application and evaluation processes which are
1181 specific to Kantara Initiative Service Approval Authorities.

1182 **Editor's Note – this section addresses an area out of scope of the present drafting**
1183 **objectives and a future work item for the IAWG. Elementary 'boiler-plate' text has been**
1184 **provided but the detail elements of the process and specific requirements to be eligible for**
1185 **the Grant have not been addressed in detail, and certainly not resolved.**

1186 **8.1 Overview**

1187 Kantara Initiative will grant a non-transferable, non-exclusive, right to use the Kantara
1188 Initiative Mark in connection with an organization's operation as an approval authority
1189 for CSP services. This type of grant shall only be made to an Assessor which already
1190 holds or receives at the same time a Grant of Kantara-Accredited Assessor status, and the
1191 Service Approval Authority (SAA) shall approve only those services which it itself
1192 certifies.

1193 Approval shall be conditional upon the CSP submitting to the SAA a formal application
1194 regarding the services in question, agreeing to the terms of the appropriate Agreement,
1195 paying the applicable fee and gaining certification of the services in question after having
1196 them assessed by the Kantara-Accredited Assessor service operated by the SAA
1197 organization.

1198 **8.2 Type of Grant**

1199 The type of Grant shall be that of a Kantara Service Approval Authority, denoted by the
1200 «type» field in the Grant Id being 'SAA'.

1201 **8.3 Authoritative Body**

1202 The Authoritative Body for granting such status is the Kantara Initiative Board of
1203 Trustees, exclusively.

1204 **8.4 Application document**

1205 Applications shall be submitted using the on-line [Application for Service Approval](#)
1206 [Authority](#) form ('application', for the purposes of this clause).

1207 The application includes the agreement document.

1208 **8.5 Basis of Evaluation**

1209 The Kantara IAF [Service Approval Authority Requirements](#) (SAAR) shall be the basis
1210 against which the application is evaluated.

1211 **8.6 Agreement document**

1212 The agreement document required when submitting an application is the [Kantara Service](#)
1213 [Approval Authority's Agreement](#) (SA3). This document will be automatically called-up
1214 during the application submission process, which cannot proceed without acceptance of
1215 the SA3's Terms and Conditions.

1216 **8.7 Specific Evaluation steps**

1217 Editor's Note – None yet determined.

1218 **8.8 Annual Conformity Review**

1219 To be determined.

1220 **9 EVALUATION: RECOGNIZED FEDERATION OPERATOR**

1221 This clause describes aspects of the application and evaluation processes which are
1222 specific to Kantara-Recognized Federation Operators.

1223 **Editor's Note – this section addresses an area out of scope of the present drafting**
1224 **objectives that is currently in development within the IAWG. Elementary ‘boiler-plate’**
1225 **text has been provided but the detail elements of the process and specific requirements to**
1226 **be eligible for the Grant have not been addressed in detail, and certainly not resolved.**

1227 **9.1 Overview**

1228 Kantara Initiative will grant a non-transferable, non-exclusive, right to use the Kantara
1229 Initiative Mark in connection with a Federation Operator and its community conditional
1230 upon the FO submitting a formal application regarding the services in question, agreeing to
1231 the terms of the appropriate Agreement, paying the applicable fee and gaining
1232 recognition of its operations.

1233 Kantara-Recognized Federation Operators, and by extension their communities, are
1234 bound by their agreement with Kantara to extend mutual recognition to all services
1235 operated and credentials issued under the Kantara Initiative Mark, whether from within
1236 their own community, from within other Kantara-Recognized Federations or operated
1237 independently under the Kantara Initiative Mark.

1238 **9.2 Type of Grant**

1239 The type of Grant shall be that of a Kantara-Recognized Federation Operator, denoted by
1240 the «type» field in the Grant Id being ‘FED’.

1241 **9.3 Authoritative Body**

1242 The Authoritative Body for granting such status is the Kantara Initiative Board of
1243 Trustees, exclusively.

1244 **9.4 Application document**

1245 Applications shall be submitted using the on-line [Application for Kantara Recognition](#)
1246 form (‘application’, for the purposes of this clause).

1247 The application includes the agreement document.

1248 **9.5 Basis of Evaluation**

1249 The Kantara IAF [Federation Operator Rules & Guidance](#) (FORG) shall be the basis
1250 against which the application is evaluated.

1251 **9.6 Agreement document**

1252 The agreement document required when submitting an application for recognition is the
1253 [Kantara-Recognized Federation Operator's Agreement](#) (RFOA). This document will be
1254 automatically called-up during the on-line application submission process, which cannot
1255 proceed without acceptance of the RFOA's Terms and Conditions.

1256 **9.7 Specific Evaluation steps**

1257 Editor's Note – None yet determined.

1258 **9.8 Annual Conformity Review**

1259 To be determined.

1260

1261

1262

Revision History

- 1263
- 1264 1. 8May2008 – Identity Assurance Framework Version 1.0 Initial Draft
- 1265 a. Released by Liberty Alliance
- 1266 b. Revision and scoping of Initial Draft release
- 1267 2. 23JUNE 2008 – Identity Assurance Framework Version 1.1 Final Draft
- 1268 a. Released by Liberty Alliance
- 1269 b. Inclusion of comments to Final Draft
- 1270 3. 1OCTOBER2009 – Identity Assurance Framework Version 1.1 Final Draft
- 1271 a. Documents contributed to Kantara Initiative by Liberty Alliance
- 1272 4. XAPRIL2010 – Identity Assurance Framework Version 2.0
- 1273 a. Released by Kantara Initiative
- 1274 b. Significant scope build
- 1275 c. Original Identity Assurance Framework all inclusive document broken in
- 1276 to a set of documents with specific focus:
- 1277 i. Kantara IAF-1000-Overview
- 1278 ii. Kantara IAF-1100-Glossary
- 1279 iii. Kantara IAF-1200-Levels of Assurance
- 1280 iv. Kantara IAF-1300-Assurance Assessment Scheme
- 1281 v. Kantara IAF-1400-Service Assessment Criteria
- 1282 vi. Kantara IAF-1600-Assessor Qualifications and Requirements
- 1283