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

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14 added prior to the final release of this document.

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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134 **1 INTRODUCTION**

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

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

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

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

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

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

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

168 **1.1 Reference to Authoritative Bodies**

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

173 **1.2 Summary of Grant Categories and Evaluation**

174

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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177 **2 GLOSSARY**

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

- | | | |
|-----|--------------------------|---|
| 181 | Grant Category | One of the specific purposes for which the Kantara Initiative |
| 182 | | Mark may be used by a third party, being one of: |
| 183 | | ● Approved Service; |
| 184 | | ● Accredited Assessor; |
| 185 | | ● Service Approval Authority; |
| 186 | | ● Certified Federation Operator. |
| 187 | Grant (of Rights of Use) | The Granting, by the Kantara Initiative Board of Trustees |
| 188 | | (KIBoT), or another authoritative body to which the KIBoT |
| 189 | | has given a delegated authority (itself via a Grant), to use of |
| 190 | | the Kantara Initiative Mark for a specific Grant Category. |
| 191 | Grantee | An organization to which a Grant of Rights of Use of the |
| 192 | | Kantara Initiative Mark has been awarded. |

193 **3 REVIEW BOARD AND SECRETARIAT**

194 **3.1 Authoritative Bodies**

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

199 **3.1.1 Assurance Review Board**

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

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

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

211 **3.1.2 Assessors as Authoritative Bodies**

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

217 **3.1.3 Service Approval Authorities as Authoritative Bodies**

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

222 **3.2 Secretariat**

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

230 **4 GENERAL ASSESSMENT RESPONSIBILITIES &** 231 **PROCEDURES**

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

234 **4.1 Receipt of Applications**

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

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

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

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

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

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

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

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

288 **4.2 Evaluation of Applications**

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

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

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

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

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

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

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

334 **4.3 Grant of Rights of Use (to the Kantara Initiative Mark)**

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

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

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

360 **4.4 Appeal of Decision**

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

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

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

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

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

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

389 **4.5 Termination of Application**

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

- 391 1. if at any time during the receipt of an application, the Applicant either chooses to
392 withdraw its application or fails to fulfill any justifiable requests made of it by the
393 Secretariat within three weeks of the request (or within any other timescale which
394 the Secretariat accepts);
- 395 2. if, during the processing of an application, the ARB considers that the Applicant
396 does not fulfill the requirements, in fact or in spirit, and on being so advised the
397 Applicant chooses to voluntarily withdraw their application;
- 398 3. in the event that an Application and any subsequent appeal is denied.
- 399 On termination of an application the Secretariat shall:
- 400 4. advise the APoC in writing of the termination, giving the reasons why;
- 401 5. allow a period of two weeks, within which (where no right of appeal has been
402 exhausted) any notice of intention to appeal the termination must be received so
403 as to be processed, and in the absence of any such notification (or after a final
404 decision denying an appeal) and within a further two-week period, destroy all
405 record of and documents related to the application, save the basic administrative
406 data required to record the fact that an application was received in the name of the
407 Applicant and terminated for the reasons determined, which shall be recorded,
408 including record of the date, time and means of notice of termination and of the
409 destruction of related materials⁴, ensuring that the Applicant receives a written
410 confirmation that their protected materials have been securely disposed-off.
- 411 6. return any fees due (refer to [Schedule of Fees and Related Terms](#)).

412 **4.6 Oversight of Grantees**

413 Oversight of Grantees shall be effected by:

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

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

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

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

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

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

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

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

4.7 Revocation of Grant

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

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

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

On revocation of Grant status the Secretariat shall:

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

486

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.

487 **4.8 Annual Conformity Review**

488 **4.8.1 Introduction**

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

497 **4.8.2 Process**

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

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

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

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

522 **5 APPLICANT'S GENERAL RESPONSIBILITIES AND ACTIONS**

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

528 **5.1 Submission of Applications**

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

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

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

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

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

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

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

554 **5.2 Assessment of Applications**

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

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

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

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

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

571 **5.3 On Receiving a Grant of Rights of Use (to the Kantara** 572 **Initiative Mark)**

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

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

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

589 **5.4 Right of Appeal**

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

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

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

600 Applicants need not appeal against an unconditional Grant.

601 **5.5 Termination of Application**

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

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

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

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

613 **5.6 Response to Oversight**

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

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

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

624 **5.7 Revocation of Grant**

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

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

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

631 Under certain circumstances the Applicant may be eligible for the return of fees (refer to
632 [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.

633 **6 EVALUATION: APPROVED SERVICE**

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

636 **6.1 Overview**

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

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

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

647 **6.2 Type of Grant**

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

650 **6.3 Authoritative Body**

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

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

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

659 **6.4 Application document**

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

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

666 **6.4.1 Application format**

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

672 Name of applicant organization;

673 Any ‘DBA’ aliases / informational uri;

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

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

678 Second authoritative PoC, details as above;

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

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

682 Second service provision PoC, details as above;

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

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

686 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"/>		

692 CM-SAC address of local doc(s) to be uploaded with the
693 application
694 (note validation requirements)

695 Applicable Assurance Levels:

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

700 Details of service for which approval is being sought:

701 address of local doc(s) to be uploaded with the application; [Note 8], [Note 5],[Note 6]
702

703 Fee payment Reference [Note 9]

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

706 Notes to the above:

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

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

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

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

746 **6.5 Basis of Evaluation**

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

752 **6.6 Agreement document**

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

757 **6.7 Specific Evaluation Steps**

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

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

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

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

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

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

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

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

786 **6.8 Annual Conformity Review**

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

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

793 **6.8.1 ACR (Approved Service) form**

794 **Kantara IAF Assurance Assessment Scheme**

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

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

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

(note validation requirements)

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

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

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

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

807 Management Assertion:

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

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

814 Signed:

815 «Grantee's electronic seal»

816

817 Notes to the above:

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

825 **6.9 Assessment of Services**

826 **6.9.1 Contracting for Assessment**

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

829 On receipt of the counter-signed SPA the CSP should select and contract with a Kantara-
830 Accredited Assessor, in order to have their service(s) assessed. Kantara Initiative will
831 maintain and publish a list of Accredited Assessors in the [Kantara Trust Status List](#).
832 Assessors will not engage with a CSP for the purposes of assessing for conformity to the
833 SAC unless the CSP provides copy of its SPA, counter-signed by Kantara Initiative.

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

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

851 **6.9.2 Performing the Assessment**

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

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

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

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

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

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

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

877 **7 EVALUATION: ACCREDITED ASSESSOR**

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

880 **7.1 Overview**

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

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

890 **7.2 Type of Grant**

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

893 **7.3 Authoritative Body**

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

896 **7.4 Application document**

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

899 The application includes the agreement document.

900 **7.4.1 Application format**

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

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

906 Name of applicant organization;

907 Any 'DBA' aliases;

908

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

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

912 Second authoritative PoC, details as above;

913

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

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

916 Second service provision PoC, details as above;

917

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

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

920

921 Prior Qualifications claimed:

- 922 AICPA ^[Note 4]
 923 ^{[Note 5],[Note 6]}
- 924 ISACA/CISA
 925
- 926 IRCA
 927
- 928 IS 19011
 929
- 930 IS 17021
 931
- 932 IS 27006
 933

(note validation requirements)

935 Applicable Assurance Levels:

- 936 AL1 ^[Note 7]
- 937 AL2
- 938 AL3
- 939 AL4

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

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

1003 **7.5 Basis of Evaluation**

1004 The Kantara IAF [Assessor Qualifications & Experience Requirements](#) (AQER) shall be
1005 the basis against which the application is evaluated.

1006 **7.6 Agreement document**

1007 The agreement document required when submitting an application for accreditation is the
1008 [Kantara-Accredited Assessor’s Agreement](#) (LA3). This document will be automatically
1009 called-up during the on-line application submission process, which cannot proceed
1010 without acceptance of the LA3’s Terms and Conditions.

1011 **7.6.1 Agreement Terms**

1012 This Agreement (hereafter LA3) establishes Kantara’s and the Assessor’s mutual
1013 obligations from the time of the Applicant first submitting their application, and during
1014 and after any grant of accredited status and serves also as a Trade-Mark License
1015 Agreement (TMLA).

1016 **7.6.1.1 Maintaining Conformity**

1017 «Applicant» undertakes to, at all times during the processing of its application, any period
1018 during which it is the beneficiary of a Grant of Rights of Use and after any expiry or
1019 termination of either the Grant of Kantara Accreditation or of its application for said
1020 Grant:

- 1021 1. maintain its conformity to the Kantara Initiative AAS Requirements set forth in
1022 this document or as may be subsequently revised and notified to «Applicant»;
- 1023 2. in the event that any material⁸ divergence from conformity arises, take steps to
1024 regain conformity within a period of three months and notify the Secretariat of the
1025 divergence, stating the applicable Requirements and the corrective actions being
1026 taken;
- 1027 3. within one month of resolving any material divergence, submit to the Secretariat
1028 any revised evidential material;
- 1029 4. maintain, organizationally and individually, all applicable prior qualifications on
1030 which the Grant of Accreditation is based;
- 1031 5. provide the Secretariat with copies of evidence of prior qualification renewal
1032 which shows continuity of qualification;
- 1033 6. immediately following initial accreditation and at any change thereafter, provide
1034 to the Secretariat the names and qualifications of those personnel who may
1035 perform assessments for the purposes of Kantara-recognized Certification.

1036 **7.6.1.2 Use of the Kantara Initiative Mark**

1037 «Applicant» may use the Kantara Initiative Mark as provided in its seal of accreditation
1038 only in respect of those certification assessments falling within the scope of their Grant.
1039 «Applicant» understands that Kantara Initiative shall consider any abuse of this
1040 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.

1041 due notification and appeal, and that Kantara Initiative has the rights to invoke such
1042 action if it deems it necessary.

1043 **7.6.1.3 Client engagement and record**

1044 «Applicant» undertakes to require in any client (i.e. Subscriber) engagement:

- 1045 1. identification of the applicable SACs and the Assurance Level(s) at which the
1046 service is offered;
- 1047 2. the Subject’s commitment to terms which shall include clauses which achieve the
1048 equivalent to those in this agreement;

1049 and to retain securely the evidential material submitted by the Subject for a minimum
1050 period of twelve months after termination of the certification⁹.

1051 «Applicant» shall require the following information from the Subject when initiating a
1052 new assessment:

1053 *[«highlighted sections of relevance purely for the CSP application for certification»*
1054 *For each service to be assessed:*
1055 *Name of service & service type^[1]:*
1056 *SACs against which conformity is claimed: CO-SAC ^[2] ID-SAC CM-*
1057 *SAC*
1058 *Highest Assurance Level at which the service is offered:^[3] AL1 AL2 AL3*
1059 *AL4*
1060 *]*

1061

1062 Notes to the above:

- 1063 1. ‘Service type’ requires consideration from a number of viewpoints:
- 1064 a. a number of services which go beyond simple credentialing exist or are
1065 coming into existence, so a broader set of types than presently addressed
1066 by the SACs may be desirable;
- 1067 b. consideration should be given to the service types defined in [ETSI_TSL]
1068 and used where congruent with those addressed by Kantara Initiative, with
1069 any new services identified having to be integrated through any TSL
1070 implementation;
- 1071 c. Kantara Initiative needs consistency across all its Accredited Assessors to
1072 ensure service types can be collectively identified at the highest level and
1073 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.

- 1074 2. ‘CO-SAC’ is required by default – option to select or for the other two;
1075 3. defaults blank - User must select one – when one is selected, set it and any lower
1076 ALs to , all higher to . Allow re-selection, fill as defined.

1077 **7.7 Specific Evaluation steps**

1078 When initially validating the application the Secretariat shall apply the following specific
1079 steps in executing Part I clause 4.1, step (6):

- 1080 a) Documents which assert qualifications on which are based claims of ‘credit’ with
1081 regard to Accreditation requirements shall first of all be validated. Validation
1082 shall be either by visual inspection, or online (e.g. authentication of issuer’s seal
1083 or validation against a recognized registry). Currency and longevity of these
1084 qualifications shall be validated and those having less than three months
1085 remaining validity shall not be validation;
- 1086 b) Claims of ‘credit’ based on validated prior qualifications shall be recognized,
1087 subject to any qualifications applied by Kantara Initiative;
- 1088 c) On a per requirement basis:
- 1089 ii) Validated unqualified credit shall be granted without question (unless
1090 exceptional circumstances prevail);
- 1091 iii) Validated qualified credit shall be assessed to ensure that supporting
1092 evidence provided fulfills the requirement;
- 1093 iv) For any other requirement, ensure that supporting evidence provided fulfills
1094 the requirement.

1095 In ensuring that supporting evidence provided fulfills each requirement (Part I, clause
1096 4.2) the ARB shall apply whatever measures and expectations it considers reasonable.
1097 Whilst guidance is given for each AQER clause the ARB is in no sense constrained by the
1098 scope of that guidance and shall assess any material provided by the Applicant in support
1099 of its compliance. The ARB may, furthermore, ask for clarification or additional
1100 evidence in support of the application where it finds wanting the material submitted.

1101 **7.8 Annual Conformity Review**

1102 The schedule maintained by the Secretariat shall record the expiration dates of any Prior
1103 Qualifications and shall seek from the Grantee evidence of renewal, as dates fall due.

1104 The use of an ACR as a consistency audit covering the preceding twelve months will rest
1105 largely upon the fact that oversight provisions of Prior Qualifications (which most
1106 Accredited Assessors are anticipated to rely upon) are themselves performing sufficient
1107 oversight.

1108 **7.8.1 ACR (Accredited Assessor) form**

1109 **Kantara Initiative IAF Assurance Assessment Scheme**

1110 Annual Conformity Review (Accredited Assessor) ref. «GrantId»:ACR#yy-mm

1111 «Grantee» (i.e. its name)

1112 This accreditation is based on the following Prior Qualifications (PQ) – «Grantee»
 1113 confirms hereby that these PQs have continuing currency and will expire on the
 1114 given date(s)
 1115 (individual staff need not be individually accounted for).

1116 Prior Qualifications claimed:

	Current	Expires/Next review
1117 AICPA	<input checked="" type="checkbox"/> ^[1]	20yy-mm-dd
1118 ISACA/CISA	<input checked="" type="checkbox"/>	20yy-mm-dd
1119 IRCA	<input checked="" type="checkbox"/>	20yy-mm-dd
1120 IS 19011	<input checked="" type="checkbox"/>	20yy-mm-dd
1121 IS 17021	<input checked="" type="checkbox"/>	20yy-mm-dd
1122 IS 27006	<input checked="" type="checkbox"/>	20yy-mm-dd

1123 «Secretariat to tailor the above list to represent the facts»
 1124
 1125

1126 Cite any divergences reported by «Grantee», giving date and reference applied by
 1127 Kantara Initiative
 1128

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

1129 Cite any actions instigated through Kantara Initiative against your organization or
 1130 services, giving date and reference applied by Kantara Initiative
 1131

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

1132 Management Assertion:
 1133

1134 «Grantee»'s management, as represented by «APoC's name», asserts hereby that,
 1135 during the period 20yy-mm-dd to 20yy-mm-dd, it maintained:

- 1136 a) its compliance to all applicable terms of the LA3 and its Grant of Accreditation;
- 1137 b) its conformity to the Requirements set forth in the Kantara AQER v«state
 1138 applicable version»;
- 1139 c) organizationally and individually, all applicable prior qualifications on which its
 1140 Grant of Accreditation is based, in each case [without|subject to the] material
 1141 divergence or action[|s identified above].

1142 Signed:

1143 «Grantee's electronic seal»

1144

1145 Notes to the above:

- 1146 4. Defaults to , making Applicant positively select any Prior Qualifications (PQ),
1147 in which case becomes . Each PQ option is independent of the others. If
1148 selected (i.e.) a date must be entered;
- 1149 5. Form should have provision for additional entries to be added, although hopefully
1150 not too many. Otherwise fix at four but allow others to be provided separately.

1151 7.9 Performing the Assessment

1152 7.9.1 Process

1153 Assessors shall require CSP's to submit the following documents as the minimum set
1154 required for an assessment for the purposes of supporting an application for Kantara
1155 Initiative Approval. The assessor may have its own processes which require additional
1156 submissions from the CSP which will be matter of private contract between them. This
1157 clause primarily addresses the responsibilities which Accredited Assessors have in
1158 performing a Kantara assessment. The CSP's minimum document set is its:

- 1159 1. [Service Provider Agreement](#) (SPA), counter-signed by Kantara Initiative;
- 1160 2. [Specification of a Service Subject to Assessment](#) (S3A);
- 1161 3. supporting documentation demonstrating its compliance with the applicable SAC
1162 (may be in the S3A).

1163 The assessor shall then perform the assessment according to the terms of its
1164 accreditations and its defined processes.

1165 At the conclusion of the assessment the Assessor shall prepare a [Kantara Assessment](#)
1166 [Report](#). This report may be a separate document prepared for Kantara's consumption or
1167 may be a document with wider applicability, subject only to fulfilling at least the
1168 requirements for a KAR.

1169 A KAR shall always be required, irrespective of whether the CSP withdraws from the
1170 assessment, concludes the assessment but fails to demonstrate its conformity as required
1171 or succeeds in gaining certification from its assessor. Only in the last of these possible
1172 outcomes (successful certification) will Kantara Initiative exercise its right to make
1173 public that information from the S3A that is specified as being for publication. All other
1174 information and all other outcomes Kantara Initiative shall retain as confidential under
1175 the terms of the SPA.

1176 (Even in the case of withdrawal of the CSP, provision of the KAR will allow Kantara
1177 Initiative to close the processing of the application for recognition.)

1178 **8 EVALUATION: SERVICE APPROVAL AUTHORITY**

1179 This clause describes aspects of the application and evaluation processes which are
1180 specific to Kantara Initiative Service Approval Authorities.

1181 **Editor's Note** – this section addresses an area out of scope of the present drafting
1182 objectives and a future work item for the IAWG. Elementary 'boiler-plate' text has been
1183 provided but the detail elements of the process and specific requirements to be eligible for
1184 the Grant have not been addressed in detail, and certainly not resolved.

1185 **8.1 Overview**

1186 Kantara Initiative will grant a non-transferable, non-exclusive, right to use the Kantara
1187 Initiative Mark in connection with an organization's operation as an approval authority
1188 for CSP services. This type of grant shall only be made to an Assessor which already
1189 holds or receives at the same time a Grant of Kantara-Accredited Assessor status, and the
1190 Service Approval Authority (SAA) shall approve only those services which it itself
1191 certifies.

1192 Approval shall be conditional upon the CSP submitting to the SAA a formal application
1193 regarding the services in question, agreeing to the terms of the appropriate Agreement,
1194 paying the applicable fee and gaining certification of the services in question after having
1195 them assessed by the Kantara-Accredited Assessor service operated by the SAA
1196 organization.

1197 **8.2 Type of Grant**

1198 The type of Grant shall be that of a Kantara Service Approval Authority, denoted by the
1199 «type» field in the Grant Id being 'SAA'.

1200 **8.3 Authoritative Body**

1201 The Authoritative Body for granting such status is the Kantara Initiative Board of
1202 Trustees, exclusively.

1203 **8.4 Application document**

1204 Applications shall be submitted using the on-line [Application for Service Approval](#)
1205 [Authority](#) form ('application', for the purposes of this clause).

1206 The application includes the agreement document.

1207 **8.5 Basis of Evaluation**

1208 The Kantara IAF [Service Approval Authority Requirements](#) (SAAR) shall be the basis
1209 against which the application is evaluated.

1210 **8.6 Agreement document**

1211 The agreement document required when submitting an application is the [Kantara Service](#)
1212 [Approval Authority's Agreement](#) (SA3). This document will be automatically called-up
1213 during the application submission process, which cannot proceed without acceptance of
1214 the SA3's Terms and Conditions.

1215 **8.7 Specific Evaluation steps**

1216 Editor's Note – None yet determined.

1217 **8.8 Annual Conformity Review**

1218 To be determined.

1219 **9 EVALUATION: RECOGNIZED FEDERATION OPERATOR**

1220 This clause describes aspects of the application and evaluation processes which are
1221 specific to Kantara-Recognized Federation Operators.

1222 **Editor's Note** – this section addresses an area out of scope of the present drafting
1223 objectives that is currently in development within the IAWG. Elementary 'boiler-plate'
1224 text has been provided but the detail elements of the process and specific requirements to
1225 be eligible for the Grant have not been addressed in detail, and certainly not resolved.

1226 **9.1 Overview**

1227 Kantara Initiative will grant a non-transferable, non-exclusive, right to use the Kantara
1228 Initiative Mark in connection with a Federation Operator and its community conditional
1229 upon the FO submitting a formal application regarding the services in question, agreeing
1230 to the terms of the appropriate Agreement, paying the applicable fee and gaining
1231 recognition of its operations.

1232 Kantara-Recognized Federation Operators, and by extension their communities, are
1233 bound by their agreement with Kantara to extend mutual recognition to all services
1234 operated and credentials issued under the Kantara Initiative Mark, whether from within
1235 their own community, from within other Kantara-Recognized Federations or operated
1236 independently under the Kantara Initiative Mark.

1237 **9.2 Type of Grant**

1238 The type of Grant shall be that of a Kantara-Recognized Federation Operator, denoted by
1239 the «type» field in the Grant Id being 'FED'.

1240 **9.3 Authoritative Body**

1241 The Authoritative Body for granting such status is the Kantara Initiative Board of
1242 Trustees, exclusively.

1243 **9.4 Application document**

1244 Applications shall be submitted using the on-line [Application for Kantara Recognition](#)
1245 form ('application', for the purposes of this clause).

1246 The application includes the agreement document.

1247 **9.5 Basis of Evaluation**

1248 The Kantara IAF [Federation Operator Rules & Guidance](#) (FORG) shall be the basis
1249 against which the application is evaluated.

1250 **9.6 Agreement document**

1251 The agreement document required when submitting an application for recognition is the
1252 [Kantara-Recognized Federation Operator's Agreement](#) (RFOA). This document will be
1253 automatically called-up during the on-line application submission process, which cannot
1254 proceed without acceptance of the RFOA's Terms and Conditions.

1255 **9.7 Specific Evaluation steps**

1256 Editor's Note – None yet determined.

1257 **9.8 Annual Conformity Review**

1258 To be determined.

1259

1260

1261