Identity Assurance Framework:
Specification of a Service
Subject to Assessment

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

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1 INTRODUCTION

Introductory note:

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

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

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

1.1 Purpose

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

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

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

1.2 Readership

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

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

1.3 Overview & Preparation

The document provides a framework of sections and sub-headings together with proposed standardized text. Authors of specific S3As are required to adopt the style, phrasing and terminology of this model to the fullest
extent practical within the context of their own organizations. This will assist readers who have to deal with S3As from a number of different sources.

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

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

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

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

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

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

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

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

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

Definitions of terms and acronyms that are not defined in this document may be found in the Identity Assurance Framework Glossary of Terms.

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

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

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

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

The document is intended to give:

i) «company»’s management an understanding of what it is they are committing to;

ii) the chosen Assessor, «assessor», an understanding of the scope of Assessment that «company» requires to have conducted, and;

iii) the Kantara Assurance Review Board the basis for considering and accepting «company»’s application for Registered Applicant status.

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

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

The document is intended to:

i) give «company»’s management an understanding of what it is they are committing to;

ii) define the full scope of the Assessment to be undertaken;

iii) define what evidence is to be provided and how it demonstrates compliance of the Service as a whole;

iv) form the central technical scoping of the contract between «company» and its chosen Assessor, «assessor»;

vi) support «company»’s submission to the Kantara Initiative Board of Trustees for a Grant of Approval;
3 SERVICE DESCRIPTION

3.1 Credential Service Provider

The following text is required in all S3As

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

«company»’s additional contact details are as follows: Contact person for the purposes of this Assessment:

Primary contact:

«name, title»
«address»
«telephone»
«email»

Secondary contact:

«name, title»
«address»
«telephone»
«email»

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

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

Contact 1:

«functional title»
«address»
«telephone»
«email»
«url»

Contact 2:

«functional title»
«address»
«telephone»
«email»
«url»

«.... additional contacts as desired»
3.2 Public Service Description

The following text is required in all S3As

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

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

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

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

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

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

- suitable for unlimited public release;
- free of any jargon and marketing-hype;
- understandable to the non-specialist;
- suitable for prospective and actual customers of the service and for parties relying on the service;
- include a reference to the Service Policy and Service Policy Disclosure Statement\(^1\), giving a specific version number or date of publication.

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

3.3 Service topology

For those seeking Kantara Registered Applicant status (i.e. Outline S3A), a system-level diagram (or diagrams) should be provided showing physical sites (geographic locations), where specific service components are located and what interconnectivity is employed. Brief supporting narrative should be provided to describe the elements of the diagrams.
For an Assessor’s Service Definition (i.e. Full S3A), a system-level diagram (or diagrams) should be provided showing physical sites (geographic locations), where specific service components are located and what interconnectivity is employed. Supporting narrative should be provided to describe the elements of the diagrams to a further level of detail, such that the way in which the Service is managed and delivered is explained, plus indications of levels of redundancy and resilience that are built into the architecture.

### 3.4 Service platform

In an Outline S3A the level of detail provided under this heading need only be a generalized description.

For a Full S3A, the level of detail provided should include specific descriptions of physical premises, hardware installations and software versions and configurations, plus details of the credential types issued and/or managed and applicable technologies, such that the intended Assessor can plan the Assessment required of them.

### 3.5 Assessor’s Service Definition

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

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

4.1 Applicable Service Assessment Criteria

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

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

4.2 Statement of Conformity

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

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

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

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

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

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