



Identity Assurance Framework: IAF-1350

Assessor Accreditation Handbook

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13 **Abstract**

14 This document describes the ARB’s Policy for handling applications for Accreditation of Assessors, upon
15 whom shall fall responsibility for assessing service providers against specific selections of available
16 Kantara Service Assessment Criteria (SAC). These procedures define the obligations upon Applicant and
17 Accredited Assessors and the ARB and its Secretariat, with regard to the Approval assessment and
18 application processes.

19 **Reference Standard**

20 References to ISO/IEC 17065:2012 “*Conformity assessment - Requirements for bodies certifying [...]*
21 *services*” [IS17065] are made within this text for the purposes of showing a conformity mapping. They
22 are placed right-justified after any clauses (single or multiple) to which the conformity cross-reference
23 applies, always at the lowest indexed level to which they apply, as follows:

IS17065: §«clause no.»)

25 This specification overall supports Kantara Initiative’s broad alignment towards IS17065 §6.1.2 but is not intended
26 to demonstrate a complete nor a formal conformance to IS17065.

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100 **1 INTRODUCTION**

101 **1.1 Status and Readership**

102 This document sets out **normative** Kantara requirements and is required reading for all ARB Members,
103 applicant Service Providers and Kantara Accredited Assessors. It will also be of interest to those wishing
104 to gain a detailed knowledge of how the Kantara Initiative's Identity Assurance Framework handles the
105 receipt and processing of applications for Assessor Accreditation.

106 IS17065: §6.1.2.1

107 **1.2 Key words**

108 The key words "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", and "MAY", when
109 used in capitals within this Specification, are to be interpreted as described in RFC 2119, the
110 applicable parts of which are re-stated hereafter.

- 111 a) **SHALL** This word means that the statement is an absolute requirement of this
112 specification;
- 113 b) **SHALL NOT** This phrase means that the statement is an absolute prohibition of this
114 specification;
- 115 c) **SHOULD** This word means that there may exist valid reasons in particular
116 circumstances to ignore a particular item, but the full implications must be understood
117 and carefully weighed before choosing a different course;
- 118 d) **SHOULD NOT** This phrase means that there may exist valid reasons in particular
119 circumstances when the particular behavior is acceptable or even useful, but the full
120 implications must be understood and the case carefully weighed before implementing any
121 behavior described with this label;
- 122 e) **MAY** This word means that an item is truly optional. One party may choose to include
123 the item for a particular reason while another party may omit the same item. An
124 implementation which does not include a particular option **SHALL** be prepared to
125 interoperate with another implementation which does include the option, though perhaps
126 with reduced functionality. In the same vein an implementation which does include a
127 particular option **SHALL** be prepared to interoperate with another implementation which
128 does not include the option (except, of course, the feature for which the option provides).

129 **1.3 Purpose**

130 The ultimate goal of the Kantara Initiative's Trust Framework Operations Program (TFOP) is the
131 facilitation of intra- and inter-Federation transactions based upon a range of identity credentials in which
132 Relying Parties can have the confidence that the credentials issued under the Kantara Initiative Trust Mark
133 are being managed to address identified risks. Some of these credential management services may
134 include differing levels of rigour, generally referred-to as Assurance Levels (AL). Kantara grants
135 Approvals against a number of specific Classes of Approval. The Classes of Approval and their
136 parameters (AL, etc.) are described at <https://kantarainitiative.org/trustoperations/classes-of-approval/>.

137 To accomplish this Kantara Initiative’s TFOP assesses against strict criteria the management and technical
138 operating practices of Service Providers in the Privacy, Identity and Credential Management space, and
139 Grants to conformant Service Providers Approval for their specified Service and the right to use in that
140 context a Kantara Initiative Trust Mark. Kantara’s Trust Marks are symbols of trustworthy management
141 and operation of services (at applicable Assurance Levels, where applicable). There are two documents
142 describing the TFOP and its operation. These are:

- 143 a) **IAF-1350 “Assessor Accreditation Handbook”** - this Specification.
144 This present document, which describes the rules and processes required to be followed for
145 Assessors to make application for becoming Accredited, to maintain their Accreditation, to
146 perform Assessments and how Accreditations may be terminated.
- 147 b) **IAF-1340 “Service Approval Handbook”**.
148 This document defines the types of Assessments required and establishes rules governing how
149 they are to be performed and how the status of service Approvals is managed and published, whilst
150 also describing the processes required to be followed by the parties involved to make application
151 for service Approvals, to have assessments performed, to maintain those Approvals, and how
152 Approvals may be terminated;

153 IS17065: §6.1.2.1

154 An overall description of Kantara’s operations can be found on the Trust Framework Operations
155 Program (TFOP) web page - <https://kantarainitiative.org/trustoperations/>. The latest versions of
156 each of the above-referenced documents can be found on Kantara’s Identity Assurance
157 Framework web page -
158 <https://kantarainitiative.org/confluence/display/LC/Identity+Assurance+Framework>.

159 **1.4 Effectiveness**

160 This document may be applied immediately upon its publication.

161 It SHALL become fully effective from the first day of the fourth month following the month of its
162 publication (notionally a minimum 90-day period), whereupon application of this document SHALL be
163 mandatory and any preceding versions SHALL be withdrawn.

164 **1.5 Review**

165 The ARB SHALL review this document as a whole:

- 166 a) whenever it is revised to accommodate any material changes which are determined to be
167 necessary;
- 168 b) at least annually, by the end of the month of publication of any version resulting from material
169 changes; and
- 170 c) whenever the ARB becomes aware of any circumstances which may require modification of its
171 assessor accreditation operational practices.

172 IS17065: §6.1.2.1

173 **1.6 Changes in this revision**

174 None - this is the first publication of this Handbook.

175 **2 TERMINOLOGY**

176 Excepting those terms defined below, all other special terms and abbreviations used in this document are
177 defined in the [IAF Glossary](#).

178 **Initial Accreditation Package:** the collection of documentation required to make an initial application to
179 Kantara to have an entity recognized as an Accredited Assessor for the performance of Kantara
180 Assessments.

181 **Annual Conformity Review (ACR) Accreditation Package:** the collection of documentation required
182 to apply for Kantara's continued Approval of a registered service following its Initial Assessment and a
183 finding of conformity.

184

185 **3 OVERVIEW**

186 **3.1 Principles**

187 Kantara offers a range of Classes of Approval, each being determined according to the choice of Service
188 Assessment Criteria against which the service is assessed. Assessments are performed by Accredited
189 Assessors who are tasked with determining a service's conformity to the selected SAC(s).

190 Kantara extends Grants of Approval on a per-service basis, based on the findings of an Accredited
191 Assessor which has reviewed the CSP's evidence of its service's conformity to applicable Service
192 Assessment Criteria (SAC) against which the Service Provider elects to have its service Assessed. KIAF-
193 1340 describes the processes by which CSPs' applications for Approval are handled.

194 **3.2 Applicable Assessor Knowledge and Skills**

195 Entities which wish to become Kantara-Accredited Assessors shall submit applications for such
196 recognition in accordance with the policy set forth in this specification and shall demonstrate how they
197 meet the requirements in the latest published version of Kantara's required Assessor's knowledge and
198 skills [RAKS].

IS17065: §6.1.2

200 **3.3 Not used**

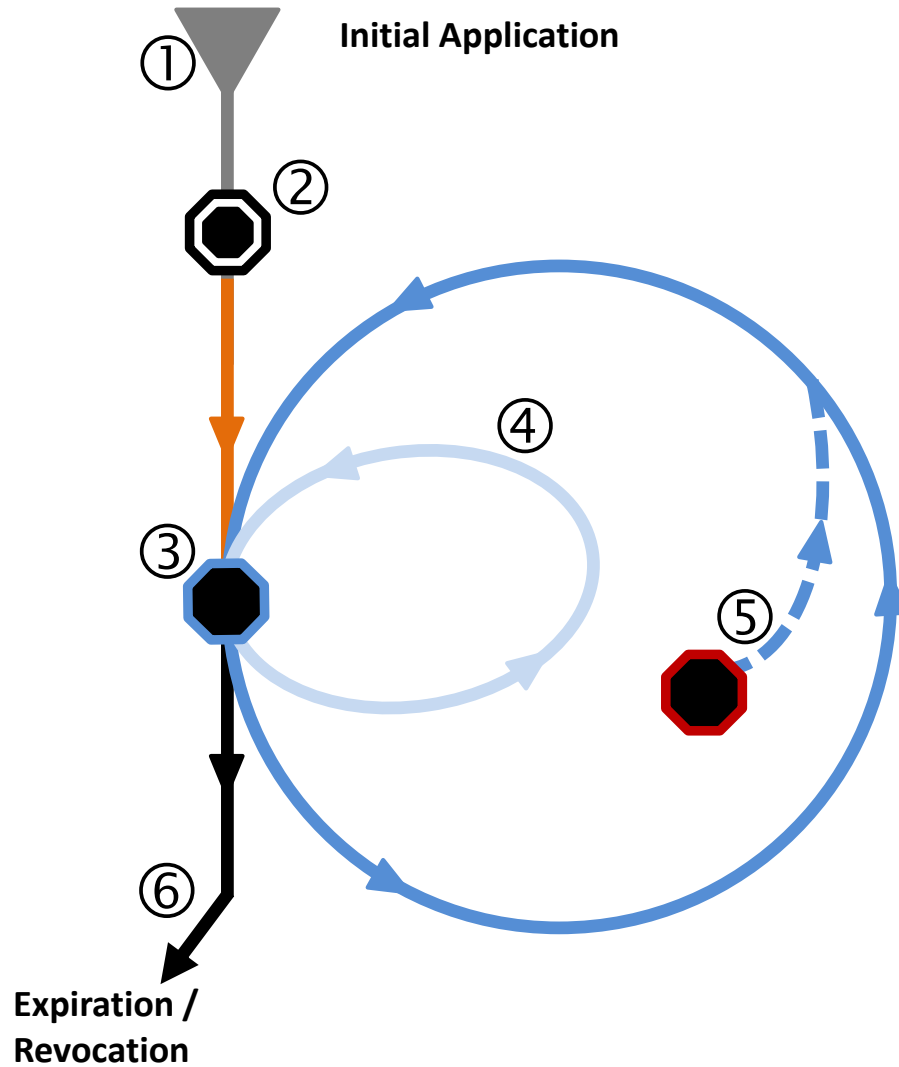
201 This clause is present solely to maintain alignment to the sections and topics assigned in
202 IAF-1340, Kantara's Service Assessment Handbook [SAH] and thus has no stipulation.

203 **3.4 The Overall Application / Approval Process**

204 The overall process that governs the application for Assessor Accreditation and the granting
205 and maintenance of Accreditation consists of six key stages. These are summarized below,
206 are shown in Figure 1 and each numeric symbol in the list below is hyper-linked to the
207 respective descriptive section of this Handbook.

IS17065: §5.1, §6.1

- 209 [①](#) Assessor's Initial Application;
- 210 [②](#) ARB review of the Initial Application;
- 211 [③](#) ARB review of ACR Application;
- 212 [④](#) Grace Period;
- 213 [⑤](#) Unscheduled Assessments;
- 214 [⑥](#) Accreditation Termination.



Key:

— Applicant	⬡ Initial Review
— Accredited	⬡ Annual Conformity Review
— Recurrent	⬡ Unscheduled review
— Grace Period	

215
216
217

Figure 1 - High-level view of the Accreditation processes.

218 The Kantara IAF’s assessment model is based on established best practice as defined in [IS17065].

219 IS17065: §1 et seq.

220 Each of the key stages, as identified above in Figure 1, is described in a dedicated section
221 (following), in two parts.

222 The first part, ‘x.1’, describes the purpose and place in the overall scheme of the key stage in
223 question and sets out the ‘rules’ for the processes involved.

224 The second part, ‘x.2’, presents a ‘script’ that describes the sequential actions required of
225 each of the involved parties. To ensure clarity as to how the parts of the defined processes
226 relate to specific parties the text is indented at discrete levels, each level being specific to a
227 particular party. Note that any interaction between these parties for the purposes of
228 clarifying matters is not explicitly scripted but is expected to be conducted in accordance
229 with the assigned responsibilities.

230 The following passages show how this scripting is laid out.

231 **AA:**

232 *Text assigned to the Applicant or Accredited Assessor (AA) (essentially the same*
233 *entity, but at different stages in the accreditation process) defines actions that are*
234 *the responsibility of the AA to enact.*

235 **ARB:**

236 *Text assigned to the Assessment Review Board (ARB) defines actions that are the*
237 *responsibility of the ARB to enact.*

238 *NOTE: For the purposes of this Handbook, the activities of the Secretariat to the*
239 *ARB and of the KIBoD are also included at this level because of their more*
240 *intimate relationship to the ARB, but the script makes it clear which of these*
241 *parties are responsible for any given actions.*

242 These roles are described in [IAF Overview](#).

243 **3.5 Not used**

244 This clause is present solely to maintain alignment to the sections and topics assigned in
245 IAF-1340 and thus has no stipulation.

246 **3.6 Trust Status List**

247 The Kantara Secretariat SHALL maintain a register of all Approvals (see §3.5), their Class of Approval,
248 their status and their expiry date.

249 Kantara SHALL publish and maintain the status of all its Registered Services and Approved Services, and
250 its Applicant and Accredited Assessors, in a Trust Status List (TSL).

251 Status changes SHALL be posted within two calendar weeks of them being formally-approved or
252 determined by published process.

253 Notice of status changes SHALL be ‘pushed’ to any statutory, industry or other bodies requiring such
254 notification, and to any other interested parties who have signed-up to receive such notifications.
255

IS17065: §7.8

256 **3.7 Effective dates of Approval**

257 Effective dates of Approval termination, fulfillment of remedial actions and any other specific events
258 SHALL be set to be the last day of the month in which an event is due. For example, a Grant of Approval
259 issued on any day of a given month SHALL naturally expire on the last day of that same month, in the
260 following year (in the absence of evidence of continued conformity from the AA).

261

IS17065: §7.8

262 **3.8 Exceptions**

263 In the event that any circumstances arise, concerning the processing of applications for and
264 maintenance of a Grant of Accreditation, which are not directly or not adequately covered by this
265 handbook the ARB SHALL have the authority to determine and prosecute a resolution at the time
266 of the event which is in keeping with [Section 1.2 \(Purpose\)](#) and [Section 3.1 \(Principles\)](#) of this
267 handbook.

268 After the event the Secretariat SHALL either:

- 269 a) if it is considered unlikely that the circumstances could arise again, retain a record of the
270 circumstances and their resolution, as a basis for applying ‘precedence’ in that unlikely event;
271 OR
272 b) take steps to ensure that there is a revision to this handbook to accommodate the circumstances
273 when and if they do arise again.

274 **4 STAGE 1 -INITIAL APPLICATION**

275 **4.1 Purpose and processes**

276 **4.1.1 General description**

277 An Initial Application for Accreditation by an Accreditation Applicant (AA) is required of any entity
278 which is not already Accredited.

279 AAs SHALL submit an Initial Application Package, essentially to introduce themselves and their
280 capabilities to Kantara / the ARB, defining the scope and nature of their services,
281 audit/assessment/evaluation experience, and other essential information, including the SACs/Classes of
282 Approval against which they believe they are capable of assessing.

283 AAs are encouraged to make contact with the Secretariat during the preparation of their Application
284 package to give themselves the best chance of getting through assessment of their application with
285 minimal, if any, difficulties.

286 **4.1.2 Supporting templates**

287 The Secretariat SHALL be responsible for ensuring that the necessary supporting *pro formæ* documents
288 are reviewed as circumstances dictate and are maintained at a current status. These *pro formæ* SHALL be
289 available as templates on the KI web site such that they can be readily located and downloaded by any
290 interested parties. These documents shall comprise:

- 291 a) Application for Accreditation;
- 292 b) Response to [RAKS].

293 In addition the Secretariat SHALL liaise with the KIBoD to ensure that the latest versions of applicable
294 agreements are on the KI web site such that they can be readily located and downloaded by any interested
295 parties. These documents SHALL comprise:

- 296 c) Membership Agreement;
- 297 d) Trademark License Agreement ([TMLA](#)).

298 **4.1.3 Acceptance of applicable terms**

299 Kantara Initiative protects against the potential misuse of its Trust Mark by requiring all applicants
300 to sign the Trademark License Agreement ([TMLA](#)) prior to seeking assessment of their service(s).
301 Each Application includes the AA's commitment to the terms and conditions defined in the [TMLA](#)
302 These terms and conditions address the complete life-cycle of participation in the IAF and must
303 be re-signed at the commencement of each three-year cycle and confirmed on the first and second
304 anniversaries of that signature.

305 Application for a Grant of Rights of Use, withdrawal of an Application (without receipt of a Grant
306 of Rights of Use) during the period in which a Grant of Rights of Use is awarded, after termination
307 of a Grant of Rights of Use, and the AA's signature to the TMLA at the time of Application shall
308 bind the AA to the terms and conditions at all stages of participation in the IAF thereafter. This

309 includes adherence to the conditions of Membership which is a mandatory pre-condition before a
310 Grant of Rights of Use can be made.

311 IS17065: §6.1.3

312 **4.2 Required actions**

313 *AA:*

314 *The AA must down-load and review the latest versions of the template documents*
315 *referenced above. If, after review, the AA has any questions concerning the*
316 *documents and their implications, they are advised to contact the Secretariat to*
317 *discuss them.*

318 *Assuming the AA finds the terms etc. acceptable they must complete the*
319 *application documents.*

320 *Both of these documents give guidance for their completion.*

321 *When all documents are ready for submission they should be submitted to the*
322 *Secretariat.*

323 **5 STAGE 2 - ARB REVIEW OF INITIAL APPLICATIONS**

324 **5.1 Purpose and processes**

325 This stage is the ARB's first formal notification of the AA's intentions to seek accreditation and is the
326 ARB's opportunity to ensure that, prior to any review commencing, the AA understands what is expected
327 of them, that they have accepted their obligations through the appropriate agreements, and that the AA has
328 provided responses to all clauses of [RAKS].

329 **5.2 Required actions**

330 **5.2.1 Handling of Initial Applications on receipt**

331 *ARB:*

332 *On receipt of an Initial Application Package the Secretariat SHALL review its*
333 *contents and undertake the following validations:*

- 334 *a) review all documents associated with the package for completeness,*
335 *including the accessibility of any linked documents;*
- 336 *b) send the AA's Point of Contact (PoC) confirmation of receipt of its*
337 *application, and request of the AA any revisions or explanations necessary*
338 *to resolve problems identified during the validation;*
- 339 *c) where possible, validate any claims made in the package; such as*
340 *certifications, insurance policies, etc.;*
- 341 *d) ensure that membership sign-up and all applicable fees have been paid and*
342 *cleared;*
- 343 *e) form the ARB Review Team, accounting for the ARB's Recusal policy (see*
344 *ARB Charter);*
- 345 *f) pass the package to the ARB Review Team, setting a target completion date of not more*
346 *than three weeks hence;*
- 347 *g) during the course of the Review Team's evaluation of the package (see §5.2.2), advise*
348 *the AA's PoC of any irregularities with the package and seek whatever clarification is*
349 *necessary.*

350 The ARB reserves the right to reject an Application without any effort to evaluate it if, within the
351 preceding three month period, the ARB has rejected an Initial Accreditation Application from the
352 Applicant.

353 **5.2.2 ARB Review Team Evaluation**

354 *ARB:*

355 *On notification that an Application Package is ready for evaluation, the ARB*
356 *Review Team SHALL review the package within their terms of reference as*

357 assigned by the Chairperson of the ARB (who can choose to assign specific
358 focuses to specific ARB members, as their particular experience might apply to
359 the package).

360 The Review Team's evaluation of the package SHALL progress as follows:

- 361 a) the Application SHALL be reviewed to determine whether it provides a sufficient
362 description of the AA's service;
- 363 b) the Application SHALL be reviewed to determine whether, based upon the description
364 provided, the AA's responses to [RAKS] clauses demonstrate acceptable standards
365 and levels of experience and capability;
- 366 c) the Application SHALL be reviewed to verify the AA's eligibility for any pre-
367 qualification according to their responses and the entitlements under KIAF-2101;
- 368 d) if the Review Team finds the material submitted within or in support of the Application
369 insufficient to allow it to reach an understanding of the service or to determine a
370 finding, requests for clarification or additional information SHALL be made to the
371 Secretariat, who SHALL communicate with the AA's PoC;
- 372 e) such requests (see d), above) SHALL be recorded, as SHALL be the Applicant's
373 response, in whatever form;
- 374 f) the Review Team's findings and its recommendation as to whether the Application be
375 accepted or rejected, with justification, SHALL be communicated to the Secretariat;

376 **AA:**

377 AAs are entitled to withdraw their Application at any time during this review
378 period, and need not give any reason

379 **ARB:**

380 If the AA advises that they wish to withdraw their application the Secretariat
381 SHALL record the application as withdrawn and close the file.

382 **5.2.3 Post-ARB Review actions**

383 **ARB:**

384 Upon receipt of the Review Team's decision, the Secretariat SHALL advise the
385 AA's PoC of the outcome, either that the Application has been accepted and that
386 a recommendation for Accreditation is being made to the KIBoD, or that the
387 application has been rejected¹;

¹ It is expected that any irregularities or omissions will have been addressed by 5.2.1 g) (above), exercised multiple times if necessary, and hence any rejection at this stage shall be for cause which has not been resolved by the CAA.

388 *If the application is rejected the Secretariat SHALL deliver a formal notification,*
389 *stating:*

390
391 *Notification of a rejection shall:*

- 392 a) *state the reasons for rejection;*
393 b) *describe any conditions which if fulfilled would enable the ARB to find*
394 *reason to recommend a grant of Accreditation;*
395 c) *advise the AA of their entitlements as to lodging an Appeal (see 5.2.5).*

396 *Unless an appeal is lodged by the AA within the permitted period, the Secretariat*
397 *SHALL record the application as 'rejected' and close the file.*

398 **5.2.4 Formal Notification**

399 *The Secretariat shall notify the KIBoD of the ARB's recommendation for*
400 *Accreditation, providing copy of the ARB's record of its Application review*
401 *findings.*

IS17065: §6.1.2.1 d)

403 *On receipt of the KIBoD's decision the Secretariat SHALL give formal*
404 *notification to the AA's PoC. Notification of Accreditation SHALL include, as a*
405 *minimum:*

- 406 d) *Accreditation reference;*
407 e) *Geographical applicability;*
408 f) *Classes of Approval which the Assessor is accredited to assess;*
409 g) *Date of start and expiration of current Accreditation;*
410 h) *Date of next ACR;*
411 i) *Any qualifications or limitations on the scope of the Accreditation.*

412
413 *Notification of a rejection shall:*

- 414 j) *state the reasons for rejection;*
415 k) *describe any conditions which if fulfilled would enable the KIBoD to find*
416 *reason to grant Accreditation;*
417 l) *advise the AA of their entitlements as to lodging an Appeal (see 5.2.5).*

418 *Unless an appeal is lodged by the AA within the permitted period, the Secretariat*
419 *SHALL record the application as 'rejected' and close the file.*

420 **5.2.5 Appeals**

421 *AA:*
422 *AA's SHALL have the right to appeal against the ARB's or the KIBoD's decision*
423 *to reject its application by submitting an appeal to the Secretariat stating the*

424 grounds and arguments on which their appeal is founded. Appeals SHALL be
425 submitted within four weeks of the date of notification of the ARB's or the
426 KIBoD's decision. All Appeals SHALL be handled by the ARB.

427 **ARB:**

428 Upon receipt of an appeal the Secretariat SHALL acknowledge its receipt to the
429 AA and request that the ARB gives the appeal consideration and selects three of
430 its members, or persons from other recognized authorities in good standing with
431 the Kantara community, to act as ad hoc ARB members, thereby constituting an
432 Appeals Board. This Appeal Board SHALL be subject to ARB confidentiality
433 procedures, for the duration of the conflict resolution process. The ad hoc
434 members SHALL be acceptable to both the Chairperson of the ARB and to the
435 Applicant, each of whom SHALL endeavor to find mutually-acceptable members.
436 However, in the event that three mutually-acceptable members cannot be found
437 within one calendar month of the appeal being lodged, the Chairperson of the
438 ARB SHALL have the right to appoint three Appeal Board members without
439 further reference to the Applicant.

440 The appeal SHALL be heard within a two-week period of the Appeal Board being
441 established. The Appeal Board SHALL hold a meeting of all parties in order to
442 hear the arguments from the ARB's Review Team and the Applicant, before
443 determining their findings in camera. The Appeal Board SHALL make one of the
444 following recommendations: uphold the ARB's or KIBoD's decision; override the
445 ARB's decision (but not a decision of the KIBoD); or, propose a remediation that
446 is agreeable to the Applicant and put that recommendation either to the ARB for
447 action or as a recommended resolution for the KIBoD's consideration.

448 The outcome of the Appeal SHALL be formally recorded and notification of the
449 final determination given to the Applicant.

450 **6 STAGE 3 - ANNUAL CONFORMITY REVIEW**

451 **6.1 Purpose and processes**

452 Once an Assessor has been Accredited their continued Accreditation requires their ongoing annual
453 submission of an ACR Application.

454 Initial AAs have the responsibility for ensuring that they have prepared and submitted an ACR
455 Application in order to maintain their accredited status.

456 **6.2 Required actions**

457 The process for an ACR is essentially that defined at ②, subject to the variances noted below.

458 **ARB:**

459 *The Secretariat SHALL notify an AA of the pending renewal date for its*
460 *Accreditation.*

461 **AA:**

462 *The AA SHALL prepare and submit to the Secretariat an ACR application, in*
463 *accordance with [IAF-1610 “Required Assessor Knowledge and Skills” \[RAKS\]](#),*
464 *save that the AA SHALL either confirm its previous submission for each*
465 *requirement or state what changes have occurred in its disposition with respect*
466 *to each requirement.*

467 In performing the review the ARB shall be cognizant of the provision, as set out in [RAKS], that an AA
468 must perform at least one assessment assignment per annum to be considered to have remained current.
469 In the event that the application submitted fails to provide evidence of such the ARB SHALL follow the
470 actions described in ④, and the Secretariat SHALL ensure that the required notification to the AA makes
471 clear this condition upon the AA’s continued Accreditation.

472 **7 STAGE 4 – GRACE PERIOD**

473 **7.1 Purpose and processes**

474 In the event that, at the time of a Recurrent Review, an AA is not able to meet, at all or in part, any of the
475 applicable criteria the ARB MAY, at its sole discretion, determine remedial actions required of the
476 applicant and grant a ‘Grace Period’ for a specific period of time during which the determined actions
477 must be accomplished. During this period AA SHALL remain published on the Trust Status List as an
478 Accredited Assessor without qualification. Should the AA be unable to accomplish the required
479 remediation within the designated period then the ARB SHALL have the authority to decide to Revoke
480 the AA’s Accredited Status, if it determines this to be necessary.

481 Following the successful remediation of any non-conformities the Accredited Assessor shall revert to the
482 requirement to undergo an ACR against their established annual schedule which SHALL be handled as
483 for ③.

484 Should the ARB determine that remedial actions are required these SHALL be fully documented and
485 communicated to the AA, so as to form a formal record of the event, as SHALL be the circumstances of
486 its conclusion.

487 **8 STAGE 5 - UNSCHEDULED REVIEWS**

488 **8.1 Purpose and processes**

489 **8.1.1 AA-notified**

490 An unscheduled review might arise because something in the AA's management or operations changes
491 such that it no longer meets the scope for which it has been Accredited and therefore a modification or
492 extension of the Accreditation is required. The AA commits to Kantara to monitor its conformance
493 against scope and to initiate actions when it believes that its operations are no longer within the scope of
494 its Grant of Accreditation.

495 **8.1.2 ARB-requested**

496 The ARB could be presented with information from which it concludes that an unscheduled review is
497 necessary. If so, it SHALL instruct the AA of the need to perform an unscheduled review and of the
498 specific scope and focus of that review.

499 **8.2 Required actions**

500 At any time during the period during which an AA is Accredited there could be an un-scheduled review
501 required, either because of something which causes the ARB to request such an event, or because the AA
502 determines that there have been changes surrounding its operations that put it beyond the scope of its
503 current Approval.

504 **8.2.1 AA-notified**

505 *AA:*

506 *The AA SHALL document the changes that it believes require a review (a revised*
507 *ACR application would be a convenient basis for doing this) and submit this to*
508 *the ARB.*

509 From this point on, the performance and review of an assessment follows that described for stage ③,
510 excepting that the ARB may choose to make no change to its records and the AA's status if, after
511 consideration, it deems the notification to not require any change.

512 The ARB SHALL retain the right to require that the AA either continue within its annual cycle with the
513 renewal date unchanged or may elect to re-set the annual cycle to the date on which the un-scheduled
514 review was concluded.

515 **8.2.2 ARB-requested**

516 *ARB:*

517 *The ARB SHALL provide the AA its justification for requesting an unscheduled review, and allow*
518 *reasonable time for the AA to submit a response.*

519 *If the ARB considers that the AA's response is satisfactory, the ARB SHALL close the matter,*
520 *keeping a record of it in the file.*

521 *If the ARB considers that the AA's response is **not** satisfactory, the ARB SHALL document the scope*
522 *of the required review and set a date by which it wishes to receive further input to address the area*
523 *of concern. This SHALL be communicated to the AA, with dates and durations modified to suit the*
524 *circumstances.*

525 *If the circumstances are deemed by the ARB to be sufficiently grave, it SHALL put the Accreditation*
526 *into a 'Suspended' status until a satisfactory resolution is arrived at.*

527 *AA:*

528 *The AA MAY, either independently or after discussion with the ARB, elect to undergo an ACR, in which*
529 *case the review SHALL be treated as such and on conclusion, the 'annual renewal' date for the*
530 *Accreditation SHALL be reset.*

531 From this point on, the performance and review of an assessment follows that described for stage ③,
532 with allowance being made for the fact that the scope of an un-scheduled assessment might be
533 significantly less than that of an ACR.

534 **8.2.2.1 Appeals**

535 An AA MAY appeal against an ARB-requested unscheduled Assessment. The process for
536 handling an appeal SHALL follow that set out in §5.2.5.

537 **9 STAGE 7 - APPROVAL TERMINATION/REVOCAION**

538 **9.1 Purpose and processes**

539 At any time an AA MAY elect to terminate its Accreditation simply by submitting such a request
540 to the Secretariat. Alternatively, the ARB MAY determine that an AA has not met the conditions
541 for continued Grant of Accreditation and take action accordingly, including action to revoke the
542 Grant.

543 An AA may also allow its Accreditation to naturally expire without seeking its renewal.

544 Both revocation and expiration will also bring about the termination of the TMLA, excepting any
545 enduring terms.

546 **9.2 Required actions**

547 *AA:*

548 *At any time an AA MAY elect to terminate its Accreditation simply by submitting*
549 *such a request, which must be signed by its nominated PoC. The request SHALL*
550 *be for immediate revocation or a specific date on which it is to be effective, which*
551 *SHALL be on or before the current expiration date.*

552 ***ARB:***

553 *The Secretariat SHALL acknowledge the AA's request.*

554 *On the selected date the Secretariat SHALL send a confirmatory notification to*
555 *the AA and SHALL update the TSL to show the AA's status as 'Expired', but*
556 *SHALL retain publication of the Approval status for a period of twelve months.*

557 *In the event that an Accreditation reaches its expiration date without the AA*
558 *indicating any intention to submit an application for its renewal then the*
559 *Secretariat SHALL send a confirmatory notification to the AA and SHALL update*
560 *the TSL to show the AA's status as 'Expired', but SHALL retain publication of the*
561 *Approval status for a period of twelve months*

562 **10 ONGOING ASSESSOR EVALUATION**

563 During the course of each review of a Service Assessment, under [SAH], the ARB SHALL
564 document and record its determinations as regards the AA's competence and performance in the
565 assessment, which shall be taken into consideration during any review of the AA.

566 IS17065: §6.1.2.1 e), §6.1.2.2 f)

567 The ARB's determinations shall be communicated to the AA only as the ARB deems fit, but in
568 the case that any determination is communicated, which SHALL always be the case where the
569 ARB deems a particular action to be necessary and that actions affects the status of an
570 Accreditation, it SHALL be done formally, such as to create a record of that communication.

571 **11 RECORDS**

572 **11.1 Record types to be retained**

573 For each Applicant for Accreditation, the Secretariat / ARB SHALL maintain records of each
574 application, including those Initial applications which may be rejected. Records SHALL capture
575 the status of each application through its life, including:

- 576 1) each subsequent application for a Recurrent Review;
- 577 2) the ARB's findings, including any conditions upon Accreditation;
- 578 3) all material communication and notifications between the ARB and the Applicant;
- 579 4) all material communication and notifications between the ARB and the KIBoD;
- 580 5) the version of [RAKS] applicable at the time of each application/review;
- 581 6) documentation relating to any Appeals processes;
- 582 7) the nature of termination of an Assessor's Accreditation.

583 In addition, the evaluation records created by the process described in §10 SHALL be retained.

584 IS17065: §6.1.2.2

585 **11.2 Minimum record retention period**

586 The Secretariat / ARB SHALL maintain the above records for the duration of the AA's
587 Accreditation plus a minimum of 42 months (this being 36 months to cover the period of any
588 formal recognition under [IS17065] which may in future be sought, plus a further period of six
589 months during which any pending need for access might be notified and prosecuted).

590 **12 REFERENCES**

- 591 [IS 17065] ISO/IEC 17065:2012“*Conformity assessment - Requirements for*
592 *bodies certifying products, processes and services*”
- 593 [RAKS] Kantara IAF-1600 “*Identity Assurance Framework: Required Assessor*
594 *Knowledge and Skills*”, at its latest published and effective version
- 595 [SAH] Kantara IAF-1340 “*Identity Assurance Framework: Service Assessment*
596 *Handbook*”, at its latest published and effective version
- 597

598 **13 REVISION HISTORY**

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Vn.	Date	Status	Notes	Approved
1.0	2019-05-28	Final	First Publication	ARB

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