

Issued



## Model Assessment Report (Component)

Ref. tSd 0239

Issue 1.00

2002-09-09

### Executive summary

This document serves as the Model for the production by a *tScheme*-recognised Assessor of an Assessment Report in a form acceptable to *tScheme*'s Approvals Committee

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## DOCUMENT HISTORY

<b>Status</b>	<b>Issue</b>	<b>Date</b>	<b>Comment</b>	<b>Authorised</b>
tSd	1.00	2002-09-09	First version, tracked under Document Management procedures. Based upon tSd 0238, 'Model Assessment Report (Service)'	<i>tScheme</i> Board

# CONTENTS

<b>0. PROLOGUE .....</b>	<b>4</b>
0.1 PURPOSE .....	4
0.2 CONFORMANCE ADVISORY .....	4
0.3 READERSHIP .....	4
0.4 OVERVIEW, PREPARATION AND REPRESENTATION .....	5
0.5 CONFIDENTIALITY .....	6
<b>1. DOCUMENT CONTROL.....</b>	<b>7</b>
1.1 IDENTIFICATION .....	7
1.2 COPYRIGHT AND ACKNOWLEDGEMENTS .....	7
1.3 CONTENTS .....	7
<b>2. CERTIFICATION STATEMENT.....</b>	<b>9</b>
2.1 QUALIFICATIONS TO THE CERTIFICATION .....	10
<b>3. METHOD AND EVIDENCE EMPLOYED.....</b>	<b>11</b>
<b>4. DETAILED CONFORMITY STATEMENT.....</b>	<b>12</b>
<b>5. ASSESSOR COMMENTS.....</b>	<b>13</b>

## 0. PROLOGUE

*Introductory note:*

*In this Model Assessment Report, the contents of this Prologue and its sub-sections refer solely to this model document description and should not appear as such in any instance of an actual Assessment Report.*

### 0.1 Purpose

This document serves as the Model for the production of an Assessment Report by a [tScheme-recognised Assessor](#) when commissioned by a Component Supplier to produce a report certifying satisfaction, by a Trust Service Component, of a defined sub-set of criteria described in one or more [tScheme Approval Profiles](#). It applies exclusively to Service Component assessments for tScheme-Ready Status and not to Electronic Trust Services (aka tScheme Grant of Approval) or Trust-Enabled Service assessments, which are each the subject of their own model report.

The Model is intended to be used by tScheme-recognised Assessors in regard to the minimum tScheme-required format and content for reports that they write.

### 0.2 Conformance Advisory

Conformance to all aspects of the Model on the part of authors is strongly advised but not mandatory. Where deviation from the advised content in the given format is prohibited, this is marked as such. Where deviation in ordering, layout or wording is permitted, authors shall not use this as cause to omit, in whole or part, otherwise advised content. Authors should generally avoid the inclusion of content beyond that advised where there is any possibility that this may conceal, confuse or dilute the clarity of the report in certifying, and giving sound evidence for certifying, that the subject Service satisfies the chosen approval criteria.

tScheme Limited grants or declines a Grant of tScheme-Ready Status based on the content of the Assessment Report. tScheme Limited interprets that content literally and will not accept reports containing content that it finds self-contradictory. tScheme Limited retains the right to reject any Assessment Report that does not contain the advised content and will normally do so whether the assessed Service Component is itself actually deficient or not.

### 0.3 Readership

This document is required reading for the following parties, as laid down in the [Required Assessment Procedures](#):

- **Accreditation Bodies** that have established with tScheme an agreement for the purposes of performing the Accreditation of assessors who wish to become tScheme-recognised Assessors;

- **tScheme-recognised Assessors** who will be reporting on the outcome of Assessments of Trust Service Components;
- **tScheme’s representatives** who will be receiving Assessment Reports with Suppliers’ applications for tScheme Grant of tScheme-Ready Status.

This document will also be of interest to Suppliers who will be given an Assessment Report by their chosen tScheme-recognised Assessor in support of their application for tScheme-Ready Status for their Trust Service Components.

## 0.4 Overview, Preparation and Representation

The Model provides a framework of sections and sub-headings together with proposed standardised text. The author of a specific instance of an Assessment Report may apply his own styles, phrasing and terminology to the Model commensurate with supplying the advised content (including mandatory wording) and structure and otherwise meeting the spirit of what is required. This commonality of presentation assists readers who have to deal with Assessment Reports from many different sources.

tScheme’s [Required Assessment Procedures](#) is required prior reading for Assessment Report authors. It describes the overall process for applying for tScheme assessment and points to other detailed sources.

Text appearing in sans serif font provides obligatory wording (as per this paragraph) that the author shall provide without variation or augmentation.

*Text intended to offer narrative or guidance is in italicised text of this colour, framed within a dashed border (as per this paragraph). This text should not appear in an actual report.*

Within the obligatory and indicative text, there are placeholders where authors shall substitute the specific details of their actual assessments. These are indicated using «chevrons» as indicated in this sentence. Even where authors can and do choose alternative phrasing, they shall ensure that all of the information items within chevrons still appear.

*Text that will be taken verbatim from the Assessment Report when preparing the applicant service’s Grant of Approval is framed in this manner (as per this paragraph). Authors and Suppliers are reminded that this text will ultimately appear in the public domain.*

tScheme requires that each Assessment Report is subject to effective configuration management, which requires that it carries a unique identity and title, including a front title page, table of contents, document history where relevant, and version or issue number. However, tScheme recognises that individual assessors will have their own house styles for documents that will dictate the final visual appearance of their reports. They may also wish to include specific service-related information. Hence an author may substitute an alternative style for the tScheme one used and recommended in this Model. It is assumed therefore that any specific instantiation of the Model will be subject to the owner’s own effective configuration management practices, and hence the Model explicitly suggests none of these.

Improvements, enhancements and the provision of additional information to make the Assessment Report more comprehensive, understandable or persuasive are fully encouraged within the constraint of covering the Model and the advised content in its entirety.

Definitions of terms and acronyms that are not included in this document appear in the [tScheme Glossary of Terms](#).

## 0.5 Confidentiality

*tScheme* undertakes not to place in the public domain any information in the Assessment Report that is not indicated herein as being so destined or else without gaining the Supplier's prior consent. However, *tScheme* will not undertake to restrict access to any of the information in the Assessment Report for its internal purposes. Submission of an Assessment Report to *tScheme* by a Supplier implies that *tScheme* can use the content for any of *tScheme*'s internal processes relating to Grants of *tScheme*-Ready Status.

The following sections and headings are those recommended by the Model Assessment Report.
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## 1. DOCUMENT CONTROL

*The illustrative text given in this section is written in the singular. Authors should replace with the plural where relevant.*

### 1.1 Identification

This report, reference «optional reference number», relates to the Assessment of the Trust Service Component known as «name of Service» provided by «name of Trust Service Component Supplier» who commissioned this report from «name of tScheme-recognised Assessor».

The author of this report is «name of individual» who, together with «optional name(s) of individual(s)», performed the Assessment during the period between «date» and «date».

### 1.2 Copyright and Acknowledgements

*Ownership of copyright is a matter of contract between the Supplier and the assessor. The text should reflect the chosen arrangement. The granting of copy permission to tScheme Limited is mandatory but the precise wording of the grant is a matter for the owner.*

© «name», «year».

All rights reserved. «name of copyright owner» permits tScheme Limited to copy the contents in whole or part for all purposes relating to application for, processing of, publication of and investigation of Grant of tScheme-Ready Status for the Service which is the subject of this report, notwithstanding the undertaking given in §0.5.

*The following acknowledgement list may be omitted or extended as appropriate.*

«trade name» is a trade name of «owning organisation».

### 1.3 Contents

<b>1. DOCUMENT CONTROL</b> .....	<b>7</b>
1.1 IDENTIFICATION .....	7
1.2 COPYRIGHT AND ACKNOWLEDGEMENTS .....	7
1.3 CONTENTS .....	7
<b>2. CERTIFICATION STATEMENT</b> .....	<b>9</b>
2.1 QUALIFICATIONS TO THE CERTIFICATION .....	10
<b>3. METHOD AND EVIDENCE EMPLOYED</b> .....	<b>11</b>

**4. DETAILED CONFORMITY STATEMENT..... 12**

**5. ASSESSOR COMMENTS ..... 13**

## 2. CERTIFICATION STATEMENT

*tScheme will cut and paste text from this section into the Grant of tScheme-Ready Status (if granted) with the person changed from first to third and with some re-ordering. The meaning will remain unchanged. The precise wording as shown is mandatory.*

We

«name of tScheme-recognised Assessor»

of

«registered address»

certify that the management system used to deliver

«name of Component» – text of « Public Component Description »

as supplied by

«name of Trust Service Component Supplier»

meets the requirements of BS7799-2:[year of current version to be included] and the criteria sub-set defined later in this report, from the following tScheme Approval Profiles

«list of applicable Approval Profiles with issue numbers and specifying included and excluded options where available»

in accordance with

«list of applicable standards and guidelines with reference and issue numbers where available»

as at the date of this report, being

«date of Assessment Report»

Declaration made by «name of individual», «position or title» on behalf of the above named tScheme-recognised Assessor.

## 2.1 Qualifications to the Certification

Assessors are encouraged to require Suppliers to resolve outstanding issues prior to completion of an assessment rather than issuing an Assessment Report with qualifications and reserves the right to reject an Assessment Report that it deems to include qualifications that prejudice the good standing of the *tScheme* Mark.

Any outstanding qualifications shall however be stated clearly immediately after the Certification Statement, each being supported by:

- a reference to the related Approval Profile and criteria (by clause identity);
- the reason for requiring the qualification;
- a justification for accepting the Service as found;
- remedial action agreed between the Assessor and the applicant;
- a resolution date by which remedial action shall be undertaken and the Assessor will have cleared the qualification.

The period for resolution of any qualification shall not exceed six months from the date of Grant of *tScheme*-Ready Status and will ideally be held to a period of three months from that date. *tScheme* reserves the right, in the event of failure to achieve these dates, to review the situation and take whatever consequential action it deems necessary and justified. However, the existence of qualifications will not be publicised in the Granting of a *tScheme*-Ready Status.

### 3. METHOD AND EVIDENCE EMPLOYED

*This section provides a summary of the procedure that the Assessor followed that led him to conclude that the Component and its Supplier satisfied the criteria in the specified Approval Profile(s).*

*The author should consider this content on a clause by clause basis within each of the applied Approval Profile(s). For each major heading thereof, the Assessor shall state in summary form: the conduct of the Assessment, any significant findings and what relevant evidence he accepted as showing satisfaction of the criteria.*

*If the Supplier has presented as evidence a pre-existing qualification, whether conclusive or persuasive, the text shall identify that evidence unambiguously with the date of which it was granted.*

*Where the Assessor has accepted that any criterion need not apply (with the obvious exception of QC criteria where the service is claiming QC compliance) he shall declare this and his justification for accepting the exclusion of that criterion.*

*Where possible, the assessor should adopt a tabular format. A suggested format appears below. However, the assessor is free to substitute its own presentation form.*

*The summary tables appearing at the end of the Approval Profiles should be used by Assessors to record the specific evidence assessed for each criterion. Although such completed lists may not form part of the Assessment Report itself, tScheme reserves the right to ask for sight of these should it feel that it is necessary.*

**IMPORTANT NOTE: tScheme will not accept declarations that depend on future events, intentions or general plans .**

Profile	Clause	Action	Evidence
«identity»	«tag»	«description of inspection action»	«description of evidence»

The assessor should state whether, in their opinion, the clause has been fully satisfied or not, and if not which aspects of it remain to be fulfilled during a subsequent assessment for tScheme Approval, in which this Assessment Report is submitted as evidence.

## 4. DETAILED CONFORMITY STATEMENT

*During the preparation of the C3A the Supplier, in cooperation with their chosen Assessor, will have determined against which specific criteria from the applicable Approval Profiles they wish to be assessed. A table will have been created stating the forms of evidence they will offer, and subsequently during the course of the Assessment, the Assessor will have used that table to record the degree of compliance they found.*

*It is vital that this table be retained in this section of the Model Assessment Report for a Component. This table should explicitly include any guidance offered to subsequent assessors who are using this Assessment Report as evidence in support of an assessment targeted at a full tScheme Approval, for a service which uses this Component.*

## 5. ASSESSOR COMMENTS

*Any further information which the Assessor may wish to add about the subject Component, the Approval Profiles, the Supplier, difficulties in operating the process, or anything else. There is no prescribed format.*

*Such comments may relate to known plans for extension or other significant change to the circumstances of the Component's provision which, whilst not being presently in effect, will when effected, have an impact upon the Component that would require re-assessment. This will assist all parties in monitoring the occurrence of such events and the early planning to accommodate them. . It may also influence the expiry date that tScheme puts into the Grant of tScheme-Ready Status*