



## Model tScheme-for-Police Assessment Report

Ref. tSd 0287

Issue 1.00

2010-06-28

### 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

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## 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 an RA or a CA that is operated by a UK Police body (the Supplier), to produce a report asserting that the related RA or CA Service is in compliance with one or more [tScheme Approval Profiles](#). It applies exclusively to assessments for approval under the tScheme-for-Police process and not to the awarding of a full tScheme Grant of Approval.

The Model is intended to be used by tScheme-recognised Assessors in regard to the minimum tScheme-required format and content for such tScheme-for-Police Assessment 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 notifies the Police PKI Policy Management Authority (P3MA) based on the content of the Assessment Report. tScheme 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 is itself actually deficient or not.

### 0.3 Readership

This document is required reading for the following parties:

- **tScheme-recognised Assessors** who will be reporting on the outcome of assessments of tScheme-for-Police RAs and CAs;

- **tScheme's representatives** who will be receiving Assessment Reports with UK Police bodies' applications for tScheme-for-Police Approval;
- **the P3MA** who will be receiving notifications of Approval under tScheme-for-Police on the basis of Assessment Reports formulated according to this document.

This document will also be of interest to UK Police Bodies who will be given a Assessment Report by their chosen tScheme-recognised Assessor in support of their application for tScheme-for-Police Approval.

## 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](#) and NPIA's [tScheme-for-Police Assessment Procedures](#) are required prior reading for Assessment Report authors. They describe the overall process for a tScheme-for-Police assessment and point 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 solid 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.

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 statements of tScheme-for-Police Assessment Status.

The following sections and headings are those recommended by the Model Assessment Report.

## 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 tScheme-for-Police Assessment of the «insert 'CA' or 'RA' as appropriate» service provided by «name of 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-for-Police Approval for the Service which is the subject of this report, notwithstanding the undertaking given in §0.5.

## 1.3 Contents

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## 2. ASSESSMENT STATEMENT

*tScheme will rely on text from this section when notifying the P3MA of the Approval Status of the related RA/CA. The precise wording as shown is mandatory.*

### 2.1 Statement

We,

«name of tScheme-recognised Assessor» of «registered address»,

have reviewed the management system used to deliver the

«indicate whether this is an RA or a CA Service»,

as described below, as supplied by

«name of UK Police Body – the Supplier »

against the criteria defined in the following tScheme Approval Profiles:

«list of applicable Approval Profiles with issue numbers and specifying included and excluded options where available as identified in the ‘Approval Profile Applicability’ section of the “tScheme for Police Assessment Procedures” document from NPIA»

This review included activities as outlined in Section 3 below. The overall objective was to establish whether the service was adequately prepared to deliver the

«name of Service»,

in compliance with the above tScheme Approval Profiles.

In the course of our review, based on the evidence and procedures outlined below in Section 3, no issues arose that would prevent

«name of Supplier »

from operating the service as defined in the Public Service Definition.

This statement is made by

«name of individual», «position or title»

on behalf of the above named tScheme-recognised Assessor as at

«date of Assessment Report».

## 2.2 Exclusion of the tScheme base profile

In accordance with agreed terms of engagement and instructions received from «name of Supplier », the tScheme Approval Profiles covered by this Assessment Report do not include the Base Approval Profile.

The effective operation of the controls that address the requirements of the Approval Profiles that are covered by this Assessment Report (as listed in the Statement above) rely on the effectiveness of the Base Approval Profile controls, which include:

- Business Probity and Management Competence
- Management and Security Policies and Procedures
- Assurance of Technical Infrastructure
- Suitability of Personnel Used
- External Relationships
- Service Related Policies and Procedures

See latest version of [Base Approval Profile](#) (tSd0111) for full details of excluded controls.

This Assessment Report assumes that the Service Subject to Assessment satisfies all relevant criteria of the above mentioned Base Approval Profile but no procedures or tests have been performed to verify this. Should there be a failure of any of the Base Approval Profile controls, about which we make no comment or representation, our conclusion set out above will be invalidated.

## 2.3 Public Service Description

The Public Service Description as covered within the Specification of Service Subject to Assessment (S3A) is:

“«text of Public Service Description »”

## 2.4 Qualifications to the Assessment

*If there are no qualifications to the certification, then the following statement should be included at this point:*

During the assessment process no material issues arose and consequently there are no qualifications to the assessment.

*However, if there are any outstanding qualifications then they shall be stated clearly at this point, 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, if appropriate;*
- *remedial action agreed between the Assessor and the Supplier;*
- *a resolution date by which remedial action shall be undertaken and the Assessor will expect to have cleared the qualification.*

*The period for resolution of any qualification shall not exceed six months from the date of the above statement and will ideally be held to a period of three months from that date. Note, the above details of any outstanding qualifications will be included in the notification of Approval Status under tScheme-for-Police to the P3MA.*

### 3. METHODOLOGY AND EVIDENCE

#### 3.1 Approach

*This section provides a summary of the assessment methodology used. This should be a high-level description of the approach, covering items such as: documentation review; interviews with key personnel; walk-through of the key processes (including details of system used, e.g. live, test).*

#### 3.2 Evidence Summary Table

*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 author 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.*

*Where the Assessor has accepted that any criterion do not apply he shall declare this and his justification for accepting the exclusion of that criterion.*

*Where possible, the author should adopt a tabular format. A suggested format appears below that is based on the summary tables appearing at the end of the Approval Profiles. However, the author is free to substitute his own presentation form.*

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.

## 4. ASSESSOR COMMENTS

*Any further information that the Assessor may wish to add about the subject Service, 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 Service's provision that, whilst not being presently in effect, will when effected, have an impact upon the Service that would require re-assessment. This will assist all parties in monitoring the occurrence of such events and the early planning to accommodate them.*