**ILNAS/PSCQ/F003**

**Assessment report**

Modifications: Nonconformity definition adopted from

ISO/IEC 17021:2011

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# Assessment report summary

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| **Assessed entity** |  | **Identification n°** |  |

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| --- | --- | --- | --- | --- | --- | --- |
| **Supervision standard(s)** | *Type of assessment* | | | | **Assessment date(s)**  **Report date** |  |
|  | Initial supervision |  | extension |  |  |  |
|  | surveillance |  | additional |  |  |  |
|  | renewal |  |  | |  |  |

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| **Scope of supervision** |  |

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| **Assessment team**  LA = Lead Assessor, A = Technical Assessor, E = Expert, O = Observer | | |
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| **Report type** | **Preliminary report** |  | **Final report** |  |

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| **Report contents** | **Number of pages** |
| 1. Assessment Report Summary (chapter 1) |  |
| 1. Assessment program (chapter 2) |  |
| 1. Attendance rosters for opening meeting (chapter 3) |  |
| 1. Attendance rosters for closing meeting (chapter 3) |  |
| 1. Summary report of the Lead Assessor and technical remarks (chapter 4) |  |
| 1. Non-conformity report (chapter 5) |  |
| 1. Corrective action report (chapter 6) |  |
| 1. List of documentation reviewed (chapter 7) |  |
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# Assessment program

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| **Assessed entity** |  | **Identification n°** |  |
| **Lead Assessor** |  |

The assessment may pertain to one or more standards

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| **Supervision standard(s)** | *Type of assessment* | | | | **Assessment date(s)** |  |
|  | Initial supervision |  | extension |  |  |
| surveillance |  | additional |  |  |
| renewal |  |  | |  |

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| **For initial assessments: date of document review** |  |

| **Date and time** | | **Reference section** | **Names of assessors** | **Persons encountered** |
| --- | --- | --- | --- | --- |
|  |  | Opening meeting | See chapter 3 | |
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|  |  | Closing meeting | See chapter 3 | |

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| **Remarks:** |
| **Page/Total number of pages:** **/****\_** |

# Attendance rosters for opening/closing meeting

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| **Assessed entity** |  | **Identification n°** |  |

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| --- | --- | --- | --- | --- |
| **Opening meeting** |  |  | **Date of meeting** |  |
| **Closing meeting** |  |

| **Representatives of organization being assessed** | **Function title** | **Signature** |
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| **Assessment team** | **Function in team** | **Signature** |
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# Summary report of the Lead Assessor and technical remarks

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| **Assessed entity** |  | **Identification n°** |  |

| **Lead Assessor’s overall conclusions**  Comments on the development of the assessed entity's management system. |
| --- |
|  |
|  |
| **Strong areas** |
|  |
| **Weak areas** |
|  |

| **Lead Assessor's recommendation** |
| --- |
| Remark: Clearly state the recommendation as to the awarding, continuing, withdrawing, etc. of the supervision status. |
|  |

| **Technical remarks** | |
| --- | --- |
| **Name of Technical Assessor** |  |
|  | |
| **Strong areas** | |
|  | |
| **Weak areas** | |
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| **Assessed technical areas and persons interviewed** | |
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# Non-conformity reports

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| **Assessed entity** |  | | **Identification n°** | |  |
| **NCR n°** | |  | |

**Major nonconformity[[1]](#footnote-1):** failure to fulfil one or more requirements of the management system standard, or

a situation that raises significant doubt about the ability of the client’s management system to achieve its intended outputs

**Minor nonconformity:**  failure to completely fulfil one or more requirements of the management system standard, or

a situation that raises doubt about the ability of the client’s management system to achieve its intended outputs

**Comment:** concerns an arrangement needing to be more formalized or specified.

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| ASSESSOR | Finding : | - comment | | - nonconformity | | - major nonconformity |
| Standard(s) & clause(s) : |  | | | | |
| Nonconformity relates to : | - application | | - documentation | |  |
| Description  :  **Note:** In the case of a major nonconformity, please describe the risks associated with the finding     . | | | | | |
| Date : | | Assessor : | | Signature : | |
|  | | | | | | |
| assessed entity | Assessed entity's agreement with the finding : | | - yes | | - no | |
| Remarks of the assessed entity : | | | | | |
| Date : | | Name : | | Signature : | |

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# Corrective action report

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| **Assessed entity** |  | | **Identification n°** | |  |
| **CAR n°** | |  | |

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| assessed entity | Note:  The TSP shall provide ILNAS with a Corrective Action Report (CAR) detailing the results of the following actions:  • an analysis of the root-cause and the extent of a nonconformity  • actions focused on removing the root-cause  • recall and correction of nonconforming products or services that were provided  • demonstration of the effectiveness of the actions by a self assessment (for example by a special internal audit focused on the problems in question) | | | | |
| Deadline for application (cannot exceed three months after the date of the assessment) : | | |  | |
| Date : | Name : | | | |
|  | | | | | |
| ASSESSOR | Is the suggested corrective action appropriate? | | - yes | | - no |
| Remarks : | | | | |
| Date : | Assessor : | | | |

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The corrective action report should be submitted by the assessed entity to the assessment team within 30 days following the assessment

# List of documentation reviewed

|  |  |  |  |
| --- | --- | --- | --- |
| **Assessed entity** |  | **Identification n°** |  |

| **TSP document** | **Document identification** | **Remarks** |
| --- | --- | --- |
| Certificate Policy (or Policies) |  |  |
| Certification Practice Statement |  |  |
| Terms and conditions of the TSP services |  |  |
| Agreement between TSP and subscriber / subject |  |  |
| Management system policy |  |  |
| Information security risk analysis method |  |  |
| Information security risk analysis results |  |  |
| Procedures for quality and information security management |  |  |
| EDP Audit statement(s) on Trustworthy Systems |  |  |
| Documentation and certificate(s) of Cryptographic Equipment |  |  |
| Documentation and certificate(s) of Secure Signature Creation Devices provided to subjects |  |  |
| Evidence of compliance of qualified signatures |  |  |
| Records of internal TSP audit(s) |  |  |
| Records of TSP management review meeting(s) |  |  |
| Cross reference list between supervision standard(s) and TSP documentation |  |  |
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1. Extract from ISO/IEC 17021 :2011 article 9.1.15.b [↑](#footnote-ref-1)