



# IC3S

CC Certification Body, STQC Directorate,  
Indian Common Criteria Certification Scheme (IC3S),  
MeitY, Government of India

## Internal Audit Report

### Part-1: Audit Brief

1. Audit Date(s): \_\_\_\_\_
2. Audit Team: \_\_\_\_\_
3. Audit Scope: \_\_\_\_\_

4. Status of NCRs previous audit : Total  Closed  Outstanding

Signature \_\_\_\_\_  
Management Representative

### Part-II: Audit Summary (Details Next Page)

Total No. of non-conformances \_\_\_\_\_  
 \* Minor non-conformance \_\_\_\_\_  
 \* Major Non-conformance \_\_\_\_\_

#### *Classification of Minor non-conformance*

No. of Minor NCs relating to  
 \* A- System not defined \_\_\_\_\_  
 \* B –Procedure/Practice not implemented \_\_\_\_\_  
 \* C- Procedure/Practice not effective \_\_\_\_\_

***\*Refer Nonconformance reports for distribution of NCs in any area.***

Target date for corrective actions: \_\_\_\_\_

#### **Enclosures**

Annexure I - Form (Audit Non-conformance Report)	Pages	_____
Annexure II - Form (Audit Notings)	Pages	_____
Annexure III - Form (Checklist/Additional Information)	Pages	_____

This report contains a total of \_\_\_\_\_ pages.





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### Annexure-V: Mapping with CCRA Requirements

Checklist for determining that the constitution and procedures of the Certification Body under assessment comply with the requirements of Annexes B and C of the Arrangement on the Recognition of CC certificates (CCRA).

**Key:** “Y” is “Yes”, “N” is “No” and “I” is “Inconclusive”

S. No.	Item	Verdict (Y/N/I)	Evidence
1.	Check that the services of the Certification Body are to be available without undue financial or other conditions. (C.1)	Y	STQC/CC/D02 – Clause 2.4.1
2.	Check that the procedures under which the Certification Body operates are to be administered in a non-discriminatory manner. (C.1)	Y	STQC/CC/D02 - Clause 2.4.2,
3.	Confirm that the Certification Body is to be impartial by checking that it has permanent staff responsible to a senior executive enabling day-to-day operations to be carried out free from undue influence or control by anyone having a commercial or financial interest in the certification.(C.2)	Y	STQC/CC/D02 –Clause 2.2



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S. No.	Item	Verdict (Y/N/I)	Evidence
4.	<p>Check that the Certification Body has and makes available:</p> <p>a) A chart showing clearly the responsibility and reporting structure of the organisation;</p> <p>b) A description of the means by which the organisation obtains financial support;</p> <p>c) Documentation describing its Evaluation and Certification Scheme;</p> <p>d) documentation clearly identifying its legal status.(C.3)</p>	<p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p>	<p>STQC/CC/D02 - Clause 3.1 - Annexure III</p> <p>STQC/CC/D02 – Clause2.3.2</p> <p>STQC/CC/D01, Master-list of Documents</p> <p>STQC/CC/D02 - Clause 2.1</p>
5.	<p>Check that the personnel of the Certification Body are to be competent for the functions they undertake. (C.4)</p> <p>[This evidence comes in part from the shadow certification check, although formal qualifications, experience ,ISO/IEC 17065 (or its successors) accreditation may also provide evidence.]</p>	Y	<p>STQC/CC/D02 - Clause3.1</p> <p>STQC/CC/D17</p>
6.	<p>Check that information on the relevant qualifications, training and experience of each member of staff is maintained by the Certification Body or by the organisation's personnel department and kept up-to-date (C.4)</p>	Y	STQC/CC/D02 - Clause 4.1 & 4.2



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S. No.	Item	Verdict (Y/N/I)	Evidence
7.	Check that personnel have clear, up-to-date, and documented instructions pertaining to their duties and responsibilities available to them. (C.4)	Y	STQC/CC/D02 - Clause 3.1.3 & 3.1.5 STQC/CC/D12
8.	<p>Check that, if work is contracted to an outside body, the Certification Body ensures that the personnel carrying out the contracted work meet the applicable requirements of Annex C of the CCRA.(C.4)</p> <p>[Great care needs to be taken if certification work is contracted to an outside body. A Certification Body contracting out certification work should provide a rationale of the appropriateness of contracting. Development of guidance is a task, which can be done by an outside body with the relevant experience and qualifications.]</p>	NO OUTSOURCING	Not Applicable
9.	<p>Check that the Certification Body maintains a system for the control of all documentation relating to its Evaluation and Certification Scheme and that it ensures that:</p> <p>a) Current issues of the appropriate documentation are available at all relevant locations;</p> <p>b) Documents are not amended or superseded without proper authorisation;</p>	Y	STQC//CC/D02– Clause 6.3 STQC/CC/P05



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	<p>c) Changes are promulgated insuch way that those who need to know are promptlyinformed and are in a position to take prompt and effective action;</p> <p>d) Superseded documents are removed from use throughout the organisation and itsagencies;</p> <p>e) Those with a direct interest in the Scheme are informed of changes. (C.5)</p> <p>[ For item e), those with a direct interest in the Scheme will include all product vendors who use the Scheme, the evaluation facilities, and customers of certified products in government departments and companies in the critical national infrastructure. It may also include system integrators who produce systems for government.]</p>		
10.	<p>Check that the Certification Body maintains a record system to suit its particular circumstances and to comply with relevant regulations applied in the jurisdiction to which the Participant is subject. (C.6)</p> <p>[The record system used should contain sufficient information to enable a shadow certification to be performed. It should enable an observer to determine that the</p>	Y	STQC/CC/D02–Clause 5.12 STQC/CC/P06



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S. No.	Item	Verdict (Y/N/I)	Evidence
	certification was performed in an impartial, objective way and adhered to the appropriate criteria and methodology.]		
11.	Check that the record system includes all records and other papers produced in connection with each certification; it is to be sufficiently complete to enable the course of each certification to be traced. (C.6)	Y	STQC/CC/P06
12.	Check that all records are securely and accessibly stored for a period of at least five years. (C.6)	Y	STQC/CC/P06
13.	Check that the Certification Body has the required facilities and documented procedures to enable the IT product or Protection Profile Certification/Validation to be correctly carried out in accordance with the Common Criteria and related evaluation methods (i.e. CEM, CC, Supporting Documents) (C.7)	Y	STQC/CC/D03 STQC/CC/D04



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14.	<p>Check that evaluation facilities fulfil the following two conditions:</p> <p>a) They are accredited by an Accreditation Body officially recognised in the country concerned; and</p> <p>b) They are licensed or otherwise approved by the Certification Body responsible for the management of the Scheme.(B.3)</p>	Y	STQC/CC/D03, STQC/CC/D04
15.	<p>Check that the Evaluation Facility demonstrates, to the satisfaction of the Certification Body, that it is technically competent in the specific field of IT security evaluation and that it is in a position to comply in full with the rules of the Scheme concerned. (B.3)</p> <p>[Evidence for this check will not involve a separate check on the evaluation facility. All that is required is that the Certification Body describes how it determines that evaluation facilities are technically competent.]</p>	Y	STQC/CC/D03, STQC/CC/D04, STQC/CC/F16
16.	<p>Check that the Certification Body confirms that the Evaluation Facility has the ability to apply the applicable evaluation criteria and evaluation methods correctly and consistently.(B.3)</p>	Y	STQC/CC/D03, STQC/CC/D04, STQC/CC/F16



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17.	Check that the Certification Body confirms that the Evaluation Facility meets stringent security requirements necessary for the protection of sensitive or protected information relating to IT products or Protection Profiles under evaluation and to the process of evaluation itself. (B.3)	Y	STQC/CC/D03, STQC/CC/D04 STQC/CC/F16
18.	<p>Check that the Licensing or Approval Policy for the Scheme includes details of security and training requirements and of the procedures for making an application to be Licensed or Approved and for the processing of such applications. (B.3)</p> <p>[Check that the Certification Body includes in its Licensing or Approval policy those requirements that allow it to determine that evaluation facilities have sufficient security measures in place. This also applies for the possibility to determine that the evaluators are technically competent in the field of IT security as well as CC. A mere reference to ISO/IEC 17025 in the Licensing or Approval policy is not sufficient. At the same time, it is not expected that the Certification Body has training or examination requirements on as per evaluator basis although this is recommended.]</p>		STQC/CC/D04 STQC/CC/F16



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19.	Check that the Certification Body has drawn up, for each IT Security Evaluation Facility, a properly documented agreement covering all relevant procedures including arrangements for ensuring confidentiality of protected information and the evaluation and certification processes. (C.8)	Y	STQC/CC/D02- Clause 2.1.2 STQC/CC/D14 STQC/CC/F15
20.	The Certification Body is to have a Quality Manual and documentation setting out the procedures by which it complies with the requirements of Annex C of the CCRA. These are to include atleast:		
	a) A policy statement on the maintenance of quality;	Y	STQC/CC/D02 – Clause 6.1
	b) A brief description of the legal status of the Certification Body;	Y	STQC/CC/D02 – Clause 2.1.1
	c) The names, qualifications and duties of the senior executive and other certification personnel;	Y	STQC/CC/D02 – Clause 3.1 & 4.2
	d) Details of training arrangements for certification personnel;	Y	STQC/CC/P02
	e) An organisation chart showing lines of authority, responsibility and allocation of functions stemming from the senior executive;	Y	STQC/CC/D02 – ANNEX III
	f) Details of procedures for monitoring IT product or Protection Profile evaluations;	Y	STQC/CC/D08, STQC/CC/D09



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	<p>g) Details of procedures for preventing the abuse of Common Criteria certificates;</p> <p>h) The identities of any contractors and details of the documented procedures for assessing and monitoring their competence;</p> <p>i) Details of any procedures for appeals or conciliation.(C.9)</p>	<p>Y</p> <p>NO OUTSOURCING</p> <p>Y</p>	<p>STQC/CC/D02 – 2.1.3 STQC/CC/D13</p> <p>Not Applicable</p> <p>STQC/CC/D02 Clause 5.13 STQC/CC/P07</p>
21.	Check that the Certification Body has adequate arrangements to ensure confidentiality of the information obtained in the course of its certification activities at all levels of its organisation. (C.10)	Y	STQC/CC/D02 – Clause 2.5
22.	Check the application of the procedures to ensure the confidentiality of protected information (C.10)	Y	STQC/CC/P06
23.	<p>Check that the Certification Body does not make an unauthorised disclosure of protected information obtained in the course of its certification activities under the CCRA. (C.10)</p> <p>[Check the Certification Body's procedures to ensure that they help prevent unauthorised disclosures. The VPA team should then ask to see all complaints against the Certification Body received by the Scheme. Checking for unauthorised disclosures is especially important if the information protection procedures of the Certification</p>	Y	STQC/CC/D02 – Clause 2.5 STQC/CC/F07



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	Body are not adequate.]		
24.	<p>Check that the Certification Body produces and updates as necessary a Certified Products List available to the public. Each IT product or protection profile mentioned in the list is to be clearly identified. A description of the Evaluation and Certification Scheme is to be available in published form. (C.11)</p> <p>[Check the Certification Body's procedures to ensure that they publish their certified/validated IT product or protection profile on their website and/or the commoncriteriaportal.org website. This is also sufficient to meet the requirement listed in Annex B.2.i. It is not required for the Certification Body to maintain and publish a paper based document. It is allowed for the certificate and Certification Report to be in the national language, although it is recommended for entries on the commoncriteriaportal.org to be in the English language.</p> <p>Note that the Certification Report shall include the Security Target for the IT product, but this Security Target can be sanitized according to the Supporting Document[CCDB-2006-04-004]</p>	Y	STQC/CC/D15, STQC/CC/F11



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25.	Check that the Certification Body has procedures to deal with disagreements among itself, its associated evaluation facilities, and their clients. (C.12)	Y	STQC/CC/P07
26.	Check that the Certification Body undertakes management reviews of its operations to ensure that it continues to share the CCRA objectives. (C.13)	Y	STQC/CC/P04
27.	Check that the Certification Body takes appropriate administrative, procedural or legal steps to prevent or counter the misuse of certificates and to correct false, misleading or improper statements about certificates or about the Evaluation and Certification Scheme. (C.14)	Y	STQC/CC/D02 – Clause 2.1.3 STQC/CC/D13
28.	Check that the Certification Body is to have documented procedures for withdrawal of Common Criteria certificates and is to advertise the withdrawal in the next issue of its Certified Products List. (C.15)	Y	STQC/CC/D02 – Clause 5.11