

IC3S

Record Control

(STQC/CC/P06)

Issue : 03



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

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0.1 Approval and Issue

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Reviewed by : Management Representative

Approved by : Head, CC Scheme

Note:

- Management Representative is responsible for issue and distribution of this document including amendments.
- Holder of this copy is responsible for incorporation of all the amendments and currency of the document.


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1.0 Purpose & Scope

- 1.1 The purpose of this document is to establish a procedure for identification, indexing, filing, storage, maintenance and disposition of records - physical or electronic.
- 1.2 This procedure applies to IC3S
- i) System compliance records
 - Advisory Board Meeting minutes
 - Management Committee meeting minutes
 - Internal audit records
 - Appeals/complaints/disputes
 - General records (like Certified Product List, Certified CCTL list, list of appointment, Master list of documents, etc.)
 - ii) Personnel records
 - Advisory board/Certification Committee members' resume.
 - Empanelment records
 - Training & background information records.
 - Confidentiality Statements
 - iii) CC Product validation Records.
 - iv) Client records

2.0 Responsibility

Operational personnel - To maintain and control all records including client records

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3.0 Associated Documents

- STQC/CC/D02 - Quality Manual
- STQC/CC/P05 - Document Control

4.0 Definitions

For the purpose of this document, the definitions contained in clause 1.3 of the document STQC/CC/D02 - “Quality Manual” shall apply.

5.0 Resources

For the purposes of the activities defined in this document, the personnel resources are identified in Doc STQC/CC/D11 and relevant office orders shall apply.

6.0 Procedure

6.1 Identification of Records

Every record shall be identified with the help of the number allotted to it. Current list of Records and Files is available at Certification Body.

6.2 Indexing, Filing, Storage and Maintenance

The identified personnel shall establish and maintain all active records with a cross reference indexing system and serially arrange the records to enable convenient identification, sorting, storage and retrieval. The records shall be kept for a minimum five calendar years, unless otherwise stated. The records shall be kept in a physically secured environment in addition to various logical security provisions.

6.3 Information Classification

Classification Guidelines

Information will be classified as either of the following:

- a) **Confidential:**

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To be kept within the specific group or set of persons handling the matter only. These shall mostly consist of client provided records pertaining to product submitted for certification e.g. ST, ToE besides records like Internal audit reports, complaints/appeals records & NDAs.

b) Internal:

All documents & information that is kept within CB and are available to all personnel involved in CC activities at STQC e.g Personal records, Assessment formats, CC / MC/ AB minutes.

c) Public:

The CC related information that can be shared with all including public at large. These is published on internet.

6.4 Document/Record Labeling and Handling

	Labeling	Transmission	Storage	Disposal
Confidential	Paper: Header Confidential Electronic; Mark as Confidential	Paper: In sealed cover Electronic: Access to authorized Persons only	Paper: Kept in locked cupboards Electronic: With adequate physical and logical security	Paper: Shredding after expiry, Electronic Deleted after approval
Internal	Paper: Header Internal Electronic; Marked as Internal	Paper: To and from authorized personnel Electronic: Access to all employees	Paper: Kept in locked cupboards Electronic: May be kept in common folder	Paper: Shredding after expiry Electronic Deleted from folder
Public	Paper: Header Public Electronic: Marked as Public	Paper/ Electronic: May be shared with all including outsiders	Paper: May be kept on the desk Electronic: May be kept in common folder	Paper: Shredding Electronic Deleted after expiry.

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6.5 Issue of Records

Records shall be issued only on need to know basis.

6.6 Disposition of Records

Management Representative is responsible to review the contents of the records at the expiry of specified retention period. Depending upon the merit of the case, recommendation to

- Dispose of or
- Retention for a further period

Shall be forwarded to Head CC for approval. If approved, records are closed and necessary disposal actions are taken.

6.7 Security and Confidentiality of Records

The under mentioned records are considered as confidential and shall be held under lock and key:

- All records pertaining to clients
- All records pertaining to complaints/disputes/appeals,