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

CCTL Audit Checklist

1 Introduction

1.0 Background

Indian Common Criteria Certification Scheme (IC3S) is operated by STQC Directorate, Department of Electronics and IT (DeitY), Ministry of Communications and Information Technology, Govt. of India. Under the IC3S scheme, the Evaluation Laboratories or Common Criteria Test laboratories (henceforth will be referred as CCTL) perform evaluations of Information Technology (henceforth will be referred as IT) security products against the requirements of ISO 15408 or Common Criteria Standards. The Certification Body (CB) of IC3S is responsible for approving the evaluation laboratories as authorized CCTL. This checklist is based on the scheme document STQC/CC/D04: Requirements for Testing Laboratories and is intended to serve as a auditing tools for assessment of the Testing and Calibration Laboratories seeking approval for enlistment and as well as operating under IC3S.

2 References

STQC/CC/DO2	:	Quality Manual of the Certification Body
STQC/CC/D03	:	Accreditation Process for Enlistment and Operation of labs under IC3S.
STQC/CC/D04	:	Requirements for Testing Laboratories
ISO/IEC 17025	:	General Requirements for the Competence of Testing and Calibration Laboratories.
ISO/IEC 15408	:	Evaluation Criteria for IT Security:
Part 1	:	Introduction and general model;
Part 2	:	Security functional requirements; and
Part 3	:	Security assurance requirements
ISO/IEC 18045	:	Information technology -- Security techniques -- Methodology for IT security evaluation
CC Part 1	:	Common Criteria - Introduction and general model.
CC Part 2	:	Security functional requirements
CC Part 3	:	Security assurance requirements
CEM	:	Common Methodology for Information Technology Security Evaluation

Laboratory	**:**
Auditor (s)	**:**
Date	**:**

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3 Accreditation Process

#	Requirements	Auditor's comment
3.1	Contacting CB and submission of formal application	
3.2	The formal application must be signed by the competent authority (documentary evidence in respect of authority is required to be submitted along with the application) and must be accompanied with the laboratories quality manual addressing the requirements of ISO 17025.	
3.3	A prospective CCTL shall contact Head, CC Scheme with preliminary information e.g. Name & location of the laboratory, Contact person, Area of technology of the IT security product (for which evaluation approval is intended) and target EAL.	

4 General requirements

Clause	Requirements	Defined and documented in	Auditor's Comment
4.1	**Impartiality**		
4.1.1	CCTL activities shall be undertaken impartiality and structured and managed so as to safeguard impartiality.		
4.1.2	The CCTL management shall be committed to impartiality.		
4.1.3	The CCTL shall be responsible for the impartiality of its laboratory activities and shall not allow commercial, financial or other pressures to compromise impartiality.		
4.1.4	The CCTL shall identify risks to its impartiality on an on-going basis. This shall include those risks that arise from its activities, or from its relationships, or from the relationships of its personnel. However, such relationships do not necessarily present a laboratory with a risk to impartiality.		
4.1.5	If a risk to impartiality is identified, the CCTL shall be able to demonstrate how it eliminates or minimizes such risk.		
4.2	**Confidentiality**		
4.2.1	The CCTL shall be responsible, through legally enforceable commitments, for the management of all information obtained or created during the		

Clause	Requirements	Defined and documented in	Auditor's Comment
	performance of laboratory activities. The laboratory shall inform the customer in advance, of the information it intends to place in the public domain. Except for information that the customer makes publicly available, or when agreed between the laboratory and the customer (e.g. for the purpose of responding to complaints), all other information is considered proprietary information and shall be regarded as confidential.		
4.2.2	When the CCTL is required by law or authorized by contractual arrangements to release confidential information, the customer or individual concerned shall, unless prohibited by law, be notified of the information provided.		
4.2.3	Information about the customer obtained from sources other than the customer (e.g. complainant, regulators) shall be confidential between the customer and the laboratory. The provider (source) of this information shall be confidential to the laboratory and shall not be shared with the customer, unless agreed by the source.		
4.2.4	Personnel, including any committee members, contractors, personnel of external bodies, or individuals acting on the laboratory's behalf, shall keep confidential all information obtained or created during the performance of laboratory activities, except as required by law.		

5 Structural Requirements

Clause	Requirements		
5.1	The CCTL shall be a legal entity, or a defined part of a legal entity, that is legally responsible for its laboratory activities.		
5.2	The CCTL shall identify management that has overall responsibility for the laboratory.		
5.3	The CCTL shall define and **document** the range of laboratory activities for which it conforms with this document. The laboratory shall only claim conformity with this document for this range of laboratory activities, which excludes externally, provided laboratory activities on an ongoing basis.		

Clause	Requirements	Defined and documented in	Auditor's Comment
5.4	CCTL activities shall be carried out in such a way as to meet the requirements of the ISO/IEC 17025-2017 document, the laboratory's customers, regulatory authorities and organizations providing recognition. This shall include laboratory activities performed in all its permanent facilities, at sites away from its permanent facilities, in associated temporary or mobile facilities or at a customer's facility.		
5.5	The CCTL shall: a) define the organization and management structure of the laboratory, its place in any parent organization, and the relationships between management, technical operations and support services; b) specify the responsibility, authority and interrelationship of all personnel who manage, perform or verify work affecting the results of laboratory activities; c) Document its procedures to the extent necessary to ensure the consistent application of its laboratory activities and the validity of the results.		
5.6	The CCTL shall have personnel who, irrespective of other responsibilities, have the authority and resources needed to carry out their duties, including: a) implementation, maintenance and improvement of the management system; b) identification of deviations from the management system or from the procedures for performing laboratory activities; c) initiation of actions to prevent or minimize such deviations; d) reporting to laboratory management on the performance of the management system and any need for improvement; e) ensuring the effectiveness of laboratory activities.		
5.7	CCTL management shall ensure that: a) communication takes place regarding the effectiveness of the management system and the importance of meeting customers' and other requirements; b) the integrity of the management system is maintained when changes to the management system are planned and implemented.		

6 Resource Requirement

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Clause	Requirements	Defined and documented in	Auditor's Comment
6.1	**General**		
	The CCTL shall have available the personnel, facilities, equipment, systems and support services necessary to manage and perform its laboratory activities.		
6.2	**Personnel**		
6.2.1	All personnel of the laboratory, either internal or external, that could influence the laboratory activities shall act impartially, be competent and work in accordance with the laboratory's management system.		
6.2.2	The CCTL shall **document** the competence requirements for each function influencing the results of laboratory activities, including requirements for education, qualification, training, technical knowledge, skills and experience.		
6.2.3	The CCTL shall ensure that the personnel have the competence to perform laboratory activities for which they are responsible and to evaluate the significance of deviations.		
6.2.4	The management of the CCTL shall communicate to personnel their duties, responsibilities and authorities.		
6.2.5	The CCTL shall have procedure(s) and retain records for: a) determining the competence requirements; b) selection of personnel; c) training of personnel; d) supervision of personnel; e) authorization of personnel; f) Monitoring competence of personnel.		
6.2.6	The CCTL shall authorize personnel to perform specific laboratory activities, including but not limited to, the following: a) development, modification, verification and validation of methods; b) analysis of results, including statements of conformity or opinions and interpretations; c) Report, review and authorization of results.		
6.3	**Facilities and environmental conditions**		
6.3.1	The facilities and environmental conditions shall be suitable for the laboratory activities and shall not adversely affect the validity of results.		

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Clause	Requirements	Defined and documented in	Auditor's Comment
6.3.2	The requirements for facilities and environmental conditions necessary for the performance of the laboratory activities shall be **documented.**		
6.3.3	The laboratory shall monitor, control and record environmental conditions in accordance with relevant specifications, methods or procedures or where they influence the validity of the results.		
6.3.4	Measures to control facilities shall be implemented, monitored and periodically reviewed and shall include, but not be limited to: a) access to and use of areas affecting laboratory activities; b) prevention of contamination, interference or adverse influences on laboratory activities; c) Effective separation between areas with incompatible laboratory activities.		
6.3.5	When the CCTL performs laboratory activities at sites or facilities outside its permanent control, it shall ensure that the requirements related to facilities and environmental conditions of this document are met.		
6.4	**Equipment**		
6.4.1	The CCTL shall have access to equipment (including, but not limited to, measuring instruments, software, measurement standards, reference materials, reference data, reagents, consumables or auxiliary apparatus) that is required for the correct performance of laboratory activities and that can influence the results.		
6.4.2	When the CCTL uses equipment outside its permanent control, it shall ensure that the requirements for equipment of this document are met.		
6.4.3	The CCTL shall have a **procedure** for handling, transport, storage, use and planned maintenance of equipment in order to ensure proper functioning and to prevent contamination or deterioration.		
6.4.4	The CCTL shall verify that equipment conforms to specified requirements before being placed or returned into service.		
6.4.5	The equipment used for measurement shall be capable of achieving the measurement accuracy and/or measurement uncertainty required to provide a valid result.		
6.4.6	Measuring equipment shall be calibrated when: – the measurement accuracy or measurement uncertainty affects the validity of the reported results, and/or – Calibration of the equipment is required to establish the		

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Clause	Requirements	Defined and documented in	Auditor's Comment
	metrological traceability of the reported results.		
6.4.7	The CCTL shall establish a calibration programme, which shall be reviewed and adjusted as necessary in order to maintain confidence in the status of calibration.		
6.4.8	All equipment requiring calibration or which has a defined period of validity shall be labeled, coded or otherwise identified to allow the user of the equipment to readily identify the status of calibration or period of validity.		
6.4.9	Equipment that has been subjected to overloading or mishandling, gives questionable results, or has been shown to be defective or outside specified requirements, shall be taken out of service. It shall be isolated to prevent its use or clearly labeled or marked as being out of service until it has been verified to perform correctly. The laboratory shall examine the effect of the defect or deviation from specified requirements and shall initiate the management of nonconforming work procedure.		
6.4.10	When intermediate checks are necessary to maintain confidence in the performance of the equipment, these checks shall be carried out according to a procedure.		
6.4.11	When calibration and reference material data include reference values or correction factors, the laboratory shall ensure the reference values and correction factors are updated and implemented, as appropriate, to meet specified requirements.		
6.4.12	The CCTL shall take practicable measures to prevent unintended adjustments of equipment from invalidating results.		
6.4.13	Records shall be retained for equipment which can influence laboratory activities. The records shall include the following, where applicable: a) the identity of equipment, including software and firmware version; b) the manufacturer's name, type identification, and serial number or other unique identification; c) evidence of verification that equipment conforms with specified requirements; d) the current location; e) calibration dates, results of calibrations, adjustments, acceptance criteria, and the due date of the next calibration or the calibration interval;		

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Clause	Requirements	Defined and documented in	Auditor's Comment
	f) documentation of reference materials, results, acceptance criteria, relevant dates and the period of validity; g) the maintenance plan and maintenance carried out to date, where relevant to the performance of the equipment; h) Details of any damage, malfunction, modification to, or repair of, the equipment.		
6.5	**Metrological traceability**		
6.5.1	The CCTL shall establish and maintain metrological traceability of its measurement results by means of a **documented** unbroken chain of calibrations, each contributing to the measurement uncertainty, linking them to an appropriate reference.		
6.5.2	The laboratory shall ensure that measurement results are traceable to the International System of Units (SI) through: a) calibration provided by a competent laboratory; or b) certified values of certified reference materials provided by a competent producer with stated metrological traceability to the SI; or c) direct realization of the SI units ensured by comparison, directly or indirectly, with national or international standards.		
6.5.3	When metrological traceability to the SI units is not technically possible, the laboratory shall demonstrate metrological traceability to an appropriate reference, e.g.: a) certified values of certified reference materials provided by a competent producer; b) results of reference measurement procedures, specified methods or consensus standards that are clearly described and accepted as providing.		
6.6	**Externally provided products and services**		
6.6.1	The laboratory shall ensure that only suitable externally provided products and services that affect laboratory activities are used, when such products and services: a) are intended for incorporation into the laboratory's own activities; b) are provided, in part or in full, directly to the customer by the laboratory, as received from the external provider; c) are used to support the operation of the laboratory.		

Clause	Requirements	Defined and documented in	Auditor's Comment
6.6.2	The laboratory shall have a **procedure** and retain records for: a) defining, reviewing and approving the laboratory's requirements for externally provided products and services; b) defining the criteria for evaluation, selection, monitoring of performance and re-evaluation of the external providers; c) ensuring that externally provided products and services conform to the laboratory's established requirements, or when applicable, to the relevant requirements of this document, before they are used or directly provided to the customer; d) taking any actions arising from evaluations, monitoring of performance and re-evaluations of the external providers.		
6.6.3	The laboratory shall communicate its requirements to external providers for: a) the products and services to be provided; b) the acceptance criteria; c) competence, including any required qualification of personnel; d) activities that the laboratory, or its customer, intends to perform at the external provider's premises.		

7 Process Requirements

Clause	Requirements	Defined and documented in	Auditor's Comment
7.1	**Review of requests, tenders and contracts**		
7.1.1	The CCTL shall have a **procedure** for the review of requests, tenders and contracts. The procedure shall ensure that: a) the requirements are adequately defined, documented and understood; b) the laboratory has the capability and resources to meet the requirements; c) where external providers are used, the requirements of 6.6 are applied and the laboratory advises the customer of the specific laboratory activities to be performed by the external provider and gains the customer's approval; d) the appropriate methods or procedures are selected and are		

Clause	Requirements	Defined and documented in	Auditor's Comment
	capable of meeting the customers' requirements.		
7.1.2	The CCTL shall inform the customer when the method requested by the customer is considered to be inappropriate or out of date.		
7.1.3	When the customer requests a statement of conformity to a specification or standard for the test or calibration (e.g. pass/fail, in-tolerance/out-of-tolerance), the specification or standard and the decision rule shall be clearly defined. Unless inherent in the requested specification or standard, the decision rule selected shall be communicated to, and agreed with, the customer.		
7.1.4	Any differences between the request or tender and the contract shall be resolved before laboratory activities commence. Each contract shall be acceptable both to the laboratory and the customer. Deviations requested by the customer shall not impact the integrity of the laboratory or the validity of the results.		
7.1.5	The customer shall be informed of any deviation from the contract.		
7.1.6	If a contract is amended after work has commenced, the contract review shall be repeated and any amendments shall be communicated to all affected personnel.		
7.1.7	The CCTL shall cooperate with customers or their representatives in clarifying the customer's request and in monitoring the laboratory's performance in relation to the work performed.		
7.1.8	Records of reviews, including any significant changes, shall be retained. Records shall also be retained of pertinent discussions with a customer relating to the customer's requirements or the results of the laboratory activities.		
7.2	**Selection, verification and validation of methods**		
7.2.1	**Selection and verification of methods**		
7.2.1.1	The CCTL shall use appropriate methods and procedures for all laboratory activities and, where appropriate, for evaluation of the measurement uncertainty as well as statistical techniques for analysis of data.		
7.2.1.2	All methods, procedures and supporting documentation, such as instructions, standards, manuals and reference data relevant to the		

Clause	Requirements	Defined and documented in	Auditor's Comment
	laboratory activities, shall be kept up to date and shall be made readily available to personnel.		
7.2.1.3	The CCTL shall ensure that it uses the latest valid version of a method unless it is not appropriate or possible to do so. When necessary, the application of the method shall be supplemented with additional details to ensure consistent application.		
7.2.1.4	When the customer does not specify the method to be used, the laboratory shall select an appropriate method and inform the customer of the method chosen. Methods published either in international, regional or national standards, or by reputable technical organizations, or in relevant scientific texts or journals, or as specified by the manufacturer of the equipment, are recommended. Laboratory-developed or modified methods can also be used.		
7.2.1.5	The CCTL shall verify that it can properly perform methods before introducing them by ensuring that it can achieve the required performance. Records of the verification shall be retained. If the method is revised by the issuing body, verification shall be repeated to the extent necessary.		
7.2.1.6	When method development is required, this shall be a planned activity and shall be assigned to competent personnel equipped with adequate resources. As method development proceeds, periodic review shall be carried out to confirm that the needs of the customer are still being fulfilled. Any modifications to the development plan shall be approved and authorized.		
7.2.1.7	Deviations from methods for all laboratory activities shall occur only if the deviation has been **documented,** technically justified, authorized, and accepted by the customer.		
7.2.2	**Validation of methods**		
7.2.2.1	The CCTL shall validate non-standard methods, laboratory-developed methods and standard methods used outside their intended scope or otherwise modified. The validation shall be as extensive as is necessary to meet the needs of the given application or field of application. a) calibration or evaluation of bias and precision using reference standards or reference materials;		

Clause	Requirements	Defined and documented in	Auditor's Comment
	b) systematic assessment of the factors influencing the result; c) testing method robustness through variation of controlled parameters, such as incubator temperature, volume dispensed; d) comparison of results achieved with other validated methods; e) inter-laboratory comparisons; f) evaluation of measurement uncertainty of the results based on an understanding of the theoretical principles of the method and practical experience of the performance of the sampling or test method.		
7.2.2.2	When changes are made to a validated method, the influence of such changes shall be determined and where they are found to affect the original validation, a new method validation shall be performed.		
7.2.2.3	The performance characteristics of validated methods, as assessed for the intended use, shall be relevant to the customers' needs and consistent with specified requirements.		
7.2.2.4	The CCTL shall retain the following records of validation: a) the validation procedure used; b) specification of the requirements; c) determination of the performance characteristics of the method; d) results obtained; e) a statement on the validity of the method, detailing its fitness for the intended use.		
7.3	**Sampling**		
7.3.1	The CCTL shall have a sampling plan and method when it carries out sampling of substances, materials or products for subsequent testing or calibration. The sampling method shall address the factors to be controlled to ensure the validity of subsequent testing or calibration results. The sampling plan and method shall be available at the site where sampling is undertaken. Sampling plans shall, whenever reasonable, be based on appropriate statistical methods.		
7.3.2	The sampling method shall describe: a) the selection of samples or sites; b) the sampling plan; c) the preparation and treatment of sample(s) from a substance, material or product to yield the required item for subsequent testing or calibration.		

Clause	Requirements	Defined and documented in	Auditor's Comment
7.3.3	The CCTL shall retain records of sampling data that forms part of the testing or calibration that is undertaken. These records shall include, where relevant: a) reference to the sampling method used; b) date and time of sampling; c) data to identify and describe the sample (e.g. number, amount, name); d) identification of the personnel performing sampling; e) identification of the equipment used; f) environmental or transport conditions; g) diagrams or other equivalent means to identify the sampling location, when appropriate; h) deviations, additions to or exclusions from the sampling method and sampling plan.		
7.4	**Handling of test or calibration items**		
7.4.1	The CCTL shall have a **procedure** for the transportation, receipt, handling, protection, storage, retention, and disposal or return of test or calibration items, including all provisions necessary to protect the integrity of the test or calibration item, and to protect the interests of the laboratory and the customer. Precautions shall be taken to avoid deterioration, contamination, loss or damage to the item during handling, transporting, storing/waiting, and preparation for testing or calibration. Handling instructions provided with the item shall be followed.		
7.4.2	The CCTL shall have a system for the unambiguous identification of test or calibration items. The identification shall be retained while the item is under the responsibility of the laboratory. The system shall ensure that items will not be confused physically or when referred to in records or other documents. The system shall, if appropriate, accommodate a sub-division of an item or groups of items and the transfer of items.		
7.4.3	Upon receipt of the test or calibration item, deviations from specified conditions shall be recorded. When there is doubt about the suitability of an item for test or calibration, or when an item does not conform to the description provided, the laboratory shall consult the customer for further instructions before proceeding and shall record the results of this		

Clause	Requirements	Defined and documented in	Auditor's Comment
	consultation. When the customer requires the item to be tested or calibrated acknowledging a deviation from specified conditions, the laboratory shall include a disclaimer in the report indicating which results may be affected by the deviation.		
7.4.4	When items need to be stored or conditioned under specified environmental conditions, these conditions shall be maintained, monitored and recorded.		
7.5	**Technical records**		
7.5.1	The CCTL shall ensure that technical records for each laboratory activity contain the results, report and sufficient information to facilitate, if possible, identification of factors affecting the measurement result and its associated measurement uncertainty and enable the repetition of the laboratory activity under conditions as close as possible to the original. The technical records shall include the date and the identity of personnel responsible for each laboratory activity and for checking data and results. Original observations, data and calculations shall be recorded at the time they are made and shall be identifiable with the specific task.		
7.5.2	The CCTL shall ensure that amendments to technical records can be tracked to previous versions or to original observations. Both the original and amended data and files shall be retained, including the date of alteration, an indication of the altered aspects and the personnel responsible for the alterations.		
7.6	**Evaluation of measurement uncertainty**		
7.6.1	CCTL shall identify the contributions to measurement uncertainty. When evaluating measurement uncertainty, all contributions that are of significance, including those arising from sampling, shall be taken into account using appropriate methods of analysis.		
7.6.2	A laboratory performing calibrations, including of its own equipment, shall evaluate the measurement uncertainty for all calibrations.		
7.6.3	A laboratory performing testing shall evaluate measurement uncertainty. Where the test method precludes rigorous evaluation of measurement uncertainty, an estimation shall be made based on an understanding of the theoretical principles or practical experience of the performance of		

Clause	Requirements	Defined and documented in	Auditor's Comment
	the method.		
7.7	**Ensuring the validity of results**		
7.7.1	The CCTL shall have a **procedure** for monitoring the validity of results. The resulting data shall be recorded in such a way that trends are detectable and, where practicable, statistical techniques shall be applied to review the results. This monitoring shall be planned and reviewed and shall include, where appropriate, but not be limited to: a) use of reference materials or quality control materials; b) use of alternative instrumentation that has been calibrated to provide traceable results; c) functional check(s) of measuring and testing equipment; d) use of check or working standards with control charts, where applicable; e) intermediate checks on measuring equipment; f) replicate tests or calibrations using the same or different methods; g) retesting or recalibration of retained items; h) correlation of results for different characteristics of an item; i) review of reported results; j) intra-laboratory comparisons; k) testing of blind sample(s).		
7.7.2	The CCTL shall monitor its performance by comparison with results of other laboratories, where available and appropriate. This monitoring shall be planned and reviewed and shall include, but not be limited to, either or both of the following: a) participation in proficiency testing; b) participation in inter-laboratory comparisons other than proficiency testing.		
7.7.3	Data from monitoring activities shall be analysed, used to control and, if applicable, improve the laboratory's activities. If the results of the analysis of data from monitoring activities are found to be outside pre-defined criteria, appropriate action shall be taken to prevent incorrect results from being reported.		
7.8	**Reporting of results**		
7.8.1	**General**		

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Clause	Requirements	Defined and documented in	Auditor's Comment
7.8.1.1	The results shall be reviewed and authorized prior to release.		
7.8.1.2	The results shall be provided accurately, clearly, unambiguously and objectively, usually in a report (e.g. a test report or a calibration certificate or report of sampling), and shall include all the information agreed with the customer and necessary for the interpretation of the results and all information required by the method used. All issued reports shall be retained as technical records.		
7.8.1.3	When agreed with the customer, the results may be reported in a simplified way. Any information listed in 7.8.2 to 7.8.7 that is not reported to the customer shall be readily available.		
7.8.2	**Common requirements for reports (test, calibration or sampling)**		
7.8.2.1	Each report shall include at least the following information, unless the laboratory has valid reasons for not doing so, thereby minimizing any possibility of misunderstanding or misuse: a) a title (e.g. "Test Report", "Calibration Certificate" or "Report of Sampling"); b) the name and address of the laboratory; c) the location of performance of the laboratory activities, including when performed at a customer facility or at sites away from the laboratory's permanent facilities, or in associated temporary or mobile facilities; d) unique identification that all its components are recognized as a portion of a complete report and a clear identification of the end; e) the name and contact information of the customer; f) identification of the method used; g) a description, unambiguous identification, and, when necessary, the condition of the item; h) the date of receipt of the test or calibration item(s), and the date of sampling, where this is critical to the validity and application of the results; i) the date(s) of performance of the laboratory activity; j) the date of issue of the report; k) reference to the sampling plan and sampling method used by the laboratory or other bodies where these are relevant to the validity or application of the results; l) a statement to the effect that the results relate only to the items		

Clause	Requirements	Defined and documented in	Auditor's Comment
	tested, calibrated or sampled; m) the results with, where appropriate, the units of measurement; n) additions to, deviations, or exclusions from the method; o) identification of the person(s) authorizing the report; p) clear identification when results are from external providers.		
7.8.2.2	The CCTL shall be responsible for all the information provided in the report, except when information is provided by the customer. Data provided by a customer shall be clearly identified. In addition, a disclaimer shall be put on the report when the information is supplied by the customer and can affect the validity of results. Where the laboratory has not been responsible for the sampling stage (e.g. the sample has been provided by the customer), it shall state in the report that the results apply to the sample as received.		
7.8.3	**Specific requirements for test reports**		
7.8.3.1	In addition to the requirements listed in 7.8.2, test reports shall, where necessary for the interpretation of the test results, include the following: a) information on specific test conditions, such as environmental conditions; b) where relevant, a statement of conformity with requirements or specifications; c) where applicable, the measurement uncertainty presented in the same unit as that of the measurand or in a term relative to the measurand (e.g. percent) when: – it is relevant to the validity or application of the test results; – a customer's instruction so requires, or – the measurement uncertainty affects conformity to a specification limit; d) where appropriate, opinions and interpretations; e) additional information that may be required by specific methods, authorities, customers or groups of customers.		
7.8.3.2	Where the laboratory is responsible for the sampling activity, test reports shall meet the requirements listed in 7.8.5 where necessary for the interpretation of test results.		
7.8.4	**Specific requirements for calibration certificates**		
7.8.4.1	In addition to the requirements listed in 7.8.2, calibration certificates shall include the following:		

Clause	Requirements	Defined and documented in	Auditor's Comment
	a) the measurement uncertainty of the measurement result presented in the same unit as that of the measurand or in a term relative to the measurand (e.g. percent); b) the conditions (e.g. environmental) under which the calibrations were made that have an influence on the measurement results; c) a statement identifying how the measurements are metrologically traceable; d) the results before and after any adjustment or repair, if available; e) where relevant, a statement of conformity with requirements or specifications; f) where appropriate, opinions and interpretations.		
7.8.4.2	Where the laboratory is responsible for the sampling activity, calibration certificates shall meet the requirements listed in 7.8.5 where necessary for the interpretation of calibration results.		
7.8.4.3	A calibration certificate or calibration label shall not contain any recommendation on the calibration interval, except where this has been agreed with the customer.		
7.8.5	**Reporting sampling – specific requirements**		
	Where the laboratory is responsible for the sampling activity, in addition to the requirements listed in 7.8.2, reports shall include the following, where necessary for the interpretation of results: a) the date of sampling; b) unique identification of the item or material sampled (including the name of the manufacturer, the model or type of designation and serial numbers, as appropriate); c) the location of sampling, including any diagrams, sketches or photographs; d) a reference to the sampling plan and sampling method; e) details of any environmental conditions during sampling that affect the interpretation of the results; f) information required to evaluate measurement uncertainty for subsequent testing or calibration.		
7.8.6	**Reporting statements of conformity**		
7.8.6.1	When a statement of conformity to a specification or standard is provided, the laboratory shall **document** the decision rule employed, taking into account the level of risk (such as false accept and false reject		

Clause	Requirements	Defined and documented in	Auditor's Comment
	and statistical assumptions) associated with the decision rule employed, and apply the decision rule.		
7.8.6.2	The CCTL shall report on the statement of conformity, such that the statement clearly identifies: a) to which results the statement of conformity applies; b) which specifications, standards or parts thereof are met or not met; c) the decision rule applied (unless it is inherent in the requested specification or standard).		
7.8.7	**Reporting opinions and interpretations**		
7.8.7.1	When opinions and interpretations are expressed, the laboratory shall ensure that only personnel authorized for the expression of opinions and interpretations release the respective statement. The laboratory shall **document** the basis upon which the opinions and interpretations have been made.		
7.8.7.2	The opinions and interpretations expressed in reports shall be based on the results obtained from the tested or calibrated item and shall be clearly identified as such.		
7.8.7.3	When opinions and interpretations are directly communicated by dialogue with the customer, a record of the dialogue shall be retained.		
7.8.8	**Amendments to reports**		
7.8.8.1	When an issued report needs to be changed, amended or re-issued, any change of information shall be clearly identified and, where appropriate, the reason for the change included in the report.		
7.8.8.2	Amendments to a report after issue shall be made only in the form of a further document, or data transfer, which includes the statement "Amendment to Report, serial number... [or as otherwise identified]", or an equivalent form of wording. Such amendments shall meet all the requirements of this document.		
7.8.8.3	When it is necessary to issue a complete new report, this shall be uniquely identified and shall contain a reference to the original that it replaces.		
7.9	**Complaints**		

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Clause	Requirements	Defined and documented in	Auditor's Comment
7.9.1	The CCTL shall have a **documented process** to receive, evaluate and make decisions on complaints.		
7.9.2	A description of the handling process for complaints shall be available to any interested party on request. Upon receipt of a complaint, the laboratory shall confirm whether the complaint relates to laboratory activities that it is responsible for and, if so, shall deal with it. The laboratory shall be responsible for all decisions at all levels of the handling process for complaints.		
7.9.3	The process for handling complaints shall include at least the following elements and methods: a) description of the process for receiving, validating, investigating the complaint, and deciding what actions are to be taken in response to it; b) tracking and recording complaints, including actions undertaken to resolve them; c) ensuring that any appropriate action is taken.		
7.9.4	The CCTL receiving the complaint shall be responsible for gathering and verifying all necessary information to validate the complaint.		
7.9.5	Whenever possible, the laboratory shall acknowledge receipt of the complaint, and provide the complainant with progress reports and the outcome.		
7.9.6	The outcomes to be communicated to the complainant shall be made by, or reviewed and approved by, individual(s) not involved in the original laboratory activities in question.		
7.9.7	Whenever possible, the laboratory shall give formal notice of the end of the complaint handling to the complainant.		
7.10	**Nonconforming work**		
7.10.1	The CCTL shall have a **procedure** that shall be implemented when any aspect of its laboratory activities or results of this work do not conform to its own procedures or the agreed requirements of the customer (e.g. equipment or environmental conditions are out of specified limits, results of monitoring fail to meet specified criteria). The procedure shall ensure that:		

Clause	Requirements	Defined and documented in	Auditor's Comment
	a) the responsibilities and authorities for the management of nonconforming work are defined; b) actions (including halting or repeating of work and withholding of reports, as necessary) are based upon the risk levels established by the laboratory; c) an evaluation is made of the significance of the nonconforming work, including an impact analysis on previous results; d) a decision is taken on the acceptability of the nonconforming work; e) where necessary, the customer is notified and work is recalled; f) the responsibility for authorizing the resumption of work is defined.		
7.10.2	The CCTL shall retain records of nonconforming work and actions as specified in 7.10.1, bullets b) to f).		
7.10.3	Where the evaluation indicates that the nonconforming work could recur, or that there is doubt about the conformity of the laboratory's operations with its own management system, the laboratory shall implement corrective action.		
7.11	**Control of data and information management**		
7.11.1	The CCTL shall have access to the data and information needed to perform laboratory activities.		
7.11.2	The laboratory information management system(s) used for the collection, processing, recording, reporting, storage or retrieval of data shall be validated for functionality, including the proper functioning of interfaces within the laboratory information management system(s) by the laboratory before introduction. Whenever there are any changes, including laboratory software configuration or modifications to commercial off-the-shelf software, they shall be authorized, **documented** and validated before implementation.		
7.11.3	The laboratory information management system(s) shall: a) be protected from unauthorized access; b) be safeguarded against tampering and loss; c) be operated in an environment that complies with provider or laboratory specifications or, in the case of non-computerized systems, provides conditions which safeguard the accuracy of manual recording and transcription; d) be maintained in a manner that ensures the integrity of the data and information;		

Clause	Requirements	Defined and documented in	Auditor's Comment
	e) include recording system failures and the appropriate immediate and corrective actions.		
7.11.4	When a laboratory information management system is managed and maintained off-site or through an external provider, the laboratory shall ensure that the provider or operator of the system complies with all applicable requirements of this document.		
7.11.5	The laboratory shall ensure that instructions, manuals and reference data relevant to the laboratory information management system(s) are made readily available to personnel.		
7.11.6	Calculations and data transfers shall be checked in an appropriate and systematic manner.		

8. Management System Requirement

Clause	Requirements		
8.1	**Options**		
8.1.1	**General**		
	The CCTL shall establish, **document**, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this document and assuring the quality of the laboratory results. In addition to meeting the requirements of Clauses 4 to 7, the laboratory shall implement a management system in accordance with Option A or Option B.		

Clause	Requirements	Defined and documented in	Auditor's Comment
8.1.2	**Option A**		
	As a minimum, the management system of the laboratory shall address the following: — management system documentation (see 8.2);		

Clause	Requirements	Defined and documented in	Auditor's Comment
	— control of management system documents (see 8.3); — control of records (see 8.4); — actions to address risks and opportunities (see 8.5); — improvement (see 8.6); — corrective actions (see 8.7); — internal audits (see 8.8); — management reviews (see 8.9).		
8.1.3	**Option B**		
	A laboratory that has established and maintains a management system, in accordance with the requirements of ISO 9001, and that is capable of supporting and demonstrating the consistent fulfillment of the requirements of Clauses 4 to 7, also fulfils at least the intent of the management system requirements specified in 8.2 to 8.9.		
8.2	**Management system documentation (Option A)**		
8.2.1	Laboratory management shall establish, **document**, and maintain **policies and objectives** for the fulfillment of the purposes of this document and shall ensure that the **policies and objectives** are acknowledged and implemented at all levels of the laboratory organization.		
8.2.2	The **policies and objectives** shall address the competence, impartiality and consistent operation of the laboratory.		
8.2.3	Laboratory management shall provide evidence of commitment to the development and implementation of the		

Clause	Requirements	Defined and documented in	Auditor's Comment
	management system and to continually improving its effectiveness.		
8.2.4	All documentation, processes, systems, records, related to the fulfillment of the requirements of this document shall be included in, referenced from, or linked to the management system.		
8.2.5	All personnel involved in laboratory activities shall have access to the parts of the management system documentation and related information that are applicable to their responsibilities.		
8.3	**Control of management system documents (Option A)**		
8.3.1	The CCTL shall control the documents (internal and external) that relate to the fulfillment of this document.		
8.3.2	The CCTL shall ensure that: a) documents are approved for adequacy prior to issue by authorized personnel; b) documents are periodically reviewed, and updated as necessary; c) changes and the current revision status of documents are identified; d) relevant versions of applicable documents are available at points of use and, where necessary, their distribution is controlled; e) documents are uniquely identified; f) the unintended use of obsolete documents is prevented, and suitable identification is applied to them if they are retained for any purpose.		
8.4	**Control of records (Option A)**		
8.4.1	The CCTL shall establish and retain legible records to demonstrate fulfillment of the		

Clause	Requirements	Defined and documented in	Auditor's Comment
	requirements in this document.		
8.4.2	The CCTL shall implement the controls needed for the identification, storage, protection, back-up, archive, retrieval, retention time, and disposal of its records. The laboratory shall retain records for a period consistent with its contractual obligations. Access to these records shall be consistent with the confidentiality commitments, and records shall be readily available.		
8.5	**Actions to address risks and opportunities (Option A)**		
8.5.1	The CCTL shall consider the risks and opportunities associated with the laboratory activities in order to: a) give assurance that the management system achieves its intended results; b) enhance opportunities to achieve the purpose and objectives of the laboratory; c) prevent, or reduce, undesired impacts and potential failures in the laboratory activities; d) achieve improvement.		
8.5.2	The CCTL shall plan: a) actions to address these risks and opportunities; b) how to: – integrate and implement these actions into its management system; – evaluate the effectiveness of these actions.		
8.5.3	Actions taken to address risks and opportunities shall be proportional to the potential impact on the validity of		

Clause	Requirements	Defined and documented in	Auditor's Comment
	laboratory results.		
8.6	**Improvement (Option A)**		
8.6.1	The CCTL shall identify and select opportunities for improvement and implement any necessary actions.		
8.6.2	The CCTL shall seek feedback, both positive and negative, from its customers. The feedback shall be analysed and used to improve the management system, laboratory activities and customer service.		
8.7	**Corrective actions (Option A)**		
8.7.1	When a non conformity occurs, the CCTL shall: a) react to the nonconformity and, as applicable: – take action to control and correct it; – address the consequences; b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: – reviewing and analysing the nonconformity; – determining the causes of the nonconformity; – determining if similar nonconformities exist, or could potentially occur; c) implement any action needed; d) review the effectiveness of any corrective action taken; e) update risks and opportunities determined during planning, if necessary; f) make changes to the management		

Clause	Requirements	Defined and documented in	Auditor's Comment
	system, if necessary.		
8.7.2	Corrective actions shall be appropriate to the effects of the nonconformities encountered.		
8.7.3	The CCTL shall retain records as evidence of: a) the nature of the nonconformities, cause(s) and any subsequent actions taken; b) the results of any corrective action.		
8.8	**Internal audits (Option A)**		
8.8.1	The CCTL shall conduct internal audits at planned intervals to provide information on whether the management system: a) conforms to: – the laboratory's own requirements for its management system, including the laboratory activities; – the requirements of this document; b) is effectively implemented and maintained.		
8.8.2	The CCTL shall: a) plan, establish, implement and maintain an audit programme including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the laboratory activities concerned, changes affecting the laboratory, and the results of previous audits; b) define the audit criteria and scope for each audit; c) ensure that the results of the audits are reported to relevant management;		

Clause	Requirements	Defined and documented in	Auditor's Comment
	d) implement appropriate correction and corrective actions without undue delay; e) retain records as evidence of the implementation of the audit programme and the audit results.		
8.9	**Management reviews (Option A)**		
8.9.1	The laboratory management shall review its management system at planned intervals, in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfillment of this document.		
8.9.2	The inputs to management review shall be recorded and shall include information related to the following: a) changes in internal and external issues that are relevant to the laboratory; b) fulfillment of objectives; c) suitability of policies and procedures; d) status of actions from previous management reviews; e) outcome of recent internal audits; f) corrective actions; g) assessments by external bodies; h) changes in the volume and type of the work or in the range of laboratory activities; i) customer and personnel feedback; j) complaints; k) effectiveness of any implemented improvements; l) adequacy of resources; m) results of risk identification; n) outcomes of the assurance of the validity of results; and o) other relevant factors, such as monitoring activities and training.		

Clause	Requirements	Defined and documented in	Auditor's Comment
8.9.3	The outputs from the management review shall record all decisions and actions related to at least: a) the effectiveness of the management system and its processes; b) improvement of the laboratory activities related to the fulfillment of the requirements of this document; c) provision of required resources; d) any need for change.		

9 Scheme Specific Requirements

Conflict of interest requirements

#	Requirements	Defined and documented in	Auditor's comment
4.1.1	If the testing laboratory seeking for approval from CB is controlled by a parent company, then the laboratory must demonstrate that there is sufficient separation of control and influence on the outcome of CC evaluation activities.		
4.1.2	The laboratory shall demonstrate with objective evidences that: • The parent company cannot exert undue influence on the outcome of the CC evaluation		

	activities • Proprietary evaluation information cannot be inappropriately accessed by the parent company		
4.1.3	The laboratory must have appropriate procedure in place to ensure that there is no conflict of interest between personnel offering their consultancy services to the developer or sponsor(on the aspect of Common Criteria evaluation of an IT security product) and the personnel actually performing evaluation of that particular IT security product		

Facility requirements

#	Requirements	Defined and documented in	Auditor's comment
4.2.1	The laboratory must reside within India and have a legal entity, duly organized and incorporated, validly existing, and in good standing under the laws of the state.		
4.2.2	The laboratory must retain their evaluation and testing facilities permanently in India and have communication facilities like		

	telephone (landline), Fax, e-Mail ID.		
4.2.3	The laboratory must have sufficient office space and equipment space available. Also space for at least one member of the Certification Body to work in the performance of evaluation technical oversight, when required		
4.2.4	The laboratory should be both physically and logically isolated from the rest of the organization with proper physical and logical security mechanism at the boundaries to ensure confidentiality of evaluation activities and their outcome.		
4.2.5	The laboratory should have sufficient IT infrastructure I. To support general documentation and for producing reports. II. Tools to protect documents from tampering III. To maintain confidentiality of the reports IV. Access to Internet V. To exchange evaluation objects and evaluation outcome		

	securely with the developer/sponsor or validator/Certification body.		
4.2.6	The laboratory should have proper facility to protect the evaluation records and objectives, if those are in the form of hardcopies		
4.2.7	The laboratory must be equipped with necessary equipment, tools etc. relevant to the area of technology for which approval from CB is sought		

Personnel requirements

#	Requirements	Defined and documented in	Auditor's comment
4.3.1	The potential CCTL should have a minimum of two personnel in their employee role who have been empaneled or proposed to be empaneled as CC evaluatorsmeeting the following requirements: • Knowledge and experience in IT Security • Knowledge of the CC or ISO 15408 and CEM or ISO 18045		

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Evaluation operational requirements

#	Requirements	Defined and documented in	Auditor's comment
4.4.1	Scheme Related Work: The CCTL must keep the CB informed of all Scheme related work that is being performed		
4.4.2	Registration for evaluation and Certification Services: The evaluation and certification projects shall only be registered through CB.		
4.4.3	Evaluation Tasks: The CCTL must partition its work into discrete tasks. For the purposes of planning and reporting, a task corresponds to the work performed by a CCTL for the evaluation of a single TOE. The identification shall be such that the TOE and related items cannot be confused physically or when referenced in records or other documents.		
4.4.4	Supply of Documentation to the CB: All documentation supplied by the CCTL to CB must be in encrypted softcopy format, either on suitable removable media or through secure repository or through secure email		

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4.4.5	Task Confidentiality: Task information must be handled so that its confidentiality is maintained and the same is agreed upon through an agreement with the developer or sponsor. CCTL must ensure signing of confidentiality agreement with evaluators		
4.4.6	Evaluation Work Plan (EWP): The laboratory must agree their Evaluation Work Plan at the Task Startup Meeting to communicate task specific details of the evaluation process to CB		
4.4.7	Task Startup Meeting: The laboratory must attend a Task Startup Meeting if required. If a Task Startup Meeting is not held then the CCTL, the Sponsor and the CB must address by other informal means all of the relevant issues that would otherwise be covered in a Task Startup Meeting.		
4.4.8	Deliverables List: The CCTL must ensure that the Sponsor/developer has contractually agreed to supply deliverables appropriate to the scope of evaluation and target assurance level		

4.4.9	Security Target Review: Following the Task Startup Meeting, the Evaluators must: I. carry out the formal evaluation of the Security Target according to the appropriate criteria and methodology, and II. ensure that the Security Target defines a TOE which corresponds to the scope of evaluation agreed at the Task Startup Meeting.		
4.4.10	Evaluation Process: In addition to analysis of product and development process documentations, the evaluators shall conduct independent testing of TOE and also consider public domain vulnerability information and various evaluation evidences like Functional Specification document, Design document, Guidance Document, delivery procedure etc. for vulnerability assessment of the TOE.		
4.4.11	Evaluation Progress Reviews: CB shall review all ongoing evaluation projects once in a year. Decisions on problems encountered, if any, shall be taken in the reviews.		
4.4.12	Task Records: For each task, the Evaluators must ensure that a systematic record of all information		

	is maintained		
4.4.13	Observation Reports: Evaluators must raise ORs to draw attention of the developer or sponsor to deficiencies of the evaluation objects with respect to the requirements of ISO 15408 or CC Standards and other problems, as and when they are discovered, during an evaluation and communicate the same to the developer/ sponsor securely.		
4.4.14	Evaluation Work Sheets : Evaluators shall document their evaluation results in the form of work sheets addressing the requirements of CEM; the same shall be presented for validation.		
4.4.15	Evaluation Technical Report: The CCTL must produce a final ETR and supply a copy to CB. The ETR must precisely identify the evaluated TOE and address all the requirements of CEM or ISO 18045. The ETR must include a deliverables list. The Evaluators must report work performed and the detailed results in the ETR, as required by CEM, giving sufficient justifications for verdicts and conclusions.		
4.4.16	Test records: Evaluators must ensure that scripts for penetration		

	tests and additional implementation tests are recorded in sufficient detail to allow repeatability and reproducibility. When a tool is used to assess one or more test items this must be recorded in sufficient detail to allow repeatability or reproducibility.		
4.4.17	Closure: When the laboratory completes an evaluation work and the Certification Report is issued by the CB, the laboratory may close down the evaluation project. In the closure process, CCTL shall archive or dispose of all material supplied for the evaluation as defined by CB and decided in initial meeting with the developer/sponsor.		