

IC3S

Application Handling (STQC/CC/P09) Issue : 06



CC Certification Body, STQC Directorate,
Indian Common Criteria Certification Scheme (IC3S),
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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.
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1.0 Purpose & Scope

- 1.1 The purpose of this document is to establish procedures for handling of applications
- 1.2 The scope of this document applies to Indian CC certification scheme

2.0 Responsibility

- Operation's personnel
- Initial contact with client for providing information
 - Verification and review of applications & registration

3.0 Associated Documents


- STQC/CC/D01 - CC Scheme Organization, Management & Operation
- STQC/CC/D02 - Quality Manual
- STQC/CC/D06 - Guidance to Applicants

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 Document STQC/CC/D11- “List of Appointments”.

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6.0 Procedure

6.1 Establishment of Contact/Enquiry

The process of dealing with a prospective certification client starts from the moment

- CB is able to establish a contact with a prospective client or
- There is an enquiry from an prospective client.

6.2 Review

The operation's personnel of Certification Body IC3S shall ascertain whether the IT product or PP for which certification is sought, fall within the scope of IC3S, prior to confirmation to the client. In case, there is any doubt or situation is not clear, Management Representative (MR) shall be consulted. In all cases where IC3S is unable to offer certification services, certification personnel shall promptly convey the inability to the client and make a note of that.

6.3 Guidance to Applicants

For necessary guidance regarding CC certifications, please refer to the document STQC/CC/D06 - Guidance to applicants, which is self-explanatory.

6.4 Fresh Application/ Assurance Continuity

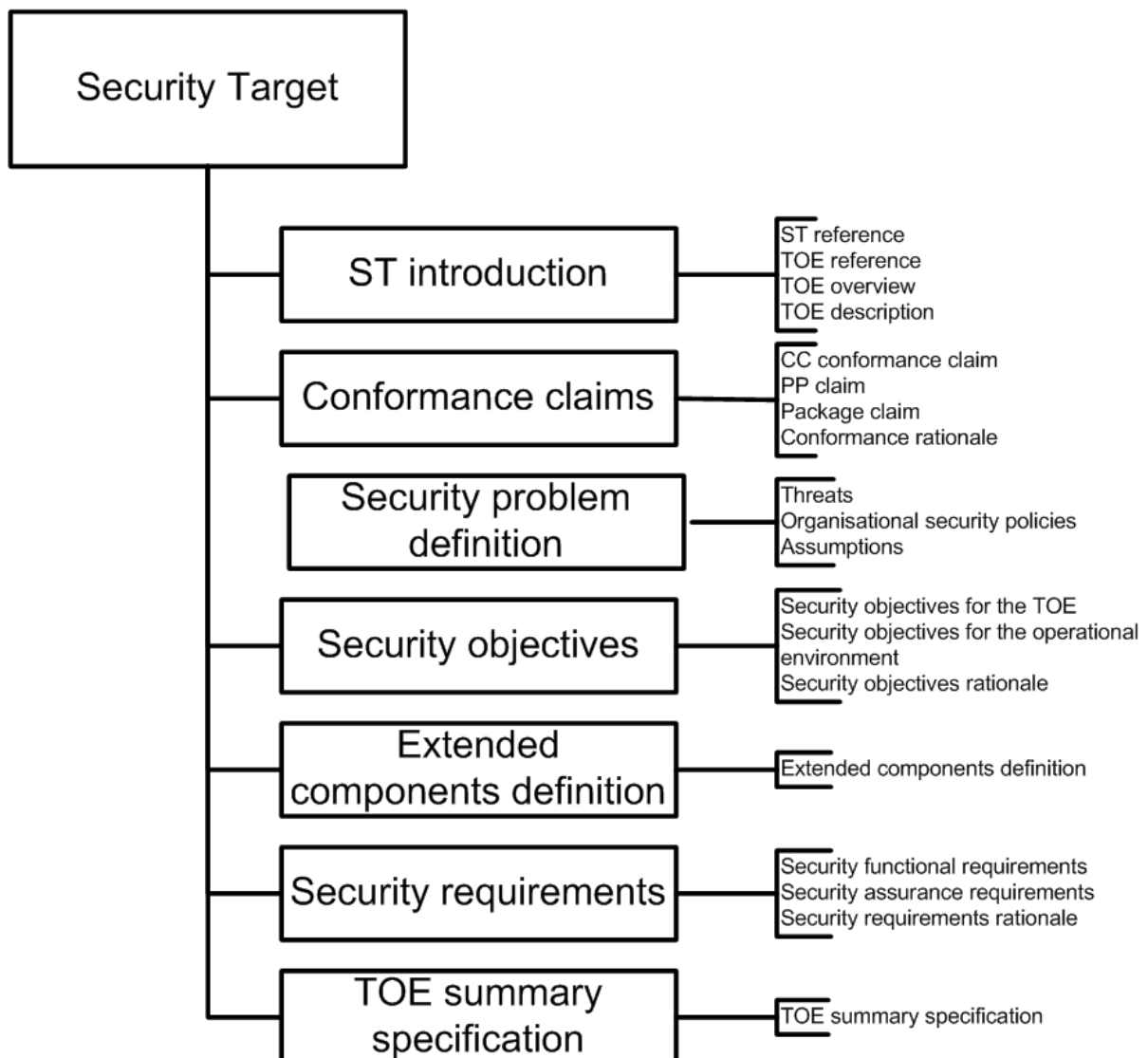
6.4.1 On receipt of a certification request from a prospective client, the certification personnel of Certification Body IC3S, shall determine whether the request is a fresh application for registration or for assurance continuity for an existing approval. Besides, adequate reviews shall be made on similar lines to that of description at Para 6.2, to ensure that the request is within the scope.

6.4.2 In case of fresh application, operation's personnel of Certification Body IC3S shall scrutinize the application for its correctness, completeness, open new file and record details as defined in STQC/CC/D06.

6.4.3 A cursory review of the ST shall be done to ensure the mandatory contents of a ST based on evaluation level. The Figure below outlines the structure of

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aregular ST (for evaluation level 2 and up). The structure of low assurance ST (for evaluation level 1) is defined in sec. 6.4.5.



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Fig. : Security Target contents (for evaluation level 2 and up)

6.4.4 The requirement of different sections of a regular ST (for evaluation level 2 and up) and the contents of those sections are briefly summarized below :

- a) an ST introduction containing three narrative descriptions of the TOE on different levels of abstraction;
- b) a conformance claim, showing whether the ST claims conformance to any PPs and/or packages, and if so, to which PPs and/or packages;
- c) a security problem definition, showing threats, OSPs and assumptions;
- d) security objectives, showing how the solution to the security problem is divided between security objectives for the TOE and security objectives for the operational environment of the TOE;
- e) extended components definition (optional), where new components (i.e. those not included in CC Part 2 or CC Part 3) may be defined. These new components are needed to define extended functional and extended assurance requirements;
- f) security requirements, where a translation of the security objectives for the TOE into a standardised language is provided. This standardised language is in the form of SFRs. Additionally, this section defines the SARs;
- g) a TOE summary specification, showing how the SFRs are implemented in the TOE.

6.4.5 The CC allows low assurance ST for evaluation level 1. A low assurance ST has significantly reduced contents compared to regular ST. In case of a low assurance ST :

- there is no need to describe the Security problem definition (Refer : Fig. Security Target contents);
- there is no need to describe the security objectives for the TOE (Refer contents of the Security Objectives block in the Fig. Security Target contents). The security objectives for the operational environment must still be described;
- there is no need to describe the security objectives rationale as there is no security problem definition in the ST;

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- the security requirements rationale only needs to justify (any) dependencies not being satisfied as there are no security objectives for the TOE in the ST.

6.4.6 Once it is ensured that the contents of the application is satisfactory and the contents of the ST complies with the mandatory requirements according to the target EAL, Validator is appointed and necessary communications shall be sent to organization, validators and CCTL to review the documentations as per STQC/CC/D08, STQC/CC/D09 and STQC/CC/D10 as applicable.

6.4.7 In case of Assurance continuity, operation's personnel at STQC identifies a Validator. The document no. STQC/CC/D10 needs to be referred.

6.4.8 While appointing the Validator, adequate care be exercised to ensure that the individual is competent and has the necessary technical expertise/background matching with that of the business operation of the client. Appointment shall be made with reference to the list of persons identified in Doc STQC/CC/D11.

6.4.9 Along with completion of application registration as indicated in above paras, Operation personnel shall maintain a client profile with all-relevant details. The Certification Agreement STQC/CC/D14 shall be obtained from the client duly signed.

6.4.10 In case there is no progress within 90 days of application registration, Operation's shall review for further action.

6.5 Criteria for allocation of Evaluation activities to CCTL

- 6.5.1 Capability of CCTL in terms of Assurance Level
- 6.5.2 Geographic Location of the Client
- 6.5.3 Workload distribution
- 6.5.4 Client preference

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