IC3S

Process for Empanelment and Operation of labs under IC3S

(STQC/CC/D03)

Issue : 07

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

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0.1 Foreword

This document describes approval process for Common Criteria Testing Laboratories under the Indian Common Criteria Certification Scheme (IC3S). It specifies the requirements the testing laboratories need to comply for being approved and to continue with the approval.

0.2 Approval and Issue

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Reviewed by : Management Representative

Approved by : Head, IC3S 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.

0.3 Amendment Record

Sl. No.	Date	Issue	Reason of Change /Change Details
1.	01-12-11	01	First Issue
2.	16-10-12	02	Comprehensive review of CC Scheme documentation
3.	02-04-14	03	Procedure refined in view of empanelment of new lab
4.	14-06-19	04	Comprehensive review of CC Scheme documentation
5.	01-06-20	05	Addition of criteria for Surveillance Audit
6.	30-09-20	06	Addition of assignment of Unique lab code to CCTL after empanelment
7.	15-04-21	07	Comprehensive review of CC Scheme documentation

1.0 Introduction

1.1 Background

Indian Common Criteria Certification Scheme (IC3S) is operated by STQC Directorate, Ministry of Electronics and Information Technology (MeitY), Govt. of India. Under supervision of CB, 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) is responsible for approving the evaluation laboratories as authorized CCTL through the processes as described in this document

1.2 Purpose

The purpose of this document is to describe the process by which the Common Criteria Test Laboratories (CCTLs) become approved by CB. The primary audience for this document is prospective CCTLs who are looking for information regarding the requirements and the process of approval. Additionally, the document provides information to the developers/sponsors of evaluations about the requirements that must be met by CCTLs.

2.0 Reference

STQC/CC/DO2 : Quality Manual of the Certification Body

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

*(Please refer **Master List of Documents** for latest version of the documents)*

3.0 Becoming an approved and empaneled CCTL

3.1 Summary of steps

The approval process for CCTLs consists of the following steps:

a) Establishing contact with the Certification Body(CB) by prospective CCTL
b) Submission of formal application for registration.
c) Assessment of prospective CCTL and provisional empanelment by CB
d) Enlistment of approved CCTL (by CB)

3.2 Details of the steps

3.2.1 Establishing Contact with the CB by prospective CCTL

A prospective CCTL in India shall contact Operations representative, IC3S Schemethrough Email, Phone or Fax details as provided in annexure I with preliminary information e.g. Name & location of the laboratory, contact person, Area of technology of the IT product (for which evaluation approval is intended) and target EAL. On receipt of such communication, CB shall provide necessary guidance to the prospective CCTL for submission of the formal application and selection of appropriate EAL and/or Area of technology. "CC Test Lab

Empanelment Application form" is provided as "F-14 Application Form for Lab Empanelment" Schedule of Charges is provided as separate document "D-07 Schedule of Charges"

3.2.2 Submission Of formal application for registration

The formal application submitted to the CB 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 laboratory's Quality Manual and the required information as detailed in Annexure 2.

The CB will:

- Scrutinize the completeness and correctness of application and supplementary documents and information.
- Seek more information in case required.
- Register and confirm registration of application to the applicant.

3.2.3 Assessment of Prospective CCTL and Provisional Empanelment by CB

The application made by the prospective CCTL shall be treated as first formal record of the approval process of a CCTL. The information received through formal application would be used to assess the laboratory in respect of their ability to carry out evaluation of IT product. CB appoints a suitable audit team with adequate expertise for this assessment. The team will include experts having knowledge and experience on ISO/IEC 17025 standard area of Technology, Common Criteria Standard and tools & IT infrastructure. In case required, experts may be empaneled from outside STQC also.
Audit team shall assess the application in two stages
a) Stage 1: Application and Document Review
b) Stage 2: Site visits

STAGE 1:
The objective of stage 1 audit is to check the completeness, correctness and adequacy of all information (as listed in Annexure-2 of this document) with proper evidence.

The document shall be scrutinized offline by the assessment team. Discrepancies or deficiencies observed in the first step shall be communicated to the applicant before proceeding to the second stage.

If the findings of the review at this stage are satisfactory, the stage 2 of the assessment (Site Visit) will be initiated.

STAGE 2:

The objectives of site visit are as follows:

I. To verify the claims made by the prospective CCTL in their documentation.
II. To assess the knowledge and experience of the technical staff on Common Criteria standards and Common Evaluation methodology (CEM)
III. To assess the technical skill of the evaluators in carrying out requisite tests pertaining to the area of technology and Evaluation Assessment Level (EAL) for which approval is sought.
IV. To assess the following in respect of product evaluated before provisional empanelment:

a) Evaluation plan
b) Security target evaluation
c) TOE Functional specification and design evaluation
d) Testing of the TOE
e) Configuration Management system evaluation

The designated assessment team shall complete both the stages of assessment based on requirements as specified in STQC/CC/D04- "Requirements for Test Laboratories" and submit assessment report to CB. If there is no deficiency, the applicant laboratory shall be recommended for Provisional Empanelment under the scheme. CB will communicate to the applicant laboratory appropriately, in case any deficiency is observed the applicant Laboratory shall be recommended for Provisional Empanelment under the scheme on satisfactory closure of the deficiencies. Reassessment may be necessary to verify the closure.

An independent Certification Committee, appointed by CB, shall examine the assessment report and decide on **provisional empanelment**.

Typical Timeline for various activities:-

1. Registration after submission of formal application 1 Week.
2. Assessment of prospective CCTL and Provisional Empanelment by CB.- 7 Weeks
   a. Audit planning : 1 week
   b. Document evaluation : 3 Week

3.2.4 Site Visit and provisional Empanelment: 3 WeekFinal Empanelment of CCTL

After the provisional empanelment, the CCTL shall be required to register a product for evaluation with the CB. This evaluation process will be validated by a CB appointed validator. It will be the responsibility of the CCTL to arrange for the product for evaluation.

After the successful completion of the evaluation of the registered product resulting in its certification the prospective CCTL will be empaneled and assigned with a unique lab code which will be reflected on IC3S portal after necessary approval. The CB shall enlist the details of the empaneled CCTL indicating the area of technology and evaluation assurance levels for which they have been empaneled to carry out evaluation as per the requirements of Common Criteria standards. The validity of approval shall be for 3 years unless otherwise specified. The empanelment details with validity period shall be made public by CB through appropriate means e.g. CB portal.

Besides the certification time, the period for Final Empanelment shall include the product evaluation time.

4.0 Maintenance of CCTL approval

4.1 Continuation

CB shall perform a number of activities to ensure that an empaneled CCTL continues to meet the empanelment criteria. These activities include:

a) Surveillance audit once a year
b) Assessing any change in CCTL personnel, organization structure and critical infrastructure;

c) Assessing requests for change in the approval status of CCTL in respect of capability of evaluation at higher EAL or in respect of additional area of technology.

d) Surveillance audit criteria (list is not exhaustive)
1.Quality Manual is updated as per latest standard.
2.Evaluators Training and Education Records updated
3.Training program attended by Evaluators and their skill set records are updated
4.Non-conformance of IQA and their resolution action
5.MRM Issues and closure action
6.Change management process and their implementation
7.Corrective and improvement action
8.Complaints/ feedback resolution if required
9.Timelines and technical competency of product evaluation
10.Record maintenance
11.Discussion with Evaluators

4.2 Suspension

The following activities may lead to suspension of the empanelment:

a) Non-Conforming issues reported in Surveillance audit not being resolved by CCTL within the period prescribed by the auditor..
b) Improper use of Certification Mark/ Logo is not rectified.
c) Any other violation of applicable requirements or rules of procedure of CB including empanelment agreement and conditions.

CB shall inform CCTL about the suspension and shall also spell out the terms and conditions under which suspension shall be resolved.

4.3 Revocation

The following activities may lead to revocation of the empanelment:

a) Ongoing failure to comply with shortcomings identified by CB will result in revocation of CCTL approval.
b) CCTL action against suspension is not satisfactory by CB.

Annexure-1: Contact Details

Contact details :

Operations Representative, IC3S Scheme

Email

- commoncriteriaindia@gov.in
- Mr. Ankit Jain Scientist 'C'
  Email: ankitjain@stqc.gov.in
- Mr Gautam Prasad, Scientist 'C'
  Email: gprasad@stqc.gov.in

Head, IC3S Scheme
Mr. Suresh Chandra, Scientist 'F'
Email: suresh@stqc.gov.in

Annexure-2 : Information Necessary for Assessment of CCTL

Information necessary for assessment of an evaluation facility:

1. Name and address of the laboratory
2. Name and designation of the head of the laboratory
3. Laboratory contact details
4. Legal status of the laboratory
5. If is captive laboratory then name of its parent organization
6. Trade license /Govt. authorization in running the activity
7. Independency of the laboratory operation
8. Organization structure of the laboratory (if captive, then its position in the parent organization)
9. Experience of the organization and people in the area of CC Evaluation/ software testing / Security testing/ technical audit.
10. Educational and professional qualification of the technical staffs of the laboratory involved in CC evaluation.
11. Training or experience of the laboratory personnel on Common Criteria standards
12. The type of product or area of technology for which approval is sought
13. Target EAL
14. Tools used for evaluation
15. Other certificates or accreditation
16. Details of the product evaluated with EAL and area of technology (minimum one in the sought EAL)
17. Security Target document (ST)
18. Evaluation Technical Report (ETR)