COMMON CRITERIA LABORATORY EMPANELMENT PROCESS

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STQC Directorate

Department of Electronics and IT

Ministry of Communications and Information Technology

EMPANELMENT PROCESS

1. Establishing contact with the Certification Body (CB) by prospective CCTL

2. Submission of formal application for registration

3. Assessment of prospective CCTL and Provisional Empanelment by CB

4. Final Empanelment of CCTL

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Application for Registration

- Submission of formal application with Laboratory's Quality Manual

- Name and address of the laboratory, head of the laboratory
- Legal status of the laboratory, Trade license /Govt. authorization in running the activity,

- Independency of the laboratory operation , Organization structure of the laboratory (if captive, then its position in the parent organization)

- Experience of the organization and people in the area of CC Evaluation/ software testing / Security testing/ technical audit.; Educational and professional qualification of the technical staffs of the laboratory involved in CC evaluation; Training or experience of the laboratory personnel on Common Criteria standards

- The type of product or area of technology for which approval is sought
  - Target EAL
  - Tools used for evaluation
  - Other certificates or accreditation

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CB Actions - Application Processing

- Scrutinize the completeness, correctness of application & supplementary documents

- Seek more information, in case required

- Confirm registration of application to the applicant

Assessment of Prospective CCTL and Provisional Empanelment by CB

○ 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.

○ The application shall be assessed by Audit team in two stages
  • Stage 1: Application and Document Review
  • Stage 2: Site visits

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STAGE 1 AUDIT:

○ The objective of stage 1 audit is to check the completeness, correctness and adequacy of all information

○ The document shall be scrutinized offline by the assessment team.

○ Discrepancies observed in the first step shall be communicated to the applicant before proceeding to the second stage.

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STAGE 2 AUDIT:

- The objectives of site visit are as follows:

  - To verify the claims made by the prospective CCTL in their documentation.

  - To assess the technical skill of the evaluators and technical staff pertaining to CC Standard, CEM and in carrying out requisite tests pertaining to the area of technology and Evaluation Assessment Level (EAL) for which approval is sought.

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AUDIT

- Assessment team shall complete both the stages of assessment

- If there is no deficiency, the applicant laboratory shall be recommended for Provisional Empanelment

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

- In case any deficiency is observed the applicant laboratory shall be recommended for Provisional Empanelment only after satisfactory closure of the deficiencies.

- Reassessment may be necessary to verify the closure

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TYPICAL TIMELINE

- Registration after submission of formal application – 1 Week.

- Assessment of prospective CCTL and Provisional Empanelment by CB.   7 Week

  - Audit planning   :   1 Week
  - Document evaluation   :   3 Week
  - Site Visit and provisional Empanelment :   3 Week

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Final 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

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THE FINAL EMPANELMENT

- Registration of the Product with the CB:
  - Within 6 months from the date of provisional empanelment. Failure to do so will result in the cancellation of the empanelment.

- Submission of Evaluation Plan with the CB:
  - Submission within 15 days from the date of registering the product.

- Security Target Evaluation:
  - ST evaluation report within 1 month of submission of evaluation plan.

- TOE functional specification and Design evaluation:
  - The report for TOE functional specification and design evaluation to be submitted

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FINAL EMPANELMENT

- After the successful completion of the evaluation of the registered product resulting in its certification the prospective CCTL will be empanelled.

- The CB shall enlist the details of the empanelled CCTL indicating the evaluation assurance levels for which they have been empanelled to carry out evaluation as per the requirements of Common Criteria standards.

- The validity of approval shall be for 3 years. The empanelment details with validity period shall be made public by CB

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MAINTENANCE OF CCTL APPROVAL

- For continued Empanelment CB shall perform :

  - Surveillance audit once a year

  - Assessing any change in CCTL personnel , organization structure and critical infrastructure;

  - Assessing requests for change in the approval status of CCTL in respect of capability of evaluation at higher EAL

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SUSPENSION OF THE EMPANELMENT :

- Non Conforming issues reported in Surveillance audit not being resolved by CCTL within the prescribed time frame.

- Any 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.

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REVOCATION OF THE EMPANELMENT

- Ongoing failure to comply with shortcomings identified by CB will result in revocation of CCTL approval.

- CCTL action against suspension is not found satisfactory by CB.

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Questions?

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THANKS

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