

LOGO

<NAME OF ITSEF COMPANY>

Site Technical Audit Report

<Site Name>

TEMPLATE

**COMMERCIAL IN
CONFIDENCE**

Site
Developer
Certification Body
Evaluation facility

<Site Name>

Note from SOGIS-MRA: This document provides guidance for unified site audit results reporting across all SOGIS CBs

Reference/version
Date

<Reference and version of the document>

<Date of the document>

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1. Introduction

This document is a **Site Technical Audit Report (STAR)** Template.

The purpose of this document is:

- to provide guidance for unified site audit results reporting across all SOGIS CBs and in light of the MSSR and
- to fulfill the requirements of a CC evaluation/certification in the event of ALC reuse of site audit results for product certification.

The information required in this template may be provided referencing public documents (e.g. SST – Site Security Target).

The distribution of this document shall be restricted on a “Need to Know” basis between

- The Developer/Sponsor of the site
- The Certification Labs
- The Certification Bodies.

1.1. Site Audit Certification Information

Site Audit Certification Information	
Facility Type	
Classification	Common Criteria Restricted
CC Version	e.g. 3.1, revision 4
Methodology used	e.g. “Minimum Site Security Requirements” guide line (v1.1)
Site Audit Evaluation Level	e.g. ALC_DVS.2+ ALC_CMC.5 + ALC_CMS.5 + AVA_VAN.5
Site Audit Date	
Context of the Site Visit Evaluation	E.g. Site Certification, Product Evaluation or Periodic cycle of site visits for certification’s program for a developer’s specific products range
Project Identification/Certificate Identification Number	
Status of CB Validation	
Full Report Reference	
Sponsor/Developer Information	Provide Developer/Sponsor Name and specify the roles of main people met during the site audits
Evaluation Lab Information	Provide Evaluation Lab name and evaluators name involved in the audit.
Certification Body Information	Provide CB name and certifiers name involved in the audit.

2. Site Summary

2.1. Site Identification

Include Site name and description including the Location (Address).

2.2. Scope and Services of the Site

2.2.1. *Scope*

A complete description of all activities/services performed on the site included in the scope of the certification must be provided.

The confidentiality classification assessed during the site audit must be stated.

Guidance:

A list of relevant site assets in terms of security for the re-use shall be included. It must be highlighted how the site assets are protected in terms of confidentiality and integrity. This must be listed as part of the inputs/outputs of each service.

For each Service, the following information must be provided:

2.2.2. *Service*

A complete description of the service employed on the site to fulfill the scope of the certification.

Involved areas for each one of the services should be included to allow for tracking if something has changed in the physical set-up of the site.

2.2.2.1. **Inputs and deliveries**

Identification of all logical or physical inputs/outputs or deliveries from/to the site to enable the service to fulfill scope activities i.e. databases, files, masks, wafers, etc.....

2.2.2.2. **Connections and Dependencies**

Full description of any Logical connections of dependencies required to maintain the service to meet the scope of the certification.

Note: In case, that the site evaluation lab conducts the site audit as part of a site certification; the site security target (SST) may contain most of the information required for this section. Referencing to the SST is allowed.

3. Site Audit Evaluation Summary And Results

This section provides information of the evaluation activities carried out during the site audit.

3.1. ALC Families Summary

The following ALC families are included in the scope as per Life-cycle definition of (PPs to be identified):

ALC Family	Applicable	Verdict
ALC_CMC.5: Advance support	<input checked="" type="checkbox"/> YES	<input checked="" type="checkbox"/> PASS
ALC_CMS.5: Development tools CM coverage	<input checked="" type="checkbox"/> YES	<input checked="" type="checkbox"/> PASS
ALC_DVS.2: Sufficiency of security measures	<input checked="" type="checkbox"/> YES	<input checked="" type="checkbox"/> PASS
ALC_LCD.1: Developer defined life-cycle model	<input checked="" type="checkbox"/> YES	<input checked="" type="checkbox"/> PASS
ALC_TAT.3: Compliance with implementation standards	<input checked="" type="checkbox"/> Not applicable	<input checked="" type="checkbox"/> Not applicable
ALC_DEL.1: Delivery procedures	<input checked="" type="checkbox"/> Not applicable	<input checked="" type="checkbox"/> Not applicable
ALC_FLR.3: Systematic flaw remediation	<input checked="" type="checkbox"/> Not applicable	<input checked="" type="checkbox"/> Not applicable

Note: This is an example of the information expected in this section.

3.2. Applicable Life Cycle Phases

The Site, can be involved in

Applicable

Phase-1 - Smartcard Embedded Software Developer	<input checked="" type="checkbox"/> YES
Phase-2 - IC Developer	<input checked="" type="checkbox"/> YES
Phase-3 - IC Manufacturer	<input checked="" type="checkbox"/> YES
Phase-4 - IC Packaging Manufacturer	<input type="checkbox"/> NO
Phase-5 - Smartcard Product Manufacturer	<input type="checkbox"/> NO
Phase-6 – Personaliser	<input type="checkbox"/> NO
Phase-7 - Smartcard Issuer	<input type="checkbox"/> NO

Note: This is an example of the information expected in this section. It shall be adapted depending on the site purpose. Different phases could be listed here (e.g. See BSI-CC-PP-0056-2009)

3.3. Developer Evidences

Reference to all relevant developer's documentation (policies and procedures) and list of tools (in particular, the configuration management system) needed to confirm if the evaluation results of the site meets the product certification generic requirements or objectives.

3.4. Information about the previous audits (if any exist)

3.4.1. *Re-use of previous evaluation results*

3.4.2. *Re-use of other evaluation results.*

3.5. Non-Conformities, Remarks and Observations

List of re-use relevant NC's, remarks and Observations and their status (comprising the status of the remarks from the last audit which were closed during this audit).

Note: In case, any of the remarks listed in the STAR must be addressed by the evaluator re-using the site audit results, this must be highlighted in section Mandatory checking for Re-use.

Note: Exceptions in the application of MSSR should be listed and justified.

Non-Conformance 001

- Description
- Status CLOSED OPEN

Non-Conformance 002

- Description
- Status CLOSED OPEN

Remarks 001

- Description
- Status CLOSED OPEN

Remarks 002

- Description
- Status CLOSED OPEN

3.6. Mandatory checking for Re-use

The activities (if any) to be carried out by the re-using lab to check that the site audit may be re-used shall be clearly specified.

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4. Appendix A: Relationship to Site Security Targets

In case, that the site evaluation lab conducts the site audit not as part of a product evaluation but as part of a site certification; the site security target and the site certification report may contain most of the information required for ALC Re-Use as specified in this STAR template.

For example, a SST lists the ALC assurance classes, the responsible certification body or the site identification/scope.

Nonetheless, the creation of an additional STAR report is required. To avoid unnecessary duplication of information the site evaluation lab can replace the content of the sections of the STAR by references to the SST and the site certification report that contain the corresponding information.

The reference to the SST and the site certification report must be added in section 1.1 Site Audit Certification Information