Site Technical Audit Report

<Site Name>

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

Reference/version: <Reference and version of the document>
Date: <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

<table>
<thead>
<tr>
<th>Site Audit Certification Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility Type</td>
</tr>
<tr>
<td>Classification</td>
</tr>
<tr>
<td>CC Version</td>
</tr>
<tr>
<td>Methodology used</td>
</tr>
<tr>
<td>Site Audit Date</td>
</tr>
<tr>
<td>Context of the Site Visit Evaluation</td>
</tr>
<tr>
<td>Project Identification/Certificate</td>
</tr>
<tr>
<td>Identification Number</td>
</tr>
<tr>
<td>Status of CB Validation</td>
</tr>
<tr>
<td>Sponsor/Developer Information</td>
</tr>
<tr>
<td>Evaluation Lab Information</td>
</tr>
<tr>
<td>Certification Body Information</td>
</tr>
</tbody>
</table>
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):

<table>
<thead>
<tr>
<th>ALC Family</th>
<th>Applicable</th>
<th>Verdict</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALC_CMC.5: Advance support</td>
<td>✔️ YES</td>
<td>✔️ PASS</td>
</tr>
<tr>
<td>ALC_CMS.5: Development tools CM coverage</td>
<td>✔️ YES</td>
<td>✔️ PASS</td>
</tr>
<tr>
<td>ALC_DVS.2: Sufficiency of security measures</td>
<td>✔️ YES</td>
<td>✔️ PASS</td>
</tr>
<tr>
<td>ALC_LCD.1: Developer defined life-cycle model</td>
<td>✔️ YES</td>
<td>✔️ PASS</td>
</tr>
<tr>
<td>ALC_TAT.3: Compliance with implementation standards</td>
<td>Not applicable</td>
<td>Not applicable</td>
</tr>
<tr>
<td>ALC_DEL.1: Delivery procedures</td>
<td>Not applicable</td>
<td>Not applicable</td>
</tr>
<tr>
<td>ALC_FLR.3: Systematic flaw remediation</td>
<td>Not applicable</td>
<td>Not applicable</td>
</tr>
</tbody>
</table>

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 ✔️ YES
- Phase-2 - IC Developer ✔️ YES
- Phase-3 - IC Manufacturer ✔️ YES
- Phase-4 - IC Packaging Manufacturer ☐ NO
- Phase-5 - Smartcard Product Manufacturer ☐ NO
- Phase-6 – Personaliser ☐ NO
- Phase-7 - Smartcard Issuer ☐ 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.
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.