



ACHILLES PRACTICES CERTIFICATION

VENDOR SUBMITTAL

Version 2.0 December 2010

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1 Introduction

1.1 Scope of this Guide

This guide describes the comprehensive set of Achilles Practices Certification (APC) Program requirements for the Vendor Submittal Process. It states the compliance appraisal questions that must be answered, and lists the evidence requirements that must be met, for each certification level. The guide includes questionnaires that must be completed and submitted as part of the certification program. For instructions on how to complete and submit these questionnaires, see *APC Vendor Appraisal*.

For more information about certification levels and evidence requirements, see *APC Program Description*, which explains each element in the APC Program and includes a glossary of terms used throughout the APC Program documents.

1.2 Purpose and Intended Audience

This guide is written for certification applicants. Specifically, it is intended for the applicant point-of-contact (PoC) and technical lead responsible for resource management and certification performance. It provides a comprehensive description of the submittal requirements so the PoC can allocate the necessary resources to achieve certification.

1.3 Information to Submit

To participate in the APC Program, the Vendor applicant must submit the following information.

- A description of the Vendor's system that will be appraised for certification.
- A completed scope declaration.
- Completed questionnaires provided in the companion workbook for the selected level of certification (Bronze, Silver, or Gold).
- Completed warrant(s) signed by the appropriate authority.

This guide provides a template for the required submittal. Complete the Applicant Response section of the *Vendor Submittal Workbook* and then choose **File>Save As** to save the input. Name the file *[Vendor Name] APC Program Submittal [yyyy-mm-dd]*.

2 Description and Declaration

2.1 Description of the System

The Vendor shall describe the system to be considered for certification by providing the data in *Table 2-1*. Only the components declared by the Vendor will be considered within scope for certification.

- **System Identifier:** Public name for system to be considered for certification. For example, EMS/SCADA Master XA/21.
- **System Version:** Version number for system to be considered for certification. For example, Version 9.1.
- **Certification Level:** Bronze, Silver, Gold.
- **System Component Identifier:** List each component that is part of the system to be considered for certification. For example, SCADA Front End Processor (FEP).
- **Component Version:** For each component, identify the applicable version number. For example, FEP version 8.4.
- **Document Identifier:** For each component, identify the applicable document number for the component version cited. For example, GE.XA/21FEP8.1 dated 2007-08-31.

Table 2-1: System Considered for Certification

System Identifier:	System Version:	Certification Level:
System Component Identifier	Component Version	Document Identifier

2.2 Scope Declaration

The APC Program requires the Vendor to maintain documentation of the system architecture under consideration for certification. The purpose of scope declaration is to provide a checklist of applicable documentation to ensure completeness of the technical citations contained in the Evidence Warrants.

2.2.1 Usage

Each warrant citation shall use only the Vendor's declaration of applicable specifications, policies, procedures, test plans, etc. Documents cited in the warrants that are not listed in the scope declaration will be discounted as non-responsive to the MRE.

2.2.2 Applicable Documents

The Vendor shall declare the applicable documents for the system to be certified by providing the data in *Table 2-2*, which is an extension of *Table 2-1*. The Vendor will initially declare the applicable documents during the scoping activity described in the *APC Program Description* [1] (Figure 1-1: Vendor Certification Work Flow). A final declaration of applicable documents will be included with the Vendor's formal submittal of responses to the MREs.

System Identifier, System Version, Certification Level, System Component Identifier and Component Version are described in "*Description of the System*" on page 2. Document Description and Document Identifier pertain to all applicable documents¹ described in "*Usage*" on page 3.

Table 2-2: Declaration of Applicable Documents for Certification

System Identifier:		System Version:		Certification Level:	
System Component Identifier	Component Version	Document Description	Document Identifier		

1. All applicable documents should be established after careful examination of all MRE in the companion Vendor Submittal Workbook.

3 Completing the Questionnaire

3.1 Questionnaire Template

The questionnaires are administered to collect the evidence needed for appraisal. All questionnaires include the information shown in *Table 3-1*. The Vendor completes the **Applicant Response** section. The Requirement Traceability to BPs (MRE ID) and the Evidence Requirement are provided for quick alignment review.

Table 3-1: Vendor Questionnaire Template

Applicant Response					Remarks	MRE ID	MRE#	Requirement Traceability				
QR#	Question Response			Evidence ²				Evidence Requirement	Cert Level	M	O	
	YES	NO	Don't Know									

3.2 Vendor Warrant Template

Wurldtech Security Technologies appraisal requires a senior manager's warrant stating that the evidence cited shows compliance with the intent of the Evidence Requirement. The Vendor may choose to use a warrant stamp on existing documents or a warrant cover page to attached document(s). In either case, the warrant shall include the following information.

Warrant ID: ID[BP.xx.yy.zz³] [date yyyy-mm-dd]

On behalf of the [Vendor Name] located at [Vendor Address], I certify that the attached document verifies that the [named product and services] comply with the intent of the requirement(s) stated below.

Warrant Scope

Description of the applicability and scope of this warrant as it relates to system or system components considered for certification.

Applicable Documents⁴

Document ID & Version	Document Description	Document Status	Release Date

Applicable Signatures⁵

Date: _____

Signature: _____ **Printed Name:** _____

Title: _____

- 2. Evidence document is considered normative. Remarks are considered informative to qualify the normative evidence data and guide the appraiser to the appropriate section of a cited document.
- 3. Include BP identifier if warrant is for a specific BP. If not leave blank, but include a warrant ID.
- 4. In lieu of listing applicable documents, the warrant may reference a specific table of documents in the approved Vendor Scope document that applies to this warrant.
- 5. If warrant is submitted electronically without signatures, include a note stating "Signature(s) are on file."

3.3 Instructions for Vendor Response

When the questionnaire is administered, the respondent checks the appropriate box to answer the question with YES, NO, or Don't Know. If the answer is YES, the respondent cites the evidence by referring to Vendor document ID.

Requirement traceability traces to the Process Area (PA) collection of Base Practice (BP) requirements. Each question is numbered for cross referencing. The Appraisal Question column contains all questions for certification, but only those questions agreed to by the Vendor applicant during the certification planning phase must be answered. PAs or specific BPs within a PA that is declared not applicable do not need to be answered.

If evidence documents cited are related to one or more specific BPs or PAs, the evidence citation should be formatted to include the "BP or PA number: document ID."

An example Vendor response and warrant is described in the *APC Program Description*.

3.4 Wurldtech Sampling Procedure

Wurldtech will select a small number of evidence examples for examination. These evidence samples will be treated as Vendor intellectual property which is subject to the terms and conditions of the NDA between the Vendor and Wurldtech.

4 Questionnaires

4.1 Bronze Compliance Appraisal

- Question: Are the BPs associated with Bronze certification in the *Vendor Workbook* performed?
- Requirement: Provide evidence that the applicable policies, procedures, build-to, as-built, test plans and procedures, and maintenance and support documentation exist and are practiced for all applicable BPs.

4.2 Silver Compliance Appraisal

- Question: Is the extended set of BPs associated with Bronze and Silver certification in the *Vendor Workbook* performed?
- Requirement: Provide evidence that the applicable policies, procedures, build-to, as-built, test plans and procedures, and maintenance and support documentation are in place, enabled and practiced to enhance the security mechanisms built into the Vendor product and services for all applicable BPs.

Silver level enhancements include requirements that demonstrate the quality of Vendor policies and procedures used to plan and track the technical effort to build resilience into the Vendor's system security mechanisms. This resilience is needed to respond to the emerging threats and changing operational environments. Figures of merit considered by the appraiser include quality of security training, use of security tools to measure security levels of security effectiveness and reasonable allocation of resources to support security management and enhanced system security capabilities.

Silver level enhancements also include proper version control and configuration management of security mechanisms built into the Vendor's product and services. Another useful measure is the Vendor's practice for performing audits and acting on the findings of those audits in a timely manner to improve security policies and practices.

4.3 Gold Compliance Appraisal

- Question: Is the extended set of BPs associated with Bronze, Silver and Gold certification in the *Vendor Workbook* performed?
- Requirement: Provide evidence that the applicable policies, procedures, build-to, as-built, test plans and procedures, and maintenance and support documentation are in place, enabled and practiced to monitor and track performance of the Vendor's security mechanisms through planned and resourced improvement programs for all applicable BPs.

Gold certification examines the quality of the security mechanisms built into the Vendor's products and services. Vendors seeking Gold certification provide evidence that organizations have tailored their security practices to better fit their needs, and work products are regularly reviewed for defects or variances from security requirements. Evidence is also presented showing how data and measurements collected from performing the security processes is used to improve those processes.

Gold level certification requires strong evidence that Pre-Planned Product Improvements (P3I) are well planned with tracking milestones and proper resources.

Wurldtech Security Technologies

For more information about Wurldtech Security Technologies contact:

Wurldtech Security Technologies, Inc.

401 W Georgia Street, Suite 1680

Vancouver BC Canada

V6B 5A1

Tel +1 (604) 669 6674

Fax +1 (604) 669 2902

Email info@wurldtech.com

We also invite you to visit our website at:

www.wurldtech.com

