

Assessor
Empanelment
(STQC/SAB/D03)
Issue :01



STQC Approval Body, STQC Directorate,
MeitY, Government of India
INDIA

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0.1 Approval and Issue

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Reviewed by : Scheme Representative

Approved by : Head, SAB

Note:

- Scheme 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.

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1.0 Assessor Competence requirements

For Approval of SETL (STQC Empanelled Testing laboratory) under STQC Approval Scheme (SAB), the Assessor Competence requirements for empanelment are:

1. Educational Qualification: The minimum qualification requirements for assessors is a bachelor's degree in engineering or a master's degree in science.
2. Knowledge & understanding of -
 1. STQC Approval Criteria
 2. Principles of auditing & Auditing techniques
 3. Expertise in the relevant type of Software and System testing
 4. Applicable Statutory & Regulatory Requirements
3. Experience: minimum of five years working experience in the relevant field of conformity assessment (Software testing/Laboratory Audits) at supervisory level and above specifically for Technical assessors. For Lead assessors NABL empanelled Lead assessors working in IT Testing Laboratory are preferred.
4. Personal Attributes as per ISO/IEC 17011 requirements

The services of External Technical Expert can be taken on need basis. Requirements for Technical Expert are same as above with min. 10 years of working experience in the field of IT testing.

At present, Assessors are empanelled from STQC IT Centres at Bangalore, Trivandram and Kolkata, based on experience of A2LA accreditation of the IT Testing Laboratory at these locations, Lead Assessor / Assessor for ISMS and The List of Empanelled Assessors is enclosed as of date in Annexure - 1. Subsequently as the workload increases other internal/external assessors may be empanelled as per procedure detailed below.

2.0 Technical Assessor Empanelment Process:

For new empanelment the applicant has to submit the details in the format of Bio-data of assessor given in Annexure – 2.

The application will be scrutinized by the **technical Operations manager** and if applicant meeting the required criteria then applicant may be nominated as Observer. Observer is required to undergo minimum 05 client audit with assigned senior auditors. Accordingly, he/she may be

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observed for empanelment by nominated senior assessor from the list, the observations are recorded in Assessor Observation sheet format given in Annexure – 3 and forwarded to **Technical Operations manager** who will review & put up for approval to the Approval committee. Upon acceptance by the Approval Committee the assessor is empanelled & added to list of Empanelled Assessors.

To upgrade from Assessor to Lead Assessor, the empanelled Assessor has to again apply for empanelment & if meeting the required criteria, he/she may be nominated as Designate Lead Assessor. He/she is required to conduct minimum 03 Client audits for approval/re-approval along with senior Lead Auditor. Accordingly, he/she will be empanelled as Lead Assessor after the observation process as prescribed above for observer. Observations on applicant Lead Assessor is scrutinized by **Technical Operations Manager** who will review & put up for approval to the Approval committee. Upon acceptance by the Approval Committee the assessor is empanelled & added to list of Empanelled Lead Assessors.

If the applicant is not successful then he/she has to re-apply after a gap of 03 months. Following the same processes as above the applicant can be empanelled. Only 1 Re-Observation is allowed for Assessor & Lead Assessor empanelment.

All empanelled Assessors are bound by STQC Approval Body (SAB) norms and has to give declaration of Impartiality and confidentiality in format Annexure VIII of STQC/SAB/F02 for every assignment by Approval Body. Any conflict of Interest with the assigned laboratory the Lead Assessor/Technical Assessor shall declare the same to Approval Body.

3.0 Performance Monitoring of Assessors/Lead Assessors/Subcontracted

For the purpose of continuing empanelment & to provide for improvement, the audit performance of assessors/lead assessors/subcontracted assessor shall be periodically monitored at an interval not exceeding 03 years. Scheme Representative in association with respective **Regional Manager(s)** is responsible for monitoring the audit performance. The monitoring can take the form of one or combination of the following:

- Review of the feedback received from client organisations and any other sources including audit team members.
- Reviews of opinions/views expressed by Certification Committee following evaluation of audit reports and other such documentation.

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- Reviews of availability and activity profile of the assessors/lead assessors, during a specified period.
- Review of business contribution
- Review of audit man-days contribution

The assessors shall also be witnessed by peer assessors during audits once in 03 years for monitoring his/her performance. This shall be organized by **Regional Managers** for their region and records shall be retained by them in the regional office.

Any deficiency in the performance or opportunity for improvement shall be communicated to individual assessor/lead assessor/subcontracted assessor concerned. In case of persistence of any unacceptable performances the individual shall be diverted of the responsibility of auditing and eventually, the empanelment may be cancelled/ withdrawn.

On their part, empanelled assessors/lead assessors/subcontracted shall demonstrate continual professional development by maintaining and updating their knowledge of any new standards or requirements relevant to audit situations, which they are likely to encounter and the current interpretations associated with those requirements by additional work experience, private study, coaching or by attending training, meetings, seminars, conferences or other relevant activities. They shall also maintain their knowledge of audit practices and the most current application of those practices to sustain their auditing effectiveness. Upon request, they shall supply to Certification Body all such information, including cumulative audit logs to enable for continuous performance review.

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Annexure – 1**List of Empanelled Assessors**

As of date the empanelled Assessors with competence to assess the IT Testing Laboratories are listed as given below:

| Sr. No. | Name of Assessor | Type of Testing | Role |
|----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------------|
| 1. | Mr. Subhendu Das Mr. P.K. Dutta Mr. M.B. Mittal Mr. Azad Verma Mr. Abdul Moid Mr. C. Das Mr. Suresh Mr. Upadhyay Mr. Makarand Deshpande Mr. S Pednekar | Management System | Lead Assessor |
| 2. | Mr. Chokkanathan Mr. Jagannath Gupta Mr. Reji Nair Mr. Himandri Roy Mr. Banani Das Mr. Suraj P. Harne Mr. Dinesh Saini Mr. Sunil Singh | Functional Testing | Technical Assessor |
| 3. | Mr. C. Das Mr. Jagannath Gupta Mr. Chokkanathan Mr. Manikanta Das Mr. M.K. Saxena Mr. Suraj P. Harne Mr. Dinesh Saini Mr. Sunil Singh | Performance Testing | Technical Assessor |
| 4. | Mr. E. Kamalakar Rao Mr. S. Velmourugun Mr. Chokkanathan Mr. M.S. Bohra Mr. Sanjeev Kumar Mr. Suraj P. Harne Mr. Dinesh Saini Mr. Sunil Singh | Application Security Testing, Network Security | Technical Assessor |
| 5. | Mr. C. Das | Website Testing | Technical |

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| Sr. No. | Name of Assessor | Type of Testing | Role |
|---------|------------------------------------------------------------------------------------------------------------------------|-------------------|--------------------|
| | Mr. Reji Nair Mr. Himadri Roy Mr. A. Chakravarthy Mr. Suraj P. Harne Mr. Dinesh Saini Mr. Sunil Singh | | Assessor |
| 6. | Mr. Reji Nair Mr. Jagannath Gupta Mr. Sanjeev Kumar Mr. Suraj P. Harne Mr. Dinesh Saini Mr. Sunil Singh | Usability Testing | Technical Assessor |

Note: Technical experts from IT industry on need basis can be empanelled in all areas in case of non-availability of STQC assessors.

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Annexure – 2**BIODATA OF ASSESSOR**

1. Name:
2. Date of Birth / Age:
3. Name of the current employer & position held :
4. Complete address
 - a. Office
(with telephone / Mobile / e-mail / fax no.)
 - b. Residence
(with telephone / Mobile / e-mail / fax no.)

Kindly state the address for correspondence: Office / Residence

5. Qualifications
(Starting from the highest Degree)

| S. No. | Degree | Specialization | College / University | Year of passing |
|--------|--------|----------------|----------------------|-----------------|
| | | | | |
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6. Detail of Professional Trainings: Enclose list.

| S. No. | Training on | Training Conducted by | Duration in days | Certificate enclosed: Yes/No |
|--------|-------------|-----------------------|------------------|------------------------------|
| | | | | |

7. Work Experience :

| S. No. | Employer detail | Period (with dates) | Position held | Major responsibilities | Experience related to IT Testing |
|--------|-----------------|---------------------|---------------|------------------------|----------------------------------|
| | | | | | |

8. Details of previous internal/external assessments if any:

| S. No. | Int. / Ext. | Standard | Assessor/ Lead Assessor | Man-days | Date of Assessment From to |
|--------|-------------|----------|-------------------------|----------|----------------------------|
| | | | | | |

9. Field of Expertise (identify Type of Testing) :

Functionality/Performance/Application Security/NW Security/Usability/Website Testing/

10. E-Governance Projects handled:

| S. No. | Project | Govt. Department | Brief on your contribution to the project |
|--------|---------|------------------|-------------------------------------------|
| | | | |

11. Relevant Enclosures

- a.
- b.
- c.
- d.

I certify that the above information is current and true to the best of my knowledge and belief.

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I further undertake to immediately inform STQC Approval body of any change in the above status within one month of such change taking place.

Date _____

(Signature of Applicant)

Certifying to the accuracy of the information provided:

Signature of *Technical Operations Manager*: _____

Name _____

Date _____

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Annexure – 3**Lead Assessor/Assessor Observation**

1. Name of the Assessor :
2. Laboratory :
3. Empanelment number :
(In case assessor is applicant write 'Fresh') :
4. Date of empanelment :
(Write 'NA' or not applicable)
5. Assessed by :
6. Date of Assessment Type of Assessment :
(Initial/Surveillance/ Renewal)

SUMMARY

1. Overall performance as assessor/Lead Assessor satisfactory : Yes/No
 2. General comments
(Please attach observation details on assessor noting form) :
 3. Recommendation (See next Page for rating) :
Recommended for empanelment / _____
-

Date:

Signature of Observing Assessor

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| Attribute | Rating (1/2/3) | Remarks / Comments |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|-----------------------|
| 1. General 1.1. Preparation/documentation 1.2. Time keeping 1.3. Appearance 1.4. Attitude to company 1.5. Attitude to team 1.6. Tact 1.7. Clarity of Communication 1.8. Confidentiality 1.9. Avoidance of consultancy | | |
| 2. Knowledge 2.1. Laboratory Management System ISO/IEC 17025, 2.2. STQC Approval Criteria 2.3. Approval Scheme Requirements 2.4. Software Quality Engineering 2.5. Software Testing 2.6. Statutory & Regulatory Requirements | | |
| 3. Assessment skills 3.1. Scheduling/Planning 3.2. Opening meeting 3.3. Assessment logic 3.4. Questioning techniques 3.5. Objective evidence 3.6. Sampling Depth 3.7. Following initiative 3.8. Nonconformity identification 3.9. Nonconformity reporting 3.10. Interim meetings 3.11. Closing meeting 3.12. Report Presentation | | |
| 4. Undesirable auditor characteristics 4.1. Argumentativeness 4.2. Opinionated 4.3. Lazy / lack of desire 4.4. Easy to influence 4.5. Inflexible 4.6. Jumps to conclusions 4.7. Believes everything he/she hears 4.8. Non-communicative 4.9. Devious | | |

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| Attribute | Rating (1/2/3) | Remarks / Comments |
|----------------------|-------------------|-----------------------|
| 4.10. Poor Planner | | |
| 4.11. Unprofessional | | |

Ratings: 1-Acceptable, 2-Not fully acceptable, 3-Not acceptable

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Annexure – 4

A. Empanelment Details (for office use only)

1. Observation Details

- Organisation
- Type of Assessment
- Observed by
- Recommended/Not recommended for empanelment

Date: _____

Signature _____
(Head Operations)

2. Recommendations/Approval

- Recommendation of Certification Committee and approval by Head, SAB on _____
- Empanelment Number _____

B. Empanelment Process

1. Certification committee(CC) :

The CC has reviewed the case, found in order and hence approves / does not approve the empanelment

CC Member 1 :

CC Member 2 :

CC Member 2 :

2. Date of Empanelment Decision by CC :

3. Submission to Head, SAB for issue of letter of empanelment

All empanelment processes have been satisfactorily completed. It is proposed to issue the empanelment letter.

Submitted to Head, SAB

(Head, SAB)

C. Post Certification Process

The empanelment No. _____ with date of issue _____

For maintaining the empanelment as Assessor / up gradation to Lead Assessor refers Doc. No. STQC/SAB/D03.