PADD: CAF_CS_CSE: Section X: FR: 02: CRM-cum-Assessment Report for Accreditation of COs

CROSS REFERENCE MATRIX-cum- ASSESSMENT REPORT

(CO to fill up items (3); QCI AT to fill the rest)

1. Name of the CO:
2. Approval applied for:
3. Application reference:
4. CO's Documentation *(CO to list)* :
5. Brief information about the CO *(CO to provide):*
6. Summary of observations:
7. Recommendations of QCI Assessment Team (AT):

S. No.	Name (QCI AT)	Date (Submission from CO)	Date (Response from AT)
1			
2			
3			

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CROSS REFERENCE MATRIX-cum- ASSESSMENT REPORT

(CO to fill up items (3); QCI AT to fill the rest)

1	2	3	4		5
Cl.	**Accreditation Scheme_COs : Requirements for Accreditation**	**QM/Procedure no/Document no/Format no with Clause no., where a particular requirement is addressed (CO to provide details)**	**Compliance**		**QCI AT Review comments after assessment**
			Yes	**No**	
1	**General Requirements**				
1.1	**Legal Entity**				
	The COs shall be a legal entity or shall be a defined part of a legal entity, such that it can be held legally responsible for all its consultancy activities. A governmental organisation is deemed to be a legal entity based on its governmental status.				
1.2	**Organisational Structure**				
	The COs shall define and document the duties, responsibilities and reporting structure of its personnel, any committee and its place within the organisation. When the CO is a defined part of a legal entity, documentation of the organisational structure shall include the line of authority and the relationship to other parts within the same legal entity to eliminate any conflict of interest. The applicant CO shall define POC (Point of Contact) for each vertical.				
1.3	**Integrity**				
	The COs and its personnel shall always maintain integrity. The COs shall implement adequate measures to ensure integrity. The CO should				

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			Yes	**No**	
	have a committee that conducts periodic review to ensure that adequate measures are implemented in the organization to maintain integrity.				
1.4	**Code of Ethical and Professional Conduct**				
	A code of conduct shall be documented and maintained in order to guide the ethical and professional conduct of the CO during the assignment. This code of conduct shall include major topics such as professional behaviour, sustainability, social responsibility, conflict of interest, integrity. The COs shall have a committee that conducts periodic review to ensure that adequate measures are implemented in the organization to maintain code of ethical and professional conduct.				
1.5	**Liability and Financing**				
1.5.1	The consultancy organisations shall evaluate its finances and sources of income and demonstrate that initially, and on an ongoing basis, and ensure that commercial, financial or other pressures do not compromise its operational integrity. The consultancy organisations shall be able to demonstrate that it has evaluated the risks arising from its consultancy/consultancy activities and that it has adequate arrangements (e.g., insurance or reserves) to				

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			Yes	**No**	
	cover liabilities arising from its operations in each of its field of activities and the geographic areas in which it operates.				
1.6	**Communication**				
	An effective strategy and policy shall exist for communicating with relevant stakeholders for the duration of the assignment.				
1.7	**Transparency**				
	Consultancy Organisations shall have mechanism to improve transparency and understanding with clients in order to achieve better results from consultancy assignemnts. This includes elements of continual improvement, ethical behaviour and interoperability.				
1.8	**Data protection and confidentiality** The communication policy shall encompass confidential data and information as well as intellectual property rights, such as benchmarks, for all stakeholders.				
1.8.1	The CO shall safeguard the rights of privacy of all stakeholders by limiting the types of information gathered and the ways in which such information is obtained, stored, used, reported and secured.				
1.8.2	The CO shall not use stakeholders' data or information without permission for any reason, particularly to demonstrate the capacity of the CO to execute an assignment.				

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			Yes	**No**	
1.8.3	The CO shall maintain their credibility and the confidence of the clients.				
1.8.4	The CO shall be responsible for the confidentiality of data and information received from clients even after the closure of the assignment.				
1.8.5	The CO must ensure that a duly signed mutual NDA is in place with the client. The COs shall ensure confidentiality of information obtained in the course of its consultancy / consultancy activities by having a suitable system.				
1.8.6	The CO must ensure that sensitive data is accessed only by authorized parties in the organization. The access of such information should be properly logged.				
1.8.7	Use of authentication process like username and password may be used before allowing.				
1.8.8	the users to access sensitive information				
1.9	**Protection of intellectual property**				

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			Yes	**No**	
1.9.1	For intellectual property rights arising from the outcome/deliverables of the assignment (ownership, right to use or right to refer to), the ownership shall be agreed upon during the contracting phase and shall also apply after the closure of the assignment. The CO must aim to protect the intellectual property (IP) and prevent others from wrongly using the IP.				
1.10	**Health and Safety**				
1.10.1	The CO shall have a mechanism to engage in a dialogue with the client to continually assess and mitigate the assignment related risks to the health and safety of the trainers and other relevant stakeholders. The agreement shall provide information on the scope, the resources and the facilities relevant to health and safety risk consideration within and with which the CO shall identify, analyse, assess and prioritise the nature of potential risks, coordinating and applying the required resources to minimise, monitor and control the probability and impact of unforeseen events. Note: This scenario is generally applicable for on-site consultancy.				
1.11	**Infrastructure**				

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			Yes	**No**	
	Consultancy Organisations for Cyber security (IT & ICS) applying for accreditation under this Scheme should have the following facilities:				
1.11.1	Office setup, suitable meeting/ discussion room(s). The space could be owned or rented.				
1.11.2	Experts room or workstations				
1.11.3	Contemporary discussion rooms / consultancy aids (as Digital boards, projectors, white board, markers, flipchart, audio, video facilities etc.) including requisite software for their staff or clients.				
1.11.4	CO should have library facilities or appropriate subscriptions to update their knowledge about the latest developments in the area of cyber security consultancy.				
1.11.5	Applicable cyber security software and tools along with IT support equipment to carry out the work of consultancy shall be available and used adequately.				
1.11.6	If CO has offices at multiple locations, the same should be mentioned in application with details of experts, infrastructure etc.				
1.11.7	A Single Point of Contact (SPOC) must be appointed for each office location.				
1.12	**Quality Management System and Information Security Management System (QMS and ISMS)**				
1.12.1	The COs have ability to consistently provide services that meet customer and applicable statutory and regulatory requirements, and				

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			Yes	No	
1.12.2	The CO shall aim to enhance customer satisfaction, higher operating efficiency, greater employee engagement, better process integration, better supplier relationships through the effective application of the system.				
1.12.3	The consultancy organisations shall demonstrate compliance with IS/ISO 9001:2015 or the current version with scope ‘design and development and delivery of programs in the area of cyber security’. This can be demonstrated by obtaining an IS/ISO 9001:2015 certification from an accredited certification body.				
1.12.4	For ensuring that all assets of CO are protected from the perspective of cyber security, CO shall ensure its ISMS compliance/certification.				
1.13	**Guarantees** COs shall negotiate and agree on the conditions of any guarantee of the services to be provided.				
2	**Contracting**				
2.1	**General**				
	The structure for the contents of an agreement shall include sub-clauses The client entity				
2.2	**Purpose** The CO shall define the contract's purpose considering and protecting the client entity's interests and the CO.				
2.3	**Input** The CO shall identify the inputs to the contracting phase, including the				

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			Yes	**No**	
	client entity's perceived needs, expectations and desires, the potential constraints and risks involved in the assignment, and any significant changes beyond the scope of the change control process.				
2.4	**Outcome** The outcome of the contracting phase shall determine the services and the deliverables to be provided and establish rights and obligations for each of the parties.				
2.5	**Contents**				
2.5.1	**General** The agreement shall include: — context; — services and deliverables; — approach and work plan; — roles and responsibilities; — acceptance criteria; — terms and conditions.				
2.5.2	**Context**				
2.5.2.1	**Background information, assumptions, scope and limits** The agreement shall contain relevant facts, such as an accurate description of the organisation's current situation, the client's objectives, why the work needs to be done, the assumptions and their impact, and the scope and limits of the assignment.				

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			Yes	**No**	
2.5.2.2	**Constraints and risks** The agreement shall specify the constraints and risks associated with the assignment to the extent that they are known and identified, referring to policies.				
2.5.2.3	**Stakeholder/client entity** The agreement shall specify any agreement negotiated with the stakeholder/client entity.				
2.5.3	**Services and deliverables** The agreement shall contain a description of the services to be provided, the expected outcomes, the assignment deliverables, and the conditions and process for acceptance. The services shall be able to be evaluated with formal evaluation criteria.				
2.5.4	**Approach and work plan** The agreement shall include a work plan. The following elements shall be considered: a) objectives, scope and expected outcomes; b) approach and methodology; c) project governance (changes to the scope, escalation procedures, etc.); d) contents; e) documentation; f) data, information and technological resources; g) project organisation;				

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			Yes	**No**	
	h) CO's human resources and their responsibilities; i) client's, recipient's and other stakeholder/client entity' human resources and their roles and responsibilities; j) timetable and milestones; k) project budget; l) project management methods; m) communications (channels, methods, etc.); n) client entity and/or recipient capacity building; o) knowledge transfer; p) quality and risk methodology; q) deliverables.				
2.5.5	**Roles and Responsibilities**				
2.5.5.1	**General** This agreement shall specify the roles, responsibilities and all the resources (including client's, recipient's and other stakeholder/client entity' people, data and documentation) involved in the assignment.				
2.5.5.2	**Assignment monitoring and control** The agreement shall specify the assignment's decision-making, direction and control processes, including the designation of a project 'sponsor' or project 'leader' for the project governance role				
2.5.5.3	**Evaluation of the assignment** The agreement shall specify how the evaluation will be carried out, for example, measurable milestones, how objectives shall be evaluated and				

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			Yes	No	
	to whom interim and final evaluation results shall be reported.				
2.5.6	**Acceptance criteria** The agreement shall specify the acceptance criteria, such as key performance indicators (KPIs).				
2.5.7	**Terms and conditions**				
2.5.8	**Commercial terms** The agreement shall specify terms and conditions relevant to billing,such as fees/charges, payment schedule, expenses, etc.				
2.5.9	**Contracting standard terms and conditions** The agreement shall specify any information pertinent to relevant legal and regulatory requirements and statutory obligations, such as ownership of material and deliverables, user rights, licensing, intellectualproperty rights, liability limits, etc. This may also include reference to applicable professional standards. The CO shall have a process for dealing with claims and disputes. Thisprocess shall be communicated clearly to the client.				
2.5.10	**Policies to be included in the agreement** The agreement shall specify any requirements, responsibilities and activities relating to policies and any other agreed item applicable to theassignment. COs shall assess their responsibilities and activities for all policies anddeclare if they are not applicable.				
3	**Execution**				

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			Yes	No	
3.1	**General** Execution is the performance of the services agreed upon in the contracting phase. Beyond the delivery of the agreed services and the performance of the assignment, the ultimate aim of the execution phase is to fulfil the agreement.				
3.2	**Purpose** The CO shall define the purpose of this phase to deliver as per agreement.				
3.3	**Input** The CO shall start execution once there is an agreement. Significant changes in the context of the assignment that have an impacton the execution shall be addressed.				
3.4	**Outcome** The outcomes of the agreement shall be: — services and deliverables; — recommendations and approach for the future, if appropriate; — ongoing evaluation and improvement.				
3.5	**Contents**				
3.5.1	**General** The components of the execution phase shall include: — refining the agreed work plan;				

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			Yes	**No**	
	— implementing the work plan; — assignment management and monitoring; — approvals and acceptance.				
3.5.2	**Refining the agreed work plan** The work plan agreed upon in the contracting phase shall be refined in detail to reflect the actual conditions at the start of the execution phase.The CO shall involve the client entity and the recipient to gain approval for the refined plan.				
3.5.3	**Implementing the work plan** The assignment shall be carried out in accordance with the refined workplan. The method of implementation shall consist of the following steps that the CO performs with the recipient: — Prepare: includes gathering the relevant data, analysing the data withreasonable hypotheses, reviewing business models and listing the issue(s); — Analyse options: includes analysis of different options to address theissues and short-listing the most appropriate option(s); — Recommend: includes recommending appropriate solutions from the existing situation along with an implementation roadmap and expected outcomes; — Obtain decision: includes presentation of recommendations to theclient entity or the recipient for decision and acceptance;				

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			Yes	**No**	
	— Implement: includes execution of recommendations, monitoring the progress made and measuring the outcomes (applicable only when implementation is specified in the agreement).				
3.5.4	**Assignment management and monitoring**				
3.5.4.1	**General** Planning and continuous coordination between the client, the recipientand the CO following areas of activity shall be considered: — project governance; — project management approach; — resources management; — commitment of resources; — monitoring of progress and change control; — risk and quality management; — communication and reporting; — evaluation and feedback.				
3.5.4.2	**Project governance** The client shall make final decisions about the assignment. The CO shall make reasonable efforts to provide relevant information relating to the assignment to the client entity on an ongoing basis. Disputes between the client entity and the CO shall be handled inaccordance with the terms of the agreement.				
3.5.4.3	**Project management approach** The CO shall adhere to the agreed project management approach				

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			Yes	No	
	andstructure throughout the assignment. The CO shall ensure that the assignment is carried out effectively andefficiently.				
3.5.4.4	**Resource management** All resources involved in the assignment shall be made available andmanaged in accordance with the agreement between the CO and theclient. The deployment by the CO of suitable human resources is the responsibility of the CO. Criteria for suitability shall include relevantdomain experience, consultancy skills and people skills.				
3.5.4.5	**Commitment of resources** The CO shall foresee the needs and availability of the client's and the recipient's resources and plan resources in accordance with them.				
3.5.4.6	**Monitoring of progress and change control** The assignment's progress against the work plan shall be monitored and recorded formally using appropriate analysis and monitoring methods. There shall be a change control system or process, including management of the records, to deal with issues that have an impact onthe assignment, such as: — deviations from the work plan; — changed the context of the assignment;				

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	— changes in the operating environment of the client entity or recipient; — changes in client expectations; — changes in the CO. There may be significant changes that are beyond the scope of the change control process. These shall be considered as new inputs to the contracting and/or execution phase. If required, the agreement shall berenegotiated between the client, the recipient, and the CO.				
3.5.4.7	**Risk and quality management** The client entity and the CO shall follow the agreed risk and quality management methodology to ensure that the agreed service is provided and the outputs are delivered.				
3.5.4.8	**Communications and reporting** The communication principles agreed upon the contracting phase shall be followed throughout the assignment and include regular reporting ofprogress and risks.				
3.5.4.9	**Evaluation and feedback** The CO shall follow the agreed ongoing evaluation methodology andfeedback approach.				

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			Yes	**No**	
3.5.5	**Approvals and acceptance** There shall be an agreed process to approve and accept all services delivered during the assignment. The commercial implications of acceptance or rejection shall be dealt within accordance with the agreement.				
3.5.4.3	**Project management approach** The CO shall adhere to the agreed project management approach andstructure throughout the assignment. The CO shall ensure that the assignment is carried out effectively and efficiently.				
3.5.4.4	**Resource management** All resources involved in the assignment shall be made available andmanaged in accordance with the agreement between the CO and the client. The deployment by the CO of suitable human resources is the responsibility of the CO. Criteria for suitability shall include relevant domain experience, consultancy skills and people skills.				
3.5.4.5	**Commitment of resources** The CO shall foresee the needs and availability of the client's and the recipient's resources and plan resources in accordance with them.				
3.5.4.6	**Monitoring of progress and change control** The assignment's progress against the work plan shall be monitored				

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	and recorded formally using appropriate analysis and monitoring methods. There shall be a change control system or process, including management of the records, to deal with issues that have an impact onthe assignment, such as: — deviations from the work plan; — changed the context of the assignment; — changes in the operating environment of the client entity or recipient; — changes in client expectations; — changes in the CO. There may be significant changes that are beyond the scope of the change control process. These shall be considered as new inputs to the contracting and/or execution phase. If required, the agreement shall berenegotiated between the client, the recipient, and the CO.				
3.5.4.7	**Risk and quality management** The client entity and the CO shall follow the agreed risk and quality management methodology to ensure that the agreed service is provided and the outputs are delivered.				
3.5.4.8	**Communications and reporting** The communication principles agreed upon the contracting phase shall be followed throughout the assignment and include regular reporting ofprogress and risks.				

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			Yes	**No**	
3.5.4.9	**Evaluation and feedback** The CO shall follow the agreed ongoing evaluation methodology andfeedback approach.				
3.5.5	**Approvals and acceptance** There shall be an agreed process to approve and accept all services delivered during the assignment. The commercial implications of acceptance or rejection shall be dealt within accordance with the agreement.				
4	**Closure**				
4.1	**General** The CO shall consider the assignment closed once the final closuretopics have been addressed. These include: — legal and contractual matters; — final evaluation and improvement; — administrative matters, including payment of agreed fees where applicable; — communication; — intellectual property rights; — outstanding minor issues.				
4.2	**Purpose** The CO shall define the purpose of the closure phase as an orderly end to the assignment after the delivery of the service in accordance with the agreement.				

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			Yes	**No**	
4.3	**Input** The closure process shall start when a decision is taken to complete the assignment when the agreed service has been provided and accepted. An assignment shall be terminated before the originally agreed service has been provided. In this case, the closure process needs to take place based on a revised agreement.				
4.4	**Outcome** The closure process shall result in several outcomes, including: — release of all parties from their obligations in the agreement; — a shared understanding of continuing obligations between all the stakeholder/client entity, particularly the CO and the client entity (e.g. guarantees, confidentiality, data protection, intellectual rights, outstanding issues, etc.); — financial settlement of invoices, expenses, etc.				
4.5	**Contents**				
4.5.1	**Legal and contractual matters** The CO shall have effective processes to ensure that all legal and contractual matters are dealt with in a timely and efficient manner, inaccordance with the agreement. These processes include: — invoicing and payment; — reconciliation of expenses of the CO; — formal sign-off and acceptance; — release of resources (including subcontractors);				

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			Yes	**No**	
	— warranties and guarantees; — third party confidentiality; — ownership of intellectual property rights; — obligations that remain after closure (e.g. legal, confidentiality, protection of intellectual property rights, data protection, non-competition, outstanding issues, etc.)				
4.5.2	**Final evaluation and improvement** Even if no evaluation is included in the agreement, the CO shall have a process to gather feedback and learn from the work it undertakes so thatthe CO can record the information and knowledge created during the project and apply it for improvement. Evaluation may be required for contractual reasons to determine the fees paid. If this is the case, the CO and the client entity hall agree themost appropriate method of evaluation. Typical metrics may include: — innovation (development of new services); — process effectiveness; — process improvements; — new systems and behaviour; — methodologies; — team performance; — utilization of resources; — sales leads/references; — client satisfaction.				

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			Yes	**No**	
	The CO shall preferably maintain expertise in evaluation and shall have a systematic process for ensuring that strengths and opportunities for improvement are recorded and shared among the staff. The CO shall have processes to manage improvements such as: a) knowledge management; b) knowledge database; c) technology and methodology improvements; d) case studies; e) consultancy assignments/briefing; f) internal communication.				
4.5.3	**Administrative matters** The CO shall have effective processes to ensure that all administrative matters are dealt with in a timely and efficient manner. These processescan include: — indexing, filing, archiving; — backing-up data and records; — return of client entity property, equipment and facilities (e.g. files, records, data, security passes); — release/recruitment of subcontractors and internal resources; — completion of internal quality assurance procedures.				
4.5.4	**Communication** The CO shall ensure that any obligations regarding communication				

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			Yes	**No**	
	about the assignment are fulfilled (e.g. confidentiality agreements, preparation of case studies, articles, requests for references, etc.). The CO shall ensure that the client entity is debriefed at the end of theassignment.				
4.5.5	**Outstanding minor issues** The CO shall have a process, agreed upon with the client, for dealing with any outstanding minor issues after the completion of the assignment, so that closure can be achieved.				
5	**Ongoing evaluation and improvement**				
5.1	CO shall evaluate to assess and determine the effectiveness of theassignment. Evaluation shall also allow the client entity and the CO to: — diagnose the effectiveness of the assignment; — make recommendations for corrective action; — implement new processes and methods; — provide and receive feedback from each other; — evaluate added value. The CO and client shall agree on a suitable methodology for ongoingevaluation and feedback throughout the assignment. The CO shall establish a structured process for ongoing evaluation for the duration of the relationship between the client entity and the CO. The effectiveness of the assignment shall be assessed based on the evaluation criteria, the policies and strategies included in the agreement.Even if no evaluation is included in the agreement, the CO				

CROSS REFERENCE MATRIX-cum- ASSESSMENT REPORT

(CO to fill up items (3); QCI AT to fill the rest)

1	2	3	4		5
Cl.	**Accreditation Scheme_COs : Requirements for Accreditation**	**QM/Procedure no/Document no/Format no with Clause no., where a particular requirement is addressed (CO to provide details)**	**Compliance**		**QCI AT Review comments after assessment**
			Yes	**No**	
	shall have a process to learn from the work it undertakes. If evaluation is required for contractual reasons to determine the fees paid, the CO and the client shall agree the most appropriate method of evaluation.				
6	**Claims and Disputes**				
6.1	CO shall have a process for addressing issues arising from disputes andclaims. The process shall cover: —Steps for organisation (CO) to participate in dispute resolution process(which should be in congregation with customer satisfaction Code-of- Conduct) —Top management movement in, commitment to, dispute resolutions and deployment of adequate resources within the organisations. —The essential for fair, suitable, transparent and accessible disputeresolution —Monitoring, evaluating and improving the dispute resolutions —Need of intervention of dispute resolution and claim service providers(e.g. industry sector specific associations, ombudsmen and multisector organisations or a mutually agreed mediator)				

Name of the Team Leader:

PADD: CAF_CS_CSE: Section X: FR: 02: CRM-cum-Assessment Report for Accreditation of COs

CROSS REFERENCE MATRIX-cum- ASSESSMENT REPORT

(CO to fill up items (3); QCI AT to fill the rest)

Date: