



PREMIER MINISTRE

Secrétariat général  
de la défense  
et de la sécurité nationale

*Agence nationale de la sécurité  
des systèmes d'information*

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## PROCEDURE

### LICENSING OF EVALUATION FACILITIES

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## COURTESY TRANSLATION



## Version history

<b>Editions</b>	<b>Date</b>	<b>Modifications</b>
1	02/12/2003	Creation
2 – draft	18/12/2007	Consideration of the new accreditation program from COFRAC (substitution of accreditation program 141/01 dated June 2000 by specific requirements document LAB REF 14). <i>(Version submitted to the certification management board).</i>
2	29/01/2008	Official version.
3.0	05/05/2015	Addition of Appendix C for the technical domain « Equipements matériels avec boîtiers sécurisés ». Consideration of the latest version of the certification decree (2002-535).
4.0	26/08/2016	Addition of Appendix E (Correlation between the SOG-IS technical domains and the licensing domain) and Appendix F (Vulnerabilities analyses of the technical fields “software and network equipment” and “Equipements matériels avec boîtiers sécurisés”); Deletion of the links with the “Instructions”.
4.0.1	05/10/2016	Update to fix translation mistakes.

## TABLE OF CONTENT

<b>1. PURPOSE OF THE PROCEDURE .....</b>	<b>4</b>
<b>2. REFERENCES .....</b>	<b>4</b>
<b>3. PROCESS.....</b>	<b>5</b>
<b>4. DESCRIPTION OF THE PROCEDURE.....</b>	<b>5</b>
4.1. Application for licensing .....	5
4.2. Preliminary audit .....	6
4.3. Pilot evaluation.....	6
4.4. Licensing audit .....	6
4.5. Licensing approval .....	7
4.6. Monitoring of evaluation facilities .....	7
4.7. Modification of the scope of licensing .....	7
4.7.1. <i>Modification at the request of the evaluation facility</i> .....	7
4.7.2. <i>Modification at the request of ANSSI</i> .....	8
4.8. Renewal .....	8
4.9. Suspension of license .....	8
4.10. Withdrawal of license.....	9
4.11. Consequences of withdrawal of license .....	9
4.12. Activity termination of the evaluation facility .....	9
 <b>APPENDIX A LICENSING CRITERIA .....</b>	 <b>10</b>
 <b>APPENDIX B SCOPE OF LICENSING .....</b>	 <b>12</b>
 <b>APPENDIX C SIMPLIFIED LICENSING PROCESS FOR HARDWARE DEVICES WITH SECURITY BOXES .....</b>	 <b>16</b>
 <b>APPENDIX D OBLIGATIONS OF LICENSED FACILITIES.....</b>	 <b>18</b>
 <b>APPENDIX E CORRELATION BETWEEN THE SOG-IS TECHNICAL DOMAINS AND THE LICENSING DOMAIN.....</b>	 <b>19</b>
 <b>APPENDIX F VULNERABILITIES ANALYSES OF THE TECHNICAL FIELDS “SOFTWARE AND NETWORK EQUIPMENT” AND “HARDWARE DEVICES WITH SECURITY BOXES” .....</b>	 <b>20</b>

## **1. Purpose of the procedure**

This procedure describes the Common Criteria (CC) or ITSEC licensing process of evaluation facilities, defined in chapter II of Decree 2002-535 modified. The licensing process for CSPN (First Level Security Certification) is described in another procedure (see [AGR CSPN]).

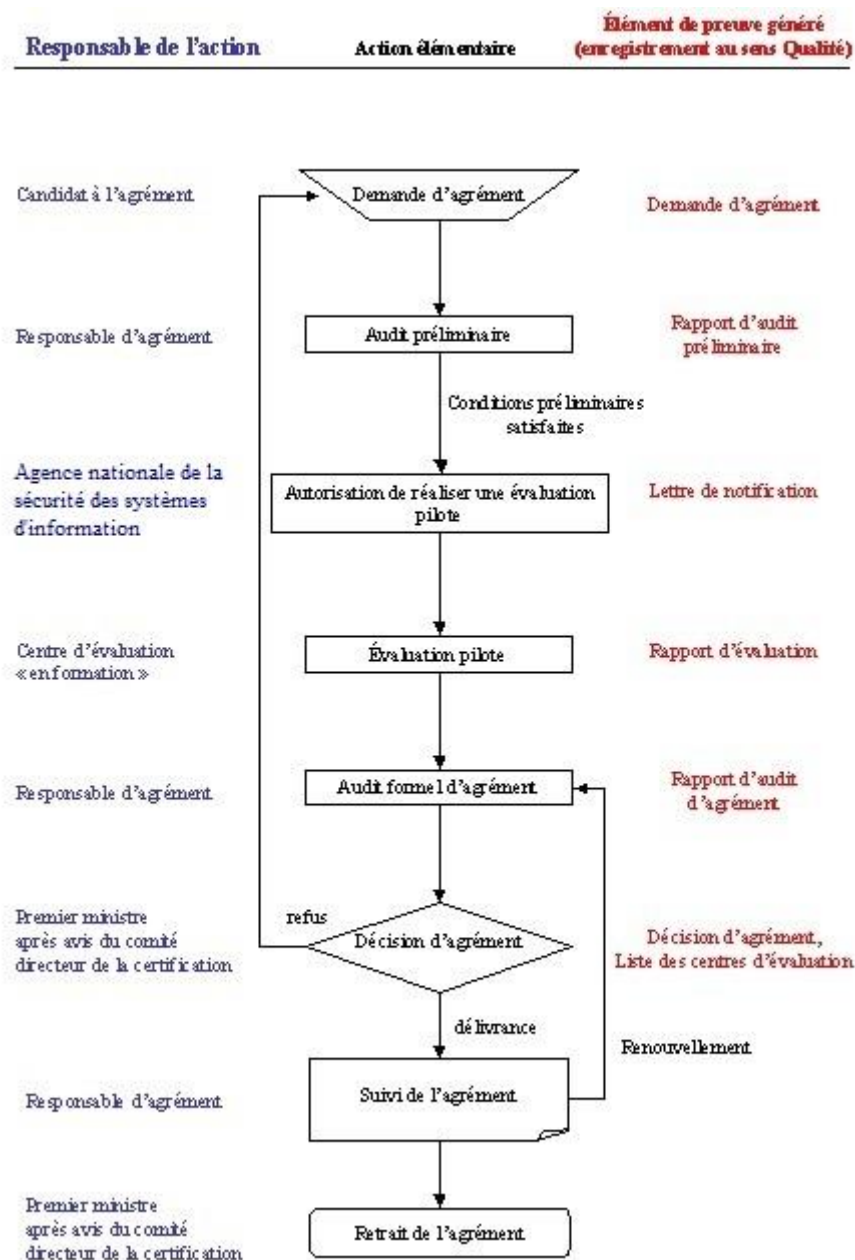
The licensing procedure enables to ensure that an evaluation facility:

- a) complies with the quality criteria in line with current accreditation rules and standards;
- b) is capable of applying current evaluation criteria and the associated methodology as well as enforcing the level of confidentiality required by the evaluation;
- c) has the technical skills to perform an evaluation.

## **2. References**

- Decree 2002-535 of 18 April 2002 relating to the evaluation and certification of the security offered by information technology products and systems.
- Standard NF EN 45011, Chapter 4.4: sub-contracting.
- Standard NF EN ISO/CEI 17025.
- Specific requirements document LAB REF 14, COFRAC.
- [AGR CSPN] : Procedure – Licensing of evaluation facilities for First Level Security Certification, ANSSI-CSPN-AGR-P-01.

### 3. Process



### 4. Description of the procedure

The following chapters describe the standard process for CC licensing. Specific and simplified use cases are presented in Appendix C, Appendix E and Appendix F for a particular product type where it is possible to build upon licenses that have already been granted.

#### 4.1. Application for licensing

An application form for licensing (template AGR-F-01 Application form for licensing) shall be sent to the Agence Nationale de la Sécurité des Systèmes d'Information (thereafter ANSSI) (art. 11 of Decree 2002-535 modified).

The following documents must be provided together with the application form:

- a copy of the company's *K-bis* registration certificate;
- a technical file about the applicant's capabilities, including:

- a general overview of the company with organisation charts showing the position of the evaluation facility in the parent company (if the evaluation facility is part of a larger organisation). The organisation charts must identify the various responsibilities;
  - evidence of recent national and international experience in similar services, indicating the amount of operations, client details and the periods in which the services were carried out. Applicant must be able to provide evidence of skills in the activities associated with information systems security evaluation.
- any security clearance of the company;
  - the detailed scope of licensing requested (see Appendix B) ;
  - a proposal for a pilot evaluation in line with the scope of licensing ;
  - any other relevant information about the applicant.

The application form is analysed by ANSSI. If the content of the application form is not satisfactory, the applicant shall supply a new application form or provide additional information.

The licensing manager is a member of the certification body. He is in charge of the monitoring of the application throughout the licensing procedure. In particular, he organises the preliminary audit of the applicant.

#### 4.2. Preliminary audit

A preliminary audit is carried out in the applicant's premises in order to assess the aptitude of the applicant for meeting the licensing criteria stated in Appendix A as well as some points listed in the specific requirements document LAB REF 14. At the conclusion of this audit, a preliminary audit report is written by the licensing manager.

If the outcomes of this preliminary audit are satisfactory, the applicant is allowed to carry out a pilot evaluation. The evaluation facility can then be identified on the official ANSSI website with the status "on-going licensing process with pilot evaluation".

#### 4.3. Pilot evaluation

The candidate evaluation facility must then perform a "pilot evaluation" enabling ANSSI to assess its ability to perform an evaluation properly. The scope of licensing which may subsequently be awarded will directly depend on this pilot evaluation.

The evaluation facility is responsible for finding a pilot evaluation with a sponsor. The latter must be aware that it is indeed a pilot evaluation and therefore the potential risks about the results of such an evaluation.

The pilot evaluation shall be performed in accordance with the evaluation procedures of the applicant. The oversight by the certification body is stronger than for a normal evaluation.

**The applicant must start a pilot evaluation within a timeframe of one year (from the date of application for licensing). In case this deadline is not met, ANSSI can decide to put a stop to the licensing process.**

#### 4.4. Licensing audit

At the end of the pilot evaluation, ANSSI carries out the licensing audit. During this audit, the licensing manager checks, in particular, that the observations identified during the preliminary audit have led to corrective actions and that an accreditation process is ongoing.

The licensing manager draws up a licensing audit report that states whether the evaluation facility complies with the licensing criteria listed in Appendix A.

## 4.5. Licensing approval

Provided that the accreditation evidence is provided to the Certification Body not later than six months after the licensing audit, and that the conclusions of this audit are satisfactory, a licensing proposal is submitted by ANSSI to the Certification Management Board.

Based on the advice of the Certification Management Board, the Prime Minister awards a license in accordance to article 12 of Decree 2002-535 modified. This license may contain a specific list of obligations to which the evaluation facility must comply with.

The evaluation facility can perform evaluations for certification only in the scope of its license. The various scopes of license are defined in Appendix B.

Once the license has been granted, the evaluation facility is identified on ANSSI official website with the according scope of licensing.

## 4.6. Monitoring of evaluation facilities

The license is valid only for a period of two years. It is the responsibility of the evaluation facility to apply for renewal. The renewal requires a new licensing audit.

However, ANSSI can check at any time that the evaluation facility meets the licensing criteria (art. 14 of Decree 2002-535 modified). For this purpose, ANSSI performs a continuous monitoring of the evaluation facilities and makes sure that the obligations related to licensing are respected (see Appendix D). It is the responsibility of the lab to ensure the maintenance of its accreditation by the COFRAC.

In some cases as listed in chapter 9 of LAB REF 14, ANSSI can inform COFRAC of breaches that have been observed.

## 4.7. Modification of the scope of licensing

This procedure may be initialised:

- at the request of an evaluation facility wishing to adjust the scope of its activity (see Appendix B). The procedure is applicable only for a modification of the evaluation assurance level. For a modification of the field of technology, a new application form must be supplied and the full procedure for licensing is applied ;
- at the request of ANSSI if the capability of the evaluation facility is considered altered (status, skills etc.)

For example, if a member of staff who holds a key technical knowledge leaves the evaluation facility, ANSSI may restrict the scope of the license.

In the same way, if the evaluation facility hires a new member, develops new methods or acquires new equipment, it could apply to enlarge the scope of its license.

In case the scope of licensing is enlarged, ANSSI ensures that this new scope is in line with the lab's accreditation.

### 4.7.1. Modification at the request of the evaluation facility

The evaluation facility must supply to ANSSI, along with its application for modification, all the elements that support its request. The certification body can perform a visit of the evaluation facility to check the elements.

The licensing manager records every stage of the process. The elements of evidence are recorded in the ITSEF monitoring file.

When all the elements have been analysed, the Director General of ANSSI proposes, if relevant and after the certification management board has been consulted, a new licensing decision to the Prime Minister.

The evaluation facility is notified of the decision by mail.

#### **4.7.2. Modification at the request of ANSSI**

If ANSSI considers that the scope of the license of an evaluation facility must be modified, a notification is sent to the evaluation facility. The notification includes a timeframe for the evaluation facility to take actions to be able again to perform evaluations in the full scope of its license.

The licensing manager records every stage of the process. The elements of evidence are recorded in the ITSEF monitoring file.

At the end of the allotted period, he sends a report to the Director General of ANSSI, who proposes to the Prime Minister, if relevant and after the certification management board has been consulted, a new licensing decision.

The evaluation facility is notified of the decision by mail.

#### **4.8. Renewal**

Three months at least before the expiry of the license validity period, the evaluation facility must ask the ANSSI, if it wishes it, for a renewal of its approval.

In the affirmative, a new licensing audit is carried out. It allows checking whether the evaluation facility still complies with the licensing criteria and the obligations related to licensing. It also helps to take stock of breaches noted and formalised during the licensing period as well as corrective actions that may have been implemented.

If the criteria are met and the accreditation is maintained, the Prime Minister awards a new license valid for two years.

If the evaluation facility does not wish to renew its license, it only needs to notify it to the certification body by mail. The evaluation facility will then be removed from the list of licensed evaluation facilities on ANSSI official website.

#### **4.9. Suspension of license**

The license can be suspended by Prime Minister upon proposal from ANSSI. Hereafter are some reasons that may cause the suspension of a license :

- the evaluation facility does not meet the requirements of article 11 of Decree 2002-535 modified any more (e.g. it is no more accredited) ;
- the evaluation facility has failed in any of the obligations stated in its license ;
- other reasons (e.g. for the interests of national defence or internal or external security of the State).

ANSSI informs the evaluation facility when the suspension of its license has been decided, and together they define an agenda for the corrective actions to be put in place.

If at the end of the agreed timeframe, the problems that lead to the suspension of the license have not been solved or are judged unlikely to be solved within a short time frame by the Certification Body of ANSSI, a procedure for the withdrawal of license is engaged.

Otherwise the evaluation facility is informed that the suspension is lifted.

During the suspension period, ANSSI decides, on a case-by-case basis :

- whether it accepts or not new certification projects submitted by the evaluation facility ;
- whether to consider or not the results of ongoing evaluation projects at the evaluation facility.



#### **4.10. Withdrawal of license**

The Prime Minister, with the opinion of the Certification Management Board, can withdraw the license of an evaluation facility (art. 14 of Decree 2002-535 modified). Hereafter are some reasons that may cause the withdrawal of a license :

- the evaluation facility does not meet the requirements of article 11 of Decree 2002-535 modified any more (e.g. it is no more accredited) ;
- the evaluation facility has failed in any of the obligations stated in its license ;
- the evaluation facility has performed too few evaluations as regards Decree 2000-535 modified ;
- the evaluation facility ceases activity ;
- problems leading to the suspension of licensing have not been solved ;
- other reasons (e.g. for the interests of national defence or internal or external security of the State).

#### **4.11. Consequences of withdrawal of license**

The evaluation facility is removed from the list of licensed evaluation facilities.

The evaluation facility cannot start any new evaluation according to Decree 2002-535 modified.

The certification body decides if the ongoing evaluations shall come to an end or not.

ANSSI reserves the right to inform sponsors, developers and other interested stakeholders of the withdrawal of license of the evaluation facility.

#### **4.12. Activity termination of the evaluation facility**

An activity termination request leads to the withdrawal of license. The certification body informs the Certification Management Board of such a decision. The withdrawal of license is notified to the evaluation facility.

## Appendix A Licensing Criteria

### A.1 Accreditation

- C1 The evaluation facility must be accredited by COFRAC according to the specific requirements document LAB REF 14 of the Laboratory Section, Testing Division “Evaluation of IT Security”.

Applicants for licensing can be “evaluation facility in training” even if they are not yet accredited provided that the preliminary licensing audit has not revealed any serious obstacle to the accreditation of the lab.

### A.2 Management

#### Organisation

- C2 The organisation chart must comprise the following roles :
- **a director,**
  - **a business manager,**
  - **a technical manager** with overall responsibility for technical operations and providing the resources necessary to ensure the quality required for the evaluation work ;
  - **a quality manager** (may not be held concurrently with the function of technical manager) who must have the responsibility and authority to ensure that the quality system is implemented. The quality manager must have direct access to the highest levels of senior management where decisions on matters of policy or on the resources for the evaluation facility are taken ;
  - **a security manager**, tasked with defining and implementing the evaluation facility’s security policy and procedures. He must ensure that procedures are applied.

The same person can hold one or more functions but it is subject to the approval of the certification body.

- C3 The persons responsible for the signature of the evaluation reports must be identified by ANSSI’s certification body.
- C4 All the commercial details of the evaluations must be settled by contract between the evaluation facility, the sponsor, and in certain cases, the developers.
- C5 In every evaluation contracts, the certification body must be referred to as the recipient of all of the evaluation information.
- C6 The certification body must be informed of key activities of the evaluation facility that involve both human and material resources for evaluation-like services that are not conducted under Decree 2002-535 modified.

#### Personnel

- C7 The staff of the evaluation facility must be competent and experienced in information technology, as well as in security evaluation. ANSSI is responsible for the assessment of the capability of the evaluation facility relating to the scope of its license (technical knowledge and experience necessary to carry out the corresponding tasks).
- C8 The members of the evaluation facility must be recruited in accordance with a procedure that clearly sets out the responsibilities resulting from both accreditation and licensing.

The procedure must include a careful analysis of candidates to be sure that they meet the requirements of accreditation and licensing criteria.

### **A.3 Technical skills**

- C9 The evaluation facility shall have the necessary skills to carry out evaluations under Decree 2002-535 modified and according to the scope of its licensing. The certification body monitors those skills through the review of evaluation reports and licensing audits that can be performed at any time.
- C10 At the request of the certification body, the evaluation facility must be able to show evidence that its staff skills meet the scope of its licensing and must do so in the timeframe defined by the certification body.

### **A.4 Methods and procedures of work**

#### Methods

- C11 The evaluation facility may develop its own methods. The application of such methods to a trial evaluation must be approved by ANSSI. The final approval of the methods is done by ANSSI after the trial evaluation.

#### Evaluation reports

- C12 All the evaluation reports must be internally approved before to be supplied to customers in order to limit any bias and the consequences of any errors.
- C13 All the evaluation reports supplied to the sponsors and to the certification body must be signed by a qualified person (cf. criterion C3).

## Appendix B Scope of licensing

### B.1 Definition of the scope of licensing

The licensing defines the scope in which the evaluation facility can perform evaluations for the purpose of certification. ANSSI may grant exemptions to this rule for special tasks but it remains an exception.

The scope of licensing is defined in terms of Type of technology and Maximum evaluation assurance level.

#### Type of technology

Three types of technology (and related evaluation skills) are defined:

- Electronic, microelectronic components and embedded software,
- Software and networks,
- Equipements matériels avec boîtiers sécurisés.

Within each type of technology, restrictions may be specified about the products/systems that the evaluation facility can evaluate.

#### Evaluation Criteria

The Criteria within the scope of this procedure are :

- Common Criteria versions 2.X and 3.X ;
- ITSEC (version 1.2 of June 1991) published by the European Commission.

#### Technical skills<sup>1</sup>

The maximum evaluation assurance level for which the evaluation facility is licensed depends on several parameters:

- the scope of the accreditation: this is the list of methods (evaluation tasks) for which COFRAC has awarded accreditation;
- the applicant's technical skills and resources: during the preliminary audit, the pilot evaluation and the licensing audit, ANSSI assesses the technical skills and the resources of the evaluation facility to perform evaluation. This assessment focuses to the vulnerability analysis evaluation tasks (technological survey, penetration tests, etc.).

### B.2 Detailed scope

Based on these elements, ANSSI notifies the evaluation facility its detailed scope of licensing. It may contain technical restrictions if the evaluation facility is not able to demonstrate its ability to perform specific technical analysis.

#### 1) Type of products

<i>Types of products</i>
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<sup>1</sup> The license letter stipulates only the type of technology and the evaluation criteria. The maximum evaluation assurance level is defined and managed by the certification body. It could be modified without a renewal of the license (see 4.7).

<input type="checkbox"/> Software and networks
<input type="checkbox"/> Electronic, microelectronic components and embedded software
<input type="checkbox"/> Equipements matériels avec boîtiers sécurisés

2) Cryptography

<i>Cryptography</i>
<input type="checkbox"/> Random number generator analysis
<input type="checkbox"/> Cryptographic analysis

3) Detailed scope (CC version 2.x)

CC v2.x	EAL1	EAL2	EAL3	EAL4	EAL5	EAL6	EAL7	Hors EAL
APE								<input type="checkbox"/>
ASE								<input type="checkbox"/>
ACM_AUT				1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	
ACM_CAP	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	4	<input type="checkbox"/> 4	5	<input type="checkbox"/> 5	
ACM_SCP			<input type="checkbox"/> 1	<input type="checkbox"/> 2	3	3	<input type="checkbox"/> 3	
ADO_DEL		1	<input type="checkbox"/> 1	2	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	
ADO_IGS	1	1	1	1	1	1	<input type="checkbox"/> 1	<input type="checkbox"/> 2
ADV_FSP	1	1	<input type="checkbox"/> 1	<input type="checkbox"/> 2	3	<input type="checkbox"/> 3	<input type="checkbox"/> 4	
ADV_HLD		<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	
ADV_IMP				<input type="checkbox"/> 1	<input type="checkbox"/> 2	3	<input type="checkbox"/> 3	
ADV_INT					<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	
ADV_LLD				1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3
ADV_RCR	1	1	1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	
ADV_SPM				<input type="checkbox"/> 1	3	3	<input type="checkbox"/> 3	<input type="checkbox"/> 2
AGD_ADM	1	1	1	1	1	1	<input type="checkbox"/> 1	
AGD_USR	1	1	1	1	1	1	<input type="checkbox"/> 1	
ALC_DVS			1	1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	
ALC_FLR								<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
ALC_LCD				<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	
ALC_TAT				<input type="checkbox"/> 1	<input type="checkbox"/> 2	3	<input type="checkbox"/> 3	
ATE_COV		<input type="checkbox"/> 1	2	2	<input type="checkbox"/> 2	3	<input type="checkbox"/> 3	
ATE_DPT			1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	
ATE_FUN		1	1	1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	
ATE_IND	<input type="checkbox"/> 1	2	2	2	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	
AVA_CCA					<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3
AVA_MSU			<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	3	<input type="checkbox"/> 3	
AVA_SOF		1	1	1	1	1	<input type="checkbox"/> 1	
AVA_VLA		1	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	4	<input type="checkbox"/> 4	

4) Detailed scope (CC version 3.x)

CC v3.x	EAL1	EAL2	EAL3	EAL4	EAL5	EAL6	EAL7	Out of EAL
APE								<input type="checkbox"/>
ADV_ARC		1	1	1	1	1	<input type="checkbox"/> 1	
ADV_FSP	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	5	<input type="checkbox"/> 5	<input type="checkbox"/> 6	
ADV_IMP				1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	
ADV_INT					<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 1
ADV_SPM						1	<input type="checkbox"/> 1	
ADV_TDS		<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6	
AGD_OPE	1	1	1	1	1	1	<input type="checkbox"/> 1	
AGD_PRE	1	1	1	1	1	1	<input type="checkbox"/> 1	
ALC_CMC	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	4	<input type="checkbox"/> 4	5	<input type="checkbox"/> 5	
ALC_CMS	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	5	5	<input type="checkbox"/> 5	
ALC_DEL		1	1	1	1	1	<input type="checkbox"/> 1	
ALC_DVS			1	1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	
ALC_FLR								<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
ALC_LCD				<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	
ALC_TAT				<input type="checkbox"/> 1	<input type="checkbox"/> 2	3	<input type="checkbox"/> 3	
ASE_CCL	1	1	1	1	1	1	<input type="checkbox"/> 1	
ASE_ECD	1	1	1	1	1	1	<input type="checkbox"/> 1	
ASE_INT	1	1	1	1	1	1	<input type="checkbox"/> 1	
ASE_OBJ	<input type="checkbox"/> 1	2	2	2	2	2	<input type="checkbox"/> 2	
ASE_REQ	<input type="checkbox"/> 1	2	2	2	2	2	<input type="checkbox"/> 2	
ASE_SPD		1	1	1	1	1	<input type="checkbox"/> 1	
ASE_TSS	1	1	1	1	1	1	<input type="checkbox"/> 1	
ATE_COV		<input type="checkbox"/> 1	2	2	<input type="checkbox"/> 2	3	<input type="checkbox"/> 3	
ATE_DPT			1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	
ATE_FUN		1	1	1	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	
ATE_IND	<input type="checkbox"/> 1	2	2	2	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	
AVA_VAN	<input type="checkbox"/> 1	2	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	5	<input type="checkbox"/> 5	

5) Detailed scope (ITSEC)

<i>ITSEC</i>
<input type="checkbox"/> E1
<input type="checkbox"/> E2
<input type="checkbox"/> E3
<input type="checkbox"/> E4
<input type="checkbox"/> E5
<input type="checkbox"/> E6
<input type="checkbox"/> Résistance élémentaire

<input type="checkbox"/> Résistance moyenne
<input type="checkbox"/> Résistance élevée

## Appendix C Simplified licensing process for “Equipements matériels avec boîtiers sécurisés » evaluation

The technical domain “Equipements matériels avec boîtiers sécurisés” is particular in that sense that it requires technical skills that are usually associated both with the “Software and networks” and “Electronic, microelectronic components and embedded software” domains.

A simplified licensing process can be applied to an association of two evaluation facilities when:

- One of them is already licensed for CC evaluations in the technical domain “Electronic, microelectronic components and embedded software” and the other one for the domain “Software and networks”;
- One of them is already licensed for CC evaluations in the technical domain “Electronic, microelectronic components and embedded software” and the other one for CSPN for the domain “Software and networks”;
- One of them is already licensed for CC evaluations in the technical domain “Software and networks” and the other one for CSPN for the domain “Electronic, microelectronic components and embedded software”.

### **Simplified licensing process**

#### *Application for licensing*

An application form identifying a pilot evaluation and both evaluation facilities is required.

#### *Preliminary audit*

This step is considered satisfied for case 1.

In all cases the accreditation of the candidate association as a whole must be verified.

#### *Pilot evaluation*

The pilot evaluation shall allow verifying that the evaluators of both facilities are working in a collaborative way.

A single ETR must be drawn up for such evaluations and it is the responsibility of the facilities to ensure its global conformance to both accreditation and ANSSI requirements.

#### *Licensing audit and approval*

This step consists in the validation of the global consistency of the work performed by the candidate association, and in particular:

- The relevance of the methods applied and the organisation of work between the different teams involved in the project;
- The level and quality of discussions throughout the evaluation, from the analysis of conformity to the penetration testing;
- The adequate coverage of both physical and logical attacks from which the product is intended to protect itself in its operational environment;

These elements are checked during meetings that are held within ANSSI premises.

Eventually, ANSSI draws up an audit report stating whether the candidate association is capable of performing evaluation in this particular technical domain. This report is submitted to the Director



General of ANSSI, who proposes to the Prime Minister, when applicable and after the Certification Management Board has been consulted, to grant a new license to the evaluation facilities.

The decision is notified to both evaluation facilities by mail.

## **Appendix D    Obligations of licensed facilities**

The licensed evaluation facilities commits to enforcing evaluation and certification procedures drawn up by ANSSI and transmitted for application.

It shall fulfil all licensing criteria, and, in particular:

- O1    decline any evaluation that could lead to a conflict of interest towards a sponsor, or at least inform the certification body of ANSSI as soon as possible in the event such a situation would occur in the course of an evaluation,
- O2    immediately inform the certification body of ANSSI of any change in the structure of the company, its organisation or its staff, and provide proof elements of such changes (ANSSI must be kept informed of all activities other than evaluation performed by the evaluation staff, in order to verify that it is compatible with the evaluation activity, as well as of any change in the evaluation staff. Resumes of all members of the facility must be provided to the certification body of ANSSI),
- O3    allow staff from the certification body of ANSSI access to its premises, as well as to all documentation, equipment or tool that is used for evaluations performed under the scope of licensing,
- O4    allow staff from ANSSI designated by the certification body to assess, at any time, the performance of evaluation activities and testing and to control that licensing criteria are fulfilled,
- O5    comply with information protection requirements that would apply, in a temporary or permanent manner by ANSSI,
- O6    commit to ensure non-divulgence of information regarding its tools and evaluation methods to other parties,
- O7    attend meetings organized by the certification body of ANSSI,
- O8    report biannually its activity to the certification body of ANSSI,
- O9    in the absence of formal agreement from ANSSI, restrain the usage of evaluation methods and tools provided by ANSSI to work performed under Decree 2002-535 modified and not sell them to other parties. It shall return them on demand to ANSSI.

## **Appendix E      Correlation between the SOG-IS technical domains and the licensing domain**

The SOG-IS defines two technical domains in the document “SOGIS-IT-Technical-Domains-v0.93” for which the recognition of the evaluations can go up to level EAL7.

The SOG-IS technical domain “Smartcard and Similar Devices” corresponds exactly to the licensing domain “Electronic, microelectronic components and embedded”. Thus all the evaluations of this licensing domain are recognized up to level EAL7.

As for the SOG-IS technical domain “Hardware Devices with Security Boxes”, it corresponds to a subset licensing domain “Equipements matériels avec boîtiers sécurisés”. Only the evaluations having included the product’s physical envelope resistance can claim this SOG-IS domain. Thus only these evaluations enter within the SOG-IS recognition up to level EAL7; SOG-IS recognition of the other evaluation of this licensing domain is limited to level EAL4.

## **Appendix F Vulnerabilities analyses of the technical fields “software and network equipment” and “Equipements matériels avec boîtiers sécurisés”**

For ANSSI, the vulnerability analysis is the main goal of the evaluations. All CC evaluation tasks must be directed to carry out a relevant vulnerability analysis (principle “have a better understanding to better attack”).

Generally, evaluations on the technical domain “software and network equipment” and “Equipements matériels avec boîtiers sécurisés” define assumptions on the environment making it possible to put aside many threats. However for these evaluations, the objectives on the environment rising from these assumptions should not be regarded a priori as sufficient. Their sufficient character must be given by the CESTI.

For the none-IT environment objectives (organisational measurements), penetration testing putting these latter aside must be carried out, although they cannot lead the evaluation to the “Failure” verdict.

For the none-IT environment objectives (technical measures), The CESTI must make sure that the recommendations in the guides are sufficiently detailed and realistic so that a certificate end-user is able to correctly protect oneself against the threats identified in the security target. Thus, the CESTI should not put aside the attack paths which uses the IT environment. Indeed, the penetration tests can show that requirements on the environment are not relevant or are not sufficient.

These requirements, relating to the impact analysis of lack of respect of the environment objectives, must be set up to put forward with the certifier, the sponsor and the possible ordering institution, the importance of the assumptions on which protection against many attacks would rest on.

Their conclusions are the object of an ad hoc restitution.