Netherlands Scheme for Certification in the Area of IT Security (NSCIB)

Nederlands Schema voor Certificatie op het gebied van IT-Beveiliging (NSCIB)

NSCIB Scheme Procedure 1

Certification Process

Approved ....

Technical Manager NSCIB

Document history

Version	Date	Comment
0.1	?	1st release for internal comments
0.2	December 2016	2nd Draft with Preparation phase for scheme review
0.3	1 August 2017	3rd Draft with Preparation phase after scheme comments and Certification phase for scheme review
1.0	1 September 2017	For publication and scheme use
1.1	14 September 2017	Minor corrections
1.2	09 April 2019	Updates to reflect flows between all parties within NSCIB scheme
1.3	07 May 2019	Updated following review with NLNCSA
1.4	27 June 2019	Incorporating feedback from NLNCSA
1.5	04 August 2022	Transition of NSCIB CB from TÜV Rheinland to TrustCB

References

[CC]   Common Criteria for IT Security Evaluation, Part 1,2 and 3, v3.1r5, April 2017

[CCRA]   Arrangement on the Recognition of CC Certificates in the field of IT Security, July 2014

[CEM]   Common Methodology for IT Security Evaluation, v3.1r5, April 2017

[SOG3]   SOGIS MRA of IT Security Evaluation Certificates, v3.0, January 2010

Glossary of terms and abbreviations

This list does not contain terms already defined by the [CC] or [CEM].

CB   Certification Body
CR   Certification Report
ETR   Evaluation Technical Report
EWP   Evaluation Work Plan
IAR   Impact Analysis Report
IT   Information Technology
ITSEF   IT Security Evaluation Security
NSCIB   Netherlands Scheme for Certification in the Area of IT Security (Nederlands Schema voor Certificatie op het gebied van IT-Beveiliging)
NSP   NSCIB Scheme Procedure
PP   Protection Profile
RR   Review Report
ST   Security Target
TOE   Target of Evaluation

Table of Contents

1. Introduction

This procedure gives details of the activities normally taken in a certification process. Depending on the nature of the evaluation, different processes could apply as described in the following chapters.

1.1. Information products

During the whole certification process the following information products are identified:

Information product	Description
Application Form	
Certification Agreement	Part 2 of Application Form
Certification Report	
Certificate	Page 2 of the Certification Report
Developer Evidence	
Evaluation Technical Report	
Evaluation Work Plan	Part 3 of Application Form
Evaluator Evidence	
Impact Analysis Report	
Protection Profile	
Review Report	
Security Target	

1.2. Roles

The following roles are identified within the NSCIB scheme:

Role	Organisation	Description
Certificate Issuer	TrustCB	
Certification Body	TrustCB + NLNCSA	
Certification Manager	TrustCB	
Certification Monitor	NLNCSA	
Commercial Certifier	TrustCB	
Evaluator	ITSEF	
ITSEF Evaluation Leader	ITSEF	
ITSEF Project Manager	ITSEF	
Operations Manager	NLNCSA	
Quality Manager	TrustCB + NLNCSA	
Scheme Lead	TrustCB	Identifying and assigning Commercial Certifier
Scheme Owner	TrustCB	

Sponsor Role	Sponsor	
Technical Experts	NLNCSA + TrustCB	
Technical Manager	NLNCSA	
Website Maintainer	TrustCB	

2. Certification Process

The certification process comprises three phases:

- The *Preparation Phase*: in which the formal Application shall be submitted and processed, resulting in a signed Certification Agreement and an approved Evaluation Work Plan;

- The *Evaluation Review Phase*: in which the actual evaluation is performed under supervision of the Certification Body (CB), resulting in an Evaluation Technical Report (ETR);

- The *Certification Phase*: in which the concluding actions are performed, resulting in a Certificate.

A. CERTIFICATION

Preparation → Monitoring → Certification

1 Preparation

1.1 Prepare Security Target & Submit Application	Sponsor + ITSEF
1.2 Intake Application	Certification Body
1.3 Estimate certification effort	Certification Body
1.4 Setup Certification Agreement	CB + Sponsor
1.5 Kick-off & Preparation finalisation	CB + ITSEF + Sponsor

2 Monitoring

2.1 ST evaluation	CB + ITSEF
2.2 First evaluation meeting	CB + ITSEF + Sponsor
2.3 Second evaluation meeting	CB + ITSEF + Sponsor
2.4 Third evaluation meeting	CB + ITSEF + Sponsor
2.5 Final evaluation reporting	CB + ITSEF

3 Certification

3.1 Prepare Certification Report	CB + ITSEF + Sponsor
3.2 Issue Certificate	Certification Body
3.3 Publish Certificate	Certification Body

14-09-2017

The level of certification monitoring to be applied by NLNCSA is determined at the Preparation phase. During Preparation, NLNCSA confirms whether the certification task will be one in which there is active NLNCSA certification monitoring throughout the Evaluation Review phase or whether there will be a single point of NLNCSA certification monitoring during the Certification phase once the Evaluation review phase has successfully concluded.

In the case where there is active NLNCSA certification monitoring throughout the Evaluation Review phase, the Certification Monitor (NLNCSA) will be in copy of all interaction between the Commercial Certifier and the ITSEF. This will not be the case where there is a single point of NLNCSA certification monitoring, when only the final package of evaluation reports on which the Commercial Certifier bases their recommendation for the certification decision, together with the Certification Report, will be delivered to the NLNCSA (Operations Manager) during the Certification Phase.

2.1. Phase 1: Preparation

The Preparation Phase is the first phase in the certification process. This phase officially starts with the application of the Sponsor to the CB and ends with the approval of the Evaluation Work Plan.

2.1.1. Step 1.1: Prepare Security Target & Submit Application

In preparation of a CC certification, it is required for a sponsor and licensed IT Security Evaluation Facility (ITSEF) to negotiate an agreement to perform an evaluation under the NSCIB scheme. If requested, the CB provides the Sponsor with an overview of all ITSEFs licensed under the NSCIB.

The Sponsor is responsible for drafting a Security Target (ST) in case of a TOE evaluation[1], or a Protection Profile in case of a PP evaluation. The Sponsor may choose to be assisted by an ITSEF in a consultancy role. Note that the process step below is not mandatory and only provided as a possible approach. It is up to the sponsor and ITSEF to find the best way to provide the defined application that is mandatory for the next Step 1.2: Intake Application.

2.1.1.1. Preparation: Create (draft) ST/PP and contract an ITSEF

Responsible:	Sponsor
Executed by:	Sponsor role
In co-operation with:	Optionally with a CC consultant or the envisaged ITSEF

1. Create a (draft) Security Target (ST) / Protection Profile (PP)
• Create an initial version of the ST or PP that describes the TOE in sufficient details so that the logical and physical boundary is clearly defined. Also the Security Problem Definition and Objectives must be complete.
2. Consult envisaged ITSEF and reach an evaluation agreement
• Select an envisaged lab out of the NSCIB licensed ITSEFs (see NSCIB website). • Submit the (draft) ST/PP to the envisaged ITSEF. • Consult the envisaged ITSEF to determine to what extend the ITSEF is able and willing to perform an evaluation based on the (draft) ST/PP and under which conditions. • Come to a contractual agreement with the ITSEF for performing the evaluation work.

2.1.1.2. Draft NSCIB application

Responsible:	Sponsor
Executed by:	Sponsor role

1. Draft an NSCIB application form
• Download the NSCIB application form from the NSCIB website. • Fill in the required fields.
2. Submit NSCIB application form to ITSEF
• Send the NSCIB application form to the ITSEF.

2.1.1.3. Complete NSCIB application form

Responsible:	ITSEF
Executed by:	ITSEF Project Manager

1. Receive the NSCIB application form

---

[1] For easier reading the term 'Security Target' is also used in cases where the Target of Evaluation (TOE) is a Site and a 'Site Security Target' (SST) is needed.

- Receive the NSCIB application form.
- Check the NSCIB application form and fill in the required fields.
- Draft an Evaluation Work Plan (Annex B of the application form) describing the evaluation process based on the draft ST and NSCIB procedures. The provisional Evaluation Work Plan (EWP) shall follow the structure provided in Annex B of the application form and must address the following four points:
  1. *Delivery Plan:* this is the schedule for the submission by the Sponsor to the ITSEF of all developer evidence required for the evaluation;
  2. *Evaluation Plan:* this is the schedule for the delivery of all Intermediate Reports or Intermediate evaluation evidence and the Evaluation Technical Report;
  3. *Staff involved in Consultancy and Evaluation:* in this section, the ITSEF must identify and describe any consultancy services that have been provided to the Sponsor and list the staff involved. This is of particular importance when the consultancy has involved writing documentation on behalf of the sponsor. Staff involved in consultancy may not perform evaluation activities or mentor other employees during the evaluation. The ITSEF must also identify the names and roles of staff involved in evaluation;
  4. *Certification Plan:* this is the schedule for reviewing of all evaluation evidence and the ETR, as well as the delivery of the Certification Report and the Certificate.

2. Sign NSCIB application form
- Sign the NSCIB application form.   - Return the signed NSCIB application form including provisional Evaluation Work Plan (EWP) to the sponsor.

2.1.1.4. Submit Application

Responsible:	Sponsor
Executed by:	Sponsor role
In co-operation with:	ITSEF Project Manager

1. Receive documents
Receive the application form including provisional EWP.

2. Submit request
- Gather the (draft) ST/PP (already in possession of the sponsor).   - Sign the NSCIB application form.   - Compose the application: - NSCIB application form including provisional EWP   (draft) ST/PP   - Send the application to TÜV Rheinland NL and in copy to NSCIB mailing list (delivered to NLNCSA and TrustCB).   The main body of the NSCIB application form must be submitted unencrypted. All other documents may be encrypted using the NSCIB keys, which can be downloaded from the NSCIB website. This is a mandatory process step in the Preparation phase performed by the sponsor; however the sponsor may choose to delegate this task to the ITSEF. Note: The draft ST/PP shall describe the TOE in sufficient detail so that the logical and physical boundary is clearly defined. Also the Security Problem Definition and Objectives must be complete!

2.1.2. Step 1.2: Intake Application

2.1.2.1. Assess Application

Responsible:	TrustCB
Executed by:	Scheme Lead

1. Receive the application
• Receive (and decrypt if required) the NSCIB application form, the (draft) EWP and ST/PP. • Archive the application in the TrustCB document management system.

2. Check the application and decide on acceptance
• Check the application for completeness and correctness. • Perform a high level check on the following items: 1. Clarity: Is the ST or PP clear an understandable, is the TOE scope well defined? 2. Meaningfulness: Comprises the ST or PP sufficient functionality to come to a meaningful certificate and is the 'assurance' sufficient to warrant this functionality? 3. Competence ITSEF: Is the ITSEF that is going to perform the evaluation sufficiently competent to evaluate this specific TOE? 4. License: Is the ITSEF Licensed under the NSCIB? Does the ITSEF have sufficient scope of ISO17025 accreditation and NSCIB licensing? 5. For composite evaluations and maintenance: check on the timing requirements (for reuse of evaluation results). • Select a Commercial Certifier based on availability and specific knowledge related to the type of product that will be evaluated, confirming impartiality from the product. • In the case that the application is complete and correct, notify NLNCSA Operations Manager of the assignment of the Commercial Certifier and request the NLNCSA Operations Manager to confirm whether active Certification Monitoring or a single point of Certification Monitoring is to be applied by NLNCSA (based on the forecast list from the appropriate lab) and request assignment of a Certification Monitor from NLNCSA. • Notify TÜV Rheinland NL (NLNCSA in copy) in case the application is incomplete/incorrect or will not lead to a meaningful certificate. This will lead to a rejection of the application.

3. Assess the application

• Perform a detailed review of the application. Focus areas are:
  o TOE scope
  o Evaluation approach
  o Project planning, timescales, dates of planned evaluation meetings etc.
  o Assigned evaluators
• Discuss any items that are unclear with the Sponsor and/or ITSEF to gain necessary clarification in order to create the quotation for the certification workload.
• Create an *Application* Review Report to document any discussions and decisions relating to the evaluation approach, and to record any other items that require further clarification during the Evaluation Review Phase (see template NST_06_Review_Report).
 	
Note:
• The *Application* Review Report is intended to collect comments on the EWP (and draft ST/PP) that will need to be addressed by the ITSEF and/or Sponsor and which, if necessary, could be discussed at a kick-off meeting.
• The CB may, besides reviewing all Evaluator evidence, at its own discretion, conduct additional supervision of the evaluation during the Evaluation Review phase. This can be realised by having the Commercial Certifier directly observing the evaluation activities. Activities that are particularly suitable for special supervision are site visits and (penetration) tests performed by the ITSEF.

4. Estimate the required certification effort

- Determine whether a kick off meeting is necessary, and if so in what form (a call or face-to-face meeting).
- Calculate the hours needed to perform the certification task based on experience, the type of application, the number of evaluation meetings, witnessing of site visits and other factors. This will include travel expenses as well.
- Include time for liaison with assigned Certification Monitor if NLNCSA determines that the task is to be actively monitored during the Evaluation review phase (see decision from 2.1.2.2 below).

5. Notify parties on conclusion of application assessment
• Notify Certifications Manager (copied to NLNCSA) that the application can be accepted and inform them about the names of the Commercial Certifier and Certification Monitor (see NST_07_T_Template_NSCIB_eMails) and details of the certification estimate.   • Send *Application* Review Report to the Sponsor and ITSEF (copying in Certification Monitor).
6. Process responses to additional questions and finalise *Application* Review Report
• Update the *Application* Review Report based on responses from ITSEF and Sponsor.   • The *Application* Review Report of the application may be used again in 2.1.4.1 'Plan Kick-off meeting' (by the TrustCB Scheme Lead).

2.1.2.2. Appoint Certification Monitor

Responsible:	NLNCSA
Executed by:	Operations Manager

1. Select Certification Monitor
• Check the application is on the forecast list from the appropriate lab and determine from the forecast list whether active Certification Monitoring will be applied by NLNCSA throughout the Evaluation Review Phase or whether a single point of Certification Monitoring is to be applied by NLNCSA in the certification phase.   • Select a Certification Monitor based on availability and specific knowledge related to the type of product that will be evaluated.
2. Inform Certification Monitor and TrustCB of appointment
• Inform the Certification Monitor that he/she is appointed to monitor the evaluation process.   • Inform TrustCB of any appointment of Certification Monitor

2.1.3.   Step 1.3: Setup Certification Agreement

2.1.3.1. Create and submit Certification Agreement

Responsible:	TrustCB
Executed by:	Certification Manager

1. (Conditional on "rejection" decision of Step 1.2, item #2) Receive notification to reject the application from TrustCB
• Notify the Sponsor and ITSEF with the motivation of the rejection of the application (in copy to TrustCB and NLNCSA).   The options for making an appeal against a rejection are described in the scheme documentation, Part 2, Section 4.12, '*Appeal*'. When an application has been rejected, the CB shall not consider a renewed application of the same Sponsor for a revised TOE/PP, unless the Sponsor can plausibly argue that the issues that led to the rejection of the earlier application, have been dealt with.
1. (Conditional on "acceptance decision of Step 1.2, item#2) Receive names of the Commercial Certifier and Certification Monitor, and certification estimate
• Receive names of the Commercial Certifier and Certification Monitor.   • Receive the certification estimate from TrustCB Scheme Lead   • Check the estimation   • Create a Certification ID according to internal TrustCB procedures

2. Draft Certification Agreement
• Create the Certification Agreement (Annex A of the Application Form) based on the type of application, the certification fee and the certification estimate provided.

3. Submit the Certification Agreement

• In the case of acceptance, notify the Sponsor and ITSEF on:
    o The acceptance of the application
    o The names of the Certification Monitor and Commercial Certifier
    o The Certification ID
• Send the Certification Agreement to the Sponsor for signing, copied to NLNCSA and TrustCB Scheme Lead.

2.1.3.2. Approve and sign Certification Agreement

Responsible:	Sponsor
Executed by:	Sponsor role

1. Receive the Certification Agreement
• Receive the Certification Agreement fromTrustCB. • Check the Certification Agreement and sign if accepted.

2. Create Purchase Order
• Create a Purchase Order for the certification.

3. Return Certification Agreement and Purchase Order
• Return the signed Certification Agreement and Purchase Order toTrustCB.

2.1.3.3. Receive Certification Agreement and Purchase Order

Responsible:	TrustCB
Executed by:	Certification Manager

1. Receive the signed Certification Agreement and Purchase Order
• Receive the signed Certification Agreement and Purchase Order from the sponsor. • Check and process Purchase Order.

2. Notify TrustCB Scheme Lead, copied to NLNCSA
• Inform TrustCB Scheme Lead, copied to NLNCSA Certification Monitor, that the Purchase Order is received.

The reception of the *Purchase Order* is a milestone after which a kick-off meeting can be held.

2.1.3.4. Invoice Sponsor

Responsible:	TrustCB
Executed by:	Certification Manager

1. Submit invoice
• Create and send an invoice to the sponsor.

2.1.3.5. Receive and process invoice

Responsible:	Sponsor
Executed by:	Sponsor role

1. Receive the invoice
• Receive the invoice from TrustCB.
• Check and process the invoice.
2. Pay invoice
• Send payment to TrustCB.

2.1.3.6. Receive and process payment

Responsible:	TrustCB
Executed by:	Certification Manager

1. Receive payment
• Receive the payment from the Sponsor.
2. Notify TrustCB Scheme Lead and Commercial Certifier
• Inform TrustCB Scheme Lead and Commercial Certifier that the payment is received.
3. Update NSCIB website (if appropriate)
• Add the project to the list of 'Ongoing certifications' on the NSCIB website if the Sponsor requested this in the application form.
See also the scheme documentation, Part 2, Section 4.9.2, *During the certification Process*.

(!) The reception of the *Payment* is a milestone after which the Evaluation Review phase can commence.

2.1.4.   Step 1.4: Kick-off & Preparation finalisation

2.1.4.1. Plan Kick-off meeting

A formal kick off meeting is for the parties to introduce themselves to each other and to introduce the TOE, in particular:

- If the evaluation is of a product that is new to NSCIB, so that the Developer can present the TOE to the scheme.

- If the Sponsor is new to NSCIB, the TrustCB Scheme Lead will provide clarification to the Sponsor of the scheme procedures.

- For TrustCB Scheme Lead to provide provisional approval of work plan on the basis of feedback received from the ITSEF on the *Application* Review Report.

This kick off meeting may be held virtually or in-person, depending on if the Sponsor met the Scheme rep (NLNCSA) and or scheme lead (TrustCB) before and in what context, the requirements of the Sponsor and the assessment of the application by TrustCB during *Step 1.2: Intake Application*.

Responsible:	TrustCB
Executed by:	Scheme Lead
In co-operation with:	Commercial Certifier

1. Receive notification that Purchase Order is received

• Receive notification from TrustCB Certifications Manager that Purchase order is received from the Sponsor.
2. Plan Kick-off meeting
In case of an application concerning a TOE evaluation, the TrustCB Scheme Lead may organise a kick-off meeting. No kick-off meeting is required if deemed unnecessary by all parties. • Identify necessary participants depending on the reason for the kick-off meeting. As a minimum the participants will include ITSEF and TrustCB Scheme Lead. Participants may also include Commercial Certifier, Certification Monitor and the Sponsor. • Agree on meeting date with all participants. • Confirm the meeting agenda (see NST_08_Template_kick_off_meeting_agenda) of the items that will be discussed in the kick-of meeting. These include: o Information to the Sponsor, to ensure that he is informed about the Certification Process, the roles and the responsibilities o The basis of the evaluation, which version of the Common Criteria shall be used and which Scheme Instructions o Measures to ensure confidentiality, between all parties o Possible technical peculiarities of the TOE/PP o Sites to be visited. The rules that are applied to decide which developer site(s) involved in the construction of the TOE have to be audited. Also see NSI_07 Site audits o How the Sponsor shall gather the necessary developer evidence, if the Sponsor is not the developer of the TOE, or if the TOE is built up of products of a number of developers o The provisional Evaluation Work Plan (EWP) of the certification
3. Submit invitation to participants
• Send an invitation email for the Kick-off meeting to all participants, consisting off: o Meeting agenda o Application Review Report (already in possession, see 2.1.2.1'Assess Application')

2.1.4.2. Kick-off meeting

Responsible: ITSEF Executed by: ITSEF Project Manager In co-operation with: ITSEF Evaluation Leader
1. Facilitate kick-off meeting, which may be a face-to-face meeting or a remote (video/phone call, or secure video conference like Wire if the call is to discuss highly sensitive details of the evaluation)
• Host the Kick-off meeting with: o TrustCB Scheme Lead o ITSEF o Sponsor o Commercial Certifier o Certification Monitor (if applicable) • The ITSEF Project Manager, or one of his deputies, shall take notes during the meeting. Remark: The TrustCB Scheme Lead will chair the meeting.
2. Process meeting results
• Draft Minutes of Meeting • Update EWP based on meeting discussions and *Application* Review Report.
3. Distribute Minutes of Meeting and EWP
• Distribute Minutes of Meeting and updated EWP to all attendees (copied to NLNCSA for actively monitored certification tasks).

2.1.4.3. Approve Minutes of Meeting

Responsible:	TrustCB
Executed by:	Scheme Lead

1. Receive Minutes of Meeting
• Receive the Minutes of Meeting from the ITSEF. • Assess the Minutes of Meeting.
2. Approve Minutes of Meeting
• In case the Minutes of Meeting need to be corrected, contact the ITSEF to receive updated Minutes of Meeting.
3. Submit Approval
• Send approval of Minutes of Meeting to ITSEF, copied to all other meeting participants (copied into NLNCSA for actively monitored certification tasks).

2.1.4.4. Approve Evaluation Work Plan

Responsible:	TrustCB
Executed by:	Scheme Lead

1. Receive EWP
• Receive the updated version of the EWP from the ITSEF. • Assess the EWP.
2. Approve the EWP
• Update the *Application* Review Report. • In case the EWP needs to be corrected, contact the ITSEF to receive an updated EWP. Note: In case the final version of the EWP contains changes to the evaluation approach or TOE scope that requires additional certification effort above what has been estimated before, then the process described in chapter 4 *'Additional certification effort'* will be invoked.
3. Submit Approval
• Send the *Application* Review Report with approval of the EWP to the ITSEF and Sponsor. • Archive the approved EWP in the TrustCB document management system.

⚠ MILESTONE: Once the EWP is approved, the preparation phase is formally completed.

2.2. Phase 2 Evaluation Review

The ITSEF is responsible for delivering the evaluation reports which record the results of the evaluation activities. These reports are reviewed by the Commercial Certifier and the review comments communicated to the evaluator in review reports (and discussed in an evaluation meeting if applicable). The Evaluator is responsible for recording minutes of evaluation meetings and tracking action items arising from evaluation meetings.
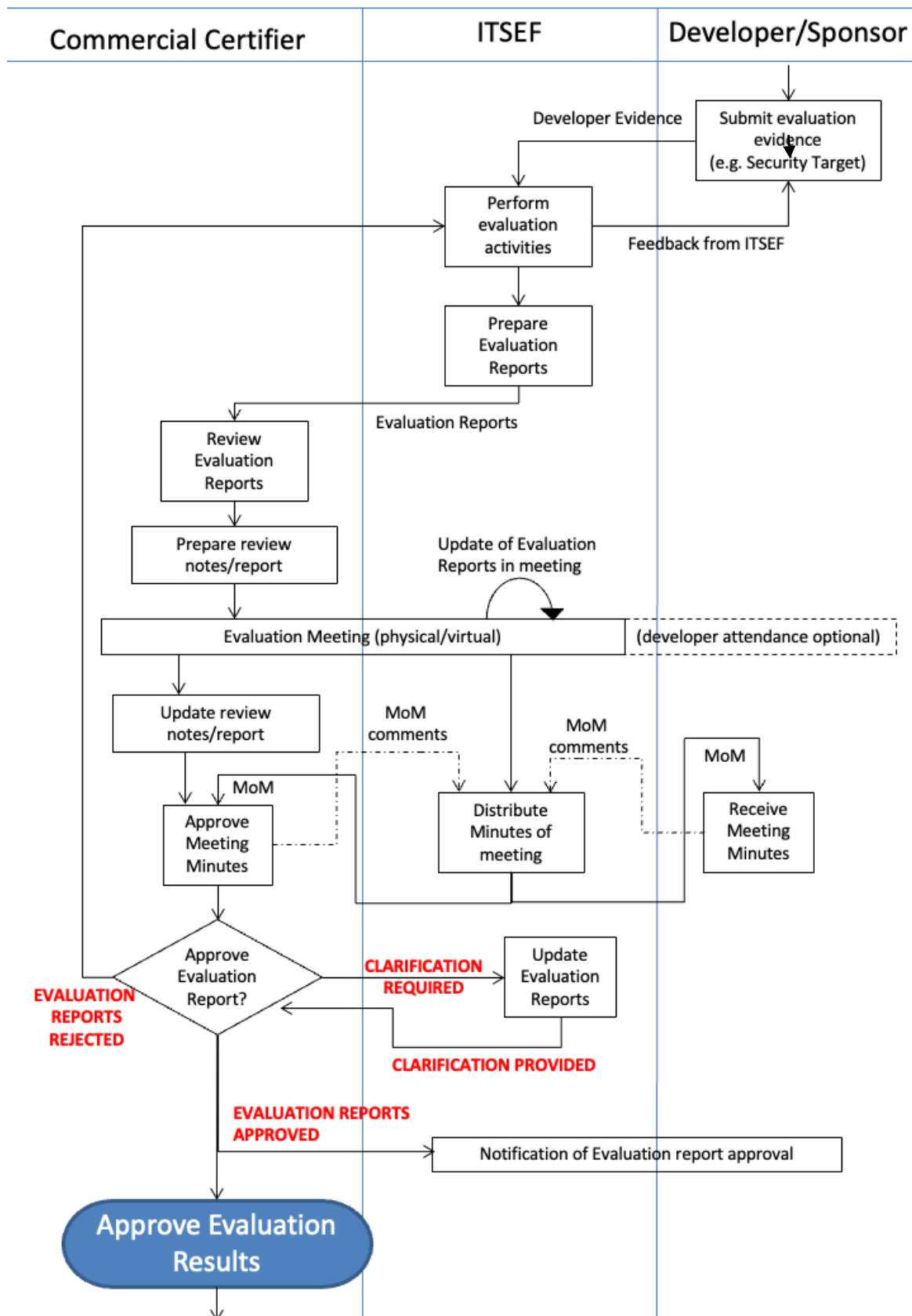
As noted in the overview of *Certification Process* above, in the case where there is a single point of NLNCSA certification monitoring, NLNCSA will **not** be copied into communications between the Commercial Certifier and the ITSEF during the conduct of the Evaluation Review phase. The single point of NLNCSA certification monitoring will be applied to the final package of evaluation reports. The final package of evaluation reports is the one on which the Commercial Certifier bases their recommendation for certification decision, which will be provided to the NLNCSA (Operations Manager), together with the Certification Report, during the Certification Phase.

However, for all actively monitored certification tasks, the Certification Monitor (NLNCSA) will be in copy of all interaction between the Commercial Certifier and the ITSEF.

When all Review Report comments have been addressed and any action items closed, the Commercial Certifier shall notify the evaluator of acceptance of the evaluation results recorded in the delivered evaluation reports.

By default there will be 5 evaluation review activities in the Evaluation Review Phase, but this will be dependent on the evaluation approach agreed during the Preparation phase.

The generic process flow to be applied for each evaluation review activity is shown in the following diagram. This reflects the case where a single point of monitoring is applied to certification tasks, which is performed during the Certification phase. (For readability the interaction with the Certification Monitor for actively monitored certification tasks is **not shown**.)

Commercial Certifier	ITSEF	Developer/Sponsor

Developer Evidence → Submit evaluation evidence (e.g. Security Target)

Perform evaluation activities — **Feedback from ITSEF**

Prepare Evaluation Reports

Evaluation Reports

Review Evaluation Reports

Prepare review notes/report

Update of Evaluation Reports in meeting

Evaluation Meeting (physical/virtual) — (developer attendance optional)

Update review notes/report

MoM comments | **MoM comments** | **MoM**

MoM

Approve Meeting Minutes

Distribute Minutes of meeting

Receive Meeting Minutes

Approve Evaluation Report?

EVALUATION REPORTS REJECTED

CLARIFICATION REQUIRED → Update Evaluation Reports

CLARIFICATION PROVIDED

EVALUATION REPORTS APPROVED → Notification of Evaluation report approval

Approve Evaluation Results

2.2.1. Step 2.1: Security Target Evaluation

2.2.1.1. Deliver completed ST

Responsible:	Sponsor
Executed by:	Sponsor POC

1. Deliver completed ST to ITSEF
• Ensure any comments provided by the ITSEF and NSCIB during the Preparation phase are addressed.

2.2.1.2. Evaluate ST

Responsible:	ITSEF
Executed by:	Evaluator

1. Receive completed (updated) ST from Sponsor
• Record evidence received in accordance with ITSEF procedures.

2. Evaluate ST
• Perform ASE activities in accordance with the evaluation methodology specified in the CEM and any associated methodology specified in the EWP. • Record findings and evaluation activity verdicts in ASE report. • It is likely that one or more feedback loops between the ITSEF and Sponsor will be required to enable the evaluator to reach pass verdicts. • Address comments raised by Commercial Certifier in previous ASE review activities and provide a disposition of the comments in the ASE Review Report.

3. Deliver ASE report and associated ST to commercial certifier for review (with annotated ASE Review Report if applicable)
• Once all verdicts are Pass (with the possible exception of the final TOE version identifier(s)), send the ASE report and associated ST to the Commercial Certifier.

2.2.1.3. Review ASE report

Responsible:	TrustCB
Executed by:	Commercial Certifier

1. Receive completed ASE report and associated ST from ITSEF.
• Ensure the report and associated ST received are recorded in the TrustCB tracking tool.

2. Review ASE
• Review the evaluator findings of the ASE activity and record any comment in an *ASE Review Report* (see template NST_06_Review_Report). • Verify whether comments raised in previous ASE review activities have been closed.

3. Deliver ASE Review Report to ITSEF and Sponsor
• If there are comments that require update of the evaluation report (ASE) or the evidence (ST), the ASE Review Report is sent directly to the ITSEF and Sponsor for the comments to be addressed. • Once the Commercial Certifier has confirmed all comments recorded in the ASE Review Report have been closed, the ASE Review Report the Commercial Certifier informs the ITSEF and Sponsor that the ASE Report and ST are considered to be in a satisfactory state to enable the evaluation activities to move to Evaluation Meeting 1.

2.2.2. Step 2.2: Evaluation meetings

There are usually multiple iterations of this step

This step is to be iterated according to the number of Evaluation Meetings specified in the Evaluation Work Plan (EWP). There are three types of evaluation meeting specified in NSP#6 for a typical EAL4+ evaluation, but some of these meetings can be combined for evaluations claiming lower assurance level packages and for re-certification tasks. The number of evaluation meetings is specified in the EWP and agreed during the *Preparation* phase (see item #4 of *2.1.2.1 Assess Application*). The content to be discussed in each evaluation meeting is also specified in the EWP, which will dictate what evaluation evidence is to be provided by the Sponsor and what evaluation activities are to be performed by the ITSEF in preparation for the evaluation meeting. Similarly, the agenda for each meeting is taken from the definition of the evaluation meetings specified in the EWP.

2.2.2.1. Deliver developer evidence

Responsible:	Sponsor
Executed by:	Sponsor POC

1. Deliver developer evidence to ITSEF
• The developer evidence necessary for the appropriate iteration of the Evaluation Meeting must be delivered to the lab in accordance with the EWP.

2.2.2.2. Evaluate evidence

Responsible:	ITSEF
Executed by:	Evaluator

1. Receive evidence from Sponsor
• Record evidence received in accordance with ITSEF procedures
2. Evaluate evidence
• Perform evaluation activities for the applicable evaluation meeting (as defined in the EWP) in accordance with the evaluation methodology specified in the CEM and any associated methodology specified in the EWP.   • Record findings and verdicts in the relevant EM reports as defined in NSP#6   • Address action items raised in previous evaluation meetings, providing a disposition of how the actions have been addressed.   • These reports are to be sent to the Commercial Certifier at least 6 working days before the meeting is scheduled to be held.
3. Organize a meeting with the commercial certifier
• Once the Evaluator is confident when the meeting reports will be ready, the evaluation meeting data/time/location will be confirmed with the Commercial Certifier. The Sponsor/developer will also be invited to the meeting.

2.2.2.3. Review Evaluation Meeting Reports

Responsible:	TrustCB
Executed by:	Commercial Certifier

1. Receive completed package of EM reports from ITSEF.
• Check the package is complete in accordance with the list of deliverables specified in the EWP   • Ensure the reports and any associated materials received are recorded in the TrustCB tracking tool.
2. Review EM reports

- Review the evaluator findings and conclusions reported in the EM reports and record any comments/notes for discussion in an *EM1_Meeting_Notes(before_Meeting)* document (see template NST_XX_Meeting_Review).
- Review disposition of action items and updates made to evaluation report to address actions raised in previous evaluation meetings.
- The Commercial Certifier review will be completed before EM is held, and in the case of an actively monitored certification task a copy of *EM_Meeting_Notes* document will be shared with the Certification Monitor.

2.2.2.4. Conduct Evaluation Meeting

Responsible:	TrustCB
Executed by:	Commercial Certifier
In co-operation with:	ITSEF/Evaluator

1. Evaluation Meeting will be held

- The Commercial Certifier chairs the meeting using the agenda defined by the EWP.
- The Evaluation Meeting Deliverables are presented by the evaluator, according to the following rules:
  a. Not all Evaluation Meeting Deliverables actually need to be presented. As the certifier has had one week to study the deliverables, he/she may allow the evaluator to skip certain sections that the certifier deems to be self-explanatory.
  b. The certifier is allowed to question the evaluator on any or all of the items to ascertain that the evaluation was performed correctly and completely.
  c. If there are any missing items in the Evaluation Meeting Deliverables, or items that are not clear, these will be corrected during the meeting, by amending the Evaluation Meeting Deliverables where possible and annotating them where amending would take too much time. This is not an option for the final evaluation meeting, unless it is agreed that an additional meeting is to be held (see Section *4 Additional certification effort*).
- The meeting can have four possible outcomes:
  1. All Evaluation Meeting Deliverables were either correct or successfully amended/annotated during the meeting. In this case all of these deliverables are provisionally approved.
  2. One or more deliverables could not be successfully amended/annotated, but the certifier determines that this can be further handled by email. In this case, the other deliverables are provisionally approved, and after an email process, where the remaining deliverables are amended/annotated will also be provisionally approved.
  3. One or more deliverables could not be successfully amended/annotated and cannot be handled by email, but the certifier determines that this can be rescheduled to the next Evaluation Meeting. In this case, the other deliverables are provisionally approved, and the remaining deliverables are rescheduled. (For a final evaluation meeting this outcome is not possible.)
  4. One or more deliverables could not be successfully amended/annotated and the certifier determines that this cannot be handled by email or rescheduling. In this case, the entire Evaluation Meeting is nullified, and must be repeated once the evaluator has remedied everything.

- The laboratory will take notes of all issues raised by the certifier and the action that took place or was agreed (i.e. amended/annotated during meeting, further handling by email or renewed discussion of the issue at a rescheduled meeting). This list with issues and related actions will be emailed to the certifier for confirmation within 2 working days after the meeting. This list will include identification of all documents (and versions discussed).

Note: No full meeting minutes or detailed review reports are required. .

2.2.3. Step 2.3: Final Evaluation report

2.2.3.1. Generate final evaluation reports

Responsible:	ITSEF
Executed by:	Evaluator

1. Generate final versions of all reports
• If not already done so for Final Evaluation Meeting, generate the Evaluation Technical Report (ETR) to collate all evaluation reports and provide a conclusion of the overall verdict of the evaluation findings. Also including ETRfC, STAR and analysis of ST Lite, as applicable in accordance with the EWP. • Complete ASE report (addressing any remaining ASE Review Report comments and confirming in the ETR the impact on the ASE verdicts if editorial updates have been made to the ST since the completion of the ASE report). • Revise any evaluation reports necessary to close action items from evaluation meetings, documenting a disposition of how they have been addressed.
2. Deliver final evaluation reports to the certifier for review
• Once all verdicts are Pass and the evaluator considers all action items addressed, the evaluator will deliver the final reports, along with a copy of the final ST (and ST-Lite, if applicable) to the certifier.

2.2.3.2. Review final evaluation reports

Responsible:	TrustCB
Executed by:	Commercial Certifier

1. Receive final evaluation reports and final ST (and ST-Lite if applicable) from ITSEF.
• Ensure reports and associated ST(s) received are recorded in the TrustCB tracking tool.
2. Review final package of reports
• Determine whether all open action items from the evaluation meetings have been addressed, and confirm closure or record items still not satisfactorily addressed in *ETR Review Report* (see template NST_06_Review_Report). • Review all finalised evaluation reports and record any comment in an *ETR Review Report*. • Check the final ST (ST-Lite) for consistency with all finalised evaluation reports and review the ASE report and ASE Review Report to ensure all comments are addressed.
3. Deliver ETR and ASE Review Report to ITSEF and Sponsor, and where applicable to the Certification Monitor along with the associated package of reports
• If there are comments that require update of the evaluation reports or the evidence, the ASE/ETR Review Report is sent directly to the ITSEF and Sponsor for the comments to be addressed. This would require an iteration of *Step 2.3: Final Evaluation report* to be submitted and reviewed. • In the case of actively monitored certification tasks, once the Commercial Certifier has confirmed all comments have been closed the ETR, ASE Report, ST and associated Review Reports are sent to the Certification Monitor for approval.
4. Receive review reports from Certification Monitor
• Receive review reports from Certification Monitor • Address any observations recorded in the review reports by the Certification Monitor (this will require an iteration of this action and possibly an iteration of *Step 2.3: Final Evaluation report*).
4. Close Review Reports
• Once the Commercial Certifier has confirmed all comments recorded in the ETR and ST Review Reports have been closed and approval has been provided by the Certification Monitor the review reports can be formally closed.

2.2.3.3. Certification Monitor approval

Responsible:	NLNCSA
Executed by:	Certification Monitor

1. Review the ETR and ST Review Report against the package of evaluation reports received from the Commercial certifier
• Sample the findings reported by the evaluator in the evaluation reports and the comments raised by the Commercial Certifier in the review reports. Record any observations in the relevant Review Reports (ETR or ASE). • Ensure any observations recorded in previous review rounds have been addressed, • If there are no further observations, marked the review reports as Approved by the Certification Monitor.
2. Provide comments back to Commercial Certifier
• Send Review Reports to the Commercial certifier.

2.2.3.4. Evaluation Approval

Responsible:	TrustCB
Executed by:	Commercial Certifier
In co-operation with:	Certification Monitor

1. Inform parties of the acceptance of the evaluation verdict for the evaluation.
• Once the Commercial Certifier has closed the ETR and ASE Review Reports (having received approval from the Certification Monitor for actively monitored certifications), the Commercial Certifier informs the ITSEF and Sponsor that the verdict for the TOE has been approved. • This approval is provided as soon as the Commercial Certifier confirms closure of all items in the ETR Review Report for certification tasks where there is a single point of NLNCSA certification monitoring in the Certification phase.

(!) MILESTONE: Once the ETR and ASE Review Reports are approved, the Evaluation Review phase is formally completed.

2.3. Phase 3 Certification

In this phase the CB shall produce a Certification Report (CR) and a Certificate based on the ETR approved at the end of *Phase 2 Evaluation Review*. A CR consists of a summary of the ETR, containing all relevant information about the certificate for potential users of the certified TOE/PP. It will contain all information demanded by the international recognition agreements. A Certificate is the formal declaration of the CB that the TOE/PP meets the assessment guidelines. It will contain all information demanded by the international recognition agreements.

For certification tasks where there is a single point of NLNCSA certification monitoring during the Certification phase, the Commercial Certifier shall collate a package of final evaluation reports on which their recommendation for certification decision is based, and will deliver the package to NLNCSA Operations Manager.

The Certification Phase is ended by issuing the Certificate and the CR to the Sponsor and its publication.

2.3.1. Step 3.1: Prepare Certification Report

2.3.1.1. Create Certification Report

Responsible:	Commercial Certifier
Executed by:	Commercial Certifier

1. Receive Evaluation Technical Report
• Receive final version (or draft version that is sufficiently stable) of the ETR from the ITSEF.
2. Create draft Certification Report and certificate
• Create a draft version of the Certification Report (see template NST_03_Certification_Report, NST_04_Site_Certification_Report and NST_05_Maintenance_Report as applicable). • Create draft version of the Certificate (see templates NST_14_Certificate and NST_15_Site_Certificate as applicable)
3. Submit draft Certification Report and draft certificate
• Submit the draft Certification Report and draft certificate for review and acceptance to both ITSEF and Sponsor in .pdf format.

2.3.1.2. Review and accept Certification Report

Responsible:	ITSEF and Sponsor
Executed by:	ITSEF Project Manager and Sponsor Role

1. Receive draft Certification Report and draft certificate
• Receive the draft Certification Report and draft certificate from Commercial Certifier in .pdf format.
2. Assess draft Certification Report and draft certificate

• Check the draft Certification Report for:
  o Correctness with the ST/PP and ETR
  o Proprietary information that is unsuitable for publication
• Check the draft Certification for:
  o Correctness with the ST/PP and ETR
• Accept the draft Certification Report and draft certificate

3. Send review comments and/or acceptance to Commercial Certifier
• Both ITSEF and Sponsor have to send their review comments and/or acceptance to the Commercial.

2.3.1.3. Issue and submit Certification Report and Certificate

Responsible:	Commercial Certifier
Executed by:	Commercial Certifier

1. Receive comments and/or acceptance
• Receive comments and/or acceptance from both ITSEF and Sponsor.
2. Update Certification Report and Certificate
• Update Certification Report and Certificate based on received comments. • Optionally: go back to 2.3.1.1 'Create Certification Report'.
3. Submit Certification Report and certificate to NLNCSA, and (for tasks designated for single point of certification monitoring) submit package of final evaluation reports.

Only when acceptance has been received from both ITSEF and Sponsor, and the final version of the CR and certificate are reviewed and approved:

- Send the MS WORD version of the Certification Report and Certificate for final review to the Certification Monitor/NLNCSA Operations Manager via a standardised email (see NST_07_T_Template_NSCIB_eMails). This email includes an impartiality statement from the Commercial Certifier.
- Send the package of final evaluation reports for tasks designated for single point of certification monitoring.

2.3.1.4. Perform final review on Certification Report and Certificate

Responsible:	NLNCSA
Executed by:	Certification Monitor/Operations Manager
In co-operation with:	Technical Manager

1. Receive Certification Report and Certificate
• Receive Certification Report and certificate from Commercial Certifier

2. Perform final review
• Check for correctness with final ST/PP and ETR. • Perform final editorial check of Certification Report, verify compliance with Certification Report Template (see NST_03_Certification_Report, NST_04_Site_Certification_Report and NST_05_Maintenance_Report as applicable) • Perform final editorial check of Certificate, verify compliance with Certification Report Template (see NST_14_Certificate, and NST_15_Site_Certificate as applicable).

2.3.1.5. Submit Certification Advice

Responsible:	NLNCSA
Executed by:	Certification Monitor/Operations Manager

1. Draft Certification Advice
• Create email with Certification Advice (see NST_07_N_Template_NSCIB_eMails).

2. Submit Advice
• Send email with Certification Advice and final Certification Report and Certificate (attached in MS WORD format) to Certificate Issuer (TrustCB Scheme Lead and Commercial Certifier in copy). This email includes an impartiality statement from both the Commercial Certifier and the Certification Monitor/Operations Manager.

2.3.1.6. Notify ITSEF and Sponsor

Responsible:	NLNCSA
Executed by:	Certification Monitor/Operations Manager

1. Submit notification
• Draft notification email (see NST_07_N_Template_NSCIB_eMails). • Send notification to both ITSEF and Sponsor (TrustCB Scheme Lead and Commercial Certifier in copy).

2.3.2. Step 3.2: Issue Certificate

2.3.2.1. Decide on certification

Responsible:	TrustCB
Executed by:	Certificate Issuer

1. Receive Certification Advice
• Receive the Certification Advice with the Certification Report from NLNCSA.
2. Perform final check
• Perform a final check and decide on certifying in accordance with TrustCB internal procedures including check on final payment.   • If the results of the certification investigation are negative, the certification shall be declined and the Sponsor, ITSEF, NLNCSA, TrustCB Scheme Lead are informed while providing written reasons for such decision.

2.3.2.2. Sign Certificate

Responsible:	TrustCB
Executed by:	Certificate Issuer

1. Sign Certificate
• Sign the Certificate.

2.3.2.3. Scan and email Certificate

Responsible:	TrustCB
Executed by:	Certificate Issuer

1. Create a PDF of the Certificate
• Save the signed certificate in .pdf format.
2. Submit signed (pdf) Certificate
• Inform the Sponsor, ITSEF, NLNCSA, TrustCB Scheme Lead and the Commercial Certifier that the certificate has been issued by emailing the signed (pdf) version.

2.3.3. Step 3.3: Publish Certificate

2.3.3.1. Publish Certification on Common Criteria Portal

Responsible:	NLNCSA
Executed by:	Operations Manager/Certification Monitor

1. Collect documents
• Signed (pdf) version of the Certificate from TrustCB.   • Certification Report (.PDF version).   • ST/PP (final version or sanitised/lite version if applicable is already in possession of NLNCSA).
2. Publish Certification on CC portal

• Publish Certificate, Certification Report and ST(Lite)/PP on the CC portal.
     o Login into the members section of the CC portal
     o Go to CCRA area
     o Add certification record and complete web entry

2.3.3.2. Inform Sponsor and ITSEF

Responsible:	NLNCSA
Executed by:	Operations Manager/Certification Monitor

1. Inform Sponsor and ITSEF
• Create a notification email (see NST_07_N_Template_NSCIB_eMails). • Send email to both Sponsor and ITSEF (in copy to TrustCB Scheme Lead and Commercial Certifier).

2.3.3.3. Request publication of Certification on NSCIB website

Responsible:	TrustCB
Executed by:	Certificate Issuer

1. Send request for publication on NSCIB website to Website Maintainer

• Draft a publication request email (see NST_07_T_Template_NSCIB_eMails).
• Attach:
  o Certificate
  o Certification Report (.PDF version), and
  o ST/PP (final version or sanitised/lite version if applicable)

2. Request publication
• Send email and documents to Website Maintainer .

2.3.3.4. Publish Certification on NSCIB website

Responsible:	TrustCB
Executed by:	Website Maintainer

1. Receive publication request with attachments.

• Receive publication request from Certificate Issuer with:
  o Certificate
  o Certification Report
  o ST/PP

2. Publish Certification

• Create on NSCIB website an entry in the Certified Product List.
• Publish:
  o Certificate
  o Certification Report
  o ST/PP
 	
See also the scheme documentation, Part 2, Section 4.9.3, *Following granting a Certificate to the Sponsor*.

2.3.3.5. Inform NLNCSA/TrustCB

Responsible:	TrustCB
Executed by:	Website Maintainer

1. Notify NLNCSA and TrustCB Scheme Lead
• Inform NLNCSA and TrustCB Scheme Lead that the certification is published.

2.3.3.6. Close NLNCSA certification files

Responsible:	NLNCSA
Executed by:	Certification Monitor/Operations Manager
In co-operation with:	Operations Manager

1. Receive notification
• Receive notification from TrustCB Website Maintainer that the certification is published.
2. Close certification files
• Close and archive the final package of certification files.

2.3.3.7. Close TrustCB certification files

Responsible:	TrustCB
Executed by:	Commercial Certifier
In co-operation with:	TrustCB Operations Manager

1. Receive notification
• Receive notification from TrustCB Website Maintainer that the certification is published.
2. Close certification files
• Close and archive full set of certification files.

3. Assurance Continuity

Making any alterations to the TOE (inclusive of documentation) and thereby causing a change in the TOE identification (i.e. version number) shall cause the certificate to be no longer applicable for that modified TOE. In accordance with the CCRA supporting document "Assurance Continuity: CCRA Guidelines" the Sponsor can apply for either a re-certification or for maintenance, depending on the nature of the changes.

The following procedure applies:

• The Sponsor submits an application form to the CB with the request for re-certification or for maintenance. This step is similar to step 1.1 as described in section 2.1.1;

• The application form shall refer in its section 2.4 to an Impact Analysis Report (IAR) as defined in the CCRA supporting document "Assurance Continuity: CCRA Guidelines";

• In case the Sponsor applies for maintenance, the CB assesses the IAR in consultation with the original ITSEF and decides whether the maintenance process can be followed or that re-certification is necessary.

Remarks:

• In case of assurance maintenance the process as defined in the CCRA supporting document "Assurance Continuity: CCRA Guidelines" applies.

• In case of re-certification the standard procedure defined in chapter 2 'Certification Process' is applied in an abbreviated form. In this case a number intermediate stages in the Evaluation Review Phase are skipped which might speed up the process. Also, depending on the nature of the alterations, it is possible that items from the earlier certification (of the 'same' TOE) are re-used. The details of the certification process and the options for re-use shall be discussed at the kick-off meeting.

4. Additional certification effort

When any updates are made to the EWP (as indicated through the monthly status report) the Commercial Certifier should review the changes to determine whether additional effort is required to perform the necessary certification activities for the task. If additional certification review or additional evaluation meetings are required, the Commercial Certifier will inform the TrustCB Scheme Lead of the reason and nature of the previously unforeseen certification effort. The TrustCB Scheme Lead will then invoke the Phase 1 Preparation activities from Step 1.2, specifically the activities detailed in Section Step 1.2: Intake Application. The remainder of Phase 1 activities will be performed in order to generate and agree an amendment to the Certification Agreement between TrustCB and the Sponsor (i.e. those items in the remainder of Step 1.2 and the activities specified in Step 1.3). It will not be necessary to repeat Step 1.4: Kick-off & Preparation finalisation of Phase 1.