

IC3S

Technical Oversight for TOE Evaluation

(STQC/CC/D08)

Issue : 04



CC Certification Body, STQC Directorate,
Indian Common Criteria Certification Scheme (IC3S),
MeitY, Government of India
INDIA

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0.1 Foreword

This document describes the process by which the Certification Body (CB) of the Indian Common Criteria Certification Scheme (IC3S) performs technical oversight for Common Criteria evaluations of a Target of Evaluation (TOE) conducted by CCTL.

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0.2 Approval and Issue


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Reviewed by : Management Representative

Approved by : Head, CC Scheme

Note:

- Management Representative is responsible for issue and distribution of this document including amendments.
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1.0 Introduction

This document describes evaluation technical oversight – an important aspect of certification under the Indian Common Criteria Certification Scheme (IC3S). Technical oversight is the process by which the evaluation evidence, work, and results of every Common Criteria evaluation are validated as having met applicable requirements by the validators appointed by the Certification Body.

2.0 Mandatory references

- [CC] Common Criteria for Information Technology Security Evaluation: is the IT security evaluation criteria used by the IC3S;
- [CC Part 1] Common Criteria for Information Technology Security Evaluation, Part 1: Introduction and general model
- [CC Part 2] Common Criteria for Information Technology Security Evaluation, Part 2: Security functional requirements
- [CC Part 3] Common Criteria for Information Technology Security Evaluation, Part 3: Security assurance requirements
- [CEM] Common Methodology for Information Technology Security Evaluation: is the IT security evaluation methodology used by the IC3S;
- [CCRA] Arrangement on the Recognition of Common Criteria Certificates in the field of Information Technology Security: is the arrangement between its signatories for the recognition of evaluations performed by any of the signatories.
- [CSTQC/CC/D01] CC Scheme Organization, Management & Operation: describes the IC3S and expounds upon all vocabulary, acronyms and abbreviations used in this document.

*(Please refer **Master List of Documents** for latest version of the documents)*

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3.0 Purpose

The purpose of this document is to describe the technical oversight process that is carried out under the IC3S for Common Criteria evaluations of a Target of Evaluation (TOE), including the necessary input to, and output from, this process.

4.0 Technical oversight process

The objective of this section is to describe the technical oversight functions of the validator.

4.1 Role of the Validator

The responsibilities of the Certification Body (CB) are detailed in the Quality Manual [STQC/CC/D02] and validators are appointed by the CB for the technical oversight. Responsibilities of the validators in context of Technical Oversight are as under :

- a) ensure that all conclusions regarding an evaluation, and the evidence supporting those conclusions are consistent with the Common Criteria (CC), Common Evaluation Methodology (CEM) and requirements of the CB, if any
- b) ensure that the standard / approved techniques and practices are employed by evaluation facility so as to lead to the correct conclusions
- c) provide necessary guidance to the evaluators in respect of the clarifications sought by the evaluation facility regarding evaluation process and requirements of the CB
- d) ensure that the evaluation technical report (ETR) issued by the evaluation facility includes the evaluation results, duly substantiated and consistent with the findings during the evaluation process; and
- e) prepare a Certification Report (CR) that is consistent with the evaluation results documented in the ETR.

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4.2 Key activities of technical oversight

Technical oversight under the IC3S for Common Criteria evaluations of a Target of Evaluation (TOE) is based on following three activities of the validators:

- a) conducting a subset of the evaluator's activities
- b) observing evaluator activities and
- c) examining evaluation evidence, as documented in various evaluator reports.

Findings of the above activities will be communicated to the evaluation facility.

4.2.1 Conducting subset of evaluation activities

The activity involves conducting a subset of evaluator activities, to arrive at an independent conclusion regarding evaluation evidence. Validator's findings are then compared with the evaluator's findings on that same evidence. The validator conducts the evaluator work in a manner compliant with the CC, CEM, and requirements of the CB. The evaluation work conducted by the validator does not replace any evaluation work required of the evaluator.

4.2.2 Observing evaluation activities

This activity involves observation of the actual evaluation processes like independent testing of the TOE and Penetration testing

4.2.3 Examining evaluation activities

This activity involves examining the reports generated by the evaluators to verify that evaluation conclusions and analysis supporting those conclusions are consistent with the CC, CEM and the requirements of the CB.

5.0 Technical oversight and evaluation interrelation

[CEM] describes a typical evaluation process in terms of three distinct stages:

- a) preparation - during which initial contact is made between the

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sponsor/developer and CB

- CB establishes contact with concerned CCTL
 - CB appoints Validator(s) for oversight
- b) conduct - during which the evaluation is performed; and
- c) conclusion - during which the evaluation results are delivered.

In the following sections, the evaluation stages along with the actions of the validator for the purpose of evaluation technical oversight are described.

5.1 Evaluation preparation stage

An Applicant interested in CC certification of IT product is required to approach CB with the concerned product and the Security Target (ST). CB sends the ST and the TOE to the concerned CCTL for a feasibility analysis and initial review. On confirmation by the CCTL, the CB formally intimates the sponsor/developer, appoints the validator and intimate the lab to initiate evaluation after completing the commercial formalities. CCTL prepares an evaluation plan and schedule for joint discussions with Certification Body.

The sponsor/developer and evaluator agree upon:

- a) the TOE to be evaluated
- b) the CC Evaluation Agreement (CEA) describing the schedule for the evaluation as well as a description of the evaluator's approach to performing the evaluation work.

5.2 Evaluation conduct stage

This stage begins with the acceptance of the evaluation into the IC3S. For the evaluator, it involves carrying out the evaluation in accordance with the CEM. For the validator, it involves carrying out the key activities of technical oversight as described in section 4.2(Key activities of Technical Oversight) of this document. It also involves, for the validator, supporting the evaluation as requested by the evaluator, which may include providing necessary guidance, if required, for applying the requirements of the CC and CEM.

During the evaluation conduct stage, the validator will review the evaluation work outputs which include evaluation work sheets, test logs, ETR and other relevant documents and records. The validator will communicate the findings to the CCTL.

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5.3 Evaluation conclusion stage

This stage begins with the delivery of the ETR to the validator by CCTL.

The evaluation conclusion stage primarily involves the following validator activities:

- a) examination of the ETR;
- b) generation of Certification Report (CR)

The validator examines the ETR and communicate the findings, if any, to CCTL.

The validator generates the CR on satisfactory review of the ETR and forwards it to the Head, CC Scheme.

6.0 Validator reporting

The objective of this section is to identify the various reports produced by the validator and their method of communication to CCTL and the CB.

6.1 Observation reporting to CCTL

During the course of an evaluation, when performing the oversight activities, the validators report their observations to the CCTL through email, notings on evaluation worksheets etc. taking care of the required confidentiality.


6.2 Certification Report (CR) to CB

The objective of the CR is to provide practical information about the TOE to the consumer. The CR (Refer STQC/CC/F02) is generated by the validators containing, as a minimum, the following information :

A. CERTIFICATION STATEMENT AND BACKGROUND OF THE CERTIFICATION BODY

- i. Certification Statement
- ii. About the Certification Body
- iii. Specifications of the Certification Procedure
- iv. Process of Evaluation and Certification
- v. Publication

B. CERTIFICATION REPORT

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- i. Executive Summary
- ii. Introduction
- iii. Identification of TOE
- iv. Security policy / Security functions
- v. Assumptions
- vi. Architectural Information
- vii. Evaluated configuration
- viii. Documentation
- ix. Product Testing
- x. Evaluation Results
- xi. Validator Comments
- xii. List of Acronyms
- xiii. References
- xiv. Appendices

7.0 Confidentiality of reports

During the evaluation planning process, it is common for the evaluator to enter into a Non-Disclosure Agreement with the sponsor and/or the developer, as appropriate. The validator will also, as appropriate, enter into a Non-Disclosure Agreement with applicable parties to the evaluation. Such Non-Disclosure Agreements clearly outline the responsibilities of each of the parties with respect to the handling of sensitive information.

As the CR to be posted for public consumption, it requires that the document does not contain any confidential information.

The following sections outline the issues regarding information sensitivity for documents and reports within the IC3S, and identify the associated responsibilities of the evaluator and validator to ensure that sensitive information is not disclosed to unauthorized parties.

7.1 Target of Evaluation Documents

It is the responsibility of the sponsor/developer to produce the TOE documents, or to make arrangements for the TOE documents to be produced. The initial recipient for the TOE documents is the evaluator and

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the validator. Usually these documents are confidential in nature and hence necessary protection shall be ensured by all parties.

7.2 Evaluation Technical Report (ETR)

The evaluator produces the ETR and the primary recipient is the validator. The ETR is not considered to be a public document. Both the evaluator and validator shall safeguard the ETR from disclosure to unauthorized parties. The ETR normally contains developer-sensitive information, and may also contain information that the sponsor/developer considers sensitive. It is the responsibility of the evaluator to clearly indicate the level of sensitivity of the information contained therein, through appropriate markings.

7.3 Observation Report (OR)

Observation reports are produced as appropriate by the various parties to the evaluation, and may contain information sensitive to one or more of the evaluation parties. Similar to the ETR, observation reports are not considered to be public documents, and both the evaluator and validator shall safeguard all observation reports from disclosure to unauthorized parties.

7.4 Certification Report (CR)

CR shall not contain information that would render it sensitive or proprietary and prevent the public distribution of the CR.