



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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Référence : ANSSI-CC-SUR-P-01/3.0.1EN

PROCEDURE

SURVEILLANCE OF CERTIFIED PRODUCTS

Subject : Surveillance of certified products

Application : From 1 December 2005

Circulation : Public

COURTESY TRANSLATION



Modifications

Version	Date	Modifications
1	28/10/2003	Creation
2	30/08/2005	Modification of surveillance stopping conditions and periodicity
3	19/12/2013	Change name of the certification body entity (ANSSI) and improvement of the form of the document. References update Maintenance process taken into account in the surveillance process. Addition of the guidance update case. Addition of the updates of audited development sites list case. Addition of the ANSSI surveillance report. Integration of the instruction « SUR/I/01.1 Surveillance pour le GIE-CB » that become obsolete after approbation of the current procedure.
3.0.1	05/10/2016	Update to fix translation mistakes.

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1. Purpose of the procedure

This procedure describes the certified product surveillance process. Surveillance is done to assure long-term confidence in certified and maintained products, or more precisely confidence in their resistance to attacks, taking account of state-of-the-art developments in the field of attacks.

Surveillance falls within the remit of decree 2002-535 and follows the procedures of the certification process.

2. References

- Decree no. 2002-535 of 18 April 2002 relating to the evaluation and certification of the security provided by IT products and systems.
- NF EN 45011 standard: chapter 7.9: Surveillance.
- [Compo] : « *Common Criteria – Supporting Document – Mandatory Technical Document – Composite product evaluation for Smart Cards and similar devices* », reference CCDB-2012-04-001 version 1.2, April 2012.
- [MAI-P-01] ANSSI-CC-MAI-P-01 – Assurance continuity.

3. Procedure description

3.1. Surveillance scope

The surveillance program concerns product which have been certified, or which have been maintained according to [MAI-P-01], associated with their guidance as identified in their respective reports.

3.2. Surveillance start-up

Surveillance of a certified product and its potential maintenance is launched at the initiative either of the sponsor of the evaluation, or of the products developer or of any other person who has the agreement of the product developer. To simplify the procedure description, only the term “sponsor” will be used in this document.

The surveillance process can be initiated at any time, either just after the evaluation or later.

Only an evaluation facility with a perfect knowledge of the products can be a candidate to do the surveillance of those products (typically, the evaluation facility that carried out the initial evaluation of the product).

For registering the surveillance by ANSSI, the sponsor must fill in the form [ANSSI-CC-SUR-F-01 Demande de surveillance](#) that notably specifies the periodicity of the work.

Surveillance is registered when this work plan is validated by the certification body.

The signature by the sponsor of this form means the commitment of the sponsor to finance the cost of the surveillance (art. 3 of decree 2002-535) and to deliver the samples of the products to the evaluation facility.

The signature by the evaluation facility of this form means that it commit to assure a technological watch on the state of the art in the technical field associated with the certified product.

3.3. Surveillance work

Surveillance consists in periodically updating the analysis of the certified or maintained product’s resistance. At any time, however, the certification body can request (on its own initiative or on an evaluation facility proposal) that the product being under surveillance be subject to a resistance

analysis update in the framework of the procedure herein (for example, after the discovery of a new academic attack).

This resistance analysis includes:

- an analysis of cryptographic mechanisms (only if the product was subject to this analysis during its evaluation) integrated to the vulnerability analysis (described below);
- a vulnerability analysis (in general at the same level as those requested within the security target of the product) that could lead to penetration testing of the product.

Guidance updates

Addition of security recommendations in the guidance of a product is accepted in this surveillance process. In this case the evaluation facility have to determine the level of resistance of the product according to those new recommendations and also according to the previous recommendations of the guidances;

Updates of the list of audited sites

The maintenance process [MAI-P-01] allows to take into account new development sites of products. If the certification body or the evaluation facility identify that as necessary, the sponsor has to provide samples of the product produce by the new production sites to perform the surveillance work.

After the analysis is finished, the evaluation facility issues a surveillance report that is transmitted to the certification body and to the sponsor of the surveillance. This report determines the updated resistance level. The evaluation facility also updates¹ the «*ETR for Composite Evaluation*», as defined by [Compo], when this document exists.

3.4. Certification body confirming

After validation of rge surviellance technical report (and the eventual *ETR for Composite Evaluation*), the certification body edits an ANSSI's surveillance report, based on the model ANSSI-CC-SUR-F-08 Rapport de surveillance, that identifies the resistance level(s) of the product.

The certification body publishes the results of the of the product only on the request of the sponsor of the surveillance

Generally the developer is responsible for communicating to his customers the results of the surveillance works (excepted for the cases identified in annex B).

3.5. Stopping the surveillance process

Surveillance stops:

- either at the request of the sponsor (see template in annex A),
- or by a decision of ANSSI, particularly if the surveillance report is not available at the due date.

¹ New version ort separated addendum.

Annex A Letter template for surveillance stopping

To be sent to:

Monsieur le directeur général de l'agence nationale de la sécurité des systèmes d'information
SGDN/DCSSI
51, boulevard de la Tour-Maubourg
75700 Paris 07 SP
France

To the attention of the head of Certification body

Object : End of the surveillance of a certified product

Reference : 1) certificate number

Dear Director,

In accordance to the procedure ANSSI-CC-SUR-P-01 of the French evaluation and certification scheme, I hereby inform you that I stop the surveillance process of the product certified under reference 1.

At <place>, the <date>

[Name, title, signature of a person entitled to engage the company]

Annex B Specific surveillance process

For the product under surveillance according to other ANSSI labels or approval of banking cards by the GIE-CB, it has been decided with those stakeholder that

- ANSSI will warn the involved stakeholder when surveillance of a product is stopped, provided that it was not stopped on their request;
- on request, ANSSI will provide the involved stakeholder with the status of the products under surveillance.