

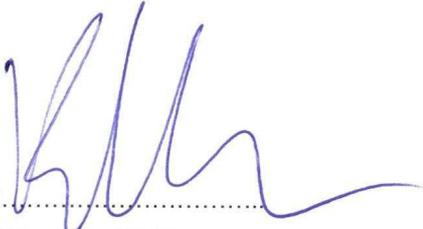
Netherlands Scheme for Certification in the Area of IT Security (NSCIB)



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

NSCIB Scheme Instruction 08

Performing Testing

Approved. 
Technical Manager NSCIB

Instruction	08
Report title	Performing Testing
Date of issue	1 June 2018
Version	2.4
Distribution	Public
Filename	NSI_08_Performing_Testing_v2.4.docx

1 Purpose of this document

This instruction provides the rules an ITSEF has to follow for performing (penetration) testing. It also describes how public domain vulnerabilities have to be handled in the test plan and the cut-off date for consideration of public domain vulnerabilities.

2 Preparation

The ITSEF must submit a test plan to the (commercial) certifier for review. The test plan is required to cover ATE_IND.x.2E/3E and AVA_VAN.x.4E activities as appropriate for the claimed EAL.

Before undertaking any test activities related to ATE and AVA work units the test plan must be approved by the (commercial) certifier. The (commercial) certifier reserves the right to witness functional testing and penetration testing and to involve additional experts particularly in evaluation areas related to RNG evaluation, cryptographic aspects and side channel assessments.

3 Location

In general it is required for the evaluator to perform (penetration) testing activities at the ITSEF location. It is accepted there might be situations where this is undesirable or not possible. These situations could be:

1. Testing to be performed during manufacturing/production

For some products (e.g. smartcards) certain tests can only be performed during the manufacturing phase, as certain interfaces that are needed to test low level functionality are not available in the finalized product.

2. Physical size limitations

Some products are physically too large to be housed at the ITSEF or require special environmental conditions that are not available at the ITSEF facility.

3. Test equipment not available at ITSEF

Some (bespoke) test equipment could be too expensive for an ITSEF to acquire. For these tools it is allowed for the ITSEF to use equipment at a third party facility.

All deviations from the general rule must be identified in the work plan and approved by the (commercial) certifier.

In all cases the ITSEF remains responsible for the testing done. The evaluator must be present and must instruct the operating personnel to perform the testing in accordance with the test plan. In some cases it is more efficient to ask the developer to support the creation of test scripts etc. that implement additional independent tests as defined by the evaluator. Then the evaluator is expected to be able to verify that the script, created by the developer on behalf of the evaluator, accurately implements the purpose of the test.

Another special category are networking products. These products might be tested remotely by the evaluator from the ITSEF facility while the actual TOE remains at a different location. In these cases the evaluator remains responsible for installing and configuring the TOE within the test environment in person at the remote site. As such the evaluator can verify that the procedures described in the guidance for AGD_PRE.1 are correct (see also ATE_IND.x-1, ATE_IND.x-2 and equivalent AVA_VAN work units).

4 Test plan

The test plan must build upon the developer test activities and at a minimum, cover the following aspects:

- the developer functional testing the lab intends to repeat;
- the additional independent testing will be performed;
- the rationale for the sampling strategy;
- the penetration testing that the lab intends to perform.

It is mandatory as part of the additional independent testing to define alternative tests to those defined by the developer.

5 Execution

The testing shall be executed according to the test plan. Any deviations will be communicated to the (commercial) certifier and must be approved.

6 Validity of test results

As the date of approving the ETR or issuance of the certificate may have consequences for the re-usability in composition activities, there must be a limit defined for the validity of testing activities. Internationally it is agreed that the validity of ATE testing is indefinitely as long as the TOE does not change. The validity of AVA vulnerability analysis and pen testing is limited to 6 months. This means that the maximum time frame between these activities and the approval of the ETR can be no longer than 6 months. If this time frame is exceeded, the evaluator will need to provide argumentation to the certifier why the results can still be used. This argumentation shall include a renewed analysis to confirm that the pen testing is still state of the art and no new vulnerabilities and attack methods have been identified. The certifier reserves the right to request a renewal/verification of the related activities.

7 Re-use of test results

Results from evaluator testing activities performed on the same product under a different scheme (e.g. EMVCo) can only be re-used when agreed by the (commercial) certifier during the kick-off meeting and as described in the evaluation work plan. The validity of the test results as described in section 6 also apply for this re-use.

The ITSEF is obliged to inform the scheme at the kick-off meeting about their intention and give information when the scheme can expect the test plan and/or test results from the earlier testing. At the second evaluation meeting the ITSEF has to present the test plan in which it is described which tests are planned to be re-used and which additional testing will be done. In the third evaluation meeting the ITSEF has to present the results of all testing done.

8 Handling of public domain vulnerabilities

In general it can be stated that the search for public domain vulnerabilities is not a one-time activity performed at a given point in the evaluation; it should be a continual activity during the conduct of the evaluation. Some Common Criteria schemes even state that vulnerabilities posted in the public domain up to the point of certification have to be considered in the evaluation. For software centric TOEs where security patches are frequently issued, this may result in a never finishing evaluation and certification process. Therefore under the NSCIB the following rules apply:

1. Within an evaluation, it is the intention that the evaluation results are effectively accepted at the successful conclusion of final (3rd) evaluation meeting. Evaluation activities are ongoing to until this meeting, and as part of those ongoing evaluation activities the public domain should be actively monitored for release of further potential vulnerabilities that are relevant to the TOE. Any relevant public domain vulnerabilities posted prior to the date of the final evaluation meeting should be considered by the evaluators.
2. The treatment of any vulnerabilities announced between the date of the final evaluation meeting and publication of the certification report will be considered on a case by case basis by the (commercial) certifier. The consideration will be influenced by factors such as attack

potential rating, prevalence of vulnerability in product type, possible workarounds, how easy it is to fix, etc.

9 Handling of potential vulnerabilities identified by the scheme or otherwise

There are cases where the scheme has identified potential vulnerabilities that are considered to be inconsistent with the assurance requirements.

In those cases the ITSEF should perform an assessment of all potential vulnerabilities specifically identified by the scheme for consideration within a given evaluation. This assessment may determine that the required attack potential for a potential vulnerability is beyond that of the AVA_VAN component specified in the ST. This analysis should be reported in the ATE/AVA presentation.

It can occur that applicability of those potential vulnerabilities will require access to lower levels of design representation (e.g. source code) than are available according to the EAL. For example the analysis of an Open Source crypto library requires access to the source code in order to identify the publicly reported issues. The evaluators need to consider whether any of the potential vulnerabilities are easily transferrable with a lower attack potential to other cryptographic libraries that have been developed based on the Open Source library.

Similarly the scheme can also require the evaluators to demonstrate particular functionality in the ST that may require the evaluators to have a greater understanding of the design than required by application of the ADV requirements. For example, if the ST includes the extended component FCS_RBG_EXT.1 (e.g. taken from NDPP) for random number generation, and the component includes statements like "...the RBG shall be seeded with a minimum of 256 bits of entropy...", then the evaluator has to test the statement. This may require the evaluator to have access to more information than would be required to satisfy the ADV components and would seem to be inconsistent with the assurance package. However, the ST should only include such a statement if the evaluator is able to verify it in the evaluation activities.

It should be noted that the Protection Profiles where this sort of extended component is taken includes assurance activities to specifically address the testing of such as requirement. Therefore any ST that includes this extended component should likewise include the necessary assurance components (e.g. higher EAL) or the explicit assurance activities to test the requirement.

Otherwise, without such assurance activities it would indicate there is an inconsistency in the ST between the SFRs and SARs. This would require modification or removal of the functional requirement or revision of the assurance package claim to ensure the functional and assurance requirements in the ST are consistent.