RED ALERT LABS
IoT Security

ISO 17065 & 17025

TRAINING

Oct 2021

CAB-E/ITSEF OR CAB-R/CB SHORT INTRODUCTION

NF EN ISO/CEI 17065:2012 → **CB / CAB / CAB - R**

- **Main missions**
  - Reviews the evidences furnished by evaluation facilities
  - Makes decision
  - Issuing certificate of conformity

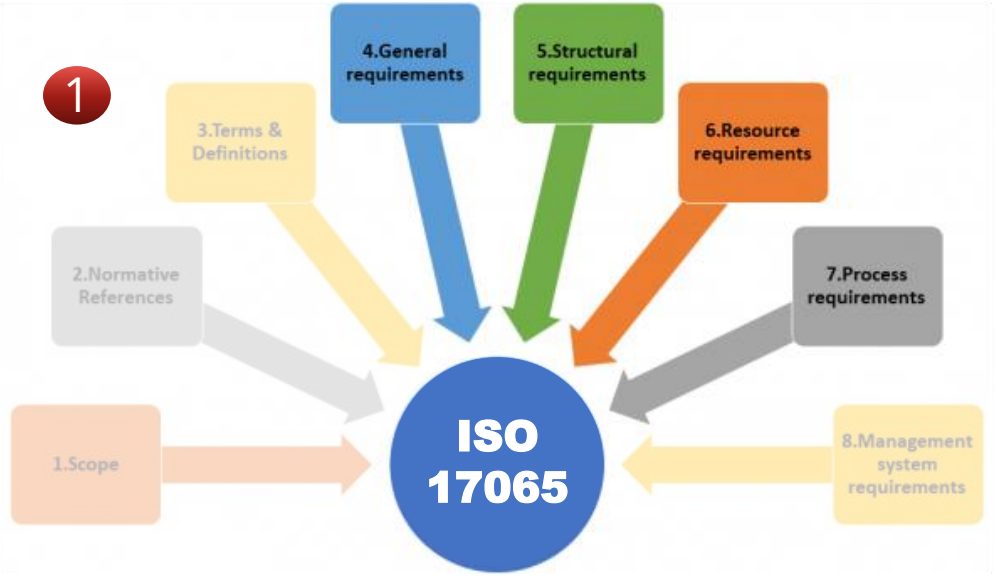
NF EN ISO/CEI 17025:2017 → **ITSEF / CAB - E**

- **Main missions**
  - Check conformity of the developer's products
  - Review evidences
  - Perform Evaluation
  - Complete the technical report

More details will come in CC/EUCC and Eurosmart trainings

AGENDA

1



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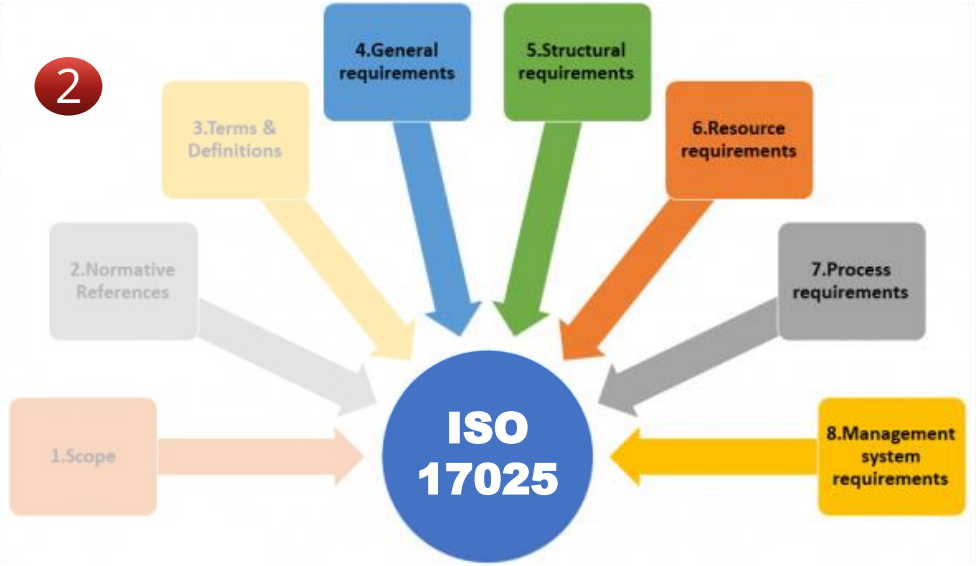

3 Accreditation process

4 Authorization process

INTERNATIONAL STANDARD – ISO/IEC17065

CONFORMITY ASSESSMENT — REQUIREMENTS FOR BODIES CERTIFYING PRODUCTS, PROCESSES AND SERVICES

Reviewed and confirmed in 2018

Related to **CB/CAB-R**

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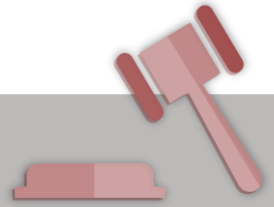
01

ISO 17065
GENERAL REQUIREMENTS

GENERAL REQUIREMENTS: LEGAL AND CONTRACTUAL MATTERS

4.1



Legal Responsibility

SHALL be a legal entity

Certification agreement

SHALL have a legally enforceable agreement

SHALL ensure its certification agreement requires that the client comply with a list of requirements

Use of license, certificates and marks of conformity

SHALL exercise the control as specified by the certification scheme over any mechanisms for indicating a product is certified

Incorrect references to the certification scheme **SHALL** be dealt with by suitable action.

GENERAL REQUIREMENTS: MANAGEMENT OF IMPARTIALITY

4.2

Certification activities **SHALL** be undertaken impartially.

SHALL be responsible for the impartiality of its certification activities.

SHALL identify risks to its impartiality on an ongoing basis.

SHALL be able to demonstrate how it eliminates or minimizes such risk.

SHALL have top management commitment to impartiality.

SHALL avoid conflict of interest.

SHALL ensure that the certification body relationships, do not compromise the impartiality

Personnel in the review and certification decision-making process **SHALL** not be involved in the producing activities.

The certification body's activities **SHALL** not be marketed as linked with the activities of an organization that provides consultancy.

Within a period specified, personnel **SHALL** not be used in certification activities for a product for which they have provided consultancy

The certification body **SHALL** take action to respond to any risks to its impartiality.

All certification body personnel (either internal or external) or committees who could influence the certification activities **SHALL** act impartially.

GENERAL **REQUIREMENTS**

4.3 & 4.4

Liability and financing

- The certification body **SHALL** have adequate arrangements to cover liabilities arising from its operations.
- The certification body **SHALL** have the financial stability and resources required for its operations.

Non-discriminatory conditions

The policies, procedures and the administration of them, **SHALL** be non-discriminatory

The certification body **SHALL** make its services accessible to all applicants whose activities fall within the scope of its operations.

Access to the certification process **SHALL** not be conditional.

The certification body **SHALL** confine its activities to those matters specifically related to the scope of certification.

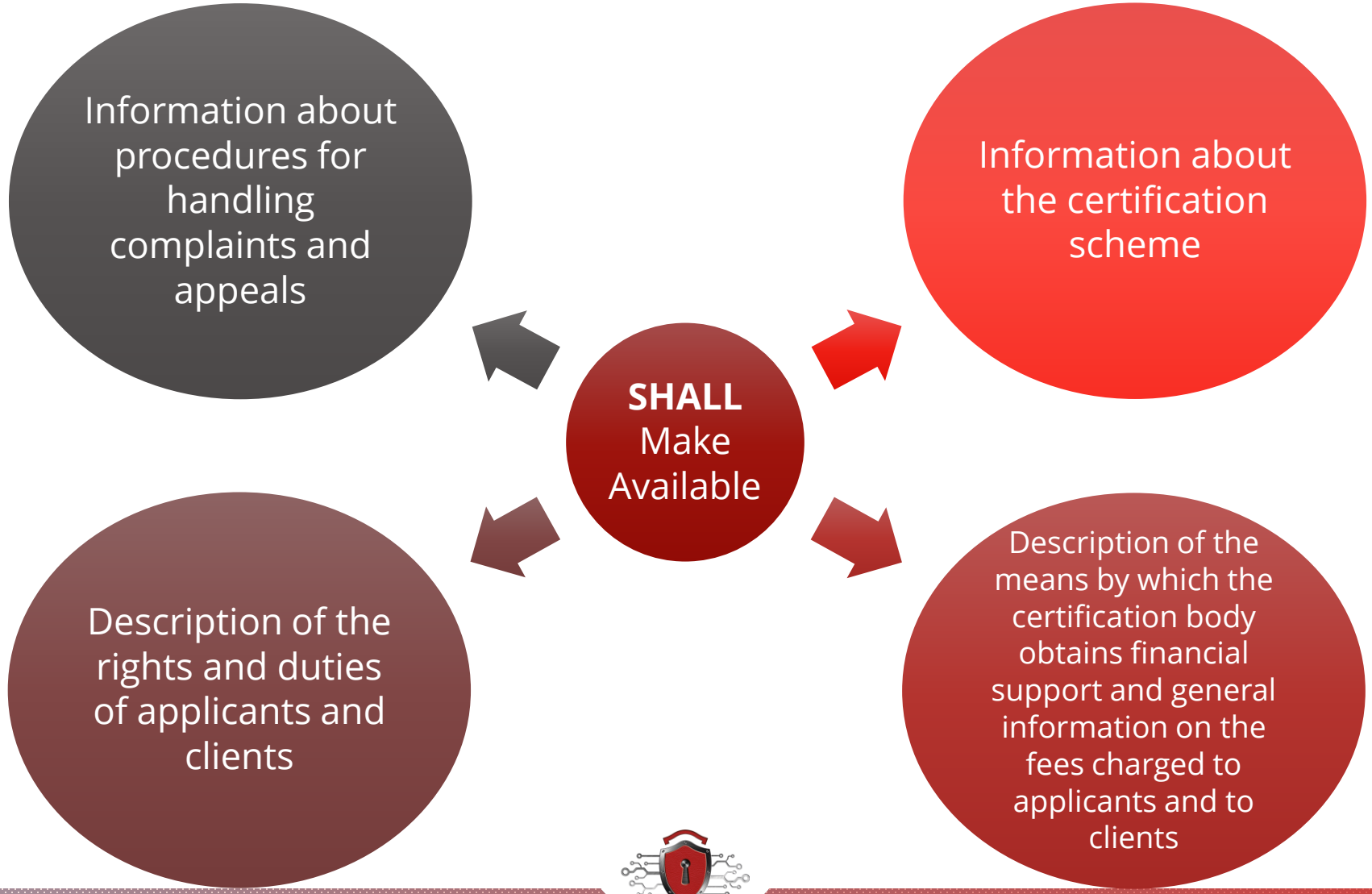
GENERAL REQUIREMENTS: CONFIDENTIALITY

4.5

- The certification body is legally responsible for information generated during its activities
- The certification body must inform customer of any confidential information to be divulged.
- Customer information obtained from other sources must be kept confidential
- Identity of such a source must not be shared with customer
- Personnel must keep all information obtained during CB activities confidential except as required by law

GENERAL REQUIREMENTS: PUBLICLY AVAILABLE INFORMATION

4.6



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02

ISO 17065
STRUCTURAL REQUIREMENTS

STRUCTURAL **REQUIREMENTS**

5.1 & 5.2

Organizational structure and top management

- Certification activities **SHALL** safeguard impartiality.
- Certification body **SHALL** document its organizational structure
- Certification body **SHALL** identify the board, group of persons, or person having overall authority and responsibility for several activities.
- The certification body **SHALL** have rules for the appointment, terms of reference and operation of any committees that are involved in the certification process.

Mechanism for safeguarding impartiality

- Certification body **SHALL** have documented mechanisms for safeguarding its impartiality which can take independent action if they are not respected.
- Certification body **SHALL** identify and invite significantly interested parties.

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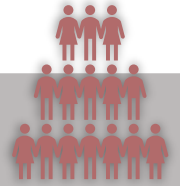
03

ISO 17065
RESOURCE REQUIREMENTS

RESOURCE REQUIREMENTS: CERTIFICATION BODY PERSONNEL

6.1



General

SHALL employ, or have access to, a sufficient number of personnel to cover its operations related to the certification schemes

Personnel **SHALL** be competent and keep confidential all information obtained

Management of competence for personnel involved in the certification process

SHALL manage competencies of personnel

SHALL record information about the personnel involved

Contract with the personnel

The certification body **SHALL** require personnel involved to sign a contract or other document

RESOURCE REQUIREMENTS: RESOURCES FOR EVALUATION

6.2

Internal resources :

SHALL meet the applicable requirements of the relevant International Standards and, as specified by the certification scheme, of other documents.

e.g. For testing, it **SHALL** meet the applicable requirements of ISO/IEC 17025

External resources :

- **SHALL** outsource evaluation activities only to bodies that meet the applicable requirements.
- The impartiality requirements of the evaluation personnel stipulated in the relevant standard **SHALL** always be applicable.
- **SHALL** ensure that the evaluation activities are managed in a manner which provides confidence in the results.
- **SHALL** have a legally binding contract with the body that provides the outsourced service.
- **SHALL** meet other requirements of this document.

QUIZ

- **Name 2 principles required by the 17065 standard to be an accredited ?**
- **What is required, about personnel, to assert certification body is capable to perform its activities ?**
- **Is it possible for a certification body to delegate some or all of his activities to any organism ? If not, what are the criteria that should be verified ?**

QUIZ

- **How the certification body should be organized to meet the requirements of this standard ?**
  - **Impartiality, confidentiality, liability, financing, …**
- **What is required, about personnel, to assert certification body is capable to perform its activities ?**
  - **employ, or have access to, a sufficient number of personnel**
  - **manage competencies of personnel**
  - **etc.**
- **Is it possible for a certification body to delegate some or all of his activities to any organisation ? If not, what are the criteria that should be verified ?**
  - **No, the CB shall have a legally binding contract with the body that provides the outsourced service and this one must meet other requirements of this standard.**

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04

PROCESS REQUIREMENTS

PROCESS REQUIREMENTS : GENERAL

7.1

- Certification body **SHALL** operate one or more certification scheme(s) covering its certification activities.

- The requirements evaluated **SHALL** be those contained in specified standards and other normative documents.

- If explanations are required, they **SHALL** be formulated by relevant and impartial persons possessing the necessary technical competence.

PROCESS REQUIREMENTS: APPLICATION

7.2

- For application, the certification body **SHALL** obtain all the necessary information to complete the certification process in accordance with the relevant certification scheme.

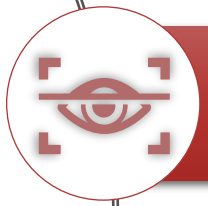
Examples of necessary information :

- ➔ **Product(s) to be certified;**
- ➔ **Standards and/or other normative documents for which the client is seeking certification;**
- ➔ **General features of the client;**
- ➔ **Information concerning all outsourced processes used by the client that will affect conformity.**

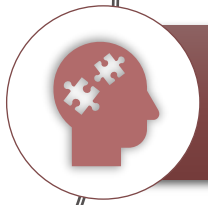
PROCESS REQUIREMENTS: APPLICATION REVIEW

7.3

The certification body **SHALL** conduct a review of the information obtained



The certification body **SHALL** have a process to identify elements of the client's request, with which the certification body has no previous experience



In these cases, the certification body **SHALL** ensure it has the competence and capability or **SHALL** decline if it does not have those.

If the certification body relies on certifications it has already granted to omit any activities, then it **SHALL** reference the existing certification(s) in its records

PROCESS REQUIREMENTS: EVALUATION

7.4

SHALL have a plan for the evaluation activities.

SHALL assign personnel to perform each evaluation task.

SHALL ensure all necessary information is made available for performing the evaluation tasks.

The results of all evaluation activities **SHALL** be documented prior to review.

SHALL carry out the evaluation activities that it undertakes.

SHALL only rely on evaluation results related to certification completed prior to the application for certification.

SHALL inform the client of all nonconformities.

If the client expresses interest in continuing.

SHALL provide information about tasks needed to verify correcting.

If the client agrees to completion, the process **SHALL** be repeated.

Nonconformity case

PROCESS REQUIREMENTS

7.4, 7.5, 7.6, 7.7

Evaluation

- Previous slide

Review

- Involved at least one person, who have not been involved in the evaluation process
- Document the review

Decision

- Be responsible for, and retain authority for its decisions
- Safeguarding impartiality
- notify the client of a decision

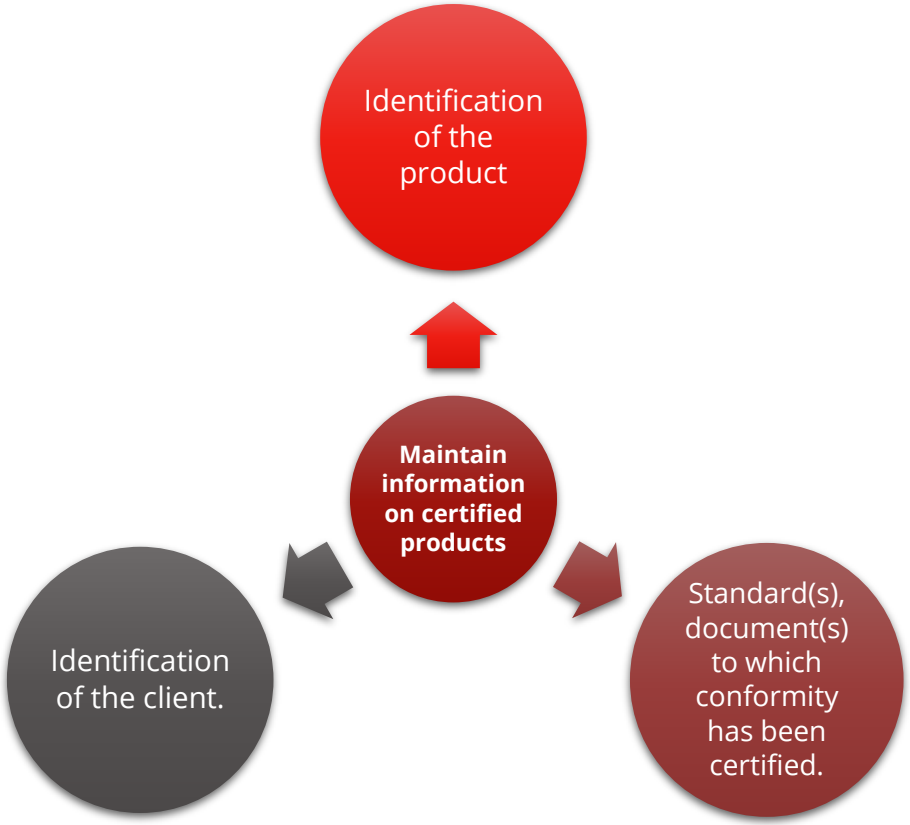
Certificate

- Unambiguous identification
- Include signature of the CB
- Only issued after fulfilling the requirements

PROCESS REQUIREMENTS

7.8 & 7.9

directory of certified products



Surveillance

If surveillance is required by the certification scheme, the certification body **SHALL** initiate surveillance of the product

When surveillance utilizes evaluation, review or a certification decision, requirements of this document **SHALL** be fulfilled.

When continuing use of a certification mark is authorized for placement on a product, for a process or services, surveillance **SHALL** be established

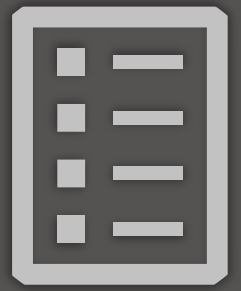
PROCESS REQUIREMENTS: CHANGE AFFECTING CERTIFICATION

7.10

When new or revised requirements that affect the client are introduced

Certification body **SHALL** ensure these changes are communicated to all client. And also verify that client respect new or revised requirements.

SHALL consider other changes affecting certification and **SHALL** decide upon the appropriate action.



This standard lists several action that the certification body **SHALL** implement against changes affecting certification

PROCESS REQUIREMENTS: TERMINATION, REDUCTION, SUSPENSION OR WITHDRAWAL OF CERTIFICATION

7.11

Appropriate action **SHALL** meet requirements of this international Standard

Continuation under conditions

Reduction of the scope

SHALL take actions to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information.

Non-conformity

SHALL assign one or more persons to formulate and communicate several information to the client.

Suspension

Withdrawal

If certification is terminated, suspended or withdrawn, the certification body **SHALL** take actions to ensure it provides no indication that the product continues to be certified

If certification is reinstated after suspension, the certification body **SHALL** ensure all appropriate indications exist that the product continues to be certified

PROCESS **REQUIREMENTS**

7.12 & 7.13

Records

SHALL retain records to demonstrate that all certification process requirements have been effectively fulfilled

SHALL keep and ensure confidentiality of the records.

Records **SHALL** be retained for a period defined by the certification body.

Complaints & appeals

Have a documented process

Record and track complaints and appeals

The decision resolving the complaint **SHALL** be made by person(s) not involved in the certification activities related to the complaint.

Avoid conflict of interest.

QUIZ

- **When an organization doesn't understand a certification scheme: What role the CB could have in that case ?**
- **What kind of information on certified product should be maintained by the CB ?**
- **Is the surveillance always required ?**

QUIZ

- **When an organization doesn't understand a certification scheme: What role the CB could have in that case ?**
  - **If explanations are required they SHALL be formulated by relevant and impartial persons possessing the necessary technical competence.**
- **What kind of information on certified product should be maintained by the CB ?**
  - **Identification of the product**
  - **Standard(s), document(s) to which conformity has been certified.**
  - **Identification of the client.**
- **Is the surveillance always required ?**
  - **Obligation of surveillance depends on the certification scheme used.**

MANAGEMENT SYSTEM REQUIREMENTS

More details will come in 17025 Section

INTERNATIONAL STANDARD – ISO/IEC17025

GENERAL REQUIREMENTS FOR THE COMPETENCE OF TESTING AND CALIBRATION LABORATORIES

Third edition 2017-11

Related to **ITSEF/CAB-E**

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17025

ACCREDITED LABORATORY

ISO 17025
GENERAL REQUIREMENTS

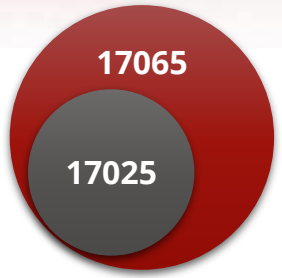
GENERAL REQUIREMENTS

4.1 & 4.2

Confidentiality

17025 = 17065

Impartiality

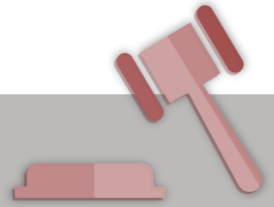


02

ISO 17025
STRUCTURAL REQUIREMENTS

GENERAL REQUIREMENTS: STRUCTURAL

5.



Legal Responsibility

SHALL be a legally responsible

Define and identify

- The organizational structure
- The management with responsibility
- The responsibility of the laboratory personnel
- The activities of the laboratory

Maintenance of LMS

- Must have personnel in charge of system maintenance & improvement, prevention, corrections of deviations from procedures.
- Management should ensure communication takes place and the integrity of the management system is maintained

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03

ISO 17025
RESOURCE REQUIREMENTS

RESOURCE REQUIREMENTS: PERSONNEL

6.2

Personnel, internal or external, must act impartially.

Labs must document the competence requirement of each function that influences lab results.

Personnel must have the required competence for their job description.

Management must communicate to personnel their duties, responsibilities and authorisation.

Labs must retain records

- determining the competency requirements ;
- supervision of personnel ;
- authorization of personnel.

Labs must also authorize personnel

- Development, modification, verification, and validation of methods ;
- Analysis of results ;
- Reports, reviews and authorization of results.

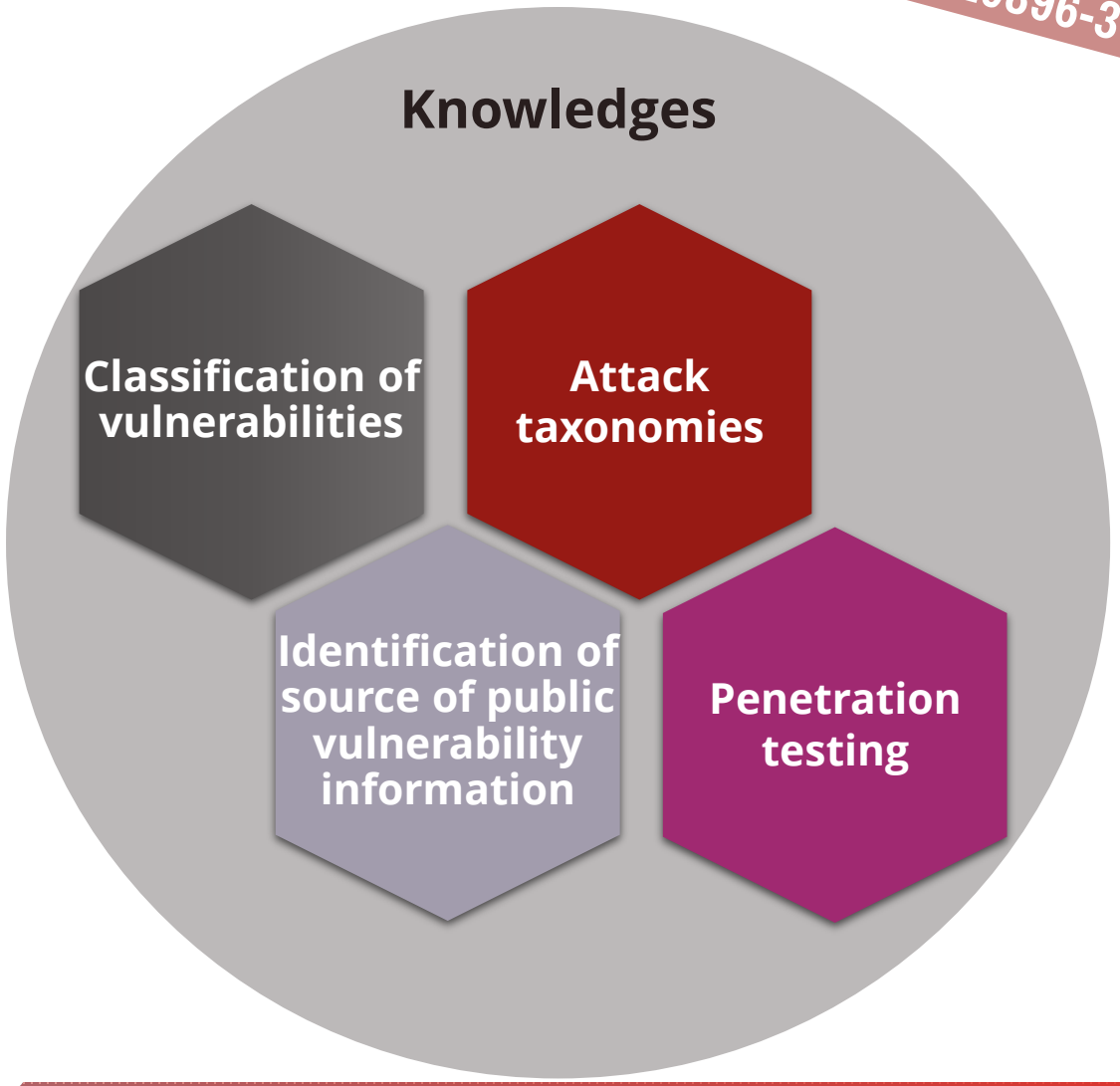
COMPETENCIES AND KNOWLEDGES FOR EVALUATORS FOR SUBSTANTIAL LEVEL (AVA_VAN.2)

ISO/IEC 19896-3

Skills

- Identify appropriate keywords for a vulnerability search
- Identify appropriate sources of information for publicly known vulnerabilities for a particular ToE.
- Understand the evidence of vulnerabilities analysis and verify that the result of evidence is correct
- Analyse cause and effect relationship of ToE functionality
- Identify residual vulnerabilities
- Calculate the attack potential

Knowledges



EXAMPLE OF SPECIFIC SKILLS AND KNOWLEDGES FOR IOT'S TEST

EUCC

- Physical and electrical behavior of standard materials used in integrated circuit manufacturing
- Production steps and the resulting layer structure on the chip's surface.
- Physical layout of standard cells, memory cells and memory blocks.
- Layout principles and methods of routing and layering.
- Microcontroller architecture and functionality.
- Electrical behavior of electronic components, (resistors, capacitors, transistors, integrated circuits, RAM, ROM, E2PROM, etc..)
- Design principles of integrated circuits
- Physical behavior of sensors (temperature, voltage, ...)
- Dynamic behavior of digital and analogue circuitry

RESOURCE REQUIREMENTS: FACILITIES & ENVIRONMENT

6.3

- **Environmental conditions must not adversely affect result validity.**
- **Labs must document the facilities and conditions needed for correct performance of the lab.**
- **Labs must monitor, control & record environmental conditions that affect validity of results.**
- Measures to control facilities must be implemented and monitored
- Labs must ensure conditions are met in cases where lab activities are performed in facilities outside its control.

EXAMPLE OF SITE SECURITY REQUIREMENTS

EUCC

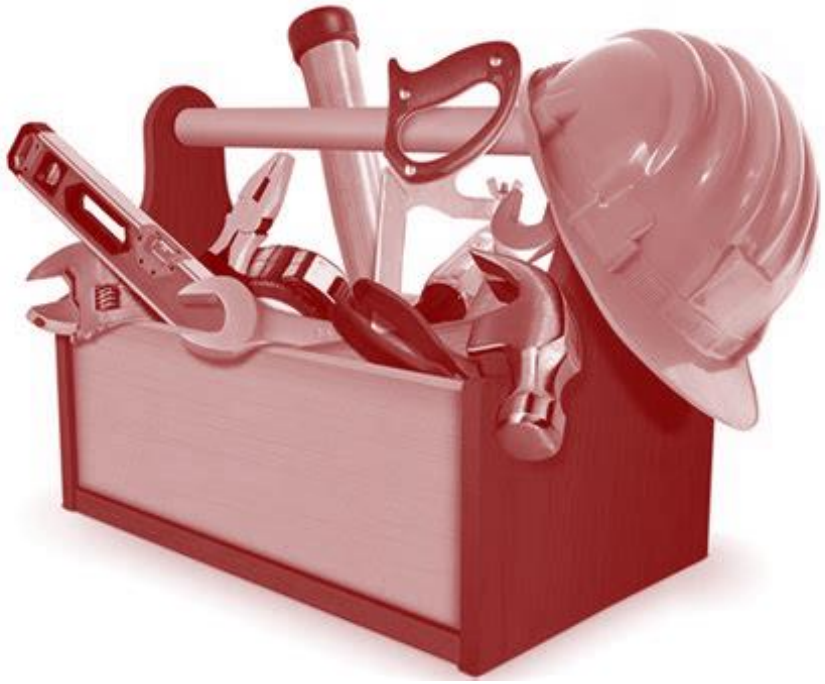
Communications and operations management

- Operational procedures and responsibilities
- Third party service delivery management
- System planning and acceptance
- Protection against malicious and mobile code
- Back-up
- Network security management
- Media handling
- Exchange of information
- Monitoring

Access control to information systems

- Business requirement for access control
- User access management
- User responsibilities
- Network access control
- Operating system access control
- Application and information access control
- Mobile computing and teleworking

RESOURCE REQUIREMENTS: EQUIPMENT



6.4

- **Labs must have access to equipment necessary for the correct performance of lab activities.**
- **Labs using equipment outside their control must ensure that the equipment meet the requirement of this document.**
- **Labs must have a procedure for handling and maintenance of equipment.**
- Labs must ensure that equipment conform to specifications before being put into or returned to service.

- Equipment must be able to provide a valid result.
- Equipment must be calibrated according to a defined calibration program
- **Devices with expiry date for calibration must be labelled**
- **Unintended changes to equipment must be prevented**
- **Maintain records about equipment , their location, calibration date, reference materials, equipment repairs, etc.**

EXEMPLE OF REQUIRED EQUIPMENT

EUCC

Environment control equipment
- to control communication
- voltage
- clock
- temperature

Chemical and mechanical lab equipment
- for sample preparation and analysis
- soldering iron, solder paste, heat guns, glue

Imaging equipment
- Cameras
- Microscopes
- SEM

Physical manipulation equipment
- probe station
- Focused Ion Beam

Design analysis tools
- for chip layout analysis
- RNG analysis

Protocol analysers
- spy devices

Logical test tools
- for interface testing
- vulnerability scanning

Side Channel Analysis equipment
- multimeter
- probes
- oscilloscopes
- analysis software

Perturbation equipment
- pulse generators
- lasers
- smart triggering

RESOURCE REQUIREMENTS: METROLOGICAL TRACEABILITY

6.5

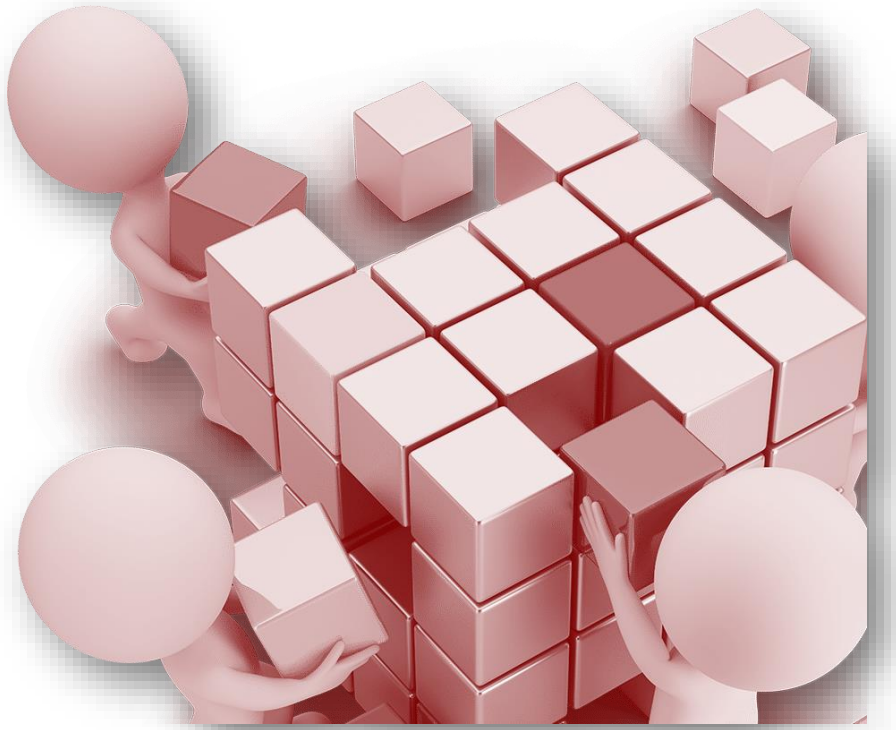
Labs must ensure traceability of its results via chain of calibrations

Labs must ensure measurement results are traceable to the SI units

Where traceability is not possible, the lab must demonstrate traceability to a reference.

RESOURCE REQUIREMENTS: EXTERNAL PRODUCTS & SERVICES

6.6



Labs must ensure suitable external products and services are used.

Labs must retain records for defining requirements for selecting monitoring and maintaining external products, services & providers.

Labs must communicate its requirements to external providers for acceptance criteria, competence required and activities to be performed in the provider's premises.

QUIZ

- **Are there any obligation concerning the communication about tasks and responsibilities to all the personal of the laboratory ?**

- **Is metrological traceability applicable to any context ? If not, could you develop you're answer ?**

QUIZ

- **Are there any obligation concerning the communication about tasks and responsibilities to all the personal of the laboratory ?**

  ➢ **The management of the laboratory shall communicate to personnel their duties, responsibilities and authorities.**

- **Is metrological traceability applicable to any context ? If not, could you develop you're answer ?**

  ➢ **No. Example : oscilloscope vs multimeter.**

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04

ISO 17025
PROCESS REQUIREMENTS

PROCESS REQUIREMENTS: REVIEW OF REQUESTS

7.1

- **Labs must have a procedure for review of requests and tenders**
- **Labs must inform the customer when method requested by customer is considered inappropriate or out of date.**
- **Labs must clearly define specification or standard used when a customer request for a statement of conformity.**
- Labs must resolve differences between a tender and the contract such that customer-requested deviations do not impact lab integrity.

- Lab must inform the customer of any deviations from the contract.
- Amendments to a contract after work has commenced must be reviewed and communicated to all affected personnel
- **Lab must cooperate with customers in clarifying customer's requests and monitoring lab performance in relation to the customer's work.**
- **Records of reviews and significant changes must be kept.**
- **Records of discussions with customer relating to requirements or results of lab activities.**

PROCESS REQUIREMENTS: SELECTION, VERIFICATION AND VALIDATION OF METHODS

7.2

- **Labs must use appropriate methods for all lab activities**
- **Labs must maintain an up to date record of all documentation, manuals, references, etc.**
- **Labs must use the latest valid version of a method unless it is not appropriate or possible to do so.**
- Labs must inform the customer of the method to be used, when the customer does not specify the method to be used.
- Lab must verify their capability to correctly perform a procedure before introducing it.

- When developing a method, it must be a planned activity & handled by competent personnel
- **Lab must document, justify and get customer's authorization before any deviation from methods in the lab activity.**
- **Labs must validate non-standard methods or lab-developed methods or known methods used in a non-standard way.**
- **Performance characteristics of validated methods must be relevant to the customer's needs.**
- **Labs shall retain various documentation related to validation.**

PROCESS REQUIREMENTS: HANDLING OF TEST ITEMS

7.4

- Labs must have a for handling test and calibration items to protect the integrity and interests of the lab & customer
- **Labs must have a system of unambiguous identification of test and calibration items.**
- **Labs must record any observed deviation from specified conditions, upon receiving a calibration item.**
- **When items need to be stored or conditioned under specified environmental conditions, these conditions shall be maintained, monitored and recorded.**

PROCESS REQUIREMENTS: TECHNICAL RECORDS

7.5

Labs must ensure that technical records of each lab activity is maintained such that the activity is repeatable under conditions as close as possible to the original.

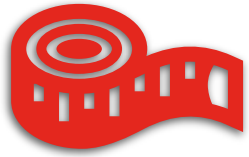
Labs must ensure that amendments to technical records are traceable to previous versions or to original observations.

PROCESS REQUIREMENTS

7.3 Sampling

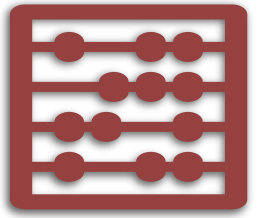
- Labs must have a sampling plan and method when carrying out sampling activity of substances, products, …
- Sampling methods must describe the selection of samples, sampling plan, treatment & preparation of samples.
- Labs must retain records of sampling data that forms part of the testing or calibration that is undertaken.
- Performance characteristics of validated methods must be relevant to the customer's needs.
- Labs shall retain various documentation related to validation.

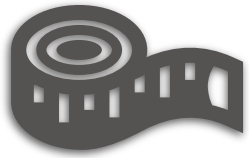
7.6 Evaluation of measurement uncertainty



Labs must identify the contributions to measurement uncertainty.

Labs that perform calibrations including of its own equipment must evaluate the measurement of uncertainty for all calibrations.





A lab performing testing must evaluate measurement uncertainty

PROCESS REQUIREMENTS

Ensuring the validity of results

7.7

- **Labs must have a procedure for monitoring results validity.**
- **Labs must monitor its performance by comparison with the results of other laboratories where applicable or appropriate.**
- **Data from monitoring activities must be analyzed, used to control and if applicable improve the laboratory's activities.**

Reporting of results

7.8

- 7.8.1 General
- 7.8.2 Common Requirements for Reports
- 7.8.3 Specific Requirements for Test Reports
- 7.8.4 Specific Requirements for Calibration Certificates
- 7.8.5 Reporting Sampling- Specific Requirements
- 7.8.6 Reporting Statements of Conformity
- 7.8.7 Reporting Opinions and Interpretations
- 7.8.8 Amendments to Reports

- A title;
- Name and address of the laboratory;
- Location of performance of the laboratory activities;
- Unique identification;
- Customer information;
- Method used;
- Description and identification of tested item;
- Receipt date of item;
- Date of lab activities;
- Date of issue the report;
- Etc..

- Information on specific test conditions;
- Where, a statement of conformity;
- Where applicable, the measurement uncertainty;
- Where appropriate, opinions and interpretations;
- Additional information that may be required.

PROCESS REQUIREMENTS: COMPLAINTS

7.9

- **Labs must have a documented process to handle complaints**
- **A description of the handling process for complaints shall be available to any interested party on request.**
- **Handling complaints shall include description of the process, tracking & recording complaints, ensuring action is taken.**
- The laboratory receiving the complaint shall be responsible for acknowledging, gathering and verifying all information to validate the complaint
- The outcomes to be communicated to the complainant shall be made by, or reviewed and approved by, individual(s) not involved in the original laboratory activities in question.

PROCESS REQUIREMENTS: NONCONFORMING WORK

7.10

The laboratory must have a procedure to follow when any aspect of its laboratory activities or results of this work do not conform to its own procedures or the agreed requirements of the customer

The laboratory shall retain records of nonconforming work and actions

Where the evaluation indicates that that there is doubt about the conformity of the laboratory's operations with its own management system, the laboratory shall implement corrective action.

PROCESS REQUIREMENTS: CONTROL OF DATA

7.11

- The lab shall have access to the data and information needed to perform laboratory activities.
- The lab management system used for the collection, processing, storage or retrieval of data shall be validated for functionality
- The lab management system shall be protected against tampering & unauthorized access, maintained, etc
- The lab must ensure easy availability of instructions, manuals & references to personnel
- Calculations & data transfer must be checked systematically

QUIZ

- **Do you think uncertainty measurement is applicable to any context ?**
- **How lab ensure the validity of results ?**
- **Why report listing the results of an evaluation is important ?**

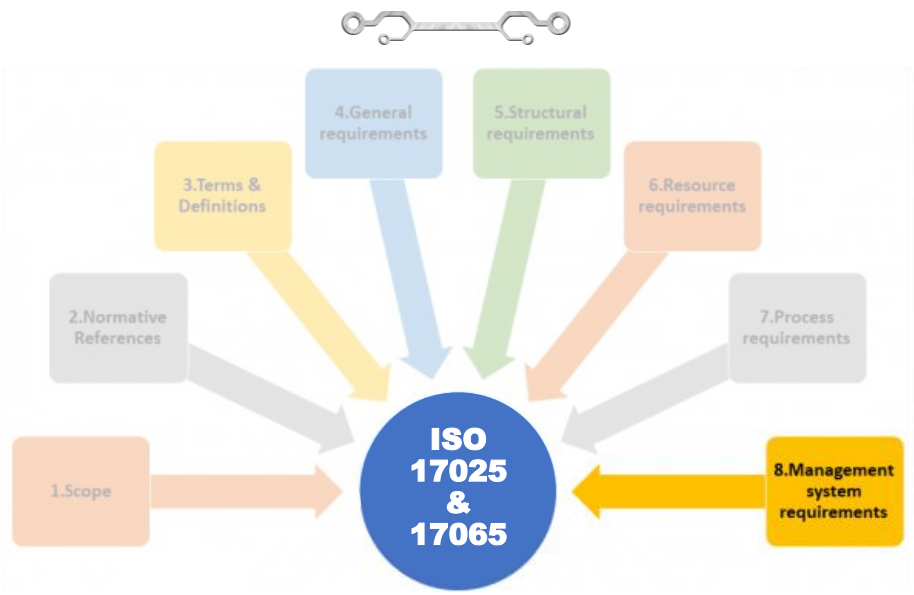
QUIZ

- **Do you think uncertainty measurement is applicable to any context ?**
  - **No. Example : evaluation of security of information system**
- **How lab ensure the validity of results ?**
  - **procedure for monitoring results validity**
  - **monitor performance**
  - **analyzed monitoring activities**
  - **Etc…**
- **Why report listing the results of an evaluation is important ?**
  - **Laboratory is responsible**
  - **Client must understand results of the evaluation**
  - **Etc…**

RED ALERT LABS
IoT Security

05

MANAGEMENT SYSTEM REQUIREMENTS



MANAGEMENT SYSTEM REQUIREMENTS: OPTIONS

General

SHALL establish and maintain a management system

Option A

The management system **SHALL** address several aspects, which will be described.

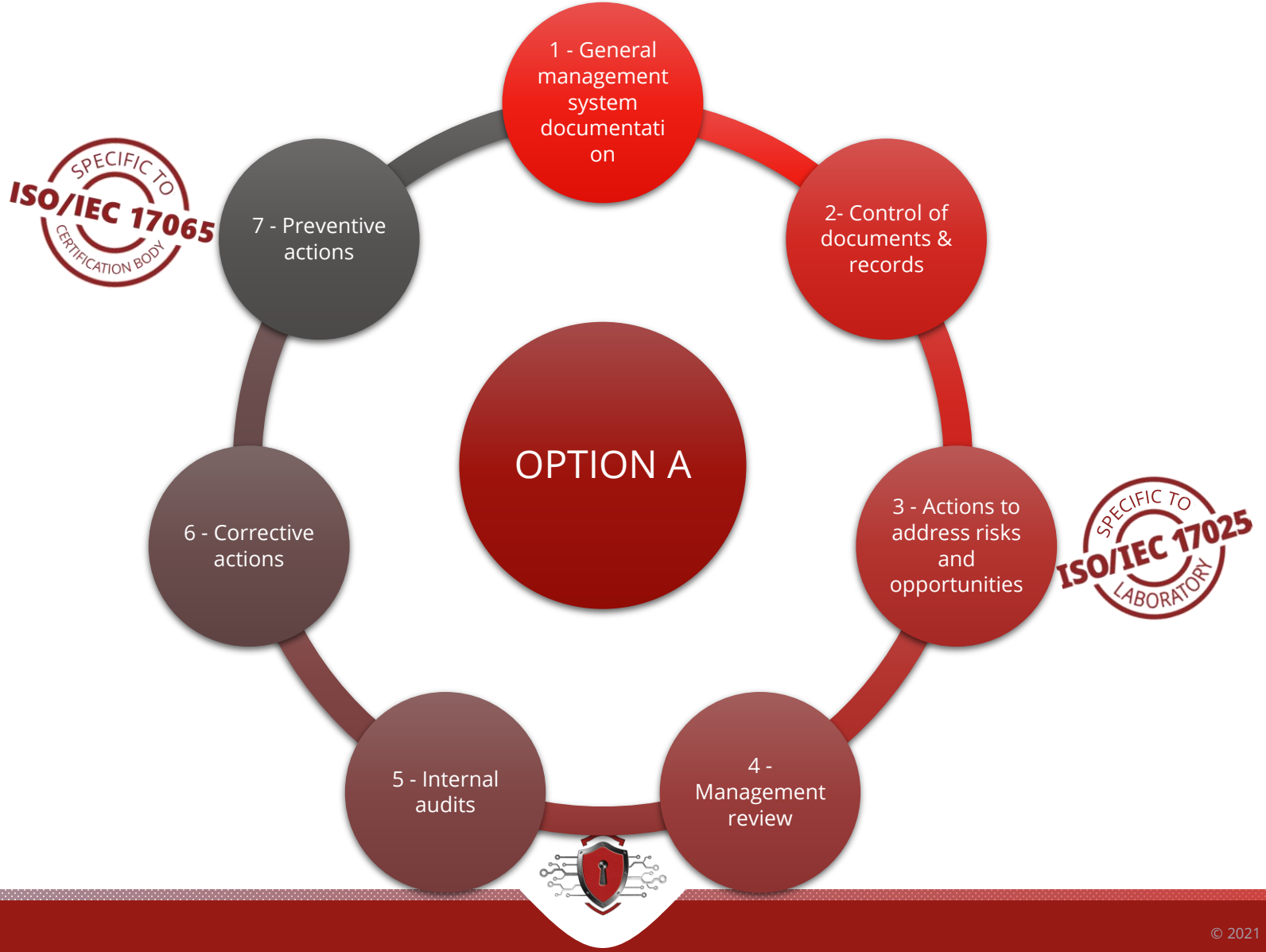
Option B

Established and maintains a management system, in accordance with ISO 9001

+

Fulfilled requirements of this International Standard

MANAGEMENT SYSTEM REQUIREMENTS: OPTION A



ACCREDITATION & AUTHORISATION

01

ACCREDITATION PROCESS

ACCREDITATION OVERVIEW

COFRAC LAB-REF 05

ACCREDITATION PROCESS

CAB-R

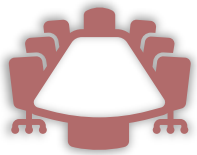
01

BEFORE REQUEST

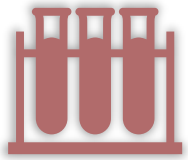
1 **Clearly identify the scope of the certification**

2 **Comply with the standard.**

3 **Build a quality management system.**



4 **Test the implemented procedures.**



ACCREDITATION PROCESS

CAB-R

02

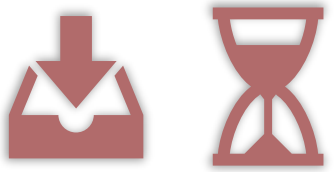
SUBMITTING REQUEST

1. **Retrieve documents corresponding to the activity covered by your accreditation request.**

2. **Complete documents**

3. **Send the registration folder to the organism in charge of the accreditation process**

4. **Wait for acknowledgment and send back complementary document requested, if needed**



ACCREDITATION PROCESS

Accreditation committee/organisation

ADMISSIBILITY EXAMINATION

1. **The organization verifies that the applicant has taken into account the accreditation requirements and is able to demonstrate it**

2. **The organization determines the on-site evaluation procedures with regard to the accreditation regulations and the organization of the organization.**

3. **Partial documentary assessment on key elements of the activity presented for accreditation**

Goal

Avoid triggering an on-site assessment that would be doomed to fail

ACCREDITATION PROCESS

Accreditation committee/organisation

04

ON SITE ASSESSMENT

1. Planned in agreement between the head of the evaluation team and the requesting organization

2. On-site assessment :
   - examination of documents and records
   - interview with staff
   - observation of activities presented for accreditation
   - traceability audits of technical operations
   - Etc...

3. The assessment team presents to the organization its analysis of the strengths and weaknesses of the organization, as well as any identified deviations from the accreditation requirements.

4. When deviations are identified, the body is required to communicate to the evaluation team its analysis of the situations and the actions decided to deal with the non-conformities, under the conditions defined in the accreditation regulations. He can also transmit proof of actions.

DECISION

ACCREDITATION PROCESS

Both

AFTER DELIVERY OF ACCREDITATION

APPLICANT

► **Promote** accreditation

Obtaining accreditation gives the right to refer to the accreditation, in particular on reports or certificates related to accredited activities.

► **Renewal** of accreditation

ACCREDITATION ORGANISATION

► **Monitoring** accreditation

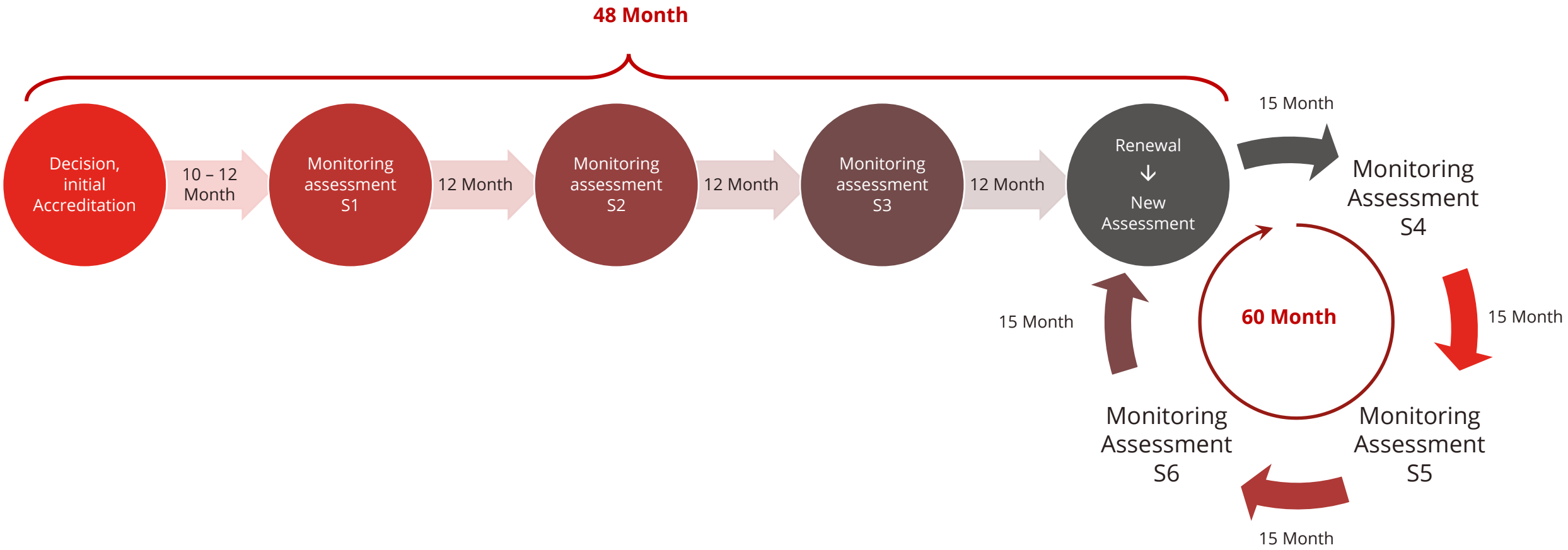
Once accreditation has been granted, a monitoring program is implemented over the accreditation period.

Monitoring is carried out by techniques similar to the initial assessment.

► **End** of accreditation

There are several reasons why accreditation can be terminated.

LIFECYCLE OF AN ACCREDITATION



QUIZ

- **What is the average duration to obtain an accreditation ?**
- **What are the two types of assessments in the context of accreditation?**
- **What is the validity duration of an accreditation ?**

QUIZ

- **What is the average duration to obtain an accreditation ?**
  - **At least 12 month**
- **What are the two types of assessments in the context of accreditation?**
  - **Admissibility examination**
  - **On-site assesment**
- **What is the validity duration of an accreditation ?**
  - **After the first obtaining 48 months, after a renewal 60 months**

02

AUTHORISATION PROCESS

AUTHORISATION **OVERVIEW**

ANSSI-CC-AGR-P-01/4

Licensing request

Preliminary audit

Pilot evaluation

licensing Audit

licensing Approval

AUTHORISATION **OVERVIEW**

An application form for licensing is sent to the NCCA. Other documents are provided together with the application form:

1. SEND LICENSING REQUEST

01 Licensing request

02 Preliminary audit

03 Pilot evaluation

04 licensing Audit

05 licensing Approval

Other Documents:

- ✓ a copy of the company's registration certificate;
- ✓ a technical file about the applicant's capabilities
- ✓ any security clearance of the company
- ✓ the detailed scope of licensing requested
- ✓ a proposal for a pilot evaluation in line with the scope of licensing
- ✓ any other relevant information about the applicant.

AUTHORISATION OVERVIEW

A preliminary audit is carried out on the applicant's premises in order to assess the capacity of the applicant in meeting the licensing criteria.

2. PRELIMINARY AUDIT

Licensing request | Preliminary audit | Pilot evaluation | licensing Audit | licensing Approval

Licensing criteria:

- ✓ Accreditation
- ✓ Management
- ✓ Technical Skills
- ✓ Methods and procedures of work

AUTHORISATION **OVERVIEW**

3. PILOT EVALUATION

The candidate evaluation facility must then perform a “pilot evaluation” enabling the Evaluation Facility to assess its ability to perform an evaluation properly.

Pilot evaluation criteria:

- ✓ Start pilot evaluation within 1year from date of licensing request application.

AUTHORISATION **OVERVIEW**

4. LICENSING AUDIT

At the end of the pilot evaluation, NCCA 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.

Licensing request

Preliminary audit

Pilot evaluation

Licensing Audit

Licensing Approval

AUTHORISATION **OVERVIEW**

5. LICENSING APPROVAL

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

Licensing request

Preliminary audit

Pilot evaluation

Licensing Audit

Licensing Approval

AUTHORISATION OVERVIEW

6. POST LICENSING ACTIVITIES

Monitoring

- Evaluation facilities

Modification

- Of the scope of licensing
- At the request of evaluation facility
- At the request of NAB

License

- Renewal
- Suspension
- Withdrawal

QUIZ

- **What are the major differences between an authorization and an accreditation ?**
- **Which stakeholders are involved in the authorization procedure ?**

QUIZ

- **What are the major differences between an authorization and an accreditation ?**
  - **Accreditation is more about system management**
  - **Authorization is about technical competencies**

- **Which stakeholders are involved in the authorization procedure ?**
  - **NCCA**
  - **Laboratory**

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IoT Security