
**Information technology — Security
techniques — Evaluation criteria for
IT security —**

**Part 1:
Introduction and general model**

*Technologies de l'information — Techniques de sécurité — Critères
d'évaluation pour la sécurité TI —*

Partie 1: Introduction et modèle général

PDF disclaimer

This PDF file may contain embedded typefaces. In accordance with Adobe's licensing policy, this file may be printed or viewed but shall not be edited unless the typefaces which are embedded are licensed to and installed on the computer performing the editing. In downloading this file, parties accept therein the responsibility of not infringing Adobe's licensing policy. The ISO Central Secretariat accepts no liability in this area.

Adobe is a trademark of Adobe Systems Incorporated.

Details of the software products used to create this PDF file can be found in the General Info relative to the file; the PDF-creation parameters were optimized for printing. Every care has been taken to ensure that the file is suitable for use by ISO member bodies. In the unlikely event that a problem relating to it is found, please inform the Central Secretariat at the address given below.

**COPYRIGHT PROTECTED DOCUMENT**

© ISO/IEC 2009

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

Published in Switzerland

Contents

Page

Foreword	iv
Introduction.....	v
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
3.1 Terms and definitions common in ISO/IEC 15408	2
3.2 Terms and definitions related to the ADV class	9
3.3 Terms and definitions related to the AGD class	13
3.4 Terms and definitions related to the ALC class	13
3.5 Terms and definitions related to the AVA class	17
3.6 Terms and definitions related to the ACO class	17
4 Abbreviated terms	18
5 Overview	19
5.1 General	19
5.2 The TOE	19
5.3 Target audience of ISO/IEC 15408	20
5.4 The different parts of ISO/IEC 15408	21
5.5 Evaluation context	22
6 General model	23
6.1 Introduction to the general model	23
6.2 Assets and countermeasures	23
6.3 Evaluation	27
7 Tailoring Security Requirements	27
7.1 Operations	27
7.2 Dependencies between components	30
7.3 Extended components	30
8 Protection Profiles and Packages	31
8.1 Introduction	31
8.2 Packages	31
8.3 Protection Profiles	31
8.4 Using PPs and packages	34
8.5 Using Multiple Protection Profiles	35
9 Evaluation results	35
9.1 Introduction	35
9.2 Results of a PP evaluation	36
9.3 Results of an ST/TOE evaluation	36
9.4 Conformance claim	36
9.5 Use of ST/TOE evaluation results	37
Annex A (informative) Specification of Security Targets	38
Annex B (informative) Specification of Protection Profiles	54
Annex C (informative) Guidance for Operations	60
Annex D (informative) PP conformance	63
Bibliography	65

Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of the joint technical committee is to prepare International Standards. Draft International Standards adopted by the joint technical committee are circulated to national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this part of ISO/IEC 15408 may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights.

ISO/IEC 15408-1 was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 27, *IT Security techniques*. The identical text of ISO/IEC 15408 is published by the Common Criteria Project Sponsoring Organisations as Common Criteria for Information Technology Security Evaluation. The common XML source for both publications can be found at <http://www.oc.ccn.cni.es/xml>

This third edition cancels and replaces the second edition (ISO/IEC 15408-1:2005), which has been technically revised.

ISO/IEC 15408 consists of the following parts, under the general title *Information technology — Security techniques — Evaluation criteria for IT security*:

- *Part 1: Introduction and general model*
- *Part 2: Security functional components*
- *Part 3: Security assurance components*

Introduction

This part of ISO/IEC 15408 permits comparability between the results of independent security evaluations. ISO/IEC 15408 does so by providing a common set of requirements for the security functionality of IT products and for assurance measures applied to these IT products during a security evaluation. These IT products may be implemented in hardware, firmware or software.

The evaluation process establishes a level of confidence that the security functionality of these IT products and the assurance measures applied to these IT products meet these requirements. The evaluation results may help consumers to determine whether these IT products fulfil their security needs.

ISO/IEC 15408 is useful as a guide for the development, evaluation and/or procurement of IT products with security functionality.

ISO/IEC 15408 is intentionally flexible, enabling a range of evaluation methods to be applied to a range of security properties of a range of IT products. Therefore users of this International Standard are cautioned to exercise care that this flexibility is not misused. For example, using ISO/IEC 15408 in conjunction with unsuitable evaluation methods, irrelevant security properties, or inappropriate IT products, may result in meaningless evaluation results.

Consequently, the fact that an IT product has been evaluated has meaning only in the context of the security properties that were evaluated and the evaluation methods that were used. Evaluation authorities are advised to carefully check the products, properties and methods to determine that an evaluation will provide meaningful results. Additionally, purchasers of evaluated products are advised to carefully consider this context to determine whether the evaluated product is useful and applicable to their specific situation and needs.

ISO/IEC 15408 addresses protection of assets from unauthorised disclosure, modification, or loss of use. The categories of protection relating to these three types of failure of security are commonly called confidentiality, integrity, and availability, respectively. ISO/IEC 15408 may also be applicable to aspects of IT security outside of these three. ISO/IEC 15408 is applicable to risks arising from human activities (malicious or otherwise) and to risks arising from non-human activities. Apart from IT security, ISO/IEC 15408 may be applied in other areas of IT, but makes no claim of applicability in these areas.

Certain topics, because they involve specialized techniques or because they are somewhat peripheral to IT security, are considered to be outside the scope of ISO/IEC 15408. Some of these are identified below.

- a) ISO/IEC 15408 does not contain security evaluation criteria pertaining to administrative security measures not related directly to the IT security functionality. However, it is recognised that significant security can often be achieved through or supported by administrative measures such as organizational, personnel, physical, and procedural controls.
- b) The evaluation of some technical physical aspects of IT security such as electromagnetic emanation control is not specifically covered, although many of the concepts addressed will be applicable to that area.
- c) ISO/IEC 15408 does not address the evaluation methodology under which the criteria should be applied. This methodology is given in ISO/IEC 18045.
- d) ISO/IEC 15408 does not address the administrative and legal framework under which the criteria may be applied by evaluation authorities. However, it is expected that ISO/IEC 15408 will be used for evaluation purposes in the context of such a framework.
- e) The procedures for use of evaluation results in accreditation are outside the scope of ISO/IEC 15408. Accreditation is the administrative process whereby authority is granted for the operation of an IT product (or collection thereof) in its full operational environment including all of its non-IT parts. The results of the

evaluation process are an input to the accreditation process. However, as other techniques are more appropriate for the assessments of non-IT related properties and their relationship to the IT security parts, accreditors should make separate provisions for those aspects.

- f) The subject of criteria for the assessment of the inherent qualities of cryptographic algorithms is not covered in ISO/IEC 15408. Should independent assessment of mathematical properties of cryptography be required, the evaluation scheme under which ISO/IEC 15408 is applied must make provision for such assessments.

ISO terminology, such as “can”, “informative”, “may”, “normative”, “shall” and “should” used throughout the document are defined in the ISO/IEC Directives, Part 2. Note that the term “should” has an additional meaning applicable when using this International Standard. See the note below. The following definition is given for the use of “should” in ISO/IEC 15408.

should

within normative text, “should” indicates “that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required” (ISO/IEC Directives, Part 2)

NOTE ISO/IEC 15408 interprets “not necessarily required” to mean that the choice of another possibility requires a justification of why the preferred option was not chosen.

Information technology — Security techniques — Evaluation criteria for IT security —

Part 1: Introduction and general model

1 Scope

This part of ISO/IEC 15408 establishes the general concepts and principles of IT security evaluation and specifies the general model of evaluation given by various parts of the International Standard which in its entirety is meant to be used as the basis for evaluation of security properties of IT products.

It provides an overview of all parts of ISO/IEC 15408. It describes the various parts of the standard; defines the terms and abbreviations to be used in all parts of the International Standard; establishes the core concept of a Target of Evaluation (TOE); the evaluation context; and describes the audience to which the evaluation criteria are addressed. An introduction to the basic security concepts necessary for evaluation of IT products is given.

It defines the various operations by which the functional and assurance components given in ISO/IEC 15408-2 and ISO/IEC 15408-3 may be tailored through the use of permitted operations.

The key concepts of protection profiles (PP), packages of security requirements and the topic of conformance are specified and the consequences of evaluation and evaluation results are described. This part of ISO/IEC 15408 gives guidelines for the specification of Security Targets (ST) and provides a description of the organization of components throughout the model. General information about the evaluation methodology is given in ISO/IEC 18045 and the scope of evaluation schemes is provided.

2 Normative references

The following referenced documents are indispensable for the application of this part of ISO/IEC 15408. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 15408-2, *Information technology — Security techniques — Evaluation criteria for IT security — Part 2: Security functional components*

ISO/IEC 15408-3, *Information technology — Security techniques — Evaluation criteria for IT security — Part 3: Security assurance components*

ISO/IEC 18045, *Information technology — Security techniques — Methodology for IT security evaluation*