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ÜLDMUDEL

Information technology - Security techniques -  
Evaluation criteria for IT security - Part 1: Introduction  
and general model (ISO/IEC 15408-1:2009)

## EESTI STANDARDI EESSÕNA

## NATIONAL FOREWORD

See Eesti standard EVS-EN ISO/IEC 15408-1:2020 sisaldab Euroopa standardi EN ISO/IEC 15408-1:2020 ingliskeelset teksti.	This Estonian standard EVS-EN ISO/IEC 15408-1:2020 consists of the English text of the European standard EN ISO/IEC 15408-1:2020.
Standard on jõustunud sellekohase teate avaldamisega EVS Teatajas.	This standard has been endorsed with a notification published in the official bulletin of the Estonian Centre for Standardisation.
Euroopa standardimisorganisatsioonid on teinud Euroopa standardi rahvuslikele liikmetele kättesaadavaks 18.03.2020.	Date of Availability of the European standard is 18.03.2020.
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English version

Information technology - Security techniques - Evaluation  
criteria for IT security - Part 1: Introduction and general  
model (ISO/IEC 15408-1:2009)

Technologies de l'information - Techniques de sécurité  
- Critères d'évaluation pour la sécurité TI - Partie 1:  
Introduction et modèle général (ISO/IEC 15408-  
1:2009)

Informationstechnik - IT-Sicherheitsverfahren -  
Evaluationskriterien für IT-Sicherheit - Teil 1:  
Einführung und allgemeines Modell (ISO/IEC 15408-  
1:2009)

This European Standard was approved by CEN on 2 March 2020.

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CEN-CENELEC Management Centre:  
Rue de la Science 23, B-1040 Brussels

## European foreword

The text of ISO/IEC 15408-1:2009 has been prepared by Technical Committee ISO/IEC JTC 1 "Information technology" of the International Organization for Standardization (ISO) and has been taken over as EN ISO/IEC 15408-1:2020 by Technical Committee CEN/CLC/JTC 13 "Cybersecurity and Data Protection" the secretariat of which is held by DIN.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by September 2020, and conflicting national standards shall be withdrawn at the latest by September 2020.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN shall not be held responsible for identifying any or all such patent rights.

According to the CEN-CENELEC Internal Regulations, the national standards organizations of the following countries are bound to implement this European Standard: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Republic of North Macedonia, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and the United Kingdom.

## Endorsement notice

The text of ISO/IEC 15408-1:2009 has been approved by CEN as EN ISO/IEC 15408-1:2020 without any modification.

# Contents

Page

Foreword .....	iv
Introduction .....	v
<b>1 Scope .....</b>	<b>1</b>
<b>2 Normative references .....</b>	<b>1</b>
<b>3 Terms and definitions .....</b>	<b>1</b>
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
<b>4 Abbreviated terms .....</b>	<b>18</b>
<b>5 Overview .....</b>	<b>19</b>
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
<b>6 General model .....</b>	<b>23</b>
6.1 Introduction to the general model .....	23
6.2 Assets and countermeasures .....	23
6.3 Evaluation .....	27
<b>7 Tailoring Security Requirements .....</b>	<b>27</b>
7.1 Operations .....	27
7.2 Dependencies between components .....	30
7.3 Extended components .....	30
<b>8 Protection Profiles and Packages .....</b>	<b>31</b>
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
<b>9 Evaluation results .....</b>	<b>35</b>
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
<b>Annex A (informative) Specification of Security Targets .....</b>	<b>38</b>
<b>Annex B (informative) Specification of Protection Profiles .....</b>	<b>54</b>
<b>Annex C (informative) Guidance for Operations .....</b>	<b>60</b>
<b>Annex D (informative) PP conformance .....</b>	<b>63</b>
<b>Bibliography .....</b>	<b>65</b>

## 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*

### 3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

**NOTE** This clause contains only those terms which are used in a specialized way throughout ISO/IEC 15408. Some combinations of common terms used in ISO/IEC 15408, while not meriting inclusion in this clause, are explained for clarity in the context where they are used.