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Implementation guide to capability construction criteria of production and guarantee for commercial cryptographic products

商用密码产品生产和保障能力建设实施指南

(English Translation)

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1 Scope

This standard specifies the methods, procedures, reports and key points for the implementation of the evaluation of capability criteria of production and guarantee for commercial cryptographic products.

This standard is applicable to the guide for construction of production capacity, quality assurance capability, security assurance capability, service assurance capability of production organizations.

2 Normative references

The following documents are essential to the application of this document. For the dated documents, only the versions with the dates indicated are applicable to this document; for the undated documents, only the latest version (including all the amendments) are applicable to this standard.

GM/T 0008-2012 Cryptography test criteria for security IC GM/T 0028-2014 Security requirements for cryptographic modules GM/T 0065-2019 Specification for capability construction of production and guarantee for commercial-cryptographic products GM/Z 4001 Cryptographic terms

3 Terms and definitions

The terms and definitions as defined in GM/Z 4001 and GM/T 0065-2019 as well as the following terms and definitions are applicable to this document.

3.1 Formal examination

Review the formal compliance, completeness and validity of the application materials as submitted by the production organization.

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3.2 Substantive examination

On the basis of formal review, whether the production organization has the qualifications for the main body, whether the application is true, whether the submitted documents and certificates are true, valid, complete, compliant; whether they meet the requirements of national laws and regulations.

4.1 Evaluation content

The evaluation content includes evaluation elements such as basic items, declaration items, evaluation items, etc.

4.2 Evaluation method

The production and guarantee capabilities of commercial cryptographic products are evaluated by a combination of the organization??s self-evaluation and expert scoring. Quality assurance, security assurance, service guarantee capabilities shall be the organization's self-verification items, for which the production organization provides proofs of the production and guarantee capability of the commercial cryptographic product. Combined with the basic items and declaration items of the production organization, the expert group will score and judge according to the evaluation elements of the evaluation items.

4.3 Evaluation principles

The evaluation of the production and guarantee capabilities of commercial cryptographic products shall be based on the application materials submitted by the production organization, using a combination of "material review" and "on-site review", a combination of "pre-evaluation" and "expert evaluation";

follow the evaluation principles of "quantitative evaluation" and "qualitative judgment", to ensure the authenticity, consistency and compliance of the application materials.

5.1.1 Legal personality

The production organization is an independent legal person registered in China.

It shall issue the registration number of the business license of the production organization. It shall issue the name and number of the valid ID of the legal representative.

5.1.3 Product research & development

The production organization shall promise that the products researched & developed and the core cryptographic technology involved in the product have independent intellectual property rights; it shall have patents, software copyrights, integrated circuit layout

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registration, etc. It shall promise that the product corresponding to the application evaluation material does not contain the intellectual property of any other organization or unit; or otherwise it may have been obtained through legal means.

5.2.1 Key personnel information

The production organization shall provide a detailed introduction of the key personnel??s certificate name and number, nationality, educational background and working experience.

5.2.3 Data management

The production organization shall provide a statement on the location of the data center for the research & development, production and guarantee of commercial cryptographic products, stating the location of the data center and whether the data flow will involve outbound.

5.3.1.2.1 Position setting

The production organization shall set up production supervisors, warehouse management and other related positions; ensure that senior professionals with rich experience and serious responsibility hold relevant positions.

5.3.1.4.1 Production technology management

The production organization shall have management specifications and complete production technical documents, including at least production lists, material lists, inspection procedures and report documents.

5.3.1.4.2 Mass production and testing capabilities

The production organization shall have mass production and testing capabilities;

it should have an automated production line and corresponding product testing mechanisms, to ensure sufficient production capacity and stable product quality.

It shall have the required inspection, testing and measurement equipment, to meet the needs of the production scale.

5.3.2.4 Quality system certification

The third-party quality system certification of the production organization shall be verified. For the production organization that has obtained the corresponding certification and is within the validity period, it may score the quality assurance capability evaluation, for example, the production organization has ISO 9001 quality system certification or CMMI level 3 and above maturity certification.

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