

# Application for the Issuance of a Certificate according to Technical Guidelines by the German Federal Office for Information Security (BSI)

Hereby the applicant specified under No. 1 applies for issuance of a Certificate according to Technical Guidelines for the IT-product/-system specified under No. 4.<sup>1</sup>

## 1. Applicant

Name, address

Concerning the product/system specified under No. 4 the applicant is the

- developer.
- distributor, but not developer.

*A declaration of the developer assuring his support concerning the performance of the certification procedure MUST be attached to the application form.*

## 2. Applicant's Point of Contact

Name, address, phone, fax, e-mail

## 3. Sponsor<sup>2</sup>

Name, address

## 4. Object of Certification

Unique name & version of the product/system

*A short description/overview of the product/system (e. g. data sheet) MUST be attached to the application form.*

## 5. Type of Certification

This application concerns

- the **Initial Certification** of the product/system specified under No. 4.
- a **Re-Certification**<sup>3</sup> due to modifications of the product/system certified under the certification ID BSI-K-TR--.
- a **Maintenance-Procedure**<sup>4</sup> due to modifications of the product/system certified under the certification ID BSI-K-TR--.

## 6. Evaluation Criteria / BSI Technical Guideline

No. (BSI TR-xxxxx) & version of the Technical Guideline

## 7. Performance of the Conformity Evaluation<sup>6,7</sup>

Name, address & contact details of the evaluation laboratory/auditor

<sup>1</sup> Legal Basis: BSI-Act – Act on the Federal Office for Information Security of August 14<sup>th</sup> 2009 (BSI-Gesetz, BSIG), Bundesgesetzblatt Part I No. 54, p. 2821

<sup>2</sup> The notification of a sponsor is only required, if the applicant will not pay the costs of the certification procedure. A declaration of the sponsor regarding the assumption of costs MUST be provided as attachment.

<sup>3</sup> A Re-Certification is the process to maintain a conformity statement after a certified product/system has been modified and it can not be excluded, that the changes conducted have no influence regarding its certified functionality respectively its conformity to the relevant Technical Guideline. A Re-Certification requires a complete or partial re-evaluation of the product's/system's conformity.

<sup>4</sup> A Maintenance-Procedure is performed to extend the validity of an existing certificate according to Technical Guidelines onto additional product/system versions, if it is ensured, that the modifications/changes have no influence regarding the certified functionality respectively the conformity of the product/system.

<sup>5</sup> Together with an application for a Maintenance-Procedure a detailed description of all modification/changes with an impact analysis as well as an updated configuration list (→ see Conformity Report chapter 'Components of the TOE') MUST be provided as attachments.

<sup>6</sup> The notification of an evaluation laboratory or auditor is usually not required, if the application concerns the performance of a Maintenance-Procedure.

<sup>7</sup> A list of the evaluation laboratories currently recognized by BSI according to DIN ISO/IEC 17025 as well as a list of the auditors certified by BSI are published on the BSI website: [www.bsi.bund.de/zertifizierungtr](http://www.bsi.bund.de/zertifizierungtr)

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## 8. Certification Documents

The certification documents (Certificate according to Technical Guidelines, Conformity Report) issued upon positive conclusion of the certification procedure shall be provided in the following language:<sup>8</sup>

German  English

## 10. Archiving of the Certified Product and the Evaluation Documents

The applicant commits to archive the product/system specified under No. 4 in its certified configuration(s) together with all documentation and evidence provided for the performance of the conformity evaluation for a time frame of 5 years. Within this time frame the certified product/system and all archived documentation/evidence will be made available to BSI upon request (e. g. for the purpose of re-examination of the certificate) at any time and exempt from charges.

The applicant agrees that BSI archives all internal files as well as all documentation provided. The applicant further agrees that the evaluation laboratory/auditor archives the results and test reports of the conformity evaluation performed.

## 12. Costs

For the performance of the certification procedure BSI will charge for fees and expenses (e. g. travel expenses) according to the BMI Special Regulation on Ex-Parte Costs (BMIBGebV) which is valid at the time of application.

If not stated otherwise by BSI payment is due ten days after announcing the determination of charges to the applicant/debtor (§14 BGebG). Differing conditions of payment by the applicant are not accepted.

The applicant agrees that BSI will charge for fees and expenses.

The certification costs shall be charged by using the following order number:<sup>9</sup>

## 9. Privacy

The applicant agrees that personal data resulting from this application will be stored electronically at BSI for the purpose of performing the certification procedure applied for.

## 11. Announcement upon positive Conclusion of the Certification Procedure

In case a certificate is issued the applicant agrees to the publication of the certification result and the Conformity Report – completely or in parts, also in electronic form – by BSI.

Upon positive conclusion of the certification procedure the product/system will be added to the list or products/systems certified according to Technical Guidelines. This list is published on the BSI website.

## 13. Certification Agreement

By applying for certification an administrative procedure in accordance to the Administrative Procedure Act (VwVfG), the Regulation on the Issuance and Recognition of Security Certificates by the Federal Office for Information Security (BSI-ZertV) as well as the provisions of the relevant certification program and the certification system for Technical Guidelines will be initiated.

With this application the applicant commits to comply and adhere to these provisions. The currently valid certification programs and the certification system for Technical Guidelines are published on the BSI website ([www.bsi.bund.de/zertifizierungtr](http://www.bsi.bund.de/zertifizierungtr)).

In addition further obligations to the applicant, resulting from the certification procedure applied for, may be specified as ancillary provisions in the notification of conformity.

Place, Date

Signature, Company Stamp

### Information:

According to §9, para.(4), 2. of the Act on the Federal Office for Information Security (BSI-Act, BSIG) a certificate will be issued, if in addition to the conformance to the specified requirements (para. (4)) the Federal Ministry of the Interior, Building and Community (BMI) confirmed, that overriding public interests, especially security-political interests of the Federal Republic of Germany, are not opposed to the issuance. In preparation to the assessment of this issue by BMI, BSI will sporadically inquire information about the applicant by national security agencies, but without naming details of the certification procedure applied for.

### Attachments:

- Declaration of the developer concerning his co-operation (see No. 1)
- Declaration of the sponsor concerning the assumption of costs (see No. 3)
- Product-/System-description or data sheet (see No. 4)
- Description of modifications/changes and impact analysis (see No. 5)
- Updated configuration list (see No. 5)
- Evaluation Plan

<sup>8</sup> The certification documents (Certificate according to Technical Guidelines, Conformity Report) will be issued either in German or in English language. Due to administrative regulations only a German version of the associated Notification of Conformity can be issued and signed. For additional or subsequent translations of certification documents by BSI additional costs will incur.

<sup>9</sup> An order number must only be notified, if required for the applicant's or sponsor's accounting.