

# CYBER ASSURANCE OF PHYSICAL SECURITY SYSTEMS (CAPSS)

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## THE EVALUATION PROCESS



This document is designed to inform a manufacturer of the following areas which make up a NPSA CAPSS evaluation.

- CAPSS Documentation
- The Evaluation Process: Engagement, Pre-evaluation and Evaluation and Reporting
- CAPSS Lifecycle
- Infrastructure and Product Provision

For any queries regarding CAPSS please contact [cse@npsa.gov.uk](mailto:cse@npsa.gov.uk)

The CAPSS 2021 SC has been developed in partnership with NCSC (National Cyber Security Centre)

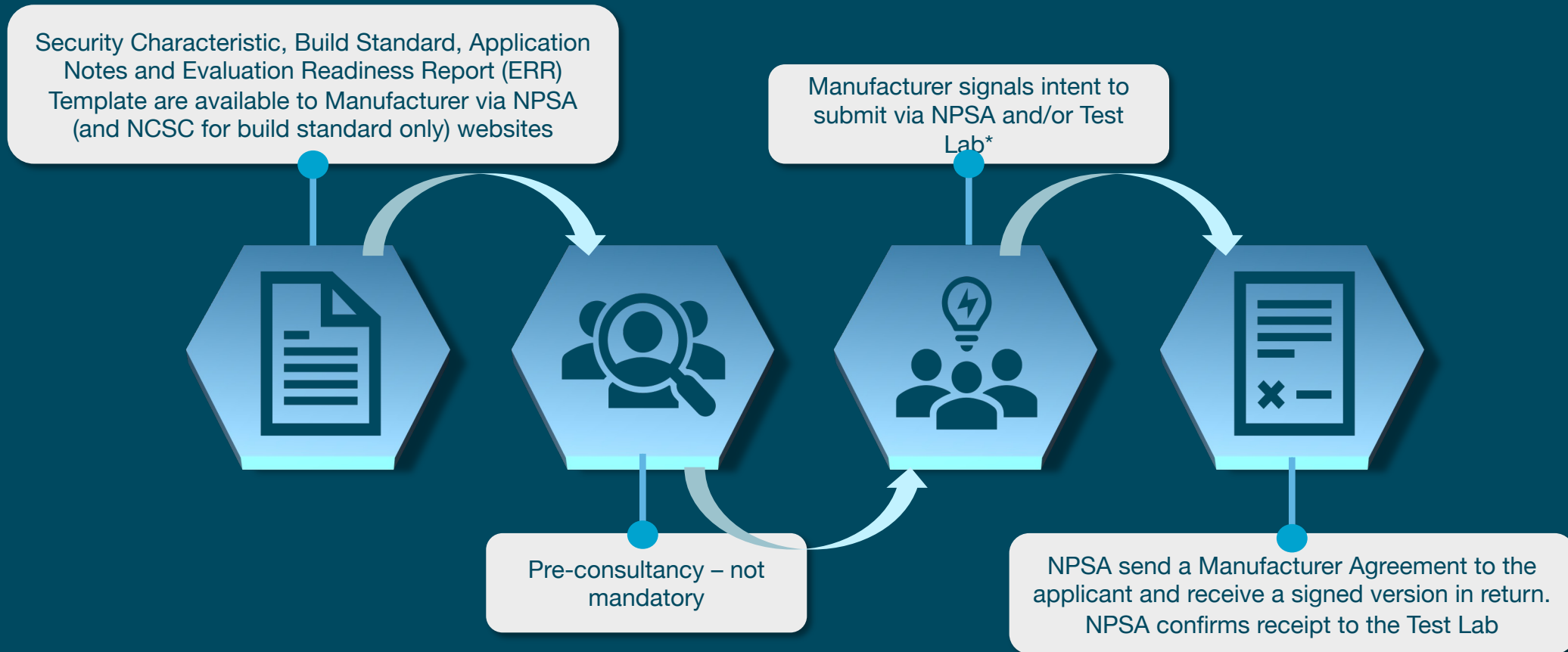


# CAPSS Documentation

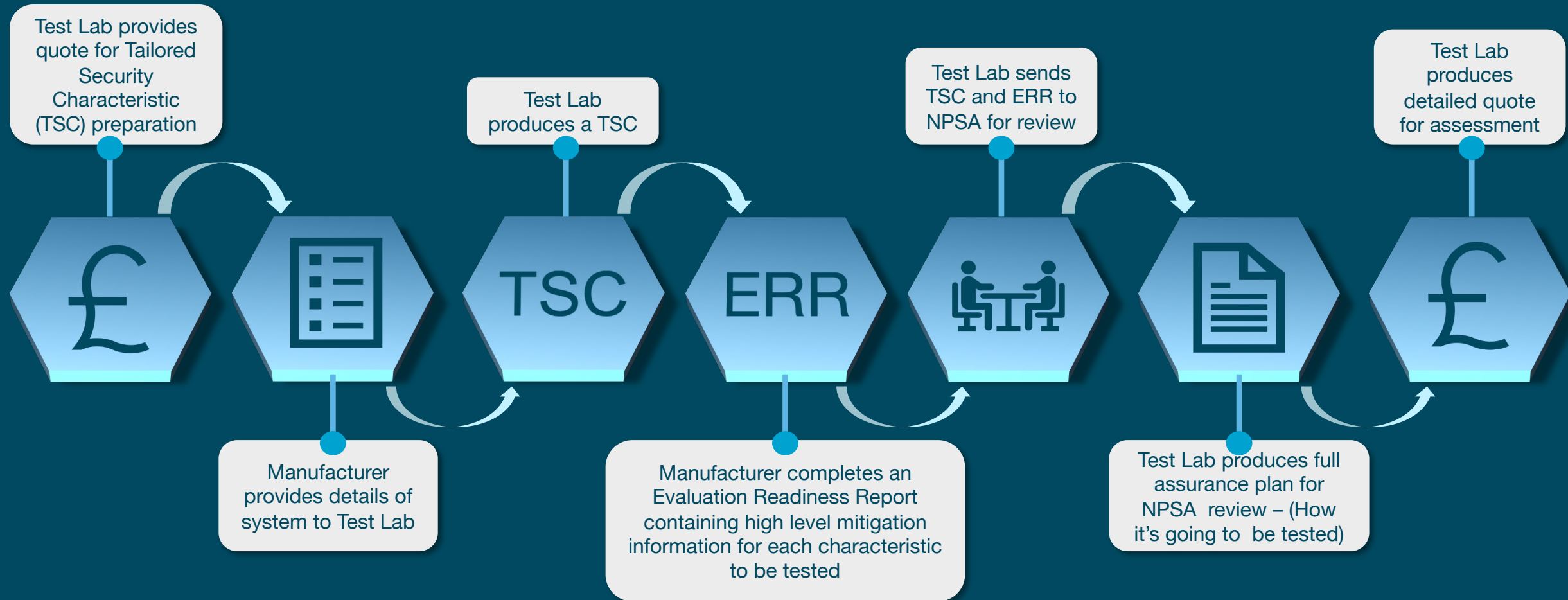
No	Document Name	Document Type	For Use by	Access Method
1	Security Characteristic (SC) – CAPSS 2021*	PDF	Test Lab/Manufacturer	NPSA website
2	Build Standard (BS) v1.4	PDF	Test Lab/Manufacturer	NCSC website NPSA website
3	Application Notes (Test Lab)	PDF	Test Lab	NPSA on request
4	Application Notes (Manufacturer)	PDF	Manufacturer	NPSA website
5	CAPSS Evaluation Process Flow	PDF	Test Lab/Manufacturer	NPSA website
6	CAPSS SC Evaluation Readiness Report Template	XLS	Test Lab/Manufacturer/NPSA	NPSA Website
7	NPSA Self Funded Manufacturer Agreement	PDF	NPSA/Manufacturer	NPSA on request



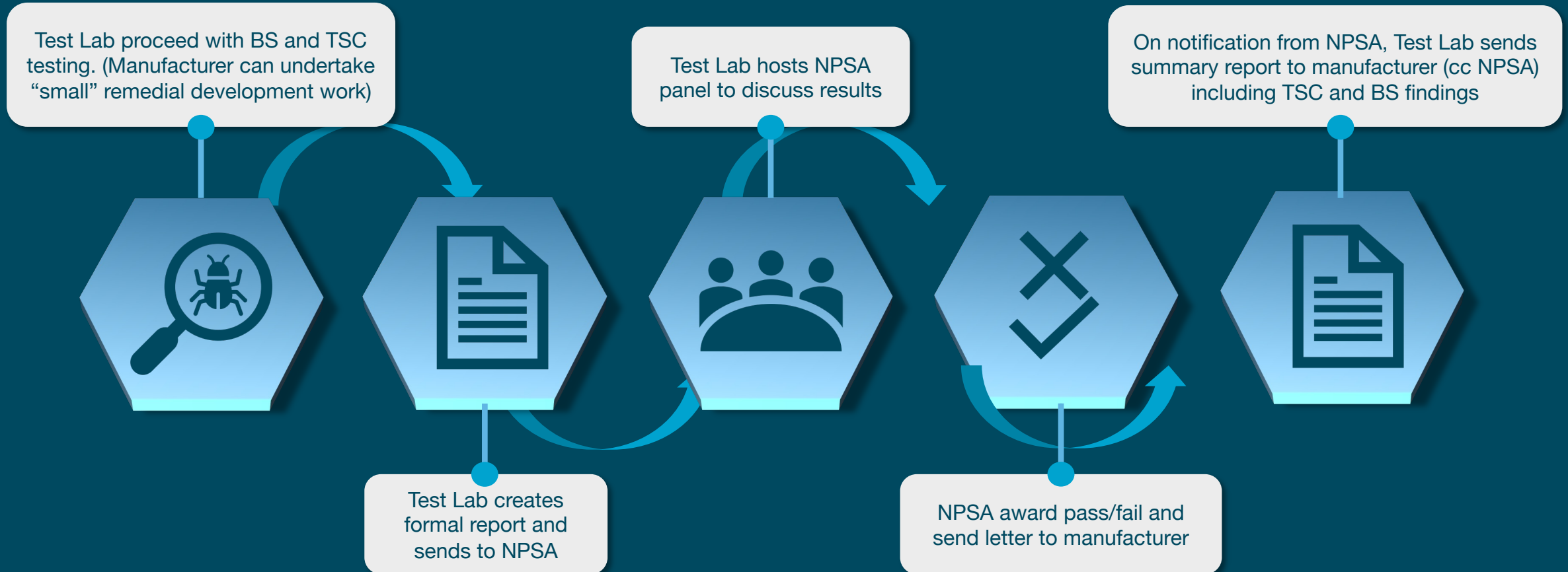
# Engagement Phase



# Pre-Evaluation Phase



# Evaluation and Reporting Phase



# CAPSS Lifecycle 1

Day  
1

## Initial Evaluation

- CAPSS Accreditation Awarded for initial 2 Year period – NPSA must be informed if any significant changes to the product occur after this point
- Documentation related to the product should be maintained on a regular basis to ensure provision of information related to future renewals (or ad-hoc assessments) can be performed in a timely manner

At  
2 & 4  
Years

## Gap Analysis

- Approximately 4-6 months prior to expiry, manufacturer should engage with any CAPSS test lab
- Manufacturers to provide a change log of the product since initial evaluation
- 2 day (indicative) impact assessment carried out by test lab against SC version originally tested against
- A gap analysis to identify any fundamental changes to the product and/or development processes at 2 years compared to initial evaluation will be performed by the test lab
- Evidence to be provided by the manufacturer as per gap analysis results
- Recommendation of what type of intervention (e.g. minor doc review/audit, partial re-evaluation testing/full re-evaluation testing) to be provided by the test lab. (see CAPSS Lifecycle 2 Page for example outcomes)
- NPSA Panel review of Test House report
- If no significant issues reported NPSA trademark will be awarded for a further 2 years (against the Security Characteristic assessed)
- If significant issues reported, a full (or partial) re-assessment may be required

6  
Years

## Full Re-evaluation

- Product is deemed end-of-life – Product is subject to a full re-evaluation (this maybe a partial evaluation depending on circumstances)



# CAPSS Lifecycle 2 – An example of renewal

A company has been awarded CAPSS 2021 accreditation, it is now renewal time in 2023

## Scenario 1

- Test lab will assess Manufacturers change log using CAPSS 2021 SC and original TSC
- After assessment, no major changes or issues are found
- Manufacturer awarded a further 2 year renewal until 2025. The Manufacturer will retain the CAPSS 2021 Trademark

## Scenario 2

- Test lab will assess Manufacturers change log using CAPSS 2021 SC and original TSC
- After assessment, some specific change(s) to the product are identified that are deemed by NPSA to require further physical testing or in depth documentation checks
- Further specific tests are carried out by the Test lab against only the issues identified and successfully passed
- Manufacturer awarded a further 2 year renewal until 2025. The Manufacturer will retain the CAPSS 2021 Trademark

## Scenario 3

- Test lab will assess Manufacturers change log using CAPSS 2021 SC and original TSC
- After assessment, some changes to the product are identified that require further physical testing or in depth documentation checks OR manufacturer requests to be tested against the latest SC e.g. CAPSS 2023
- A partial (or potentially full) re-evaluation will be undertaken by the Test Lab
- Manufacturer awarded a new CAPSS 2023 trademark and clock is reset to 0





# Trademarking

1

Manufacturers who undertake a successful CAPSS evaluation will receive a CAPSS 20xx Trademark and associated wording for the specific product that was tested

2

Terms and conditions of use of the Trademark will be provided after a successful evaluation

3

Manufacturers may be subject to ad hoc assessments after an evaluation to ensure that evidence presented during the evaluation is still valid and in active use. NPSA will fund any confirmation testing required but manufacturers would be expected to provide any necessary equipment


4

A manufacturers NPSA Trademark may be revoked if NPSA terms and conditions as described in the Manufacturers Agreement are breached or it is found that evaluated processes are being intentionally contravened or ignored




# Who provides what?

## • MANUFACTURER

- 
- The manufacturer is required to submit their own hardware/software
  - The manufacturer will also have to submit representative devices (if using an IP protocol) / or details of the protocols for those devices (if using another protocol). E.g. CCTV Camera, PIDS controller, IDS PIR, SMS, AACS door controller

## TEST LAB

- 
- Test Labs would provide simulators (such as RS232/RS485)
  - Any tools specific to verification testing
  - A representative “small” corporate network

