CFCF Terminal and Acquirer Certification Policy based on nexo Specifications

Annex 1

CFCF Certification Administrative Process

Version 3.2, November 2021

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1 Glossary, abbreviations and references

The current document is the annex 1 of the “CFCF Terminal and Acquirer Certification Policy based on nexo Specifications” referred hereafter as [CFCF Policy] describing in detail the administrative processes to be provided by the Certification Body.

For information on definitions please refer to the Glossary section (section 1) of the [CFCF Policy].

For information on abbreviations please refer to the Abbreviations section (section 2) of the [CFCF Policy].

For information on reference documents please refer to the References section (section 3) of the [CFCF Policy].

2 Introduction and Scope of the document

The goal of the present document is to describe the certification administrative process applicable to certify the compliance of POI and ACQ with the nexo Implementation Specification (nexo IS) and its related reference documents, as listed in [CFCF references].

As it describes in detail the certification phase of the CFCF Evaluation and Certification process, the present document is an annex of the [CFCF Policy] document where it is referred as [CFCF Process].

As described in [CFCF Policy], the present document is applicable to the functional certification of POI applications (POI) and Acquirer Host applications (ACQ).

3 General Organisation of the CFCF Certification Process

The CFCF Evaluation and Certification flow works as described as follows:

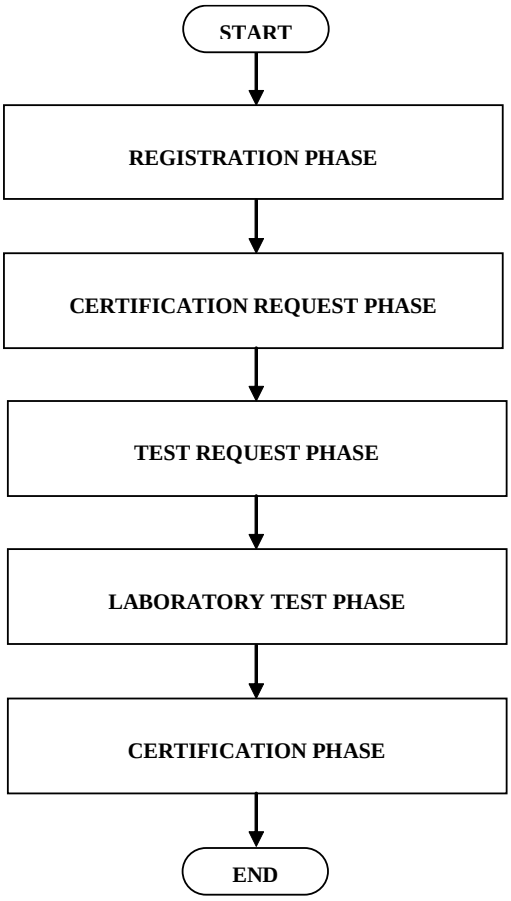


Figure 1 : Certification Process

4 Step by Step Certification Process

The present chapter will detail the different phases of the Certification process as identified in the Figure 1 (§3). This process is defined in a generic form and will be implemented by the Certification Bodies in agreement with the CFCF Consortium.

4.1 Registration phase

The vendor chooses one of the Certification Bodies accredited by the CFCF Certification Consortium as listed on the CFCF website www.cfcf.eu .

The Vendor contacts its Certification Body in order to receive the necessary information about how to get a Certificate and receives a list of accredited Test Laboratories. This information will also be available on the CFCF website.

The Certification Body provides the Certification agreement to be signed by the Vendor. At least, this agreement should define the following items:

- Reference to the above mentioned valid contractual agreement
- The conditions applied for Certification :
    - Signature of a Certification agreement
    - Signature of a Certification request including a signed ICS
    - Presentation to the Certification Body of a valid test report from a Test Laboratory. The Test report is valid, if it is submitted to the Certification Body less than 30 days after the test report issuance by the Test Laboratory.
    - Notification of a compliance statement to the nexo IS of the Certification Body after its assessment of the conformity of the Certification Object.
    - Payment of the Certification fees to the Certification Body by the Certification Applicant (e. g the vendor).
- Scope of the Certification
    - The scope of Certification is to record that, at a given time, a product technically conforms to the specification defined in [CFCF references]. As it is a “Type Certification” or “Certification based on the test results carried out on one sample or on a limited number of products”, the CFCF Certificate shall not constitute a commitment of the Certification Body as to the conformity or the quality of the Certification Object or its manufacturing process, as the Certification Object is developed and manufactured under the vendor's exclusive responsibility.

- The issuance of the Certificate by the Certification Body shall neither constitute a public, official, regulatory, private or collective trademark nor an approval.

- Therefore issuance of the Certificate by the Certification Body does not give any entitlement as such to the Vendor or any other of its contracting entity to deploy or use the Certification Object.

- Certification applicant's obligations

  - The Certification applicant commits to respect the CFCF Certification methodology defined in the [CFCF Policy], [CFCF Evaluation] and [CFCF Process] documents.

  - The Vendor commits to respect the confidentiality of the information exchanged and authorizes the Certification Body to use this information if it is necessary for the Certification purpose especially the information provided by the Test Laboratory.

  - The Certification applicant commits to authorize the publication of the Certificates

  - The Vendor will take appropriate actions to guarantee that the Certified product continues to fulfil the CFCF product requirements and will ask for re-testing if nexo IS relevant changes are performed. It is up to the Certification Applicant to assess whether the changes of the implementation are relevant.

- Certification Body's obligations

  - The Certification Body commits to respect the CFCF Certification methodology defined in the [CFCF Policy], [CFCF Evaluation] and [CFCF Process] documents.

  - The Certification Body commits to apply the same Product Certification agreement to all Certification Applicants.

  - The Certification Body commits to respect the confidentiality of the information exchanged during the Certification process unless agreed otherwise with the applicant.

Once a Certification agreement is signed, the vendor is considered registered and can be referred to as the Certification Applicant. This phase should be carried out only once, before the very first Certification request to be submitted by the Vendor.

The Vendor will also agree with a Test Laboratory about the quotation, the terms and conditions of the evaluation to be carried out, making sure that the Test Laboratory has been authorised by the Certification Body with whom a Certification agreement has been signed.

This arrangement between the Vendor and the Test Laboratory will define conditions of the compliance Testing. The terms and conditions of this contract will be set up freely by the vendor and the test laboratory within the respect of the methodology defined in the [CFCF Policy], [CFCF Evaluation], [CFCF Process] documents.

4.2 Certification request phase

The Certification request submission phase shall be executed as follows and shall be documented in the Certification Body's procedures in accordance with the following requirements:

The Certification applicant submits a written Certification request by following the Certification Body's requirements as well as a filled and signed ICS to the Certification Body. The Certification request shall mention that the Certification applicant and the Certification Body commit to apply the terms and conditions defined in the product Certification agreement they have signed previously (cf §4.1).

The ICS contains information about the product identification and implementation that shall be validated by the Test Laboratory chosen to test the Product .

If the vendor requests exceptions or deviations from the reference specifications prior to the Evaluation of the products these exceptions or deviations shall be thoroughly detailed in the ICS and must be submitted to the Certification Committee for validation. In case they cannot be accepted by the Certification Committee the Certification Body informs the Certification applicant who will update the ICS accordingly and/or modify its product specifications.

The Certification Body verifies the consistency of the information contained in the ICS and assigns a unique Certification Number and an ICS number to the Vendor using the following rules:

- CFCF Certification number format : CCC.LLL.VVV.POI.NNN.YYMM0001

where

CCC = Certification Body identifier (*for example PAY = PayCert; VOB=VÖB….*)

LLL = Test Lab identifier (*for example ELI= ELITT, VZP = VÖBZVD….*)

VVV = Vendor identifier

POI = terminal ICS or ACQ = Acquirer Host ICS

NNN = neco IS specification version (*for example nexo IS 3.2 = 320)*

YYMMnnnn = diversifier (YY : registration year; MM: registration month, nnnn : occurrence (digits) – *for example : 15040001*)

- ICS Number = Certification Number + one letter to identify the version of the ICS

*For example: CCC.LLL.VVV.POI.NNN.YYMM0001**A** (letter A to identify the 1st version of the ICS)*

If everything is coherent the Certification Body validates the ICS and notifies its validation to the Certification Applicant and to the Test Laboratory. In case of inconsistency in the ICS, the Certification Body returns it to the vendor for correction, and copy it to the test laboratory identified in the ICS.

Once the Certification request is received and the ICS is validated, the Certification request phase is completed. The Certification Body waits for the results to resume the Certification process.

4.3 Test request phase

The vendor requests testing from an accredited Test Laboratory. The validated ICS will specify to the Test Laboratory which Certification Body will be evaluating the Test results for Certification.

The test request can take place at any time before the Test phase (cf §4.4) nevertheless it is recommended to schedule the test request submission following the Certification request submission since the Test Laboratory shall use an ICS as referenced in the [CFCF References] validated by the Certification Body (cf §4.2).

The test request submission phase is described in detail in the [CFCF Evaluation] document.

4.4 Laboratory Test Phase

The Test phase will be composed of test cases selected in the Test Specification based on the product implementation as described in the ICS. This phase, as well as the edition of the test report and the technical advice, are described in detail in the [CFCF Evaluation] document.

After completing the test phase, the Vendor sends a complete test report and the technical advice, in case of non-compliance, to the Certification Body or the test laboratory sends both documents, on behalf of the Vendor, who will also receive a copy.

4.5 Certification

The Certification Body reviews all the elements participating in the compliance of the Certification Object with the requirements specified in the nexo IS specification. This means

that the Laboratory's Test Report and technical advice, the scope and level of implementation, and specific discrepancies' impact, if there is any, will be taken into consideration to assess the compliance of the Product.

4.5.1 Evaluation of the compliance

The Certification Body shall assign at least one person to review all information and results related to the Evaluation. The review shall be carried out by person(s) who have not been involved in the evaluation process.

The Certification Body produces a Certification report that contains or links to:

- A complete identification of the product or system, scope, specifications and Certification conditions as described in the ICS (e.g. Certification evaluation date…)
- Details on the evaluation conclusions and compliance analysis on all eventual encountered discrepancies including those about discrepancies that must be eliminated in order to meet the Certification criteria,
- If necessary, proposition of corrections and additional tests and evaluations to plan in order to meet the Certification criteria,

The Certification report shall be adapted for each type of Certification Object to be certified in corresponding process instructions.

4.5.2 Decision of Certification

The Certification Body shall assign at least one expert or a group of experts of the Certification Body to take the Certification decision based on all information related to the evaluation, its review, and any other relevant information. The Certification decision shall be carried out by a person or group of persons that has not been involved in the process for evaluation of compliance.

The evaluation of compliance by the Certification Body and decision of Certification shall not be carried out by the same person.

The process of decision leading to grant (or not) the Certification to a Certification object or system shall be documented for each type of product in the Certification Body's procedures.

The Certification decisions will be submitted to the Certification Committee to evidence that the Certification process has been correctly followed, to assess the impartiality of the decision.

If the decision is not favourable to grant a Certification, the Certification Body informs the Vendor about the decision and justifies this decision in a written statement and by transmitting the Certification report and a copy to the Certification Committee.

In case the Vendor disagrees, he can choose to appeal the decision by sending a written notice, including data relevant for the Certification, to the Certification Body and to the Certification Committee.

The appeal will lead to convene a meeting or a conference call with the Certification Body and the Certification Committee in order that all parties can examine again the Certification file, including the Certification report and the additional data brought by the Vendor.

It is recommended to clarify open issues regarding the test results beforehand.

4.5.3 Certificate issuance

If the decision is favourable to the Certification of the Product, the Certification Body grants the Vendor a Certificate for that specific Certification Object.

The Certificate issued by the Certification Body is based on the template attached in the Annex 1 of the present document and contains the following information :

- Name, address and contact details of the Certification Body
- Certification Applicant's name, address and contact point
- Name of the product or system
- Type of certified product or system
- Name, version and dates of the specifications against which the product or system has been certified
- Applications, protocols and other functions supported
- Reference to the Test phase (version of the test plan, final date of the testing, version and date of the test report, identification of the test laboratory)
- Terms and conditions and non-responsibility statement of the Certification Body
- Expiry date of the Certificate
- Rule for maintenance of the Certificate after the expiry date included mandates to follow the rule.
- Certification Body's signature
- The validated ICS will be attached as an annex to the Certificate

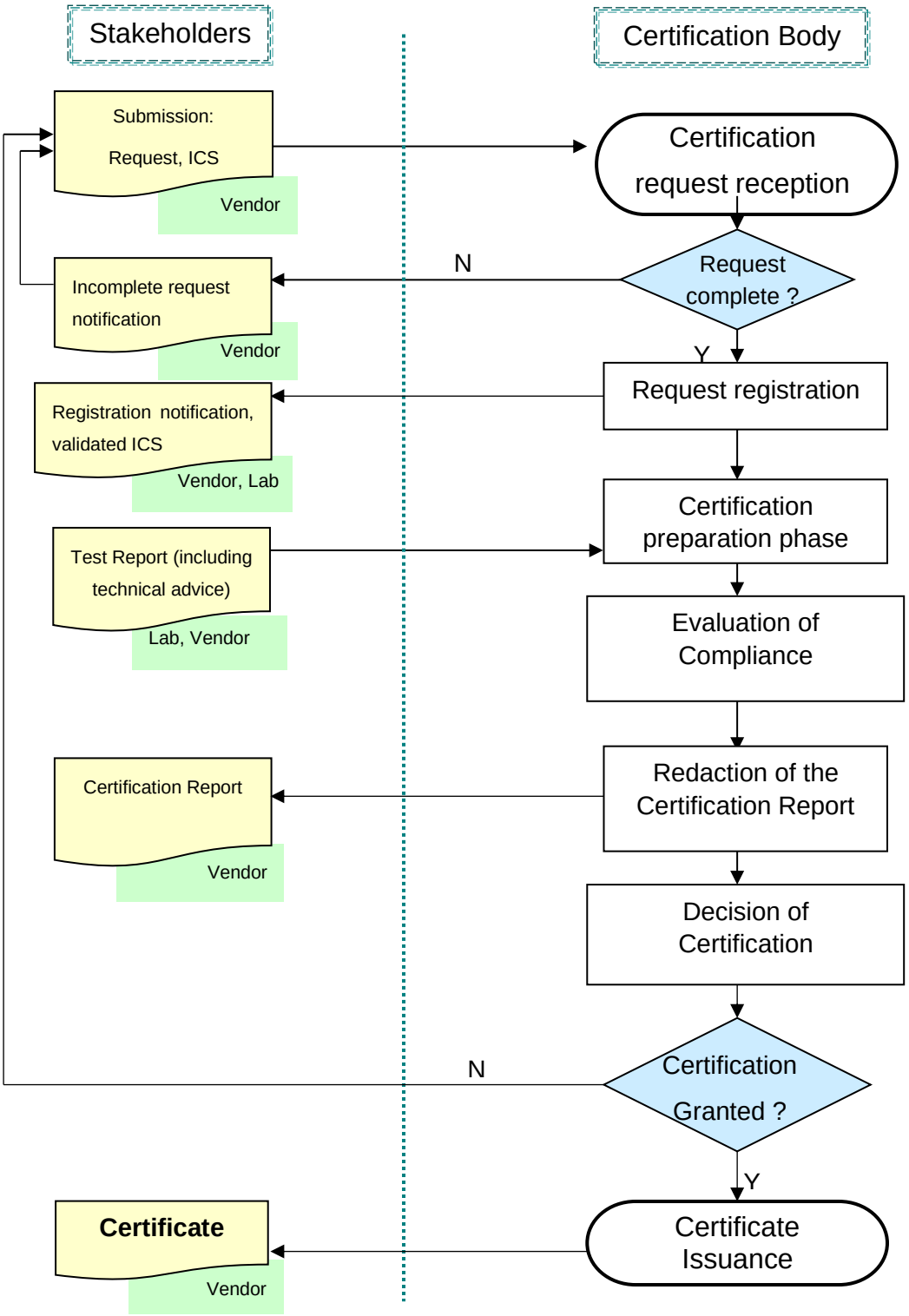
The Certificate will be sent, alongside with the Certification report, to the Certification Applicant and copied to the Certification Committee.

5 Publication of the CFCF Certificates

All certified products shall be published on a list of certified Products available without restriction on the CFCF website. Such a list is maintained by the Certification Bodies and all lists are monitored by the Certification Committee.

Certificates and ICS of Certified Products shall not be considered as confidential documents and can be presented upon request by Vendors, for example if requested by a Certification Body.

6 Flowchart of the CFCF Certification Process



7 Life cycle and maintenance of the CFCF Certification

7.1 Validity of Certificates

For Certificates a maximal validity period of 2 years is defined.

7.2 Renewal of CFCF Certificates

In case the Vendor wants to renew an expiring Certificate, without having changes the Product, he shall contact the Certification Body and submit an ICS as detailed in chapter §4.2 and indicate in the request “renewal of CFCF Certificate” with the reference of the original Certificate.

The Certification Body will process the request and may request additional elements from the vendor (original CFCF evaluation report, Certification report...) in order to determine if further evaluation is requested.

Alongside with the ICS validation, the Certification Body will notify the Certification Applicant if an evaluation is necessary.

The remaining phases of the Certification process will be carried out as described in chapters §4.3, §4.4 and §4.5.

The validity period for a renewed Certificate is 1 year.

7.3 Change Management Policy for CFCF Certificates

At this stage of the CFCF roll-out, the issuance of Certificates for certified products subject to light modifications is not considered.

The change management policy for Certificates will be available in a further version of the document.

7.4 Withdrawal of a Certificate

In case of serious interoperability issues the Certification Body and Certification Committee may decide to withdraw a Certificate before its expiration date.

If a Certification has been withdrawn the Certification Body shall take the following actions specified hereafter to ensure it provides no indication that the Product continues to be certified:

- Update the Certification Report and the directory of certified product accordingly
- Un-publish the Certified Product from the CFCF web site
- Confirm the withdrawal to the Certification Committee
- Confirm to the Vendor that the Product’s Certification has been withdrawn.

ANNEX A

Template for a CFCF Certificate based on nexo implementation specifications :

Certification Body:

[Certification Body Name & Address]

Reference of the Letter: *[Unique id]*

[Name and Address of the Certification Applicant]

CFCF Functional Certificate –** [POI/ACQ] **application

Certificate Number: *[Certificate Number]*

Product/System name: *[Product/System marketing name]*

Compliant with: *[Specification Reference]*

Dear *[Title] [Vendor Representative]*,

The CFCF Certification Body *[CB Name]* has received a request, submitted by *[Vendor Name]*, your company, for the Certification of the *[POI/ACQ]* application *[Product/System name and version]*, hereafter referred to as the Product and identified above as *[Product/System marketing name]*.

In connection with your request, we have received your Implementation Conformance Statement (ICS), referred to as *[Unique Reference of the ICS]*, and we have assessed your Test Report (ref. *[Unique Test Report Reference]*), which was generated by *[Evaluation Laboratory]*, following the Test Plan *[Unique Test Plan Reference]*.

Based on these elements, *[CB name]* has found reasonable evidence that the submitted samples of the Product complies with the *[Specification reference]*.

[CB name] hereby grants the Product Certification of compliance with the requirements stated by *[Specification reference]*, and will include your Product in the certified products list, published on CFCF website (www.cfcf.eu).

Please note that the present Certification is subject to the following terms and conditions as listed in the CFCF Certification Framework.

- The present Certification is granted on the basis of the CFCF Certification Policy and therefore is valid as of today and will expire on the *[Expiration date DD/MM/YYYY]*.

- With regard to this certification, neither CFCF nor *[CB name]* as the Certification Body do accept any liability for direct or indirect losses, caused by operating the Product in the field.
- If the Product is changed, *[The Vendor]* must notify *[CB name]* of this fact in writing. Any change in the Product that may generate a different behaviour with respect to *[Specification reference]* or a difference in the Product Implementation Conformance Statement will be considered a major modification subject to a new compliance assessment.
- The Present Certification granted to *[The Vendor]* for the above referenced Product is non-transferable to any other vendor.
- *[CB name]* has the right to terminate or revoke the Certification should any of the aforementioned terms and conditions be not respected.

Name: *[CB Signee]*

Title: *[CB Signee Title]*

Signature: