

# MultiApp V3 eTravel EAC v2.0 BAC Security Target

## UPDATES

| Date      | Author  | Modification                      |
|-----------|---------|-----------------------------------|
| 27 Jan 14 | Gemalto | Creating from evaluated ST (V1.3) |

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### 1. ST INTRODUCTION

#### 1.1 ST IDENTIFICATION

|                         |   |
|-------------------------|---|
| Title:                  | MultiApp v3 eTravel BAC Security Target                                   |
| Version:                | 1.3p  |
| ST reference:           | ST_D1184310   |
| Origin:                 | Gemalto   |
| Product identification: | Etravel EAC V2.0 on MultiApp V3   |
| Security Controllers:   | M7820 A11 SLE78CLX1600P   |
| TOE identification:     | eTravel EAC v2.0 & SAC  |
| TOE documentation:      | Operational User Guidance [OPE_MRTD]<br>Preparative procedures [PRE_MRTD] |

The TOE identification is provided by the Card Production Life Cycle Data (CPLCD) of the TOE, located in OTP and in EEPROM. These data are available by executing a dedicated command.

The TOE and the product differ, as further explained in §1.5. The TOE is the eTravel EAC v2.0 application on MultiApp v3.

- The MultiApp v3 product also includes 2 applets in ROM.

| CPLC field                     | Length | Value   |
|--------------------------------|--------|---|
| IC Fabricator                  | 2      | IFX   |
| IC Type                        | 2      | M7820 A11   |
| Operating System Identifier    | 2      | n.a.  |
| Operating System release date  | 2      | n.a.  |
| Operating System release level | 2      | n.a.  |
| IC Fabrication Date            | 2      | n.a.  |
| IC Serial Number               | 4      | Unique identification of the chip written by the ICC Manufacturer |
| IC Batch Identifier            | 2      | n.a.  |
| IC Module Fabricator           | 2      | n.a.  |
| IC Module Packaging Date       | 2      | n.a.  |
| ICC Manufacturer               | 2      | 'Gemalto'   |
| IC Embedding Date              | 2      | n.a.  |
| IC Pre-personalizer            | 2      | 'Gemalto'   |
| IC Pre-personalization Date    | 2      | n.a.  |

| CPLC field                                  | Length | Value |
|---|--------|-------|
| IC Pre-personalization Equipment Identifier | 4      | n.a.  |
| IC Personalizer                             | 2      | n.a.  |
| IC Personalization Date                     | 2      | n.a.  |
| IC Personalization Equipment Identifier     | 4      | n.a.  |

**Table 1: Card Production Life Cycle Data**

IT Security Evaluation scheme      Serma Technologies  
IT Security Certification scheme    Agence Nationale de la Sécurité des Systèmes d'Information (ANSSI)

### 1.2 ST OVERVIEW

The ST is based on Protection Profile *Machine Readable Travel Document with "ICAO Application", Basic Access Control* [PP-MRTD-BAC].

The Target of Evaluation (TOE) is the contactless integrated circuit chip of machine readable travel documents (MRTD's chip) based on the requirements of the International Civil Aviation Organization (ICAO). More specifically the TOE consists of operating system of MRTD's chip with ICAO application. The TOE is programmed according to Logical Data Structure as defined in [ICAO-9303].

This Security Target defines the security requirements for the TOE. The main security objective is to provide the secure enforcing functions and mechanisms to maintain the integrity and confidentiality of the MRTD application and data during its life cycle.

The Multiapp V3 product is an open platform.[ST-Platform].

The main objectives of this ST are:

- To introduce TOE and the MRTD application,
- To define the scope of the TOE and its security features,
- To describe the security environment of the TOE, including the assets to be protected and the threats to be countered by the TOE and its environment during the product development, production and usage.
- To describe the security objectives of the TOE and its environment supporting in terms of integrity and confidentiality of application data and programs and of protection of the TOE.
- To specify the security requirements which includes the TOE security functional requirements, the TOE assurance requirements and TOE security functions.

## 1.3 REFERENCES

### 1.3.1 External References

|               |   |
|---------------|---|
| [ASM-EAC]     | <i>Technical Guideline – Advanced Security Mechanisms for Machine Readable Travel Documents – Extended Access Control (EAC),</i><br>Version 1.0, TR-03110   |
| [BIO]         | <i>BIOMETRICS DEPLOYMENT OF MACHINE READABLE TRAVEL DOCUMENTS,</i><br>Technical Report, Development and Specification of Globally Interoperable Biometric Standards for Machine Assisted Identity Confirmation using Machine Readable Travel Documents,<br>Version 2.0, ICAO TAG MRTD/NTWG, 21 May 2004 |
| [CC-1]        | Common Criteria for Information Technology Security Evaluation<br>Part 1: Introduction and general model,<br>CCMB-2006-09-001, version 3.1 rev 4, September 2012  |
| [CC-2]        | Common Criteria for Information Technology Security Evaluation<br>Part 2: Security functional components,<br>CCMB-2007-09-002, version 3.1 rev 4, September 2012  |
| [CC-3]        | Common Criteria for Information Technology Security Evaluation<br>Part 3: Security assurance components,<br>CCMB-2007-09-003, version 3.1 rev 4, September 2012   |
| [CEM]         | Common Methodology for Information Technology Security Evaluation<br>Methodology<br>CCMB-2007-09-004, version 3.1 rev 3, July 2009  |
| [ST-IC]       | Either [ST-IC-M7820]  |
| [ST-IC-M7820] | ST of M7820 A11 SLE78CLX1600P - Rev. 1.6 - 28 August 2012   |
| [CR-IC]       | Either [CR-IC-M7820]  |
| [CR-IC-M7820] | Certification Report, BSI-DSZ-CC-0829-2012 (05-09-2012)   |
| [FIPS180-2]   | <i>Federal Information Processing Standards Publication 180-2 SECURE HASH STANDARD (+Change Notice to include SHA-224),</i><br>U.S. DEPARTMENT OF COMMERCE/National Institute of Standards and Technology,<br>2002 August 1   |
| [FIPS46-3]    | <i>Federal Information Processing Standards Publication FIPS PUB 46-3, DATA ENCRYPTION STANDARD (DES),</i><br>U.S. DEPARTMENT OF COMMERCE/National Institute of Standards and Technology,<br>Reaffirmed 1999 October 25   |
| [ISO15946-1]  | <i>ISO/IEC 15946: Information technology – Security techniques – Cryptographic techniques based on elliptic curves – Part 1: General,</i><br>2002   |
| [ISO15946-2]  | <i>ISO/IEC 15946: Information technology – Security techniques – Cryptographic techniques based on elliptic curves – Part 2: Digital Signatures,</i><br>2002  |
| [ISO15946-3]  | <i>ISO/IEC 15946: Information technology – Security techniques – Cryptographic techniques based on elliptic curves – Part 3: Key establishment,</i><br>2002   |
| [ISO7816]     | <i>ISO 7816, Identification cards – Integrated circuit(s) cards with contacts, Part 4: Organization, security and commands for interchange, FDIS2004</i>  |

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|               |  |
|---------------|--|
| [ISO9796-2]   | <i>ISO/IEC 9797: Information technology – Security techniques – Digital Signature Schemes giving message recovery – Part 2: Integer factorisation based mechanisms, 2002</i>   |
| [ISO9797-1]   | <i>ISO/IEC 9797: Information technology – Security techniques – Message Authentication Codes (MACs) – Part 1: Mechanisms using a block cipher, 1999</i>  |
| [ICAO-9303]   | 9303 Part 3 Vol 2 – ICAO Machine Readable Travel Document Third edition 2008   |
| [PKCS#3]      | <i>PKCS #3: Diffie-Hellman Key-Agreement Standard, An RSA Laboratories Technical Note, Version 1.4, Revised November 1, 1993</i>   |
| [PKI]         | <i>MRTD Technical Report, PKI for Machine Readable Travel Documents Offering ICC Read-Only Access</i><br>International Civil Aviation Organization<br>Version 1.1, October 01 2004   |
| [PP-IC-0035]  | <i>Smartcard IC Platform protection Profile</i><br>BSI-PP-0035   |
| [PP-MRTD-EAC] | Machine Readable Travel Document with „ICAO Application“, Extended Access Control with PACE (EAC PP)<br>BSI-CC-PP-0056-V2-2012 (Version 1.3.1, 22 <sup>th</sup> March 2012)  |
| [PP-MRTD-SAC] | Machine Readable Travel Document using Standard Inspection Procedure with PACE (PACE PP)<br>BSI-CC-PP-0068-V2-2011, Version 1.0, 2nd November 2011   |
| [PP-MRTD-BAC] | Common Criteria Protection Profile - Machine Readable Travel Document with ICAO Application, Basic Access Control<br>Bundesamt für Sicherheit in der Informationstechnik<br>BSI-PP-0055, version 1.10, 25 <sup>th</sup> March 2009 |
| [SS]          | <i>ANNEX to Section III SECURITY STANDARDS FOR MACHINE READABLE TRAVEL DOCUMENTS, Excerpts from ICAO Doc 9303, Part 1</i><br>Machine Readable Passports, Fifth Edition – 2003  |
| [TR-ECC]      | <i>Elliptic Curve Cryptography according to ISO 15946, Technical Guideline, TR-ECC, BSI, 2006</i>  |

### 1.3.2 Internal References

|               |   |
|---------------|---|
| [PRE_MRTD]    | D1144772 Preparative procedures - MultiApp v3 MRTD    |
| [OPE_MRTD]    | D1144771 Operational User Guidance - MultiApp v3 MRTD |
| [ST-BAC]      | D1191368 BAC Security Target - MultiApp V3            |
| [ST-Platform] | D1184308 JCS Security Target - MultiApp V3            |

### 1.4 ACRONYMS AND GLOSSARY

| Acr. | Term                           | Definition  |
|------|--------------------------------|---|
| AA   | Active Authentication          | Security mechanism defined in [PKI] option by which means the MTRD's chip proves and the inspection system verifies the identity and authenticity of the MTRD's chip as part of a genuine MRTD issued by a known State of organization. |
|      | Application note [PP-MRTD-EAC] | Optional informative part of the PP containing additional supporting information that is considered relevant or useful for the construction, evaluation, or use of the TOE (cf. CC part 1, section B.2.7).                              |

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|       |   |   |
|-------|---|---|
|       | Audit records   | Write-only-once non-volatile memory area of the MRTDs chip to store the Initialization Data and Pre-personalization Data.   |
|       | Authenticity  | Ability to confirm the MRTD and its data elements on the MRTD's chip were created by the issuing State or Organization  |
| BAC   | Basic Access Control                                  | Security mechanism defined in [PKI] by which means the MTRD's chip proves and the inspection system protect their communication by means of secure messaging with Basic Access Keys (see there).  |
| BIS   | Basic Inspection System                               | An inspection system which implements the terminals part of the Basic Access Control Mechanism and authenticates themselves to the MRTD's chip using the Document Basic Access Keys drawn from printed MRZ data for reading the logical MRTD.   |
|       | Biographical data (biodata)                           | The personalized details of the bearer of the document appearing as text in the visual and machine readable zones on the biographical data page of a passport book or on a travel card or visa. [SS]  |
|       | Biometric Reference Data                              | Data stored for biometric authentication of the MRTD holder in the MRTD's chip as (i) digital portrait and (ii) optional biometric reference data.  |
|       | Counterfeit   | An unauthorized copy or reproduction of a genuine security document made by whatever means. [SS]  |
| CSCA  | Country Signing Certification Authority               | Self-signed certificate of the Country Signing CA Public Key (K <sub>PU</sub> CSCA) issued by CSCA stored in the inspection system.   |
| CPLCD | Card Production Life Cycle Data                       | The TOE identification is provided by the Card Production Life Cycle Data (CPLCD) of the TOE, located in OTP and in EEPROM. These data are available by executing a dedicated command   |
| CVCA  | Country Verifying Certification Authority             | The Country Verifying Certification Authority enforces the privacy policy of the issuing Country or Organization with respect to the protection of sensitive biometric reference data stored in the MRTD. The CVCA represents the country specific root of the PKI of Inspection Systems.   |
| DH    | Diffie-Hellman Key Agreement Algorithm                | Algorithm for Chip Authentication protocol  |
| DV    | Document Verifier                                     | The Document Verifier enforces the privacy policy of the receiving Country with respect to the protection of sensitive biometric reference data to be handled by the Extended Inspection Systems. The DV manages the authorization of the Extended Inspection Systems for the sensitive data of the MRTD in the limits provided by the Issuing State or Organization in form of the Document Verifier Certificates. |
| EC-DH | Elliptic Curve Diffie-Hellman Key Agreement Algorithm | Algorithm for Chip Authentication protocol  |
|       | Document Basic Access Keys                            | Pair of symmetric Triple-DES keys used for secure messaging with encryption (key $K_{ENC}$ ) and message authentication (key $K_{MAC}$ ) of data transmitted between the MRTD's chip and the inspection system [PKI]. It is drawn from the printed MRZ of the passport book to authenticate an entity able to read the printed MRZ of the passport book.  |
| SOD   | Document Security Object                              | A RFC3369 CMS Signed Data Structure, signed by the Document Signer (DS). Carries the hash values of the LDS Data Groups. It is stored in the MRTD's chip. It may carry the Document Signer Certificate (CDS). [PKI]   |
|       | Eavesdropper  | A threat agent with moderate attack potential reading the communication between the MRTD's chip and the inspection system to gain the data on the MRTD's chip.  |



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|     |                               |  |
|-----|-------------------------------|--|
|     | Enrolment                     | The process of collecting biometric samples from a person and the subsequent preparation and storage of biometric reference templates representing that person's identity. [BIO]   |
| EAC | Extended Access Control       | Security mechanism identified in [PKI] by which means the MTRD's chip (i) verifies the authentication of the inspection systems authorized to read the optional biometric reference data, (ii) controls the access to the optional biometric reference data and (iii) protects the confidentiality and integrity of the optional biometric reference data during their transmission to the inspection system by secure messaging. The Personalization Agent may use the same mechanism to authenticate themselves with Personalization Agent Authentication Private Key and to get write and read access to the logical MRTD and TSF data. |
| EIS | Extended Inspection System    | The EIS in addition to the General Inspection System (GIS) (i) implements the Terminal Authentication Protocol and (ii) is authorized by the issuing State or Organization through the Document Verifier of the receiving State to read the sensitive biometric reference data.  |
|     | Forgery                       | Fraudulent alteration of any part of the genuine document, e.g. changes to the biographical data or the portrait. [SS]   |
| GIS | General Inspection System     | The GIS is a Basic Inspection System (BIS) which implements additional the Chip Authentication Mechanism.  |
|     | Global Interoperability       | The capability of inspection systems (either manual or automated) in different States throughout the world to exchange data, to process data received from systems in other States, and to utilize that data in inspection operations in their respective States. Global interoperability is a major objective of the standardized specifications for placement of both eye-readable and machine readable data in all MRTDs. [BIO]   |
|     | IC Dedicated Support Software | That part of the IC Dedicated Software (refer to above) which provides functions after TOE Delivery. The usage of parts of the IC Dedicated Software might be restricted to certain phases.  |
|     | IC Dedicated Test Software    | That part of the IC Dedicated Software (refer to above) which is used to test the TOE before TOE Delivery but which does not provide any functionality thereafter.   |
|     | Impostor                      | A person who applies for and obtains a document by assuming a false name and identity, or a person who alters his or her physical appearance to represent himself or herself as another person for the purpose of using that person's document. [SS]   |
|     | Improperly Documented person  | A person who travels, or attempts to travel with: (a) an expired travel document or an invalid visa; (b) a counterfeit, forged or altered travel document or visa; (c) someone else's travel document or visa; or (d) no travel document or visa, if required. [BIO]   |
|     | Initialisation Data           | Any data defined by the TOE Manufacturer and injected into the non-volatile memory by the Integrated Circuits manufacturer (Phase 2). These data are for instance used for traceability and for IC identification as MRTD's material (IC identification data).   |
|     | Inspection                    | The act of a State examining an MRTD presented to it by a traveler (the MRTD holder) and verifying its authenticity. [BIO]   |
| IS  | Inspection system             | A technical system used by the border control officer of the receiving State (i) examining an MRTD presented by the traveller and verifying its authenticity and (ii) verifying the traveller as MRTD holder.  |
| IC  | Integrated circuit            | Electronic component(s) designed to perform processing and/or memory functions. The MRTD's chip is a integrated circuit.   |
|     | Integrity                     | Ability to confirm the MRTD and its data elements on the MRTD's chip have not been altered from that created by the issuing State or Organization  |

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|      |                                       |   |
|------|---------------------------------------|---|
|      | Issuing Organization                  | Organization authorized to issue an official travel document (e.g. the United Nations Organization, issuer of the Laissez-passer). [ICAO-9303]  |
|      | Issuing State                         | The Country issuing the MRTD. [ICAO-9303]   |
| LDS  | Logical Data Structure                | The collection of groupings of Data Elements stored in the optional capacity expansion technology [ICAO-9303]. The capacity expansion technology used is the MRTD's chip.   |
|      | Logical MRTD                          | Data of the MRTD holder stored according to the Logical Data Structure (LDS) as specified by ICAO on the contactless integrated circuit. It presents contactless readable data including (but not limited to) personal data of the MRTD holder (1) the digital Machine Readable Zone Data (digital MRZ data, EF.DG1), (2) the digitized portraits (EF.DG2), (3) the biometric reference data of finger(s) (EF.DG3) or iris image(s) (EF.DG4) or both and (4) the other data according to LDS (EF.DG5 to EF.DG16). |
|      | Logical travel document               | Data stored according to the Logical Data Structure as specified by ICAO in the contactless integrated circuit including (but not limited to) (1) data contained in the machine-readable zone (mandatory), (2) digitized photographic image (mandatory) and (3) fingerprint image(s) and/or iris image(s) (optional).   |
| MRTD | Machine readable travel document      | Official document issued by a State or Organization which is used by the holder for international travel (e.g. passport, visa, official document of identity) and which contains mandatory visual (eye readable) data and a separate mandatory data summary, intended for global use, reflecting essential data elements capable of being machine read. [ICAO-9303]   |
| MRV  | Machine readable visa                 | A visa or, where appropriate, an entry clearance (hereinafter collectively referred to as visas) conforming to the specifications contained herein, formulated to improve facilitation and enhance security for the visa holder. Contains mandatory visual (eye readable) data and a separate mandatory data summary capable of being machine read. The MRV is normally a label which is attached to a visa page in a passport. [ICAO-9303]   |
| MRZ  | Machine Readable Zone                 | Fixed dimensional area located on the front of the MRTD or MRP Data Page or, in the case of the TD1, the back of the MRTD, containing mandatory and optional data for machine reading using OCR methods. [ICAO-9303]  |
|      | Machine-verifiable biometrics feature | A unique physical personal identification feature (e.g. an iris pattern, fingerprint or facial characteristics) stored on a travel document in a form that can be read and verified by machine. [SS]  |
|      | MRTD administrator                    | The Issuing State or Organization which is allowed to perform administrative commands (update data of the MRTD application, invalidation of the application) in the phase 4 Operational Use.  |
|      | MRTD application                      | Non-executable data defining the functionality of the operating system on the IC as the MRTD's chip. It includes:<br>-the file structure implementing the LDS [ICAO-9303],<br>the definition of the User Data, but does not include the User Data itself (i.e. content of EF.DG1 to EF.DG14 and EF.DG16),<br>- the TSF Data including the definition the authentication data but except the authentication data itself.   |
|      | MRTD Basic Access Control             | Mutual authentication protocol followed by secure messaging between the inspection system and the MRTD's chip based on MRZ information as key seed and access condition to data stored on MRTD's chip according to LDS.   |
|      | MRTD holder                           | The rightful holder of the MRTD for whom the issuing State or Organization personalized the MRTD.   |
|      | MRTD's Chip                           | A contactless integrated circuit chip complying with ISO/IEC 14443 and ICAOT, [10], p. 14. programmed according to the Logical Data Structure as specified by ICAOT, [10], p. 14.   |

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|     |  |   |
|-----|--|---|
|     | MRTD's chip Embedded Software                    | Software embedded in a MRTD's chip and not being developed by the IC Designer. The MRTD's chip Embedded Software is designed in Phase 1 and embedded into the MRTD's chip in Phase 2 of the TOE life-cycle.   |
|     | Optional biometric reference data                | Data stored for biometric authentication of the MRTD holder in the MRTD's chip as (i) encoded finger image(s) (EF.DG3) or (ii) encoded iris image(s) (EF.DG4) or (iii) both. Note that the European commission decided to use only finger print and not to use iris images as optional biometric reference data.  |
|     | Passive authentication                           | verification of the digital signature of the Document Security Object comparison the hash values of the read LDS data fields with the hash values contained in the Document Security Object.  |
|     | Personalization                                  | The process by which the portrait, signature and biographical data are applied to the document. [SS]  |
|     | Personalization Agent                            | The agent acting on the behalf of the issuing State or organisation to personalize the MRTD for the holder by (i) establishing the identity the holder for the biographic data in the MRTD, (ii) enrolling the biometric reference data of the MRTD holder i.e. the portrait, the encoded finger image(s) or (ii) the encoded iris image(s) and (iii) writing these data on the physical and logical MRTD for the holder. |
|     | Personalization Agent Authentication Information | TSF data used for authentication proof and verification of the Personalization Agent.   |
|     | Personalization Agent Authentication Key         | Symmetric cryptographic key used (i) by the Personalization Agent to prove their identity and get access to the logical MRTD according to the SFR FIA_UAU.4/BT FIA_UAU.6/BT and FIA_API.1/SYM_PT and (ii) by the MRTD's chip to verify the authentication attempt of a terminal as Personalization Agent according to the SFR FIA_UAU.4/MRTD, FIA_UAU.5/MRTD and FIA_UAU.6/MRTD.  |
|     | Physical travel document                         | Travel document in form of paper, plastic and chip using secure printing to present data including (but not limited to):<br>biographical data,<br>data of the machine-readable zone,<br>photographic image and<br>other data.   |
|     | Pre-personalization Data                         | Any data that is injected into the non-volatile memory of the TOE by the MRTD Manufacturer (Phase 2) for traceability of non-personalized MRTD's and/or to secure shipment within or between life cycle phases 2 and 3. It contains (but is not limited to) the Personalization Agent Key Pair.   |
|     | Pre personalized MRTD's chip                     | MRTD's chip equipped with pre-personalization data.   |
| PIS | Primary Inspection System                        | A inspection system that contains a terminal for the contactless communication with the MRTD's chip and does not implement the terminals part of the Basic Access Control Mechanism.  |
|     | Receiving State                                  | The Country to which the MRTD holder is applying for entry. [ICAO-9303]   |
|     | reference data                                   | Data enrolled for a known identity and used by the verifier to check the verification data provided by an entity to prove this identity in an authentication attempt.   |
|     | secondary image                                  | A repeat image of the holder's portrait reproduced elsewhere in the document by whatever means. [SS]  |

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|                                    |   |
|------------------------------------|---|
| secure messaging in encrypted mode | Secure messaging using encryption and message authentication code according to ISO/IEC 7816-4   |
| Skimming                           | Imitation of the inspection system to read the logical MRTD or parts of it via the contactless communication channel of the TOE without knowledge of the printed MRZ data.  |
| travel document                    | A passport or other official document of identity issued by a State or organization, which may be used by the rightful holder for international travel. [BIO]   |
| traveler                           | Person presenting the MRTD to the inspection system and claiming the identity of the MRTD holder.   |
| TSF data                           | Data created by and for the TOE, that might affect the operation of the TOE (CC part 1 [1]).  |
| Unpersonalized MRTD                | MRTD material prepared to produce an personalized MRTD containing an initialised and pre-personalized MRTD's chip.  |
| User data                          | Data created by and for the user, that does not affect the operation of the TSF (CC part 1 [1]).  |
| Verification                       | The process of comparing a submitted biometric sample against the biometric reference template of a single enrollee whose identity is being claimed, to determine whether it matches the enrollee's template. [BIO] |
| verification data                  | Data provided by an entity in an authentication attempt to prove their identity to the verifier. The verifier checks whether the verification data match the reference data known for the claimed identity.         |

### 1.5 TOE OVERVIEW

This Security Target defines the security objectives and requirements for the contact/contactless chip of machine readable travel documents (MRTD) based on the requirements and recommendations of the International Civil Aviation Organization (ICAO). It addresses the advanced security methods Basic Access Control and the Active Authentication specified in the Technical reports of 'ICAO Doc 9303' [ICAO-9303].

#### 1.5.1 TOE definition

The Target of Evaluation (TOE) is the contactless integrated circuit chip of machine readable travel documents (MRTD's chip) programmed according to the Logical Data Structure (LDS) [ICAO-9303] and providing the Basic Access Control according to the 'ICAO Doc 9303' [ICAO-9303].

In addition to [PP-MRTD-BAC], the TOE supports the active authentication as defined in [ICAO-9303].

The TOE comprises of at least

- the circuitry of the MRTD's chip (the integrated circuit, IC),
- the IC Dedicated Software with the parts IC Dedicated Test Software and IC Dedicated Support Software,
- the IC Embedded Software (operating system),
- the MRTD application and
- the associated guidance documentation.

#### 1.5.2 TOE usage and security features for operational use

A State or Organization issues MRTDs to be used by the holder for international travel. The traveler presents a MRTD to the inspection system to prove his or her identity. The MRTD in context of this security target contains (i) visual (eye readable) biographical data and portrait of the holder, (ii) a separate data summary (MRZ data) for visual and machine reading using OCR methods in the Machine readable zone (MRZ) and (iii) data elements on the MRTD's chip according to LDS for contactless machine reading. The authentication of the traveler is based on (i) the possession of a valid MRTD personalized for a holder with the claimed identity as given on the biographical data page and (ii) optional biometrics using the reference data stored in the MRTD.

The issuing State or Organization ensures the authenticity of the data of genuine MRTD's. The receiving State trusts a genuine MRTD of an issuing State or Organization.

For this security target the MRTD is viewed as unit of

- (a) the **physical MRTD** as travel document in form of paper, plastic and chip. It presents visual readable data including (but not limited to) personal data of the MRTD holder
  - (1) the biographical data on the biographical data page of the passport book,
  - (2) the printed data in the Machine Readable Zone (MRZ) and
  - (3) the printed portrait.
- (b) the **logical MRTD** as data of the MRTD holder stored according to the Logical Data Structure [ICAO-9303] as specified by ICAO on the contactless integrated circuit. It presents contactless readable data including (but not limited to) personal data of the MRTD holder
  - (1) the digital Machine Readable Zone Data (digital MRZ data, EF.DG1),
  - (2) the digitized portraits (EF.DG2),
  - (3) the optional biometric reference data of finger(s) (EF.DG3) or iris image(s) (EF.DG4) or both<sup>1</sup>
  - (4) the other data according to LDS (EF.DG5 to EF.DG16) and
  - (5) the Document security object.

The issuing State or Organization implements security features of the MRTD to maintain the authenticity and integrity of the MRTD and their data. The MRTD as the passport book and the MRTD's chip is uniquely identified by the Document Number.

---

<sup>1</sup> These additional biometric reference data are optional

The physical MRTD is protected by physical security measures (e.g. watermark on paper, security printing), logical (e.g. authentication keys of the MRTD's chip) and organizational security measures (e.g. control of materials, personalization procedures) [ICAO-9303]. These security measures include the binding of the MRTD's chip to the passport book.

The logical MRTD is protected in authenticity and integrity by a digital signature created by the document signer acting for the issuing State or Organization and the security features of the MRTD's chip.

The ICAO defines the baseline security methods Passive Authentication and the optional advanced security methods Basic Access Control to the logical MRTD, Active Authentication of the MRTD's chip, Extended Access Control to and the Data Encryption of additional sensitive biometrics as optional security measure in the ICAO Doc 9303 [ICAO-9303]. The Passive Authentication Mechanism and the Data Encryption are performed completely and independently of the TOE by the TOE environment.

This security target addresses the protection of the logical MRTD (i) in integrity by write-only-once access control and by physical means, and (ii) in confidentiality by the Basic Access Control Mechanism. This security target addresses the Active Authentication but does not address the Extended Access Control, both optional security mechanisms.

The Basic Access Control is a security feature which is mandatory supported by the TOE. The inspection system (i) reads optically the MRTD, (ii) authenticates itself as inspection system by means of Document Basic Access Keys. After successful authentication of the inspection system the MRTD's chip provides read access to the logical MRTD by means of private communication (secure messaging) with this inspection system [ICAO-9303], normative appendix 5.

### 1.5.3 Non-TOE hardware/software/firmware required by the TOE

There is no explicit non-TOE hardware, software or firmware required by the TOE to perform its claimed security features. The TOE is defined to comprise the chip and the complete operating system and application. Note, the inlay holding the chip as well as the antenna and the booklet (holding the printed MRZ) are needed to represent a complete MRTD, nevertheless these parts are not inevitable for the secure operation of the TOE.

## 1.6 TOE BOUNDARIES

*Application note: The TOE is the module designed to be the core of an MRTD passport. The TOE is a integrated circuit. The TOE is connected to an antenna and capacitors and is mounted on a plastic film. This inlay is then embedded in the coversheet or datapage of the MRTD passport and provides a contactless interface for the passport holder identification.*

The Target of Evaluation (TOE) is the integrated circuit chip of machine readable travel documents (MRTD's chip) programmed according to the Logical Data Structure [ICAO-9303] and [ASM-EAC] and providing:

- the Basic Access Control (BAC) according to the ICAO document [ICAO-9303]
- the Active Authentication (AA) mechanism according to the ICAO document [ICAO-9303]

*Application note: Additionally to the [PP-MRTD-BAC], the TOE has a set of administrative commands for the management of the product during the product life.*

The TOE comprises of:

- the circuitry of the MRTD's chip (the integrated circuit, IC),
- the IC Dedicated Software with the parts IC Dedicated Test Software and IC Dedicated Support Software,
- the IC Embedded Software (operating system),
- the MRTD application, and
- the associated guidance documentation.

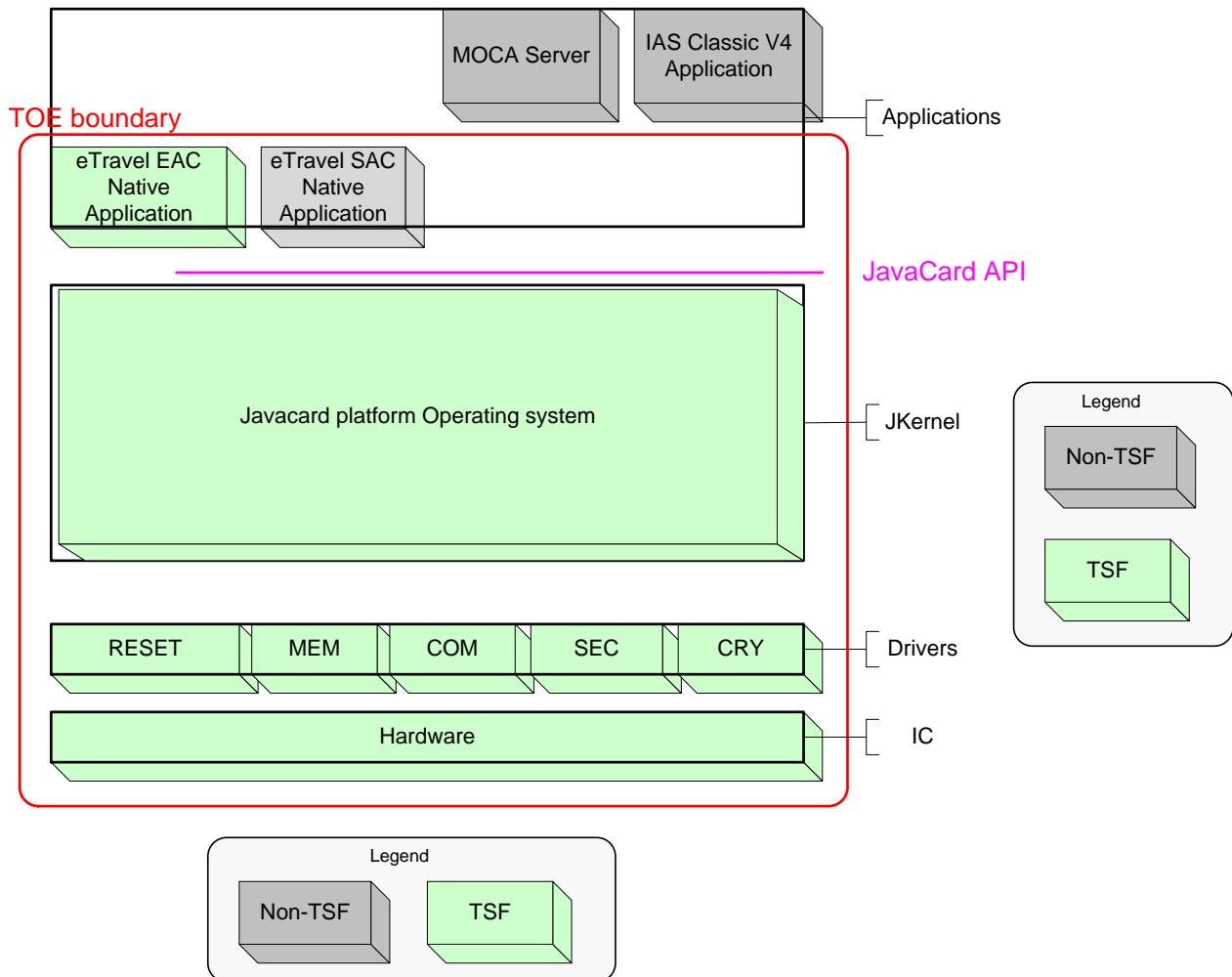
*Application note: Components within the TOE boundary are refined in the following manner:*

- the Integrated Circuit (IC),

## MultiApp V3: eTravel BAC Security Target

- the IC Dedicated Test Software,
- the IC Dedicated Support Software (Boot Rom Software, Mifare Operating System),
- the eTravel EAC V2.0 on MultiApp v3 Embedded Software (ES),
- the NVM Embedded Software,
- part of the MRTD Logical Data Structure,
- the guidance documentation of the eTravel EAC V2. on MultiApp v3 product:
  - the preparation guide (assurance family AGD-PRE),
  - the operational guide (assurance family AGD-OPE).

The eTravel EAC V2.0 on MultiApp v3 Embedded Software (ES) is implemented in the ROM of the chip. This ES provides mechanisms to load executable code into the non-volatile-memory of the chip (EEPROM). These mechanisms are included in the TOE and are part of the evaluation. The TOE is delivered to the Personalization Agent with data and guidance documentation in order to perform the personalization of the product. In addition the Personalization Key is delivered from the MRTD Manufacturer to the Personalization Agent or from the Personalization Agent to the MRTD Manufacturer.



**Figure 1: TOE Boundaries**

### 1.7 TOE INTENDED USAGE

State or organization issues MRTD to be used by the holder for international travel. The traveler presents a MRTD to the inspection system to prove his or her identity.

The MRTD in context of this security target contains:

- visual (eye readable) biographical data and portrait of the holder,
- a separate data summary (MRZ data) for visual and machine reading using OCR methods in the Machine readable zone (MRZ),
- data elements on the MRTD's chip according to [ICAO-9303] for contactless machine reading.

The authentication of the traveler is based on the possession of a valid MRTD personalized for a holder with the claimed identity as given on the biographical data page and biometrics using the reference data stored in the MRTD. The issuing State or Organization ensures the authenticity of the data of genuine MRTD's. The receiving State trusts a genuine MRTD of an issuing State or Organization.

For this security target the MRTD is viewed as unit of:

- the **physical MRTD** as travel document in form of paper, plastic and chip. It presents visual readable data including (but not limited to) personal data of the MRTD holder:
  - the biographical data on the biographical data page of the passport book,
  - the printed data in the Machine-Readable Zone (MRZ),
  - the printed portrait.
- the **logical MRTD** as data of the MRTD holder stored according to the Logical Data Structure [ICAO-9303] as specified by ICAO on the contactless integrated circuit. It presents contactless readable data including (but not limited to) personal data of the MRTD holder:
  - the digital Machine Readable Zone Data (digital MRZ data, EF.DG1),
  - the digitized portraits (EF.DG2),
  - the optional biometric reference data of finger(s) (EF.DG3) or iris image(s) (EF.DG4) or both
  - the other data according to LDS (EF.DG5 to EF.DG16),
  - the Document Security Object (SOD).

The issuing State or Organization implements security features of the MRTD to maintain the authenticity and integrity of the MRTD and their data. The MRTD as the passport book and the MRTD's chip is uniquely identified by the document number.

The physical MRTD is protected by physical security measures (e.g. watermark on paper, security printing), logical (e.g. authentication keys of the MRTD's chip) and organizational security measures (e.g. control of materials, personalization procedures) [SS]. These security measures include the binding of the MRTD's chip to the passport book.

This ST assumes that the issuing State or Organization uses EF.DG3 and/or EF.DG4 and protects these data by means of Extended Access Control.



### 1.8 TOE LIFE-CYCLE

#### 1.8.1 Four phases

The TOE life cycle is described in terms of the four life cycle phases:

##### Phase 1 “Development”:

The TOE is developed in phase 1. The IC developer develops the integrated circuit, the IC Dedicated Software and the guidance documentation associated with these TOE components.

The Embedded Software developer uses the guidance documentation for the integrated circuit and the guidance documentation for relevant parts of the IC Dedicated Software and develops the IC Embedded Software (operating system), the MRTD application and the guidance documentation associated with these TOE components.

The manufacturing documentation of the IC including the IC Dedicated Software and the Embedded Software in the non-volatile non-programmable memories (ROM) is securely delivered to the IC manufacturer. The IC Embedded Software in the nonvolatile programmable memories, the MRTD application and the guidance documentation is securely delivered to the MRTD manufacturer.

##### Phase 2 “Manufacturing”:

In a first step the TOE integrated circuit is produced containing the MRTD’s chip Dedicated Software and the parts of the MRTD’s chip Embedded Software in the nonvolatile non-programmable memories (ROM). The IC manufacturer writes the IC Identification Data onto the chip to control the IC as MRTD material during the IC manufacturing and the delivery process to the MRTD manufacturer. The IC is securely delivered from the IC manufacturer to the MRTD manufacturer.

The MRTD manufacturer has the following tasks:

- **Initialization:** adding the parts of the IC Embedded Software (NVM ES) to the EEPROM,
- **Pre-personalization:** creation of the MRTD application and equipping chip with Pre-personalization Data,

The following tasks are not part of the TOE manufacturing:

- **Inlay manufacturing:** packing the IC with hardware for the contactless interface.
- **Book manufacturing:** manufacturing the passport book.

The pre-personalized MRTD together with the IC Identifier is securely delivered from the MRTD manufacturer to the Personalization Agent. The MRTD manufacturer also provides the relevant parts of the guidance documentation to the Personalization Agent.

##### Phase 3 “Personalization of the MRTD”:

The personalization of the MRTD includes:

- the survey of the MRTD holder biographical data,
- the enrolment of the MRTD holder biometric reference data (i.e. the digitized portraits and the optional biometric reference data),
- the printing of the visual readable data onto the physical MRTD,
- the writing the TOE User Data and TSF Data into the logical MRTD,
- the writing the TSF Data into the logical MRTD and configuration of the TSF if necessary.

The step “writing the TOE User Data” is performed by the Personalization Agent and includes but is not limited to the creation of:

- the digital MRZ data (EF.DG1),
- the digitized portrait (EF.DG2),
- the Document security object (SOD).

The signing of the Document security object by the Document signer [PKI] finalizes the personalization of the genuine MRTD for the MRTD holder. The personalized MRTD (together with appropriate guidance for TOE use if necessary) is handed over to the MRTD holder for operational use.

##### Phase 4 “Operational Use”

The TOE is used as MRTD’s chip by the traveler and the inspection systems in the “Operational Use” phase. The user data can be read according to the security policy of the Issuing State or Organization and used according to the security policy of the Issuing State but they can never be modified.

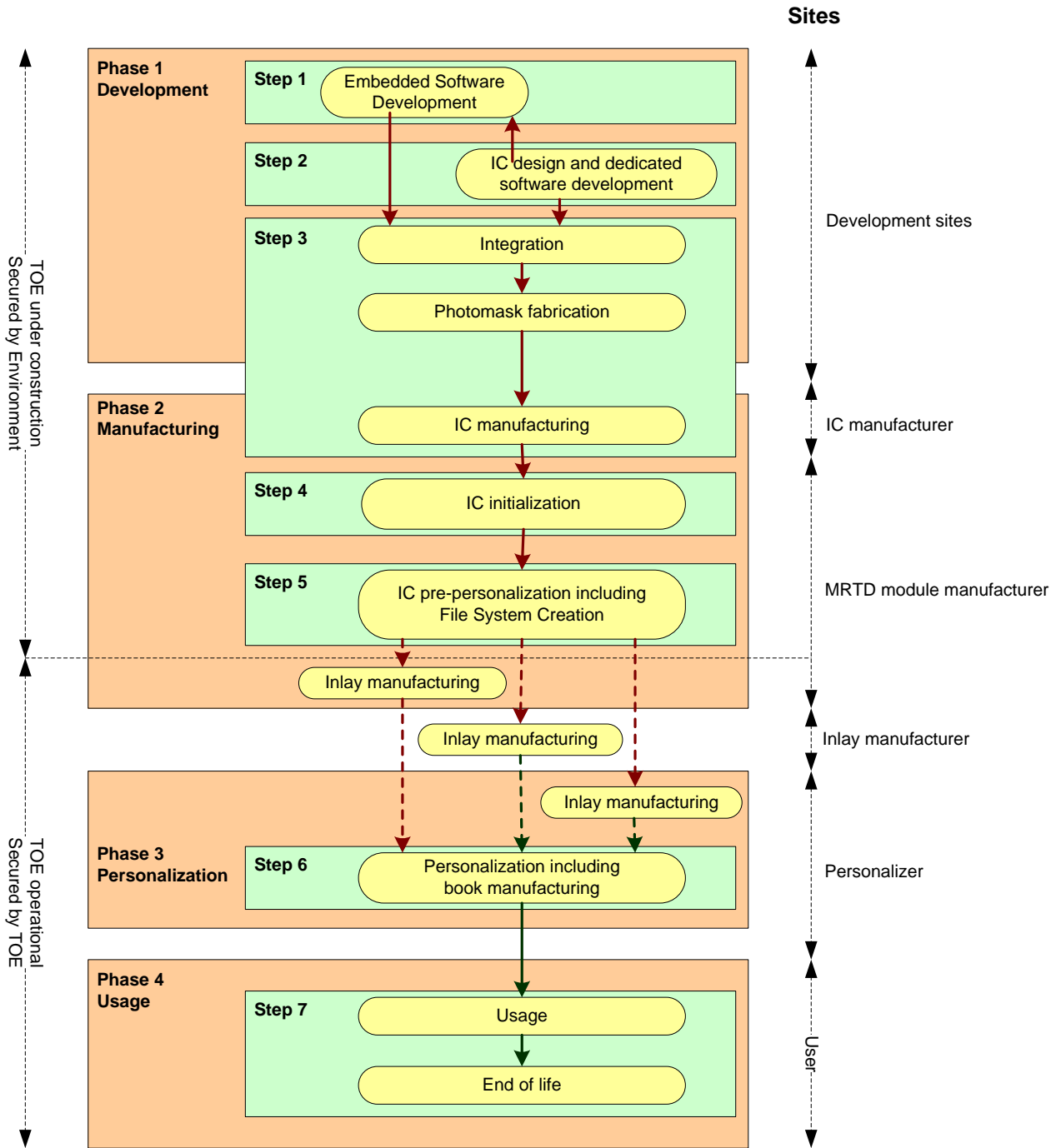
*Application note: In this ST, the role of the Personalization Agents is strictly limited to the phase 3 Personalization. In the phase 4 Operational Use updating and addition of the data groups of the MRTD application is forbidden.*

## 1.8.2 Actors

| Actors                               | Identification   |
|--------------------------------------|--|
| Integrated Circuit (IC) Developer    | IFX  |
| Embedded Software Developer          | Gemalto  |
| Integrated Circuit (IC) Manufacturer | IFX  |
| Initializer                          | Gemalto or IFX   |
| Pre-personalizer                     | Gemalto or IFX   |
| Inlay manufacturer                   | Gemalto or another Inlay manufacturer  |
| Book manufacturer                    | Gemalto or another printer   |
| Personalization Agent                | The agent who is acting on the behalf of the issuing State or Organization and personalize the MRTD for the holder by activities establishing the identity of the holder with biographic data. |
| MRTD Holder                          | The rightful holder of the MRTD for whom the issuing State or Organization personalizes the MRTD.  |

**Table 2: Identification of the actors**

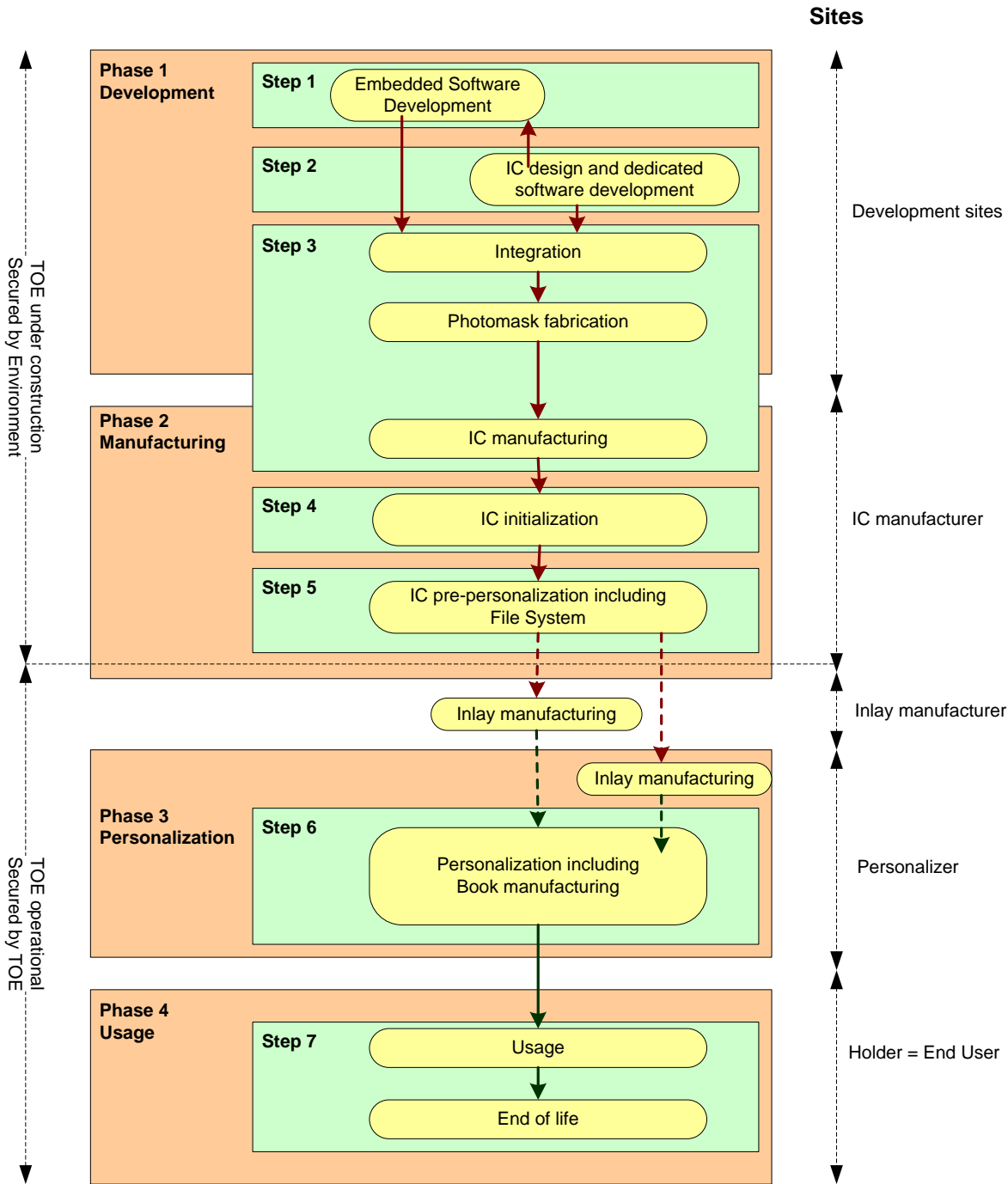
**1.8.3 Init on module at Gemalto site**



**Figure 2: LC1: Init on module at Gemalto site**

Figure 2: LC1: Init on module at Gemalto site describes the standard Life Cycle. The module is manufactured at the founder site. It is then shipped to Gemalto site where it is initialized and pre-personalized and then shipped to the Personalizer directly or after through the Inlay manufacturer. During the shipment from Gemalto to the Personalizer, the module is protected by a diversified key.

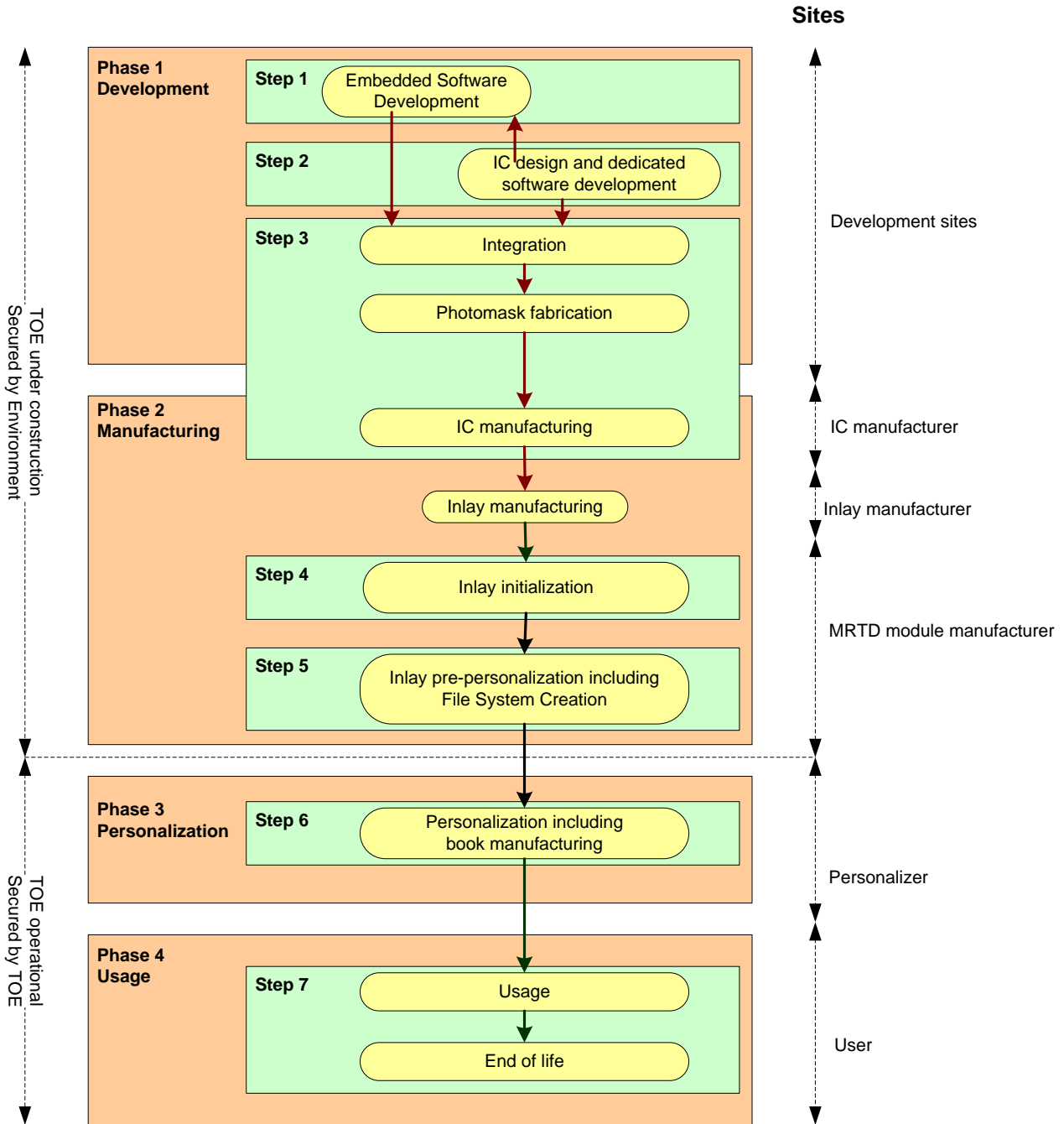
**1.8.4 Init on module at Founder site**



**Figure 3: LC2 Init on module at Founder site**

LC2 is an alternative to LC1. *Figure 3: LC2 Init on module at Founder site* describes the Life Cycle when the customer wishes to receive wafers directly from the founder. In this case, initialization and pre-personalization, which include sensitive operations such as the loading of patches, take place at the founder site. The creation of files is started by the founder and completed by the personalizer. During the shipment from the founder to the Personalizer, the module is protected by a diversified key.

**1.8.5 Init on inlay at Gemalto site**



**Figure 4: LC3: Init on inlay at Gemalto site**

LC3 is another alternative to LC1. *Figure 4: LC3: Init on inlay at Gemalto site* describes the Life Cycle when the Gemalto wishes to receive inlays instead of modules from the founder. In this case, the founder ships the module to the Inlay manufacturer.

During the shipment from the founder to Gemalto, the module is protected by a diversified key.

## **2. CONFORMANCE CLAIMS**

### **2.1 CC CONFORMANCE CLAIM**

**Common criteria Version:**

This ST conforms to CC Version 3.1 [CC-1] [CC-2] [CC-3]

**Conformance to CC part 2 and 3:**

- CC Part 2 extended,
- CC Part 3 conformant.

The Common Methodology for Information Technology Security Evaluation, Evaluation Methodology; [CEM] has to be taken into account.

### **2.2 PP CLAIM,**

The MultiApp v3 BAC security target claims strict conformance to the Protection Profile “Machine Readable Travel Document with ICAO Application, Basic Access Control ([PP-MRTD-BAC]).

The TOE also claims conformance to other Protection Profiles. This is described in other Security Targets:

The MultiApp v3 EAC security target claims strict conformance to the Protection Profile “Machine Readable Travel Document with ICAO Application, Extended Access Control” BSI-PP-0056 version 1.10 ([PP-MRTD-EAC]).

### **2.3 PACKAGE CLAIM**

This ST is conforming to assurance package EAL4 augmented with ALC\_DVS.2 defined in CC part 3 [CC-3].

### **2.4 CONFORMANCE STATEMENT**

This ST strictly conforms to [PP-MRTD-BAC].

### 3. SECURITY PROBLEM DEFINITION

#### 3.1 INTRODUCTION

##### 3.1.1 Assets

The assets to be protected by the TOE include the User Data on the MRTD's chip.

##### Logical MRTD Data

The logical MRTD data consists of the EF.COM, EF.DG1 to EF.DG16 (with different security needs) and the Document Security Object EF.SOD according to LDS [ICAO-9303]. These data are user data of the TOE. The EF.COM lists the existing elementary files (EF) with the user data. The EF.DG1 to EF.DG13 and EF.DG16 contain personal data of the MRTD holder. The Chip Authentication Public Key (EF.DG14) is used by the inspection system for the Chip Authentication. The EF.SOD is used by the inspection system for Passive Authentication of the logical MRTD.

Due to interoperability reasons as the 'ICAO Doc 9303' [9303] the TOE described in this security target specifies only the BAC mechanisms with resistance against enhanced basic attack potential granting access to:

- Logical MRTD standard User Data (i.e. Personal Data) of the MRTD holder (EF.DG1, EF.DG2, EF.DG5 to EF.DG13, EF.DG16),
- Chip Authentication Public Key in EF.DG14,
- Active Authentication Public Key in EF.DG15,
- Document Security Object (SOD) in EF.SOD,
- Common data in EF.COM.

The TOE prevents read access to sensitive User Data

- Sensitive biometric reference data (EF.DG3, EF.DG4).

A sensitive asset is the following more general one.

##### Authenticity of the MRTD's chip

The authenticity of the MRTD's chip personalized by the issuing State or Organization for the MRTD holder is used by the traveler to prove his possession of a genuine MRTD.

##### 3.1.2 Subjects

This security target considers the following subjects:

##### Manufacturer

The generic term for the IC Manufacturer producing the integrated circuit and the MRTD Manufacturer completing the IC to the MRTD's chip. The Manufacturer is the default user of the TOE during the Phase 2 Manufacturing. The TOE does not distinguish between the users IC Manufacturer and MRTD Manufacturer using this role Manufacturer.

##### Pre-personalization Agent

The pre-personalization agent is the Manufacturer, acting in step 5 pre-personalization. The pre-personalization agent loads pre-personalization data. He may also load executable code in NVM.

##### Personalization Agent

The agent is acting on behalf of the issuing State or Organization to personalize the MRTD for the holder by some or all of the following activities: (i) establishing the identity of the holder for the biographic data in the MRTD, (ii) enrolling the biometric reference data of the MRTD holder i.e. the portrait, the encoded finger image(s) and/or the encoded iris image(s), (iii) writing these data on the physical and logical MRTD for the holder as defined for global, international and national interoperability, (iv) writing the initial TSF data and (v) signing the Document Security Object defined in [ICAO-9303].

### Terminal

A terminal is any technical system communicating with the TOE through the contactless interface.

### Inspection system (IS)

A technical system used by the border control officer of the receiving State (i) examining an MRTD presented by the traveler and verifying its authenticity and (ii) verifying the traveler as MRTD holder. The **Basic Inspection System (BIS)** (i) contains a terminal for the contactless communication with the MRTD's chip, (ii) implements the terminals part of the Basic Access Control Mechanism and (iii) gets the authorization to read the logical MRTD under the Basic Access Control by optical reading the MRTD or other parts of the passport book providing this information. The **General Inspection System (GIS)** is a Basic Inspection System which implements additionally the Chip Authentication Mechanism. The **Extended Inspection System (EIS)** in addition to the General Inspection System (i) implements the Terminal Authentication Protocol and (ii) is authorized by the issuing State or Organization through the Document Verifier of the receiving State to read the sensitive biometric reference data. The security attributes of the EIS are defined of the Inspection System Certificates.

### MRTD Holder

The rightful holder of the MRTD for whom the issuing State or Organization personalized the MRTD.

### Traveler

Person presenting the MRTD to the inspection system and claiming the identity of the MRTD holder.

### Attacker

A threat agent trying (i) to identify and to trace the movement of the MRTD's chip remotely (i.e. without knowing or optically reading the printed MRZ data), (ii) to read or to manipulate the logical MRTD without authorization, or (iii) to forge a genuine MRTD.

**Application note:** An impostor is attacking the inspection system as TOE IT environment independent on using a genuine, counterfeit or forged MRTD. Therefore the impostor may use results of successful attacks against the TOE but the attack itself is not relevant for the TOE.

## 3.2 ASSUMPTIONS

The assumptions describe the security aspects of the environment in which the TOE will be used or is intended to be used.

### A.MRTD\_Manufact MRTD manufacturing on steps 4 to 6

It is assumed that appropriate functionality testing of the MRTD is used. It is assumed that security procedures are used during all manufacturing and test operations to maintain confidentiality and integrity of the MRTD and of its manufacturing and test data (to prevent any possible copy, modification, retention, theft or unauthorized use).

### A.MRTD\_Delivery MRTD delivery during steps 4 to 6

Procedures shall guarantee the control of the TOE delivery and storage process and conformance to its objectives:

- Procedures shall ensure protection of TOE material/information under delivery and storage.
- Procedures shall ensure that corrective actions are taken in case of improper operation in the delivery process and storage.
- Procedures shall ensure that people dealing with the procedure for delivery have got the required skill.

### A.Pers\_Agent Personalization of the MRTD's chip

The Personalization Agent ensures the correctness of (i) the logical MRTD with respect to the MRTD holder, (ii) the Document Basic Access Keys, (iii) the Chip Authentication Public Key (EF.DG14) if stored on the MRTD's chip, and (iv) the Document Signer Public Key Certificate (if stored on the MRTD's chip). The Personalization Agent signs the Document Security Object. The Personalization Agent bears the



Personalization Agent Authentication to authenticate himself to the TOE by symmetric cryptographic mechanisms.

### **A.Insp\_Sys                    Inspection Systems for global interoperability**

The Inspection System is used by the border control officer of the receiving State (i) examining an MRTD presented by the traveler and verifying its authenticity and (ii) verifying the traveler as MRTD holder. The Basic Inspection System for global interoperability (i) includes the Country Signing Public Key and the Document Signer Public Key of each issuing State or Organization, and (ii) implements the terminal part of the Basic Access Control [ICAO-9303]. The Basic Inspection System reads the logical MRTD under Basic Access Control and performs the Passive Authentication to verify the logical MRTD.

### **A.BAC-Keys                    Cryptographic quality of Basic Access Control Keys**

The Document Basic Access Control Keys being generated and imported by the issuing State or Organization have to provide sufficient cryptographic strength. As a consequence of the 'ICAO Doc 9303' [ICAO-9303], the Document Basic Access Control Keys are derived from a defined subset of the individual printed MRZ data. It has to be ensured that these data provide sufficient entropy to withstand any attack based on the decision that the inspection system has to derive Document Access Keys from the printed MRZ data with enhanced basic attack potential.

## **3.3 THREATS**

This section describes the threats to be averted by the TOE independently or in collaboration with its IT environment. These threats result from the TOE method of use in the operational environment and the assets stored in or protected by the TOE.

The TOE in collaboration with its IT environment shall avert the threats as specified below.

### **T.Chip\_ID                    Identification of MRTD's chip**

Adverse action: An attacker trying to trace the movement of the MRTD by identifying remotely the MRTD's chip by establishing or listening to communications through the contactless communication interface.

Threat agent: having enhanced basic attack potential, not knowing the optically readable MRZ data printed on the MRTD data page in advance

Asset: Anonymity of user,

### **T.Skimming                    Skimming the logical MRTD**

Adverse action: An attacker imitates an inspection system trying to establish a communication to read the logical MRTD or parts of it via the contactless communication channel of the TOE.

Threat agent: having enhanced basic attack potential, not knowing the optically readable MRZ data printed on the MRTD data page in advance

Asset: confidentiality of logical MRTD data

### **T.Eavesdropping            Eavesdropping to the communication between TOE and inspection system**

Adverse action: An attacker is listening to an existing communication between the MRTD's chip and an inspection system to gain the logical MRTD or parts of it. The inspection system uses the MRZ data printed on the MRTD data page but the attacker does not know these data in advance.

Threat agent: having enhanced basic attack potential, not knowing the optically readable MRZ data printed on the MRTD data page in advance

Asset: confidentiality of logical MRTD data

### **T.Forgery                    Forgery of data on MRTD's chip**

Adverse action: An attacker alters fraudulently the complete stored logical MRTD or any part of it including its security related data in order to deceive on an inspection system by means of the changed MRTD holder's identity or biometric reference data.

This threat comprises several attack scenarios of MRTD forgery. The attacker may alter the biographical data on the biographical data page of the passport book, in the printed MRZ

and in the digital MRZ to claim another identity of the traveler. The attacker may alter the printed portrait and the digitized portrait to overcome the visual inspection of the inspection officer and the automated biometric authentication mechanism by face recognition. The attacker may alter the biometric reference data to defeat automated biometric authentication mechanism of the inspection system. The attacker may combine data groups of different logical MRTDs to create a new forged MRTD, e.g. the attacker writes the digitized portrait and optional biometric reference finger data read from the logical MRTD of a traveler into another MRTD's chip leaving their digital MRZ unchanged to claim the identity of the holder this MRTD. The attacker may also copy the complete unchanged logical MRTD to another contactless chip.

Threat agent: having enhanced basic attack potential, being in possession of one or more legitimate MRTDs

Asset: authenticity of logical MRTD data,

**T.Counterfeit MRTD's chip**

Adverse action: An attacker with high attack potential produces an unauthorized copy or reproduction of a genuine MRTD's chip to be used as part of a counterfeit MRTD. This violates the authenticity of the MRTD's chip used for authentication of a traveler by possession of a MRTD. The attacker may generate a new data set or extract completely or partially the data from a genuine MRTD's chip and copy them on another appropriate chip to imitate this genuine MRTD's chip.

Threat agent: having enhanced basic attack potential, being in possession of one or more legitimate MRTDs

Asset: authenticity of logical MRTD data,

The TOE shall avert the threats as specified below.

**T.Abuse-Func Abuse of Functionality**

Adverse action: An attacker may use functions of the TOE which shall not be used in the phase "Operational Use" in order (i) to manipulate User Data, (ii) to manipulate (explore, bypass, deactivate or change) security features or functions of the TOE or (iii) to disclose or to manipulate TSF Data.

This threat addresses the misuse of the functions for the initialization and the personalization in the operational state after delivery to MRTD holder.

Threat agent: having enhanced basic attack potential, being in possession of a legitimate MRTD

Asset: confidentiality and authenticity of logical MRTD and TSF data, correctness of TSF

**T.Information\_Leakage Information Leakage from MRTD's chip**

Adverse action: An attacker may exploit information which is leaked from the TOE during its usage in order to disclose confidential TSF data. The information leakage may be inherent in the normal operation or caused by the attacker.

Leakage may occur through emanations, variations in power consumption, I/O characteristics, clock frequency, or by changes in processing time requirements.

This leakage may be interpreted as a covert channel transmission but is more closely related to measurement of operating parameters which may be derived either from measurements of the contactless interface (emanation) or direct measurements (by contact to the chip still available even for a contactless chip) and can then be related to the specific operation being performed. Examples are the Differential Electromagnetic Analysis (DEMA) and the Differential Power Analysis (DPA). Moreover the attacker may try actively to enforce information leakage by fault injection (e.g. Differential Fault Analysis).

Threat agent: having enhanced basic attack potential, being in possession of a legitimate MRTD

Asset: confidentiality of logical MRTD and TSF data

**T.Phys-Tamper Physical Tampering**

Adverse action: An attacker may perform physical probing of the MRTD's chip in order (i) to disclose TSF Data, or (ii) to disclose/reconstruct the MRTD's chip Embedded Software. An attacker may

physically modify the MRTD's chip in order to (i) modify security features or functions of the MRTD's chip, (ii) modify security functions of the MRTD's chip Embedded Software, (iii) modify User Data or (iv) to modify TSF data.

The physical tampering may be focused directly on the disclosure or manipulation of TOE User Data (e.g. the biometric reference data for the inspection system) or TSF Data (e.g. authentication key of the MRTD's chip) or indirectly by preparation of the TOE to following attack methods by modification of security features (e.g. to enable information leakage through power analysis). Physical tampering requires direct interaction with the MRTD's chip internals. Techniques commonly employed in IC failure analysis and IC reverse engineering efforts may be used. Before that, the hardware security mechanisms and layout characteristics need to be identified.

Determination of software design including treatment of User Data and TSF Data may also be a pre-requisite. The modification may result in the deactivation of a security function. Changes of circuitry or data can be permanent or temporary.

Threat agent: having enhanced basic attack potential, being in possession of a legitimate MRTD  
Asset: confidentiality and authenticity of logical MRTD and TSF data, correctness of TSF

### **T.Malfunction**                      **Malfunction due to Environmental Stress**

Adverse action: An attacker may cause a malfunction of TSF or of the MRTD's chip Embedded Software by applying environmental stress in order to (i) deactivate or modify security features or functions of the TOE or (ii) circumvent, deactivate or modify security functions of the MRTD's chip Embedded Software.

This may be achieved e.g. by operating the MRTD's chip outside the normal operating conditions, exploiting errors in the MRTD's chip Embedded Software or misusing administration function. To exploit these vulnerabilities an attacker needs information about the functional operation.

Threat agent: having enhanced basic attack potential, being in possession of a legitimate MRTD  
Asset: confidentiality and authenticity of logical MRTD and TSF data, correctness of TSF

## **3.4 ORGANIZATIONAL SECURITY POLICIES**

The TOE shall comply with the following Organizational Security Policies (OSP) as security rules, procedures, practices, or guidelines imposed by an organization upon its operations (see CC part 1, sec. 3.2).

### **P.Manufact**                      **Manufacturing of the MRTD's chip**

The Initialization Data are written by the IC Manufacturer to identify the IC uniquely. The MRTD Manufacturer writes the Pre-personalization Data which contains at least the Personalization Agent Key.

### **P.Personalization**                      **Personalization of the MRTD by issuing State or Organization only**

The issuing State or Organization guarantees the correctness of the biographical data, the printed portrait and the digitized portrait, the biometric reference data and other data of the logical MRTD with respect to the MRTD holder. The personalization of the MRTD for the holder is performed by an agent authorized by the issuing State or Organization only.

### **P.Personal\_Data**                      **Personal data protection policy**

The biographical data and their summary printed in the MRZ and stored on the MRTD's chip (EF.DG1), the printed portrait and the digitized portrait (EF.DG2), the biometric reference data of finger(s) (EF.DG3), the biometric reference data of iris image(s) (EF.DG4) and data according to LDS (EF.DG5 to EF.DG13, EF.DG16) stored on the MRTD's chip are personal data of the MRTD holder. These data groups are intended to be used only with agreement of the MRTD holder by inspection systems to which the MRTD is presented. The MRTD's chip shall provide the possibility for the Basic Access Control to allow read access to these data only for terminals successfully authenticated based on knowledge of the Document Basic Access Keys as defined in [ICAO-9303].

### **3.5 COMPATIBILITY BETWEEN SECURITY ENVIRONMENTS OF [ST-BAC] AND [ST-IC]**

#### **3.5.1 Compatibility between threats of [ST-BAC] and [ST-IC]**

T.Chip\_ID, T.Skimming, T.Eavesdropping, T.Counterfeit are specific to [ST-BAC] and they do no conflict with the threats of [ST-IC].

T.Forgery is included in T.Phys-Manipulation.

T.Abuse-Func of [ST-BAC] is included in T.Abuse-Func of [ST-IC].

T.Information\_Leakage is included in T.Leak-Inherent and T.Leak-Forced.

T.Phys-Tamper is included in T.Phys-Manipulation

T.Malfunction of [ST-BAC] is included in T.Malfunction of [ST-IC].

We can therefore conclude that the threats of [ST-BAC] and [ST-IC] are consistent.

#### **3.5.2 Compatibility between OSP of [ST-BAC] and [ST-IC]**

P.Manufact, P.Personalization and P.PersonalData are specific to the MRTD and they do no conflict with the OSP of [ST-IC].

We can therefore conclude that the OSP of [ST-BAC] and [ST-IC] are consistent.

#### **3.5.3 Compatibility between assumptions of [ST-BAC] and [ST-IC]**

A.MRTD\_Manufact and A.MRTD\_Delivery are included in A.Process-Card

A.Pers\_Agent, A.Insp\_Sys, and A.BAC-Keys are assumptions specific to [ST-BAC] and they do no conflict with the assumptions of [ST-IC].

We can therefore conclude that the assumptions for the environment of [ST-BAC] and [ST-IC] are consistent.

## 4. SECURITY OBJECTIVES

This chapter describes the security objectives for the TOE and the security objectives for the TOE environment.

### 4.1 SECURITY OBJECTIVES FOR THE TOE

This section describes the security objectives for the TOE addressing the aspects of identified threats to be countered by the TOE and organizational security policies to be met by the TOE.

#### **OT.AC\_Pers Access Control for Personalization of logical MRTD**

The TOE must ensure that the logical MRTD data in EF.DG1 to EF.DG16, the Document security object according to LDS [ICAO-9303] and the TSF data can be written by authorized Personalization Agents only. The logical MRTD data in EF.DG1 to EF.DG16 and the TSF data may be written only during and cannot be changed after its personalization. The Document security object can be updated by authorized Personalization Agents if data in the data groups EF.DG 3 to EF.DG16 are added.

**Application note:** The OT.AC\_Pers implies that

- (1) the data of the LDS groups written during personalization for MRTD holder (at least EF.DG1 and EF.DG2) can not be changed by write access after personalization,
- (2) the Personalization Agents may (i) add (fill) data into the LDS data groups not written yet, and (ii) update and sign the Document Security Object accordingly. The support for adding data in the “Operational Use” phase is optional.

#### **OT.Data\_Int Integrity of personal data**

The TOE must ensure the integrity of the logical MRTD stored on the MRTD’s chip against physical manipulation and unauthorized writing. The TOE must ensure that the inspection system is able to detect any modification of the transmitted logical MRTD data.

#### **OT.Data\_Conf Confidentiality of personal data**

The TOE must ensure the confidentiality of the logical MRTD data groups EF.DG1 to EF.DG16. Read access to EF.DG1 to EF.DG16 is granted to terminals successfully authenticated as Personalization Agent. Read access to EF.DG1, EF.DG2 and EF.DG5 to EF.DG16 is granted to terminals successfully authenticated as Basic Inspection System. The Basic Inspection System shall authenticate itself by means of the Basic Access Control based on knowledge of the Document Basic Access Key. The TOE must ensure the confidentiality of the logical MRTD data during their transmission to the Basic Inspection System.

#### **OT.Identification Identification and Authentication of the TOE**

The TOE must provide means to store IC Identification and Pre-Personalization Data in its nonvolatile memory. The IC Identification Data must provide a unique identification of the IC during Phase 2 “Manufacturing” and Phase 3 “Personalization of the MRTD”. The storage of the Pre-Personalization data includes writing of the Personalization Agent Key(s). In Phase 4 “Operational Use” the TOE shall identify itself only to a successful authenticated Basic Inspection System or Personalization Agent.

#### **OT.Activ\_Auth\_Proof Proof of MRTD’s chip authenticity through AA**

The TOE must support the Basic Inspection Systems to verify the identity and authenticity of the MRTD’s chip as issued by the identified issuing State or Organization by means of the Active Authentication as defined in [ICAO-9303]. The authenticity proof through AA provided by MRTD’s chip shall be protected against attacks with high attack potential.

The following TOE security objectives address the protection provided by the MRTD’s chip independent of the TOE environment.

#### **OT.Prot\_Abuse-Func Protection against Abuse of Functionality**

After delivery of the TOE to the MRTD Holder, the TOE must prevent the abuse of test and support functions that may be maliciously used to (i) disclose critical User Data, (ii) manipulate critical User Data of the IC

Embedded Software, (iii) manipulate Soft-coded IC Embedded Software or (iv) bypass, deactivate, change or explore security features or functions of the TOE.

Details of the relevant attack scenarios depend, for instance, on the capabilities of the Test Features provided by the IC Dedicated Test Software which are not specified here.

### **OT.Prot\_Inf\_Leak      Protection against Information Leakage**

The TOE must provide protection against disclosure of confidential TSF data stored and/or processed in the MRTD's chip

- by measurement and analysis of the shape and amplitude of signals or the time between events found by measuring signals on the electromagnetic field, power consumption, clock, or I/O lines and
- by forcing a malfunction of the TOE and/or
- by a physical manipulation of the TOE.

### **OT.Prot\_Phys-Tamper Protection against Physical Tampering**

The TOE must provide protection of the confidentiality and integrity of the User Data, the TSF Data, and the MRTD's chip Embedded Software. This includes protection against attacks with enhanced-basic attack potential by means of

- measuring through galvanic contacts which is direct physical probing on the chips surface except on pads being bonded (using standard tools for measuring voltage and current) or
- measuring not using galvanic contacts but other types of physical interaction between charges (using tools used in solid-state physics research and IC failure analysis)
- manipulation of the hardware and its security features, as well as
- controlled manipulation of memory contents (User Data, TSF Data) with a prior
- reverse-engineering to understand the design and its properties and functions.

### **OT.Prot\_Malfunction      Protection against Malfunctions**

The TOE must ensure its correct operation. The TOE must prevent its operation outside the normal operating conditions where reliability and secure operation has not been proven or tested. This is to prevent errors. The environmental conditions may include external energy (esp. electromagnetic) fields, voltage (on any contacts), clock frequency, or temperature.

## **4.2 SECURITY OBJECTIVES FOR THE OPERATIONAL ENVIRONMENT**

### **Issuing State or Organization**

The issuing State or Organization will implement the following security objectives of the TOE environment.

### **OE.MRTD\_Manufact Protection of the MRTD Manufacturing**

Appropriate functionality testing of the TOE shall be used in step 4 to 6.

During all manufacturing and test operations, security procedures shall be used through phases 4, 5 and 6 to maintain confidentiality and integrity of the TOE and its manufacturing and test data.

### **OE.MRTD\_Delivery Protection of the MRTD delivery**

Procedures shall ensure protection of TOE material/information under delivery including the following objectives:

- non-disclosure of any security relevant information,
- identification of the element under delivery,
- meet confidentiality rules (confidentiality level, transmittal form, reception acknowledgment),
- physical protection to prevent external damage,
- secure storage and handling procedures (including rejected TOE's),
- traceability of TOE during delivery including the following parameters:
  - origin and shipment details,
  - reception, reception acknowledgement,
  - location material/information.

Procedures shall ensure that corrective actions are taken in case of improper operation in the delivery process (including if applicable any non-conformance to the confidentiality convention) and highlight all non-conformance to this process.

Procedures shall ensure that people (shipping department, carrier, reception department) dealing with the procedure for delivery have got the required skill, training and knowledge to meet the procedure requirements and be able to act fully in accordance with the above expectations.

### **OE.Personalization    Personalization of logical MRTD**

The issuing State or Organization must ensure that the Personalization Agents acting on behalf of the issuing State or Organization (i) establish the correct identity of the holder and create biographical data for the MRTD, (ii) enroll the biometric reference data of the MRTD holder i.e. the portrait, the encoded finger image(s) and/or the encoded iris image(s) and (iii) personalize the MRTD for the holder together with the defined physical and logical security measures to protect the confidentiality and integrity of these data.

### **OE.Pass\_Auth\_Sign    Authentication of logical MRTD by Signature**

The issuing State or Organization must (i) generate a cryptographic secure Country Signing CA Key Pair, (ii) ensure the secrecy of the Country Signing CA Private Key and sign Document Signer Certificates in a secure operational environment, and (iii) distribute the Certificate of the Country Signing CA Public Key to receiving States and Organizations maintaining its authenticity and integrity. The issuing State or Organization must (i) generate a cryptographic secure Document Signer Key Pair and ensure the secrecy of the Document Signer Private Keys, (ii) sign Document Security Objects of genuine MRTD in a secure operational environment only and (iii) distribute the Certificate of the Document Signer Public Key to receiving States and Organizations. The digital signature in the Document Security Object relates all data in the data in EF.DG1 to EF.DG16 if stored in the LDS according to [ICAO-9303].

### **OE.Active\_Auth\_Sign    Active Authentication of logical MRTD by Signature**

The issuing State or Organization has to establish the necessary public key infrastructure in order to (i) generate the MRTD's Active Authentication Key Pair, (ii) ensure the secrecy of the MRTD's Active Authentication Private Key, sign and store the Active Authentication Public Key in the Active Authentication Public Key data in EF.DG15 and (iii) support inspection systems of receiving States or organizations to verify the authenticity of the MRTD's chip used for genuine MRTD by certification of the Active Authentication Public Key by means of the Document Security Object.

### **OE.BAC-Keys    Cryptographic quality of Basic Access Control Keys**

The Document Basic Access Control Keys being generated and imported by the issuing State or Organization have to provide sufficient cryptographic strength. As a consequence of the 'ICAO Doc 9303' [ICAO-9303] the Document Basic Access Control Keys are derived from a defined subset of the individual printed MRZ data. It has to be ensured that these data provide sufficient entropy to withstand any attack based on the decision that the inspection system has to derive Document Basic Access Keys from the printed MRZ data with enhanced basic attack potential.

### **Receiving State or Organization**

The receiving State or Organization will implement the following security objectives of the TOE environment.

### **OE.Exam\_MRTD    Examination of the MRTD passport book**

The inspection system of the receiving State or Organization must examine the MRTD presented by the traveler to verify its authenticity by means of the physical security measures and to detect any manipulation of the physical MRTD. The Basic Inspection System for global interoperability (i) includes the Country Signing Public Key and the Document Signer Public Key of each issuing State or Organization, and (ii) implements the terminal part of the Basic Access Control [ICAO-9303].

### **OE.Passive\_Auth\_Verif    Verification by Passive Authentication**

The border control officer of the receiving State uses the inspection system to verify the traveler as MRTD holder. The inspection systems must have successfully verified the signature of Document Security Objects and the integrity data elements of the logical MRTD before they are used. The receiving States and Organizations must manage the Country Signing Public Key and the Document Signer Public Key maintaining their authenticity and availability in all inspection systems.

**OE.Active\_Auth\_Verif Verification by Active Authentication**

In addition to the verification by passive authentication, the inspection systems may use the verification by active authentication, which offers a stronger guaranty of the authenticity of the MRTD.

**OE.Prot\_Logical\_MRTD Protection of data from the logical MRTD**

The inspection system of the receiving State or Organization ensures the confidentiality and integrity of the data read from the logical MRTD. The receiving State examining the logical MRTD being under Basic Access Control will use inspection systems which implement the terminal part of the Basic Access Control and use the secure messaging with fresh generated keys for the protection of the transmitted data (i.e. Basic Inspection Systems).

**5. EXTENDED COMPONENTS DEFINITION**

This ST uses components defined as extensions to CC part 2. Some of these components are defined in protection profile [PP-IC-0002], other components are defined in the protection profile [PP-MRTD-BAC].

**5.1 DEFINITION OF THE FAMILY FAU\_SAS**

To define the security functional requirements of the TOE a sensitive family (FAU\_SAS) of the Class FAU (Security Audit) is defined here. This family describes the functional requirements for the storage of audit data. It has a more general approach than FAU\_GEN, because it does not necessarily require the data to be generated by the TOE itself and because it does not give specific details of the content of the audit records.

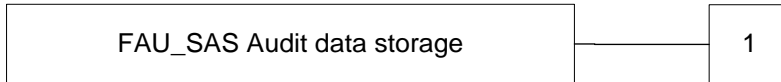
The family “Audit data storage (FAU\_SAS)” is specified as follows.

**FAU\_SAS Audit data storage**

Family behaviour

This family defines functional requirements for the storage of audit data.

Component levelling



FAU\_SAS.1 Requires the TOE to provide the possibility to store audit data.

Management: FAU\_SAS.1  
There are no management activities foreseen.

Audit: FAU\_SAS.1  
There are no actions defined to be auditable.

**FAU\_SAS.1 Audit storage**

Hierarchical to: No other components

Dependencies: No dependencies

FAU\_SAS.1.1 The TSF shall provide [assignment: *authorized users*] with the capability to store [assignment: *list of audit information*] in the audit records.



## 5.2 DEFINITION OF THE FAMILY FCS\_RND

To define the IT security functional requirements of the TOE a sensitive family (FCS\_RND) of the Class FCS (cryptographic support) is defined here. This family describes the functional requirements for random number generation used for cryptographic purposes. The component FCS\_RND is not limited to generation of cryptographic keys unlike the component FCS\_CKM.1. The similar component FIA\_SOS.2 is intended for non-cryptographic use.

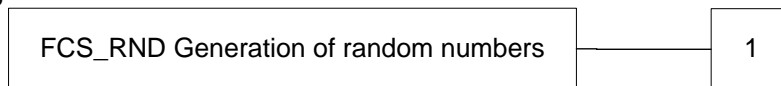
The family "Generation of random numbers (FCS\_RND)" is specified as follows.

### FCS\_RND Generation of random numbers

Family behaviour

This family defines quality requirements for the generation of random numbers which are intended to be used for cryptographic purposes.

Component levelling:



FCS\_RND.1            Generation of random numbers requires that random numbers meet a defined quality metric.

Management:        FCS\_RND.1  
There are no management activities foreseen.

Audit:                FCS\_RND.1  
There are no actions defined to be auditable.

### FCS\_RND.1 Quality metric for random numbers

Hierarchical to:    No other components  
Dependencies:      No dependencies

FCS\_RND.1.1        The TSF shall provide a mechanism to generate random numbers that meet [assignment: a defined quality metric].

## 5.3 DEFINITION OF THE FAMILY FIA\_API

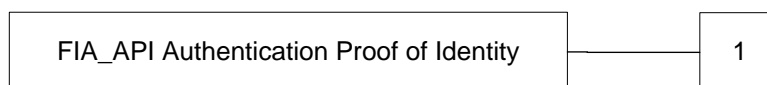
To describe the IT security functional requirements of the TOE a sensitive family (FIA\_API) of the Class FIA (Identification and authentication) is defined here. This family describes the functional requirements for the proof of the claimed identity for the authentication verification by an external entity where the other families of the class FIA address the verification of the identity of an external entity.

### FIA\_API Authentication Proof of Identity

Family behaviour

This family defines functions provided by the TOE to prove their identity and to be verified by an external entity in the TOE IT environment.

Component levelling:



FIA\_API.1            Authentication Proof of Identity.

Management: FIA\_API.1  
The following actions could be considered for the management functions in FMT:  
Management of authentication information used to prove the claimed identity.

Audit: There are no actions defined to be auditable.

**FIA\_API.1 Authentication Proof of Identity**

Hierarchical to: No other components  
Dependencies: No dependencies

FIA\_API.1.1 The TSF shall provide a [assignment: *authentication mechanism*] to prove the identity of the [assignment: *authorized user or role*].

**5.4 DEFINITION OF THE FAMILY FMT\_LIM**

The family FMT\_LIM describes the functional requirements for the Test Features of the TOE. The new functional requirements were defined in the class FMT because this class addresses the management of functions of the TSF. The examples of the technical mechanism used in the TOE show that no other class is appropriate to address the specific issues of preventing the abuse of functions by limiting the capabilities of the functions and by limiting their availability.

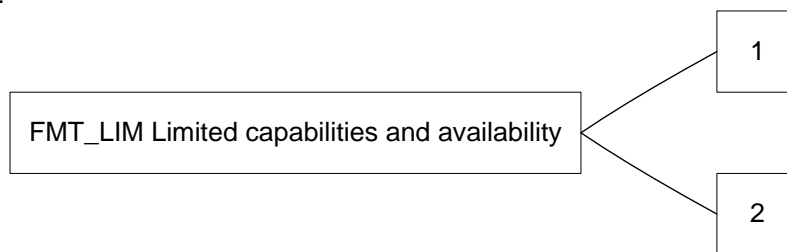
The family “Limited capabilities and availability (FMT\_LIM)” is specified as follows.

**FMT\_LIM Limited capabilities and availability**

Family behavior

This family defines requirements that limit the capabilities and availability of functions in a combined manner. Note that FDP\_ACF restricts the access to functions whereas the Limited capability of this family requires the functions themselves to be designed in a specific manner.

Component leveling:



FMT\_LIM.1 Limited capabilities requires that the TSF is built to provide only the capabilities (perform action, gather information) necessary for its genuine purpose.

FMT\_LIM.2 Limited availability requires that the TSF restrict the use of functions (refer to Limited capabilities (FMT\_LIM.1)). This can be achieved, for instance, by removing or by disabling functions in a specific phase of the TOE’s life-cycle.

Management: FMT\_LIM.1, FMT\_LIM.2  
There are no management activities foreseen.

Audit: FMT\_LIM.1, FMT\_LIM.2  
There are no actions defined to be auditable.

To define the IT security functional requirements of the TOE a sensitive family (FMT\_LIM) of the Class FMT (Security Management) is defined here. This family describes the functional requirements for the Test

Features of the TOE. The new functional requirements were defined in the class FMT because this class addresses the management of functions of the TSF. The examples of the technical mechanism used in the TOE show that no other class is appropriate to address the specific issues of preventing the abuse of functions by limiting the capabilities of the functions and by limiting their availability.

The TOE Functional Requirement “Limited capabilities (FMT\_LIM.1)” is specified as follows.

### FMT\_LIM.1 Limited capabilities

Hierarchical to: No other components  
Dependencies: FMT\_LIM.2 Limited availability.

FMT\_LIM.1.1 The TSF shall be designed in a manner that limits their capabilities so that in conjunction with “Limited availability (FMT\_LIM.2)” the following policy is enforced [assignment: *Limited capability and availability policy*].

The TOE Functional Requirement “Limited availability (FMT\_LIM.2)” is specified as follows.

### FMT\_LIM.2 Limited availability

Hierarchical to: No other components  
Dependencies: FMT\_LIM.1 Limited capabilities.

FMT\_LIM.2.1 The TSF shall be designed in a manner that limits their availability so that in conjunction with “Limited capabilities (FMT\_LIM.1)” the following policy is enforced [assignment: *Limited capability and availability policy*].

**Application note:** The functional requirements FMT\_LIM.1 and FMT\_LIM.2 assume that there are two types of mechanisms (limited capabilities and limited availability) which together shall provide protection in order to enforce the policy. This also allows that

- (i) the TSF is provided without restrictions in the product in its user environment but its capabilities are so limited that the policy is enforced

or conversely

- (ii) the TSF is designed with test and support functionality that is removed from, or disabled in, the product prior to the Operational Use Phase.

The combination of both requirements shall enforce the policy.

## 5.5 DEFINITION OF THE FAMILY FPT\_EMS

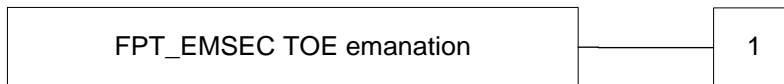
The sensitive family FPT\_EMS (TOE Emanation) of the Class FPT (Protection of the TSF) is defined here to describe the IT security functional requirements of the TOE. The TOE shall prevent attacks against the TOE and other secret data where the attack is based on external observable physical phenomena of the TOE. Examples of such attacks are evaluation of TOE’s electromagnetic radiation, simple power analysis (SPA), differential power analysis (DPA), timing attacks, etc. This family describes the functional requirements for the limitation of intelligible emanations which are not directly addressed by any other component of CC part 2 [CC-2].

The family “TOE Emanation (FPT\_EMS)” is specified as follows.

Family behavior

This family defines requirements to mitigate intelligible emanations.

Component leveling:



FPT\_EMS.1 TOE emanation has two constituents:

FPT\_EMS.1.1 Limit of Emissions requires to not emit intelligible emissions enabling access to TSF data or user data.

FPT\_EMS.1.2 Interface Emanation requires to not emit interface emanation enabling access to TSF data or user data.

Management: FPT\_EMS.1  
There are no management activities foreseen.

Audit: FPT\_EMS.1  
There are no actions defined to be auditable.

**FPT\_EMS.1 TOE Emanation**

Hierarchical to: No other components  
Dependencies: No dependencies.

FPT\_EMS.1.1 The TOE shall not emit [assignment: *types of emissions*] in excess of [assignment: *specified limits*] enabling access to [assignment: *list of types of TSF data*] and [assignment: *list of types of user data*].

FPT\_EMS.1.2 The TSF shall ensure [assignment: *type of users*] are unable to use the following interface [assignment: *type of connection*] to gain access to [assignment: *list of types of TSF data*] and [assignment: *list of types of user data*].

## 6. SECURITY REQUIREMENTS

The definition of the subjects “Manufacturer”, “Personalization Agent”, “Basic Inspection System”, and “Terminal” used in the following chapter is given in section 3.1. Note that all these subjects are acting for homonymous external entities. All used objects are defined either in section 7 or in the following table. The operations “write”, “modify”, “read” and “disable read access” are used in accordance with the general linguistic usage. The operations “store”, “create”, “transmit”, “receive”, “establish communication channel”, “authenticate” and “re-authenticate” are originally taken from [CC-2]. The operation “load” is synonymous to “import” used in [CC-2].

Definition of security attributes:

| security attribute             | values                  | meaning  |
|--------------------------------|-------------------------|--|
| terminal authentication status | none (any Terminal)     | default role (i.e. without authorization after start-up)   |
|                                | Basic Inspection System | Terminal is authenticated as Basic Inspection System after successful Authentication in accordance with the definition in rule 2 of FIA_UAU.5.2. |
|                                | Personalization Agent   | Terminal is authenticated as Personalization Agent after successful Authentication in accordance with the definition in rule 1 of FIA_UAU.5.2.   |

### 6.1 SECURITY FUNCTIONAL REQUIREMENTS FOR THE TOE

This section on security functional requirements for the TOE is divided into sub-section following the main security functionality.

Refinements in this section are in underline font when the SFR’s refinement is already present in [PP-MRTD-BAC], and in bold font when the refinement is done in this ST. When the SFR is refined in the [PP-MRTD-BAC] and additionally refined in this ST then the font is bold and underline.

#### 6.1.1 Class FAU Security Audit

The TOE shall meet the requirement “Audit storage (FAU\_SAS.1)” as specified below (Common Criteria Part 2 extended).

##### FAU\_SAS.1 Audit storage

Hierarchical to: No other components

Dependencies: No dependencies

FAU\_SAS.1.1 The TSF shall provide the Manufacturer with the capability to store the IC Identification Data in the audit records.

#### 6.1.2 Class Cryptographic Support (FCS)

The TOE shall meet the requirement “Cryptographic key generation (FCS\_CKM.1)” as specified below (Common Criteria Part 2). The iterations are caused by different cryptographic key generation algorithms to be implemented and key to be generated by the TOE.

**FCS\_CKM.1 /AA Cryptographic key generation for AA**

Hierarchical to: No other components  
 Dependencies: [FCS\_CKM.2 Cryptographic key distribution or  
 FCS\_COP.1 Cryptographic operation]  
 FCS\_CKM.4 Cryptographic key destruction

FCS\_CKM.1.1 /AA The TSF shall generate cryptographic keys in accordance with a specified cryptographic key generation algorithm [*assignment: cryptographic key generation algorithm*] and specified cryptographic key sizes [*assignment: cryptographic key sizes*] that meet the following: [*assignment: list of standards*].

| iteration | algorithm                     | Key size   | standard   |
|-----------|-------------------------------|--|--|
| /RSA      | <b>RSA CRT Key generation</b> | <b>1024, 1280, 1536 and 2048 bits</b>                  | <b>none (generation of random numbers and Miller- Rabin primality testing)</b> |
| /ECC      | <b>ECC Key generation</b>     | <b>160, 192, 224, 256, 320, 384, 512, and 521 bits</b> | <b>None</b>  |

*Table 3: FCS\_CKM.1/AA refinement*

**FCS\_CKM.1 /Session Cryptographic key generation – Generation of Document Basic Access Keys by the TOE**

Hierarchical to: No other components  
 Dependencies: [FCS\_CKM.2 Cryptographic key distribution or  
 FCS\_COP.1 Cryptographic operation]  
 FCS\_CKM.4 Cryptographic key destruction

FCS\_CKM.1.1 /Session The TSF shall generate cryptographic keys in accordance with a specified cryptographic key generation algorithm Document Basic Access Key Derivation Algorithm and specified cryptographic key sizes 112 bits that meet the following: [ICAO-9303], normative appendix 5

The TOE shall meet the requirement “Cryptographic key destruction (FCS\_CKM.4)” as specified below (Common Criteria Part 2).

**FCS\_CKM.4 Cryptographic key destruction**

Hierarchical to: No other components  
 Dependencies: [FDP\_ITC.1 Import of user data without security attributes, or  
 FDP\_ITC.2 Import of user data with security attributes, or  
 FCS\_CKM.1 Cryptographic key generation]

FCS\_CKM.4.1 The TSF shall destroy cryptographic keys in accordance with a specified cryptographic key destruction method **Secure erasing of the value** that meets the following: **none**.

The TOE shall meet the requirement “Cryptographic operation (FCS\_COP.1)” as specified below (Common Criteria Part 2). The iterations are caused by different cryptographic algorithms to be implemented by the TOE.

**FCS\_COP.1/SHA Cryptographic operation – Hash for Key Derivation by MRTD**

Hierarchical to: No other components  
Dependencies: [FDP\_ITC.1 Import of user data without security attributes, or  
FDP\_ITC.2 Import of user data with security attributes, or  
FCS\_CKM.1 Cryptographic key generation]  
FCS\_CKM.4 Cryptographic key destruction

FCS\_COP.1.1/ SHA The TSF shall perform hashing in accordance with a specified cryptographic algorithm **SHA-1, SHA-256, and SHA-512** and cryptographic key sizes none that meet the following: **FIPS 180-2**.

### **FCS\_COP.1/ENC Cryptographic operation –Encryption / Decryption TDES**

Hierarchical to: No other components  
Dependencies: [FDP\_ITC.1 Import of user data without security attributes, or  
FDP\_ITC.2 Import of user data with security attributes, or  
FCS\_CKM.1 Cryptographic key generation]  
FCS\_CKM.4 Cryptographic key destruction

FCS\_COP.1.1/ ENC The TSF shall perform secure messaging (BAC) – encryption and decryption in accordance with a specified cryptographic algorithm Triple-DES in CBC mode and cryptographic key sizes 112 bits that meet the following: FIPS 46-3 [FIPS46-3] and [ICAO-9303]; normative appendix 5, A5.3.

### **FCS\_COP.1/AUTH Cryptographic operation – Authentication**

Hierarchical to: No other components  
Dependencies: [FDP\_ITC.1 Import of user data without security attributes, or  
FDP\_ITC.2 Import of user data with security attributes, or  
FCS\_CKM.1 Cryptographic key generation]  
FCS\_CKM.4 Cryptographic key destruction

FCS\_COP.1.1/ AUTH The TSF shall perform symmetric authentication – encryption and decryption in accordance with a specified cryptographic algorithm **Triple-DES** and cryptographic key sizes **112 bits** that meet the following: **FIPS 46-3 [FIPS46-3]**.

### **FCS\_COP.1/MAC Cryptographic operation – Retail MAC**

Hierarchical to: No other components  
Dependencies: [FDP\_ITC.1 Import of user data without security attributes, or  
FDP\_ITC.2 Import of user data with security attributes, or  
FCS\_CKM.1 Cryptographic key generation]  
FCS\_CKM.4 Cryptographic key destruction

FCS\_COP.1.1/ MAC The TSF shall perform secure messaging – message authentication code in accordance with a specified cryptographic algorithm Retail MAC and cryptographic key sizes 112 bits that meet the following: ISO 9797 (MAC algorithm 3, block cipher DES, Sequence Message Counter, padding mode 2).

### **FCS\_COP.1/AA Cryptographic operation – Active Authentication**

Hierarchical to: No other components.

Dependencies: [FDP\_ITC.1 Import of user data without security attributes, or FDP\_ITC.2 Import of user data with security attributes, or FCS\_CKM.1 Cryptographic key generation]: fulfilled by **FCS\_CKM.1/AA**  
 FCS\_CKM.4 Cryptographic key destruction: not fulfilled, see application note.

FCS\_COP.1.1 /AA The TSF shall perform **digital signature creation** in accordance with a specified cryptographic algorithm **Table 4 algorithm** and cryptographic key sizes **Table 4 Key size** that meet the following: **Table 4 List of standards**.

| iteration | algorithm    | Key size   | List of standards |
|-----------|--------------|--|-------------------|
| /AA_RSA   | <b>RSA</b>   | <b>1024, 1280, 1536, 2048, 3072, and 4096 bits</b> | <b>ISO9796-2</b>  |
| /AA_ECDSA | <b>ECDSA</b> | <b>160, 192, 224, 256, 320, 384, 512 and 521</b>   | <b>[TR-ECC]</b>   |

**Table 4: FCS\_COP.1/AA refinements**

Application note:

- The dependency of FCS\_COP.1/AA on FCS\_CKM.4 is not fulfilled as these are permanent keys used on the card during its life-time.

### FCS\_RND.1 Quality metric for random numbers

Hierarchical to: No other components

Dependencies: No dependencies

FCS\_RND.1.1 The TSF shall provide a mechanism to generate random numbers that meet **RGS [RGS-B1], and X931 with seed entropy at least 128 bits**.

## 6.1.3 Class FIA Identification and Authentication

**Application note:** Table 5 provides an overview on the authentication mechanisms used.

| Name  | SFR for the TOE            | Algorithms and key sizes according to [ICAO-9303] normative appendix 5  |
|---|----------------------------|---|
| Basic Access Control Authentication Mechanism                 | FIA_UAU.4 and FIA_UAU.6    | Triple-DES, 112 bit keys (cf. FCS_COP.1/ENC) and Retail-MAC, 112 bit keys (cf. FCS_COP.1/MAC)   |
| Active Authentication Protocol                                | FIA_API.1/AA and FIA_UAU.4 | ECDSA, 160, 192, 224, 256, 320, 384, and 521 bits (cf. FCS_COP.1/ ECDSA_AA) and RSA CRT, 1024, 1536, and 2048 bits (cf. FCS_COP.1/RSA_AA) |
| Symmetric Authentication Mechanism for Personalization Agents | FIA_UAU.4                  | Triple-DES with 112 bit keys (cf. FCS_COP.1/AUTH)   |

**Table 5: Overview on authentication SFR**

The TOE shall meet the requirement “Timing of identification (FIA\_UID.1)” as specified below (Common Criteria Part 2).



### **FIA\_UID.1 Timing of identification**

Hierarchical to: No other components  
Dependencies: No dependencies

FIA\_UID.1.1 The TSF shall allow  
1. to read the Initialization Data in Phase 2 “Manufacturing”,  
2. to read the random identifier in Phase 3 “Personalization of the MRTD”,  
3. to read the random identifier in Phase 4 “Operational Use”  
on behalf of the user to be performed before the user is identified.

FIA\_UID.1.2 The TSF shall require each user to be successfully identified before allowing any other TSF-mediated actions on behalf of that user.

The TOE shall meet the requirement “Timing of authentication (FIA\_UAU.1)” as specified below (Common Criteria Part 2).

### **FIA\_UAU.1 Timing of authentication**

Hierarchical to: No other components  
Dependencies: FIA\_UID.1 Timing of identification.

FIA\_UAU.1.1 The TSF shall allow  
1. to read the Initialization Data in Phase 2 “Manufacturing”,  
2. to read the random identifier in Phase 3 “Personalization of the MRTD”,  
3. to read the random identifier in Phase 4 “Operational Use”  
on behalf of the user to be performed before the user is authenticated.

FIA\_UAU.1.2 The TSF shall require each user to be successfully authenticated before allowing any other TSF-mediated actions on behalf of that user.

The TOE shall meet the requirements of “Single-use authentication mechanisms (FIA\_UAU.4)” as specified below (Common Criteria Part 2).

### **FIA\_UAU.4 Single-use authentication mechanisms - Single-use authentication of the Terminal by the TOE**

Hierarchical to: No other components  
Dependencies: No dependencies

FIA\_UAU.4.1 The TSF shall prevent reuse of authentication data related to  
1. Basic Access Control Authentication Mechanism,  
2. Authentication Mechanism based on Triple-DES.

The TOE shall meet the requirement “Multiple authentication mechanisms (FIA\_UAU.5)” as specified below (Common Criteria Part 2).

### **FIA\_UAU.5 Multiple authentication mechanisms**

Hierarchical to: No other components  
Dependencies: No dependencies

FIA\_UAU.5.1 The TSF shall provide  
1. Basic Access Control Authentication Mechanism,

2. Symmetric Authentication Mechanism based on Triple-DES to support user authentication.

- FIA\_UAU.5.2 The TSF shall authenticate any user's claimed identity according to the following rules:
1. **TOE accepts the authentication attempt as Pre-personalization Agent by the Symmetric Authentication Mechanism with the Pre-personalization Agent Key.**
  2. TOE accepts the authentication attempt as Personalization Agent by one of the following mechanism(s) the Symmetric Authentication Mechanism with the Personalization Agent Key.
  3. The TOE accepts the authentication attempt as Basic Inspection System only by means of the Basic Access Control Authentication Mechanism with the Document Basic Access Keys.

The TOE shall meet the requirement "Re-authenticating (FIA\_UAU.6)" as specified below (Common Criteria Part 2).

**FIA\_UAU.6 Re-authenticating – Re-authenticating of Terminal by the TOE**

Hierarchical to: No other components  
 Dependencies: No dependencies

- FIA\_UAU.6.1 The TSF shall re-authenticate the user under the conditions each command sent to the TOE during a BAC mechanism based communication after successful authentication of the terminal with Basic Access Control Authentication Mechanism.

The TOE shall meet the requirement "Authentication failure handling (FIA\_AFL.1)" as specified below (Common Criteria Part 2).

**FIA\_AFL.1 Authentication failure handling**

Hierarchical to: No other components  
 Dependencies: FIA\_UAU.1 Timing of authentication

- FIA\_AFL.1.1 The TSF shall detect when **Table 6: column 1** unsuccessful authentication attempts occur related to **Table 6: column 2**.
- FIA\_AFL.1.2 When the defined number of unsuccessful authentication attempts has been **met**, the TSF shall **Table 6: column 3**.

| Number of unsuccessful authentication attempts | Specified Authentication events  | Actions  |
|--|--|--|
| 3  | <b>Unsuccessful Mutual Authentication Command with Initial Supplier Key <math>K_{ISK}</math></b> | <b>Initial Supplier Key blocked</b>  |
| 1  | <b>Unsuccessful Basic Access Control authentication attempt</b>                                  | <b>Exponentially increasing time delay before new authentication attempt is possible</b> |

*Table 6: FIA\_AFL.1 refinement*

The TOE shall meet the requirement "Authentication Proof of Identity (FIA\_API.1)" as specified below (Common Criteria Part 2 extended).

**FIA\_API.1/AA Authentication Proof of Identity – Active Authentication**

Hierarchical to: No other components  
Dependencies: No dependencies

FIA\_API.1.1/AA The TSF shall provide an **Active Authentication Protocol according to [ICAO-9303]** to prove the identity of the **TOE**.

**Application note:** This SFR requires the TOE to implement the Active Authentication Mechanism specified in [ICAO-9303]. The terminal generates a secret then verifies whether the MRTD's chip was able or not to sign it properly using its Active Authentication private key corresponding to the Active Authentication public key (EF.DG15).

### 6.1.4 Class FDP User Data Protection

The TOE shall meet the requirement "Subset access control (FDP\_ACC.1)" as specified below (Common Criteria Part 2).

#### FDP\_ACC.1 Subset access control – Basic Access Control

Hierarchical to: No other components  
Dependencies: FDP\_ACF.1 Security attribute based access control

FDP\_ACC.1.1 The TSF shall enforce the Basic Access Control SFP on terminals gaining write, read and modification access to data in the EF.COM, EF.SOD, EF.DG1 to EF.DG16 of the logical MRTD.

The TOE shall meet the requirement "Security attribute based access control (FDP\_ACF.1)" as specified below (Common Criteria Part 2).

#### FDP\_ACF.1 Security attribute based access control

Hierarchical to: No other components  
Dependencies: FDP\_ACC.1 Subset access control  
FMT\_MSA.3 Static attribute initialization

FDP\_ACF.1.1 The TSF shall enforce the Basic Access Control SFP to objects based on the following:

1. Subjects:
  - a. Personalization Agent,
  - b. Basic Inspection System
  - c. Terminal,
2. Objects:
  - a. data EF.DG1 to EF.DG16 of the logical MRTD.
  - b. data in EF.COM,
  - c. data in EF.SOD,
3. Security attributes:
  - a. authentication status of terminals,

FDP\_ACF.1.2 The TSF shall enforce the following rules to determine if an operation among controlled subjects and controlled objects is allowed:

1. the successfully authenticated Personalization Agent is allowed to write and to read the data of the EF.COM, EF.SOD, EF.DG1 to EF.DG16 of the logical MRTD,
2. the successfully authenticated Basic Inspection System is allowed to read the data in EF.COM, EF.SOD, EF.DG1, EF.DG2 and EF.DG5 to EF.DG16 of the logical MRTD.

FDP\_ACF.1.3 The TSF shall explicitly authorize access of subjects to objects based on the following additional rules: none.

- FDP\_ACF.1.4 The TSF shall explicitly deny access of subjects to objects based on the following additional rules:
1. Any terminal is not allowed to modify any of the EF.DG1 to EF.DG16 of the logical MRTD.
  2. Any terminal is not allowed to read any of the EF.DG1 to EF.DG16 of the logical MRTD.
  3. The Basic Inspection System is not allowed to read the data in EF.DG3 and EF.DG4.

The TOE shall meet the requirement “Basic data exchange confidentiality (FDP\_UCT.1)” as specified below (Common Criteria Part 2).

#### **FDP\_UCT.1 Basic data exchange confidentiality - MRTD**

Hierarchical to: No other components  
Dependencies: [FTP\_ITC.1 Inter-TSF trusted channel, or  
FTP\_TRP.1 Trusted path]  
[FDP\_ACC.1 Subset access control, or  
FDP\_IFC.1 Subset information flow control]

- FDP\_UCT.1.1 The TSF shall enforce the Basic Access Control SFP to be able to transmit and receive user data in a manner protected from unauthorised disclosure.

The TOE shall meet the requirement “Data exchange integrity (FDP\_UIT.1)” as specified below (Common Criteria Part 2).

#### **FDP\_UIT.1 Data exchange integrity - MRTD**

Hierarchical to: No other components  
Dependencies: [FDP\_ACC.1 Subset access control, or  
FDP\_IFC.1 Subset information flow control]  
[FTP\_ITC.1 Inter-TSF trusted channel, or  
FTP\_TRP.1 Trusted path]

- FDP\_UIT.1.1 The TSF shall enforce the Basic Access Control SFP to be able to transmit and receive user data in a manner protected from modification, deletion, insertion and replay errors.

- FDP\_UIT.1.2 The TSF shall be able to determine on receipt of user data, whether modification, deletion, insertion and replay has occurred.

### **6.1.5 Class FMT Security Management**

**Application note:** The SFR FMT\_SMF.1 and FMT\_SMR.1 provide basic requirements to the management of the TSF data.

The TOE shall meet the requirement “Specification of Management Functions (FMT\_SMF.1)” as specified below (Common Criteria Part 2).

#### **FMT\_SMF.1 Specification of Management Functions**

Hierarchical to: No other components  
Dependencies: No Dependencies

- FMT\_SMF.1.1 The TSF shall be capable of performing the following management functions:
1. Initialization,

2. Pre-personalization.
3. Personalization.

The TOE shall meet the requirement “Security roles (FMT\_SMR.1)” as specified below (Common Criteria Part 2).

### **FMT\_SMR.1 Security roles**

Hierarchical to: No other components  
Dependencies: FIA\_UID.1 Timing of identification.

FMT\_SMR.1.1 The TSF shall maintain the roles

1. Manufacturer.
2. **Pre-personalization Agent,**
3. Personalization Agent.
4. Basic Inspection System.

FMT\_SMR.1.2 The TSF shall be able to associate users with roles.

The TOE shall meet the requirement “Limited capabilities (FMT\_LIM.1)” as specified below (Common Criteria Part 2 extended).

### **FMT\_LIM.1 Limited capabilities**

Hierarchical to: No other components  
Dependencies: FMT\_LIM.2 Limited availability.

FMT\_LIM.1.1 The TSF shall be designed in a manner that limits their capabilities so that in conjunction with “Limited availability (FMT\_LIM.2)” the following policy is enforced:  
Deploying Test Features after TOE Delivery does not allow,

1. User Data to be disclosed or manipulated.
2. TSF data to be disclosed or manipulated
3. software to be reconstructed and
4. substantial information about construction of TSF to be gathered which may enable other attacks

The TOE shall meet the requirement “Limited availability (FMT\_LIM.2)” as specified below (Common Criteria Part 2 extended).

### **FMT\_LIM.2 Limited availability**

Hierarchical to: No other components  
Dependencies: FMT\_LIM.1 Limited capabilities.

FMT\_LIM.2.1 The TSF shall be designed in a manner that limits their availability so that in conjunction with “Limited capabilities (FMT\_LIM.1)” the following policy is enforced:  
Deploying Test Features after TOE Delivery does not allow

1. User Data to be disclosed or manipulated.
2. TSF data to be disclosed or manipulated
3. software to be reconstructed and
4. substantial information about construction of TSF to be gathered which may enable other attacks.

The TOE shall meet the requirement “Management of TSF data (FMT\_MTD.1)” as specified below (Common Criteria Part 2). The iterations address different management functions and different TSF data.

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**FMT\_MTD.1/INI\_ENA Management of TSF data – Writing of Initialization Data and Pre-personalization Data**

Hierarchical to: No other components  
Dependencies: FMT\_SMF.1 Specification of management functions  
FMT\_SMR.1 Security roles

FMT\_MTD.1.1/  
INI\_ENA The TSF shall restrict the ability to write the Initialization Data and Pre-personalization Data to the Manufacturer.

**FMT\_MTD.1/INI\_DIS Management of TSF data – Disabling of Read Access to Initialization Data and Pre-personalization Data**

Hierarchical to: No other components  
Dependencies: FMT\_SMF.1 Specification of management functions  
FMT\_SMR.1 Security roles

FMT\_MTD.1.1/  
INI\_DIS The TSF shall restrict the ability to disable read access for users to the Initialization Data to the Personalization Agent.

**FMT\_MTD.1/KEY\_WRITE Management of TSF data – Key Write**

Hierarchical to: No other components  
Dependencies: FMT\_SMF.1 Specification of management functions  
FMT\_SMR.1 Security roles

FMT\_MTD.1.1/  
KEY\_WRITE The TSF shall restrict the ability to write the Document Basic Access Keys to the Personalization Agent.

**FMT\_MTD.1/AAK Management of TSF data – Active Authentication Private Key**

Hierarchical to: No other components  
Dependencies: FMT\_SMF.1 Specification of management functions  
FMT\_SMR.1 Security roles

FMT\_MTD.1.1/  
AAK The TSF shall restrict the ability to **create and load** the Active Authentication Private Key to the **Personalization Agent**.

**FMT\_MTD.1/KEY\_READ Management of TSF data – Key Read**

Hierarchical to: No other components  
Dependencies: FMT\_SMF.1 Specification of management functions  
FMT\_SMR.1 Security roles

FMT\_MTD.1.1/  
KEY\_READ The TSF shall restrict the ability to read the  
1. Document Basic Access Keys,  
2. **Active Authentication Private Key**  
3. **Pre-personalization Agent Keys**, and  
4. Personalization Agent Keys  
to none.

### 6.1.6 Class FPT Protection of the Security Functions

The TOE shall prevent inherent and forced illicit information leakage for User Data and TSF Data. The security functional requirement FPT\_EMS.1 addresses the inherent leakage. With respect to the forced leakage they have to be considered in combination with the security functional requirements “Failure with preservation of secure state (FPT\_FLS.1)” and “TSF testing (FPT\_TST.1)” on the one hand and “Resistance to physical attack (FPT\_PHP.3)” on the other. The SFRs “Limited capabilities (FMT\_LIM.1)”, “Limited availability (FMT\_LIM.2)” and “Resistance to physical attack (FPT\_PHP.3)” together with the SAR “Security architecture description” (ADV\_ARC.1) prevent bypassing, deactivation and manipulation of the security features or misuse of TOE functions.

The TOE shall meet the requirement “TOE Emanation (FPT\_EMS.1)” as specified below (Common Criteria Part 2 extended):

#### FPT\_EMS.1 TOE Emanation

Hierarchical to: No other components  
Dependencies: Dependencies.

- FPT\_EMS.1.1 The TOE shall not emit **electromagnetic and current emissions** in excess of **intelligible threshold** enabling access to Personalization Agent Key(s), Document Basic Access Keys, Active Authenticate Private Keys, EF.COM, EF.SOD, EF.DG1, EF.DG2, and EF.DG6 to EF.DG16.
- FPT\_EMS.1.2 The TSF shall ensure any users are unable to use the following interface smart card circuit contacts to gain access to Personalization Agent Key(s), Document Basic Access Keys, Active Authenticate Private Keys, EF.COM, EF.SOD, EF.DG1, EF.DG2, and EF.DG6 to EF.DG16.

The following security functional requirements address the protection against forced illicit information leakage including physical manipulation.

The TOE shall meet the requirement “Failure with preservation of secure state (FPT\_FLS.1)” as specified below (Common Criteria Part 2).

#### FPT\_FLS.1 Failure with preservation of secure state

Hierarchical to: No other components  
Dependencies: Dependencies.

- FPT\_FLS.1.1 The TSF shall preserve a secure state when the following types of failures occur:
1. Exposure to out-of-range operating conditions where therefore a malfunction could occur,
  2. failure detected by TSF according to FPT\_TST.1.

The TOE shall meet the requirement “TSF testing (FPT\_TST.1)” as specified below (Common Criteria Part 2).

#### FPT\_TST.1 TSF testing

Hierarchical to: No other components  
Dependencies: Dependencies.

- FPT\_TST.1.1 The TSF shall run a suite of self tests **Conditions under which self test should occur** to demonstrate the correct operation of the TSF.
- FPT\_TST.1.2 The TSF shall provide authorised users with the capability to verify the integrity of TSF data.
- FPT\_TST.1.3 The TSF shall provide authorised users with the capability to verify the integrity of stored TSF executable code.

| Conditions under which self test should occur | Description of the self test  |
|---|---|
| During initial start-up                       | RNG live test, sensor test, FA detection, Integrity Check of NVM ES |
| Periodically                                  | RNG monitoring, FA detection  |
| After cryptographic computation               | FA detection  |
| Before any use or update of TSF data          | FA detection, Integrity Check of related TSF data                   |

The TOE shall meet the requirement “Resistance to physical attack (FPT\_PHP.3)” as specified below (Common Criteria Part 2).

**FPT\_PHP.3 Resistance to physical attack**

Hierarchical to: No other components  
 Dependencies: Dependencies.

- FPT\_PHP.3.1 The TSF shall resist physical manipulation and physical probing to the TSF by responding automatically such that the SFRs are always enforced.



## 6.2 SECURITY ASSURANCE REQUIREMENTS FOR THE TOE

The SAR for the evaluation of the TOE and its development and operating environment are those taken from the Evaluation Assurance Level 4 (EAL4) and augmented by taking the following component: ALC\_DVS.2.

## 7. TOE SUMMARY SPECIFICATION

### 7.1 TOE SECURITY FUNCTIONS

TOE Security Functions are provided by the MultiApp v3 embedded software (including the optional NVM ES) and by the chip.

#### 7.1.1 TSFs provided by the MultiApp v3 Software

| SF          | Description              |
|-------------|--------------------------|
| SF.REL      | Protection of data       |
| SF.AC       | Access control           |
| SF.SYM_AUTH | Symmetric authentication |
| SF.SM       | Secure messaging         |
| SF.AA       | Active Authentication    |

**Table 7: Security Functions provided by the MultiApp v3 Software**

The SF.REL function provides the protection of data on the TOE. It encompasses:

- physical protection of the TOE as defined in **FPT\_PHP.3**, **FPT\_EMS.1** , **FPT\_FLS.1**,
- the test mechanisms as defined in **FPT\_TST.1**,
- protection against misuse of tests as defined in **FMT\_LIM.1** and **FMT\_LIM.2**,

The SF.AC function provides the access control of the TOE. It encompasses:

- the access control by the terminal as defined in **FDP\_ACC.1** and **FDP\_ACF.1**,
- the access control to specific data as defined in **FAU\_SAS.1**, **FMT\_MTD.1/INI\_ENA**, **FMT\_MTD.1/INI\_DIS**, **FMT\_MTD.1/KEY\_WRITE**, **FMT\_MTD.1/KEY\_READ**,
- the role management as defined in **FMT\_SRM.1**,
- the management functions linked to the different states of the TOE as defined in **FMT\_SMF.1**

The SF.SYM\_AUTH function provides the symmetric authentication functions to the TOE. It encompasses:

- the identification and authentication as defined in **FIA\_AFL.1**, **FIA\_UID.1**, **FIA\_UAU.1**, **FIA\_UAU.4**, **FIA\_UAU.5**, and **FIA\_UAU.6**,

The SF.SM function provides the secure messaging of the TOE. It encompasses:

- the secure transfer of data through SM as defined in **FDP\_UCT.1** and **FDP\_UIT.1**,
- the cryptographic mechanisms used for the authentication and the SM, as defined in **FCS\_CKM.1/Session**, **FCS\_COP.1/SHA**, **FCS\_COP.1/ENC**, **FCS\_COP.1/AUTH**, **FCS\_COP.1/MAC**, **FIA\_AFL.1** and **FCS\_RND.1**. Some cryptographic mechanisms are used for both authentication and secure messaging. For convenience, they are grouped in this function.
- the erasure of session keys as defined in **FCS\_CKM.4**

The SF.AA function provides the active authentication. It encompasses:

- the AA protocol itself as defined in **FIA\_API.1/AA**,
- the AA cryptographic algorithm as defined in **FCS\_COP.1/AA**,
- the generation and input of AA keys, as defined in **FCS\_CKM.1** and **FMT\_MTD.1/AAK**, .

### 7.1.2 TSFs provided by the M7820 chip

The evaluation is a composite evaluation and uses the results of the CC evaluation provided by [CR-IC]. The IC and its primary embedded software have been evaluated at level EAL 5+.

| SF     | Description                          |
|--------|--------------------------------------|
| SF_DPM | Device phase management              |
| SF_PS  | Protection against snooping          |
| SF_PMA | Protection against modifying attacks |
| SF_PLA | Protection against logical attacks   |
| SF_CS  | Cryptographic support                |

**Table 8: Security Functions provided by the M7820 chip**

These SF are described in [ST-IC].

