

## Security Target (ASE)

CONEXA 3.0 - Smart Meter Gateway



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## History of changes

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1.93.1	14.01.2022	Theben AG	Removed software version v3.50.0-cc
1.93.2	28.03.2022	Theben AG	Updated software version for maintainance release v3.60.1-cc.

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# 1. ST introduction

## 1.1 Introduction

*A German introduction is provided below.*

In future the installation of intelligent measurement systems have to be done according to the amended Energy Act (EnWG). The aim of using intelligent measurement systems is to ensure data protection as well as to offer a higher degree of transparency towards the Consumers (end users) of their own energy consumption. The Consumers have the opportunity to analyze their own consumption behavior, and to reduce their consumption and energy costs accordingly.

The Target of Evaluation (TOE) presented in this document is called "Smart Meter Gateway", "SMGW" or "Gateway" and uniquely identified as CONEXA 3.0 (CC) 1.3. It is the communication unit used within such an intelligent metering system and represented by the product CONEXA 3.0 except for the integrated Security Module and the wireless communication modules.

Besides the data processing the Smart Meter Gateway offers the possibility to generate tariff rates, in order to enable network operators and Consumers to control energy consumption in an intelligent way.

As personal consumption data will be recorded, processed and transmitted in the Gateway, high demands are made on data protection and data security. These security requirements were fixed in the context of the protection profile for the Smart Meter Gateway by BSI [SMGW-PP]. In addition, the security requirements are described and amended by the Technical Guideline [TR 03109]. Further requirements result from the valid legal framework, amongst others the requirements of the PTB with the [PTB A50.7] and [PTB A50.8].

The main functionality of the Gateway is the reception, the verification and the storage of measured values and status of the connected meters as well as the processing and the transfer of these measurements and status values. The transmission is done via the remote connection to authorized external entities, as for example, the metering point operators.

Additionally the Gateway realizes functions for the Consumer and the Service Technician, to enable them the retrieval of consumption data or system information via the local interface HAN (HAN = Home Area Network).

For controllable systems connected to the CLS interface (CLS = Controllable Local System), such as for example a control box, the Gateway acts as a forwarding entity. The transfer of this data to and from the Smart Meter Gateway is done via encrypted communication channels.

According to [SMGW-PP], the Smart Meter Gateway performs as a firewall and separates the connected networks from each other. The gateway as a decentralized storage for personal measured values ensures data protection for the Consumer.



34 Im Zuge der Installation intelligenter Messsysteme müssen diese künftig entsprechend des novellierten  
35 Energiewirtschaftsgesetzes (EnWG) eingesetzt werden.

36 Ziel des Einsatzes intelligenter Messsysteme ist neben dem Datenschutz auch, dem Kunden (Letztver-  
37 braucher) eine höhere Transparenz über den eigenen Energieverbrauch zu ermöglichen. Er erhält so die  
38 Chance, das eigene Verbrauchsverhalten zu analysieren und entsprechend den Verbrauch und damit die  
39 Energiekosten senken zu können.

40 Der in diesem Dokument vorgestellte Evaluationsgegenstand (Target of Evaluation (TOE)) CONEXA  
41 3.0 (CC) 1.3 wird repräsentiert durch das Gerät CONEXA 3.0 mit Ausnahme des integrierten Sicher-  
42 heitsmoduls und der Funkmodule. Im Folgenden wird der Evaluationsgegenstand als “Smart Meter  
43 Gateway, “SMGW” oder “Gateway” bezeichnet. Dieses stellt die Kommunikationseinheit innerhalb eines  
44 solchen intelligenten Messsystems dar.

45 Das Smart Meter Gateway ermöglicht neben der Messwertverarbeitung auch die Bildung von Tarifmod-  
46 ellen, damit die Netzbetreiber und Letztverbraucher den Energieverbrauch intelligent gestalten können.

47 Da personenbezogene Verbrauchsdaten im Gateway erfasst, bearbeitet und übertragen werden, sind hohe  
48 Anforderungen an den Datenschutz und die Datensicherheit zu stellen. Diese Sicherheitsanforderungen  
49 wurden im Rahmen des Schutzprofils für das Smart Meter Gateway [SMGW-PP] vom BSI erstellt  
50 und werden zusätzlich durch die Technische Richtlinie [TR 03109] beschrieben und ergänzt. Weitere  
51 Anforderungen ergeben sich aus dem gültigen Rechtsrahmen, unter anderem den Anforderungen der  
52 PTB mit der [PTB A50.7] und den Ergänzungen nach [PTB A50.8].

53 Die Hauptfunktionalität des Gateways besteht im Empfang, der Überprüfung und der Speicherung von  
54 Mess- und Statuswerten angeschlossener Zähler sowie der Verarbeitung und Versendung dieser Mess- und  
55 Statuswerte. Der Versand erfolgt dabei über die Fernverbindung an berechnigte externe Marktteilnehmer,  
56 zu denen beispielsweise die Messstellenbetreiber gehören.

57 Zusätzlich realisiert das Gateway Funktionen für den Letztverbraucher und den Service-Techniker,  
58 damit diese über die lokale HAN-Schnittstelle (HAN = Home Area Network) Verbrauchsdaten bzw.  
59 Systeminformationen abrufen können.

60 Für die an der CLS-Schnittstelle (CLS = Controllable Local Systems) angeschlossenen steuerbaren Sys-  
61 teme, wie beispielsweise eine Steuerbox, fungiert das Gateway als weiterleitende Instanz. Die Übertragung  
62 dieser Daten von und zum Smart Meter Gateway erfolgt dabei über verschlüsselte Kommunikationskanäle.

63 Gemäß [SMGW-PP] erfüllt das Smart Meter Gateway die Aufgaben einer Firewall und separiert die  
64 angebundenen Netze voneinander. Als dezentraler Speicher für personenbezogene Messwerte stellt das  
65 Gateway den Datenschutz für den Letztverbraucher sicher.

## 66 1.2 ST Reference

Title	Security Target (ASE) - CONEXA 3.0 - Smart Meter Gateway
Document Version	1.93.2
Document Date	2022-03-28
Authors	Theben AG
Certification Authority	Bundesamt für Sicherheit in der Informationstechnik 67 Federal Office for Information Security, Germany
Certification-ID	BSI-DSZ-CC-0918-V4
CC-Version	3.1 Revision 5
Evaluation Assurance Level	EAL 4 augmented by AVA_VAN.5 and ALC_FLR.2
Keywords	Smart Metering, Security Target, Meter, Gateway, ST
PP Conformance	This ST claims strict conformance to [ <a href="#">SMGW-PP</a> ].

## 68 1.3 TOE Reference

69 The TOE is uniquely identified as follows:

70 TOE Identification	CONEXA 3.0
71 TOE Version	1.3
TOE Developer	Theben AG

72 The TOE comprises the following components:

Component	Version	Identified by
Hardware	HW V01.00	Version string
Software	v3.60.1-cc	Version string
<b>Guidance documentation</b>		
Handbuch CONEXA 3.0 für den Gateway Administrator	2.10.0	SHA-256 hash value 9a9d2bdd000bf5841871a0ebd0728fbd0a28b326df7ee633b57042df6d4046e7
Handbuch CONEXA 3.0 für den Service-Techniker	2.11.0	SHA-256 hash value f9f5858f837ddec1ef8a4213c525d60573ffa3582d7591a2a076b9092a77969
Handbuch CONEXA 3.0 für den Letztverbraucher	2.9.0	SHA-256 hash value 4a4ed24023b11201ed1e1f5c36e7d7e57b6c5c29dc816abfe649865ce6ff4703
Conexa 3.0 Profilbeschreibungen	2.13	SHA-256 hash value e4ce547011fa315aac1c90c04436db75dd9e13610424a838eb89ad5d9a6aa1c2
COSEM HTTP-Webservice	2.2	SHA-256 hash value 8abbabcaff546dbfc060d0100bd2fd6a5b99988af99d9b97c759b22626dea8dd
Conexa 3.0 Logmeldungen	1.8.1	SHA-256 hash value c9921236915147f4e18014de26d110a8856d2be0c70ec527be5a41eb6a1540cc
Schnittstellenbeschreibung IF_GW_CON	1.4	SHA-256 hash value 26c821592d7245e29ce91fc25c5dacc0c3310f2885fa9e1baff30d7e97103221
Schnittstellenbeschreibung IF_GW_SRV	1.4	SHA-256 hash value ec094d7ff046c387e921bfdd2d494433083030745cc22cdf20824dc5f5feab99

**Table 1.1: Identifiable parts of the TOE**

73 The TOE uses the services of the Security Module TCOS Smart Meter Security Module Version 1.0,  
74 Release 2/P60C144PVE from T-Systems International GmbH, certified under BSI Certification-ID BSI-  
75 DSZ-CC-0957-V2-2016, that is physically integrated into the product Conexa 3.0 and hard-wired to the  
76 TOE.

77 The term gateway or SMGW (Smart Meter Gateway) that is used within this Security Target refers always  
78 to the TOE excluding the GSM and wM-Bus modules and the Security Module.

## 79 1.4 Specific terms

80 Various different vocabularies exist in the area of Smart Grid, Smart Metering, and Home Automation.  
81 Further, the Common Criteria maintain their own vocabulary. The following table provides an overview  
82 over the most prominent terms that are used in this Security Target and should serve to avoid any bias. A  
83 complete glossary and list of acronyms can be found in chapter B.

Term	Definition	Source (if any)
CLS, Controllable Local Systems	CLS are systems containing IT-components in the Home Area Network (HAN) of the Consumer that do not belong to the Smart Metering System but may use the Gateway for dedicated communication purposes. CLS may range from local power generation plants, controllable loads such as air condition and intelligent household appliances (“white goods”) to applications in home automation.	
Commodity	Electricity, gas, water or heat <sup>2</sup>	
Consumer	End user of electricity, gas, water or heat. The Consumer can also generate energy using a Distributed Energy Resource.	[CEN]
Gateway Smart Meter Gateway (SMGW) <sup>3</sup>	Device or unit responsible for collecting Meter Data, processing Meter Data, providing communication capabilities for devices in the LMN, protecting devices in the LAN (such as Controllable Local Systems) against attacks from the WAN and providing cryptographic primitives (in cooperation with a Security Module). The Gateway is specified in this document and combines aspects of the following devices according to [CEN]: <ul style="list-style-type: none"> <li>• Meter Data Collector</li> <li>• Meter Data Management System</li> <li>• Meter Data Aggregator</li> </ul> The Gateway does not aim to be a complete implementation of those devices but focusses on the required security functionality.	
Gateway Administrator	Authority that installs, configures, monitors and controls the Smart Meter Gateway.	
HAN, Home Area Network	In-house data communication network which interconnects domestic equipment and can be used for energy management purposes.	[CEN], adopted
HAN-T	Network interface with a Mezzanine Connector for the connection of an optional non-TOE HAN-Module. The HAN-Module enables the Consumer to connect to the Smart Meter Gateway via the HAN. If not installed, a connection from CLS [HAN] interface has to be provided to the Consumer.	
LAN, Local Area Network	Data communication network, connecting a limited number of communication devices (Meters and other devices) and covering a moderately sized geographical area within the premises of the Consumer. In the context of this ST the term LAN is used as a hypernym for HAN and LMN.	[CEN], adopted

<sup>2</sup> Please note that this list does not claim to be complete.

<sup>3</sup> Please note that the terms “Gateway” and “Smart Meter Gateway” (SMGW) are used synonymously within this document

Term	Definition	Source (if any)
LMN, Local Metrological Network	In-house data communication network which interconnects metrological equipment.	
LMN-A-T	LMN-Interface to a non-TOE wireless M-Bus module. The module enables wireless attached Meters to be connected to the LMN.	
Meter	The term Meter refers to a unit for measuring the consumption or production of a certain commodity with additional functionality. It collects consumption or production data and transmits this data to the Gateway. As not all aspects of a Smart Meter according to [CEN] are implemented in the descriptions within this document the term Meter is used. The Meter has to be able to encrypt and sign the data it sends and will typically deploy a Security Module for this. Please note that the term Meter refers to metering devices for all kinds of commodities.	[CEN], adopted
Meter Data	Meter readings that allow calculation of the quantity of a commodity, for example electricity, gas, water or heat consumed or produced over a period. Other readings and data may also be included <sup>4</sup> (such as quality data, events and alarms).	[CEN]
Processing Profile	File used to parameterize the Smart Meter Gateway. In this and the following documents the Processing Profiles depend on the Profiles defined by the DKE AK 461.0.142 [DKE COSEM].	
Security Module	A Security device utilised by the Gateway for cryptographic support – typically realised in form of a smart card. The complete description of the Security Module can be found in [SM-PP].	
Service Technician	Human entity that is responsible for diagnostic purposes.	
Smart Metering System	The Smart Metering System consists of a Smart Meter Gateway and connected to one or more meters. In addition, CLS (i.e. generation plants) may be connected with the gateway for dedicated communication purposes.	
SM-T	Physical interface for the connection of the Security Module which is located underneath the enclosing case of the Smart Meter Gateway. The module itself is not part of the TOE.	
User, external entity	Human or IT entity possibly interacting with the TOE from outside of the TOE boundary.	[CC]
WAN, Wide Area Network	Extended data communication network connecting a large number of communication devices over a large geographical area.	[CEN]

<sup>4</sup> Please note that these readings and data may require an explicit endorsement of the Consumer

<b>Term</b>	<b>Definition</b>	<b>Source (if any)</b>
WAN-A-T	Physical interface which enables the connection of the Smart Meter Gateway to the WAN via an attached GSM wireless module. The module itself is not part of the TOE.	

**Table 1.2: Specific Terms**

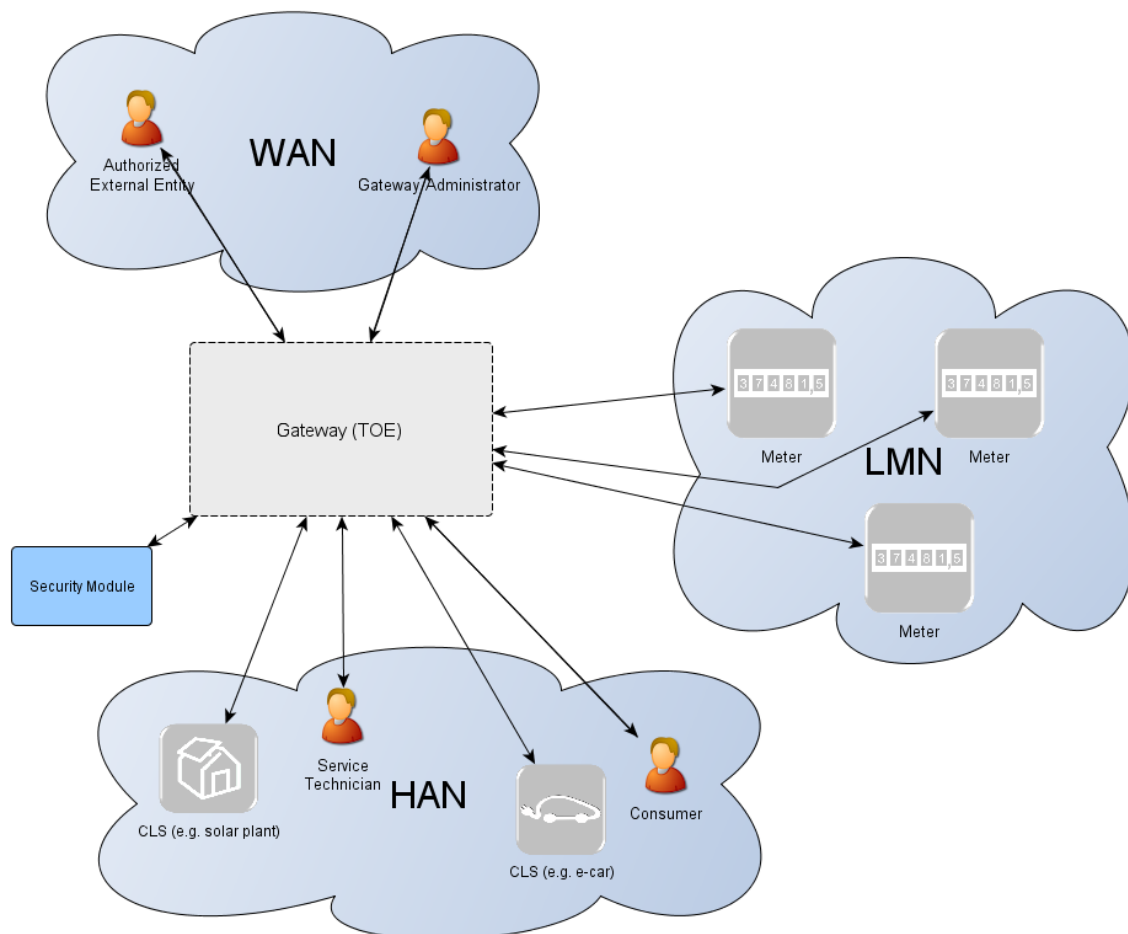
## 84 1.5 TOE Overview

### 85 1.5.1 Introduction

86 The TOE as defined in this Security Target is the Gateway in a Smart Metering System. In the following  
87 subsections the overall Smart Metering System will be described first and afterwards the Gateway itself.

### 88 1.5.2 Overview of the Gateway in a Smart Metering System

89 The following figure provides an overview of the TOE as part of a complete Smart Metering System from  
90 a purely functional perspective as used in this ST<sup>5</sup>.



**Figure 1.1: The TOE and its direct environment**

91 As can be seen in [Figure 1.1](#) a system for smart metering comprises different functional units in the  
92 context of the descriptions in this ST:

- 93 • The **Gateway** (as defined in this ST) serves as the communication component between the compo-  
94 nents in the LAN of the Consumer (such as meters and added generation plants) and the outside

<sup>5</sup> It should be noted that this description purely contains aspects that are relevant to motivate and understand the functionalities of the Gateway as described in this ST. It does not aim to provide a universal description of a Smart Metering System for all application cases.

95 world. It can be seen as a special kind of firewall dedicated to the smart metering functionality.  
96 It also collects, processes and stores the records from Meter(s) and ensures that only authorised  
97 parties have access to them or derivatives thereof. Before sending Meter Data<sup>6</sup> the information  
98 will be encrypted and signed using the services of a Security Module. The Gateway features a  
99 mandatory user interface, enabling authorised Consumers to access the data relevant to them.

- 100 • The **Meter** itself records the consumption or production of one or more commodities (e.g. electricity,  
101 gas, water, heat) and submits those records in defined intervals to the Gateway. The Meter Data has  
102 to be signed and encrypted before transfer in order to ensure its confidentiality, authenticity and  
103 integrity. The Meter is comparable to a classical meter<sup>7</sup> and has comparable security requirements;  
104 it will be sealed as classical meters are today according to the regulations of the calibration authority  
105 [PTB A50.7]. The Meter further supports the encryption and integrity protection of its connection  
106 to the Gateway<sup>8</sup>.
- 107 • The Gateway utilizes the services of a **Security Module** (e.g. a smart card) as a cryptographic  
108 service provider and as a secure storage for confidential assets. The Security Module will be  
109 evaluated separately according to the requirements in the corresponding Protection Profile (c.f.  
110 [SM-PP]).

111 **Controllable Local Systems** (CLS, as shown in [Figure 1.2](#)) may range from local power generation  
112 plants, controllable loads such as air condition and intelligent household appliances (“white goods”)  
113 to applications in home automation. CLS may utilize the services of the Gateway for communication  
114 services. However, CLS are not part of the Smart Metering System.

115 The following figure introduces the external interfaces of the TOE and shows the cardinality of the involved  
116 entities. Detailed information regarding the logical and physical interfaces of the TOE is provided in  
117 [section 1.5.7](#) and [section 1.5.8](#).

118 Please note that the arrows of the interfaces within the Smart Metering System as shown in [Figure 1.2](#)  
119 indicate the initialization of the information flow. Indeed, the following chapters of this ST will place  
120 dedicated requirements on the way an information flow can be initiated.

121 Some interfaces from the Protection Profile [SMGW-PP] have different implementations in the CONEXA  
122 3.0 TOE. Therefore some more interfaces names have been defined, to ease the description of the various  
123 CONEXA 3.0 interface implementations. In [Figure 1.2](#) the interface names coming from the Protection  
124 Profile are black coloured. The additional interface names are coloured green.

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<sup>6</sup> Please note that these readings and data which are not relevant for billing may require an explicit endorsement of the Consumer.

<sup>7</sup> In this context, a classical meter denotes a meter without a communication channel, i.e. whose values have to be read out locally.

<sup>8</sup> More information on the requirements that the Meter shall fulfill to communicate with the TOE is provided in [section 1.5.3](#).



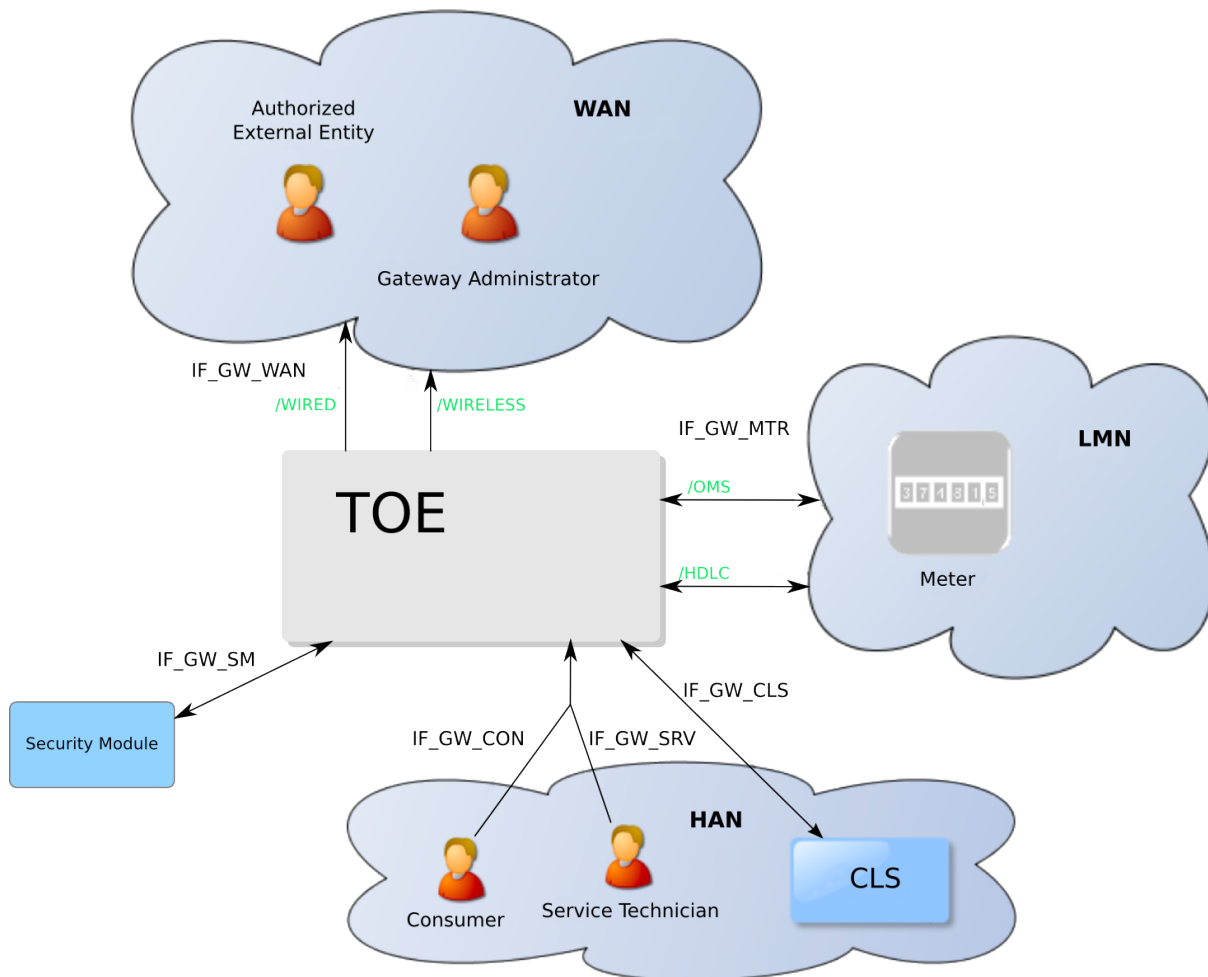


Figure 1.2: The logical interfaces of the TOE

### 125 1.5.3 Requirements on the operational environment of the TOE

126 For a secure operation of the TOE the Security Module TCOS Smart Meter Security Module Version  
 127 1.0 Release 1/P60C144PVA from T-Systems International GmbH that is Common Criteria certified in  
 128 conformance to [SM-PP] is physically integrated into the Conexa. Please note, that the Security Module  
 129 is not part of the TOE.

130 Other requirements on the operational environment do not compromise the security functionality of the  
 131 TOE but should be considered to ensure the availability of all services provided by the TOE.

132 Therefore wired attached Meters located in the LMN network shall provide an TIA-485 interface and  
 133 support communication via COSEM objects using SML and optionally SMLplus. Further those Meters  
 134 shall be able to communicate with the TOE using TLS via HDLC. For interfacing to wireless attached  
 135 Meters, the TOE implements an interface to a wM-Bus module. Wireless attached Meters shall provide a  
 136 wM-Bus compatible transmitter for unidirectional communication.

137 To receive Meter Data the Consumer shall provide a device that is attached to the TOE via the IF\_GW\_CON  
 138 interface. This device shall provide an Ethernet-interface and support the protocols HTTPS and TCP/IP.

139 Further the TOE needs a direct connection to the internet without any proxy server between itself and the  
 140 Gateway Administrator via the IF\_GW\_WAN interface. Therefore the TOE implements an interface to a  
 141 wireless module and an Ethernet interface. To use the wireless module, which is not part of the TOE, a  
 142 SIM card is required. In order to send billing relevant data to authorized External Entities the internet

143 connection must provide at least GPRS CS-3 or CS-4 speed. The GPRS speed is also sufficient to enable  
144 the Gateway Administrator to send new processing profiles to the TOE.

145 More information on communication protocols used within this interface is provided in [TR 03109-1].

146 In addition the Gateway Administrator shall provide a reliable time source that is used by the TOE to  
147 update its local time. More information on the requirements for the reliable time source is provided in  
148 [TR 03109-1].

#### 149 1.5.4 TOE description

150 The Smart Metering Gateway (TOE) may serve as the communication unit between devices of private  
151 and commercial Consumers and service providers of a commodity industry (e.g. electricity, gas, water,  
152 etc.). It also collects, processes and stores Meter Data and is responsible for the distribution of this data to  
153 external entities.

154 Typically, the Gateway will be placed in the household or premises of the Consumer<sup>9</sup> of the commodity  
155 and enables access to local Meter(s) (i.e. the unit(s) used for measuring the consumption or production of  
156 electric power, gas, water, heat etc.) and may enable access to Controllable Local Systems (e.g. power  
157 generation plants, controllable loads such as air condition and intelligent household appliances). Roles  
158 respectively External Entities in the context of the Gateway are introduced in chapter 3.1.

159 The TOE has a fail-safe design that specifically ensures that any malfunction cannot impact the delivery  
160 of a commodity, e.g. energy, gas or water<sup>10</sup>.

#### 161 1.5.5 TOE type

162 The TOE is a communication Gateway. It provides different external communication interfaces and  
163 enables the data communication between these interfaces and connected IT systems. It further collects,  
164 processes and stores Meter Data.

#### 165 1.5.6 TOE logical boundary

166 The logical boundary of the Gateway can be defined by its security features:

- 167 • **Handling of Meter Data**, collection and processing of Meter Data, submission to authorised  
168 external entities (e.g. one of the service providers involved) where necessary protected by a digital  
169 signature
- 170 • **Protection of authenticity, integrity and confidentiality** of data temporarily or persistently stored  
171 in the Gateway, transferred locally within the LAN and transferred in the WAN (between Gateway  
172 and authorised external entities)
- 173 • **Firewalling** of information flows to the WAN and **information flow control** among Meters, Con-  
174 trollable Local Systems and the WAN
- 175 • A **wake-up service** that allows to contact the TOE from the WAN side
- 176 • **Privacy preservation**

---

<sup>9</sup> Please note that it is possible that the Consumer of the commodity is not the owner of the premises where the Gateway will be placed. However, this description acknowledges that there is a certain level of control over the physical access to the Gateway.

<sup>10</sup> Indeed, this Security Target assumes that the Gateway and the Meters have no possibility at all to impact the delivery of a commodity. Even an intentional stop of the delivery of a certain commodity is not within the scope of this Security Target. It should, however, be noted that such a functionality may be realised by a CLS that utilises the services of the TOE for its communication.

177 • **Management** of Security Functionality

178 • **Identification and Authentication** of users

179 The following sections introduce the security functionality of the TOE in more detail.

### 180 **1.5.6.1 Handling of Meter Data**<sup>11</sup>

181 The Gateway is responsible for handling Meter Data. It receives the Meter Data from the Meter(s),  
182 processes it, stores it and submits it to external entities.

183 The TOE utilises Processing Profiles to determine which data shall be sent to which component or external  
184 entity. A Processing Profile defines:

- 185 • how Meter Data must be processed,
- 186 • which processed Meter Data must be sent in which intervals,
- 187 • to which component or external entity,
- 188 • signed using which key material,
- 189 • encrypted using which key material,
- 190 • whether processed Meter Data shall be pseudonymised or not, and
- 191 • which pseudonym shall be used to send the data.

192 The Processing Profiles are not only the basis for the security features of the TOE; they also contain  
193 functional aspects as they indicate to the Gateway how the Meter Data shall be processed. Further  
194 Processing Profiles are used to allocate and connect Meter located in the LMN to the SMGW. More details  
195 on the Processing Profiles can be found in [TR 03109-1].

196 The Gateway will restrict access to (processed) Meter Data in the following ways:

- 197 • Consumers shall be identified and authenticated first before access to any data may be granted,
- 198 • the Gateway shall accept Meter Data from authorised Meters only,
- 199 • the Gateway shall send processed Meter Data to correspondingly authorised external entities only.

200 The Gateway shall accept data (e.g. configuration data, firmware updates) from correspondingly autho-  
201 rised Gateway Administrators or correspondingly authorised external entities only. This restriction is  
202 a prerequisite for a secure operation and therewith for a secure handling of Meter Data. Further, the  
203 Gateway shall maintain a Calibration Log with all relevant events that could affect the calibration of the  
204 Gateway.

205 These functionalities shall

- 206 • prevent that the Gateway accepts data from or sends data to unauthorised entities,
- 207 • ensure that only the minimum amount of data leaves the scope of control of the Consumer<sup>12</sup>,

<sup>11</sup> Please refer to chapter 3.2 for an exact definition of the various data types.

<sup>12</sup> This ST does not define the standard on the minimum amount that is acceptable to be submitted. The decision about the frequency and content of information has to be considered in the context of the contractual situation between the Consumer and the external entities.

- 208 • preserve the integrity of billing processes and as such serve in the interests of the Consumer as  
209 well as in the interests of the supplier. Both parties are interested in an billing process that ensures  
210 that the value of the consumed amount of a certain commodity (and only the used amount) is  
211 transmitted<sup>13</sup>,
- 212 • preserve the integrity of the system components and their configurations.

213 The TOE offers a local interface to the Consumer (see also IF\_GW\_CON in [Figure 1.2](#)) and allows the  
214 Consumer to obtain information via this interface. This information comprises the billing-relevant data  
215 (to allow the Consumer to verify an invoice) and information about which Meter Data has been and will  
216 be sent to which external entity. The TOE ensures that the communication to the Consumer is protected  
217 by using TLS and ensures that Consumers only get access to their own data.

### 218 **1.5.6.2 Confidentiality protection**

219 The TOE protects data from unauthorised disclosure

- 220 • while received from a Meter via the LMN,
- 221 • while temporarily stored in the volatile memory of the Gateway,
- 222 • while transmitted to the corresponding external entity via the WAN or HAN.

223 Furthermore, all data, which no longer have to be stored in the Gateway, are securely erased to prevent  
224 any form of access to residual data via external interfaces of the TOE.

225 These functionalities shall protect the privacy of the Consumer and shall prevent that an unauthorised  
226 party is able to disclose any of the data transferred in and from the Smart Metering System (e.g. Meter  
227 Data, configuration settings).

### 228 **1.5.6.3 Integrity and Authenticity protection**

229 The Gateway shall provide the following authenticity and integrity protection:

- 230 • Verification of authenticity and integrity when receiving Meter Data from a Meter via the LMN, to  
231 verify that the Meter Data have been sent from an authentic Meter and have not been altered during  
232 transmission. The TOE utilises the services of its Security Module for aspects of this functionality.
- 233 • Application of authenticity and integrity protection measures when sending processed Meter Data  
234 to an external entity, to enable the external entity to verify that the processed Meter Data have been  
235 sent from an authentic Gateway and have not been changed during transmission. The TOE utilises  
236 the services of its Security Module for aspects of this functionality.
- 237 • Verification of authenticity and integrity when receiving data from an external entity (e.g. configu-  
238 ration settings or firmware updates) to verify that the data have been sent from an authentic and  
239 authorised external entity and have not been changed during transmission. The TOE utilises the  
240 services of its Security Module for aspects of this functionality.

241 These functionalities shall:

---

<sup>13</sup> This statement refers to the standard case and ignores that a Consumer may also have an interest to manipulate the Meter Data.

- 242 • prevent within the Smart Metering System that data may be sent by a non-authentic component  
243 without the possibility that the data recipient can detect this,
- 244 • facilitate the integrity of billing processes and serve for the interests of the Consumer as well as  
245 for the interest of the supplier. Both parties are interested in the transmission of correct processed  
246 Meter Data to be used for billing,
- 247 • protect the Smart Metering System and a corresponding large scale Smart Grid infrastructure by  
248 preventing that data (e.g. Meter Data, configuration settings, or firmware updates) from forged  
249 components (with the aim to cause damage to the Smart Grid) will be accepted in the system.

#### 250 1.5.6.4 Information flow control and firewall

251 The Gateway separates devices in the LAN of the Consumer from the WAN and enforces the following  
252 information flow control to control the communication between the networks that the Gateway is attached  
253 to:

- 254 • only the Gateway may establish a connection to an external entity in the WAN<sup>14</sup>; specifically  
255 connection establishment by an external entity in the WAN or a Meter in the LMN to the WAN is  
256 not possible,
- 257 • the Gateway can establish connections to devices in the LMN or in the HAN,
- 258 • Meters in the LMN are only allowed to establish a connection to the Gateway,
- 259 • the Gateway offers a wake-up service that allows external entities in the WAN to trigger a connection  
260 establishment by the Gateway,
- 261 • connections are allowed to pre-configured addresses only,
- 262 • only cryptographically-protected (i.e. encrypted, integrity protected and mutually authenticated)  
263 connections are possible.

264 These functionalities

- 265 • prevent that the Gateway itself or the components behind the Gateway (i.e. Meters or Controllable  
266 Local Systems) can be conquered by a WAN attacker (as defined in section 3.4), that processed  
267 data are transmitted to the wrong external entity, and that processed data are transmitted without  
268 being confidentiality/authenticity/integrity-protected,
- 269 • protect the Smart Metering System and a corresponding large scale infrastructure in two ways: by  
270 preventing that conquered components will send forged Meter Data (with the aim to cause damage  
271 to the Smart Grid), and by preventing that widely distributed Smart Metering Systems can be abused  
272 as a platform for malicious software to attack other systems in the WAN (e.g. a WAN attacker who  
273 would be able to install a botnet on components of the Smart Metering System).

274 The communication flows that are enforced by the Gateway between parties in the HAN, LMN and WAN  
275 are summarized in the following table<sup>15</sup>:

276

---

<sup>14</sup> Please note that this does not affect the functionality for a CLS to establish a secure channel to a party in the WAN. Technically however, this channel is established by the TOE who acts as a proxy between the CLS and the WAN.

<sup>15</sup> Please note that this table only addresses the communication flow between devices in the various networks attached to the Gateway. It does not aim to provide an overview over the services that the Gateway itself offers to those devices nor an overview over the communication between devices in the same network. This information can be found in the paragraphs following the table.

Source (1 <sup>st</sup> column) Destination (1 <sup>st</sup> row)	WAN	LMN	HAN
WAN	– (see following list)	No connection establishment allowed	No connection establishment allowed
LMN	No connection establishment allowed	– (see following list)	No connection establishment allowed
HAN	Connection establishment is allowed to trustworthy, preconfigured endpoints and via an encrypted channel only <sup>16</sup>	No connection establishment allowed	– (see following list)

**Table 1.3: Communication flows between devices in different networks**

277 For communications within the different networks the following assumptions are defined:

- 278 1. Communications within the **WAN** are not restricted. However, the Gateway is not involved in this  
279 communication.
- 280 2. No communications between devices in the **LMN** are assumed. Devices in the LMN may only  
281 communicate to the Gateway and shall not be connected to any other network.
- 282 3. Devices in the **HAN** may communicate with each other. However, the Gateway is not involved in  
283 this communication. If devices in the HAN have a separate connection to parties in the WAN (beside  
284 the Gateway) this connection is assumed to be appropriately protected. It should be noted that  
285 for the case that a TOE connects to more than one HAN communications between devices within  
286 different HAN via the TOE are only allowed if explicitly configured by a Gateway Administrator.

287 Finally, the Gateway itself offers the following services within the various networks:

- 288 1. The Gateway accepts the submission of Meter Data from the LMN,
- 289 2. the Gateway offers a wake-up service at the WAN side as described in chapter 1.5.6.5,
- 290 3. the Gateway offers a user interface to the HAN that allows CLS or Consumers to connect to the  
291 Gateway in order to read relevant information.

### 292 1.5.6.5 Wake-up service

293 In order to protect the Gateway and the devices in the LAN against threats from the WAN side the Gateway  
294 implements a strict firewall policy and enforces that connections with external entities in the WAN shall  
295 only be established by the Gateway itself (e.g. when the Gateway delivers Meter Data or contacts the  
296 Gateway Administrator to check for updates)<sup>17</sup>.

297 While this policy is the optimal policy from a security perspective the Gateway Administrator may want  
298 to facilitate applications in which an instant communication to the Gateway is required.

299 In order to allow this kind of re-activeness of the Gateway keeps existing connections to external entities  
300 open (please refer to [TR 03109-3] for more details) and offers a so called wake-up service.

<sup>17</sup> Please note that this does not affect the functionality for a CLS to establish a secure channel to a party in the WAN. Technically however, this channel is established by the TOE who acts as a proxy between the CLS and the WAN.

301 The Gateway is able to receive a wake-up message that is signed by the Gateway Administrator. The  
302 following steps are taken:

- 303 1. The Gateway verifies the wake-up packet. This comprises
  - 304 (a) a check if the header identification is correct,
  - 305 (b) the recipient is the Gateway,
  - 306 (c) the wake-up packet has been sent/received within an acceptable period of time in order to  
307 prevent replayed messages,
  - 308 (d) the wake-up message has not been received before,
- 309 2. If the wake-up message could not be verified as described in step 1 the message will be dropped/ig-  
310 nored. No further operations will be initiated and no feedback is provided.
- 311 3. If the message could be verified as described in step 1 the signature of the wake-up message will be  
312 verified. The Gateway shall use the services of its Security Module for signature verification.
- 313 4. If the signature of the wake-up message cannot be verified as described in step 3 the message will  
314 be dropped/ignored. No feedback is given to the sending external entity and the wake-up sequence  
315 terminates.
- 316 5. If the signature of the wake-up message could be verified successfully, the Gateway initiates a  
317 connection to a pre-configured external entity; however no feedback is given to the sending external  
318 entity.

319 More details on the exact implementation of this mechanism can be found in [[TR 03109-1](#), “Wake-Up-  
320 Service”].

### 321 **1.5.6.6 Privacy Preservation**

322 The preservation of the privacy of the Consumer is an essential aspect that is implemented by the  
323 functionality of the TOE as required by this ST.

324 This contains two aspects:

325 The TOE submits only a minimum amount of data to external entities and therewith leaves the scope of  
326 control to the Consumer. The mechanisms “encryption” and “pseudonymisation” ensure that the data can  
327 only be read by the intended recipient and only contains an association with the identity of the Meter if  
328 this is necessary.

329 On the other hand, the TOE provides the Consumer with transparent information about the information  
330 flows that happen with their data. In order to achieve this, the TOE implements a Consumer Log that  
331 specifically contains the information about the information flows which have been and will be authorised  
332 based on the previous and current Processing Profiles. The access to this Consumer Log is only possible  
333 via a local interface from the HAN and after authentication of the Consumer via HAN-certificates<sup>18</sup> or via  
334 username and password. The TOE shall only allow a Consumer access to the data in the Consumer Log  
335 that is related to their own consumption or production. The following paragraphs provide more details on  
336 the information that shall be included in this log:

#### 337 **Monitoring of Data Transfers**

338 The TOE keeps track of each data transmission in the Consumer Log and allow the Consumer to see  
339 details on which information have been and will be sent (based on the previous and current settings) to  
340 which external entity.

---

<sup>18</sup> see [[TR 03109-1](#)] for more details

### 341 **Configuration Reporting**

342 The TOE provides detailed and complete reporting in the Consumer Log of each security and privacy-  
343 relevant configuration setting. The Consumer Log contains the configured addresses for internal and  
344 external entities including the CLS.

### 345 **Audit Log and Monitoring**

346 The TOE provides all audit data from the Consumer Log at the user interface IF\_GW\_CON. Access to the  
347 Consumer Log is only possible after successful authentication and only to information that the Consumer  
348 has permission to (i.e. that has been recorded based on events belonging to the Consumer).

### 349 **1.5.6.7 Management of Security Functions**

350 The Gateway provides authorised Gateway Administrators with functionality to manage the behaviour of  
351 the security functions and to update the TOE.

352 Further, it is defined that only authorised Gateway Administrators are able to use the management  
353 functionality of the Gateway (while the Security Module is used for the authentication of the Gateway  
354 Administrator) and that the management of the Gateway is only possible from the WAN side interface.

### 355 **1.5.6.8 Identification and Authentication**

356 To protect the TSF as well as User Data and TSF data from unauthorized modification the TOE provides a  
357 mechanism that requires each user to be successfully identified and authenticated before allowing any  
358 other actions on behalf of that user. This functionality includes the identification and authentication of  
359 users who receive data from the Gateway as well as the identification and authentication of CLS located  
360 in HAN and Meters located in LMN.

361 The Gateway provides different kinds of identification and authentication mechanisms that depend on the  
362 user role and the used interfaces. Most of the mechanisms require the usage of certificates. If the Gateway  
363 Administrator permits it in the Processing Profiles, the Consumers are able to decide whether they use  
364 certificates or username and password for identification and authentication.

### 365 **1.5.7 The logical interfaces of the TOE**

366 The TOE offers its functionality as outlined before via a set of external interfaces. [Figure 1.2](#) also indicates  
367 the cardinality of the interfaces. The following table provides an overview of the mandatory external  
368 interfaces of the TOE and provides additional information:



Interface Name	Description
IF_GW_CON	Via this interface the Gateway provides the Consumer <sup>19</sup> with the possibility to review information that is relevant for billing or the privacy of the Consumer. Specifically the access to the Consumer Log is only allowed via this interface.
IF_GW_MTR	Interface between the Meter and the Gateway. The Gateway receives Meter Data via this interface.
IF_GW_SM	The Gateway invokes the services of its Security Module via this interface.
IF_GW_CLS	CLS may use the communication services of the Gateway via this interface. The implementation of at least one interface for CLS is mandatory.
IF_GW_WAN	The Gateway submits information to authorised external entities via this interface.
IF_GW_SRV	Local Interface via which the Service Technician has the possibility to review information that are relevant to maintain the Gateway. Specifically he has read access to the System Log only via this interface. He has also the possibility to view non-TSF data via this interface.
IF_LED	Interface to display actual status information for local users.

**Table 1.4: TOE external interfaces**

369 There exist some more interfaces used for production and development purposes. These interfaces are  
 370 disabled by software in normal operation mode. In [FSP, chapter 3.1] this table will be amended by these  
 371 interfaces. Their usage and how these interfaces are disabled will be explained in [FSP, chapter 2 and  
 372 chapter 3] in more detail.

### 373 1.5.8 TOE physical boundary

374 The TOE comprises all hard- and software components including the casing besides the GSM and wM-  
 375 Bus wireless communication modules and the Security Module, which are physically integrated into the  
 376 product Conexa 3.0 and hard-wired to the TOE.

### 377 1.5.9 The interfaces of the TOE and its enclosing case

378 There are multiple interfaces in different design levels of the TOE and the surrounding environment.  
 379 The aim of the following Table 1.5 and Figure 1.3 is to give an overview of these set of interfaces, their  
 380 meaning, and functions.

Description	Physical (TOE boundary)	Physical (SMGW casing)	TSFI (logical)	Subtype
WAN interface wired	WAN-1	WAN-1	IF_GW_WAN	WIRED
WAN interface wireless	WAN-A-T	WAN-A <sup>20</sup>	IF_GW_WAN	WIRELESS
HAN interface	HAN-T	HAN <sup>21</sup>	IF_GW_CON IF_GW_CLS IF_GW_SRV	-
CLS interface	CLS [HAN]	CLS [HAN]	IF_GW_CON IF_GW_CLS IF_GW_SRV	-
LMN interface wired	LMN-1	LMN-1	IF_GW_MTR	HDLC
LMN interface wireless	LMN-A-T	LMN-A <sup>22</sup>	IF_GW_MTR	OMS
Status LEDs	LEDs	LEDs	-	-
SMGW-Casing	Casing	Casing	-	-
Interface for the Security Module	SM-T	<sup>23</sup>	-	-

Table 1.5: Assignment of interfaces

381 There exist some more interfaces used for production and development purposes. These interfaces are  
382 disabled by software in normal operation mode. In [FSP, chapter 3.1] this table will be amended by these  
383 interfaces. Their usage and how these interfaces are disabled will be explained in [FSP, chapter 2 and  
384 chapter 3] in more detail.

<sup>20</sup> Please note that the interface WAN-A is not the same interface as WAN-A-T. WAN-A is the interface at the output side of the GSM wireless module, which is not part of the TOE.

<sup>21</sup> Please note that the interface HAN is not the same interface as HAN-T. HAN is the interface at the optional HAN-Module, which is not part of the TOE.

<sup>22</sup> Please note that the interface LMN-A is not the same interface as LMN-A-T. LMN-A is the interface at the output side of the wM-Bus wireless module, which is not part of the TOE.

<sup>23</sup> The interface SM-T is not accessible at the casing of the SMGW. This interface terminates under the surrounding SMGW casing. The interface connects to the internal Security Module that is not part of the TOE. In this and the following documents IF\_GW\_SM will be used for the description of the logical interface to the Security Module.

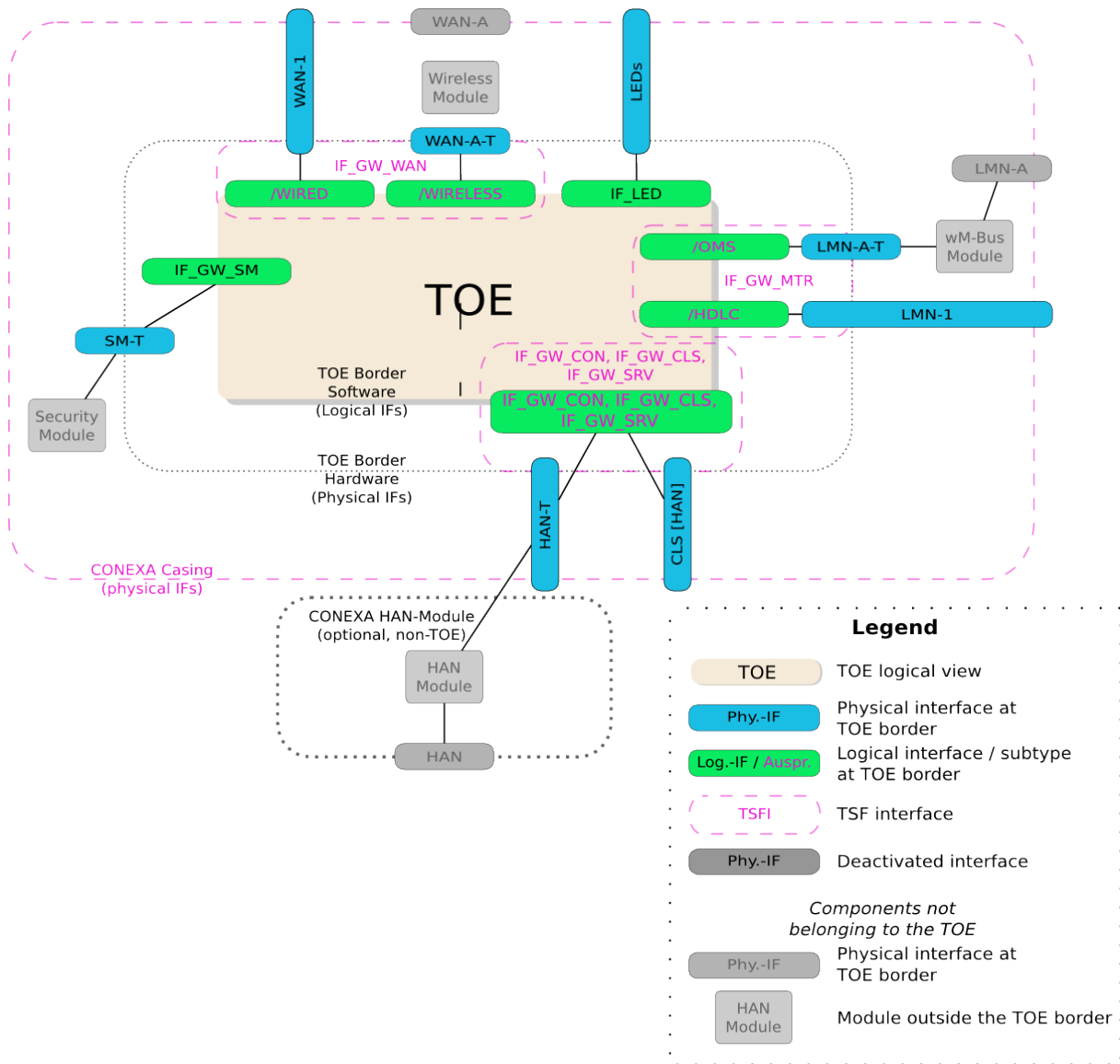


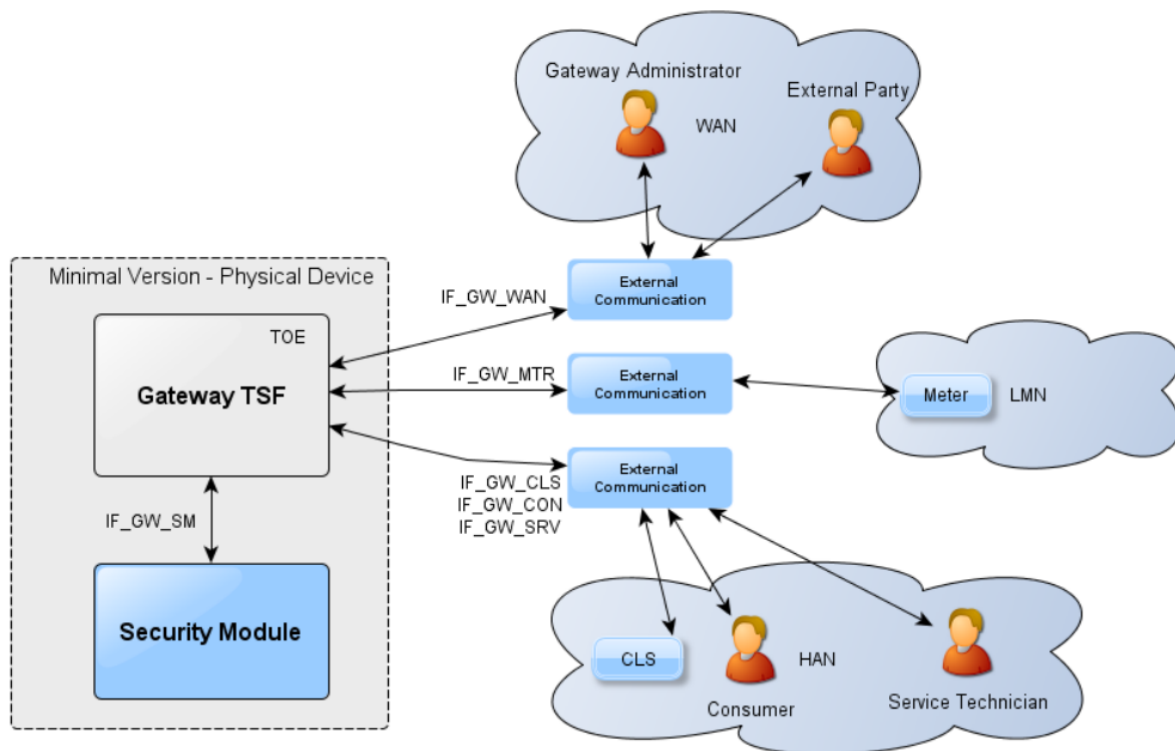
Figure 1.3: Overview of the interfaces of the CONEXA 3.0 SMGW

385 The Figure 1.3 consists on the two big inner circles for the logical (TOE Border Software) and the physical  
 386 (TOE Border Hardware) TOE borders. The interface names like they are used in this document for the  
 387 TOE border are placed on these dotted circles. The physical interfaces of the Conexa casing are placed on  
 388 the outer circle (CONEXA Casing).

389 To simplify the understanding of the interface structure, the names of the interfaces have different colours.  
 390 These colours depend on the source of the interface name and the interface type. The interface names  
 391 taken from the Protection Profile [SMGW-PP] (TSFI) are written in purple colour and surrounded by  
 392 a purple dotted line. The logical TOE interface names are surrounded by a green coloured box. The  
 393 physical TOE interface names are surrounded by a blue coloured box. All grey coloured components are  
 394 not part of the CONEXA 3.0 TOE.

### 395 1.5.9.1 Overview of the TOE hardware

396 The minimal implementation of a secure TOE for a Smart Meter Gateway is shown in Figure 1.4 and was  
 397 taken from the Protection Profile [SMGW-PP].



**Figure 1.4: Smart Meter Gateway TOE using external communication devices**

398 In [Figure 1.4](#) the TOE does not include the external communication devices, that enable the physical  
 399 connection to the WAN, LMN and HAN. The implementation of the CONEXA 3.0 TOE based in parts on  
 400 this minimal design version. These parts which use external communication devices are:

- 401
- the GSM module for the wireless WAN connection connected at the WAN-A-T interface,
  - 402 • the wM-Bus module for the wireless LMN connection, connected at the LMN-A-T interface and
  - 403 • the optional HAN-Module for the HAN connection, connected at the HAN-T interface.

404 The following [Figure 1.5](#) provides an overview about the casing of the SMGW. In particular, the figure  
 405 shows the external interfaces of the TOE that are visible and connectable at the case of the Smart Meter  
 406 Gateway. Both wireless interfaces (WAN-A, LMN-A) are not part of the TOE. The TOE border for this  
 407 interfaces ends at the input side of the corresponding wireless modules.

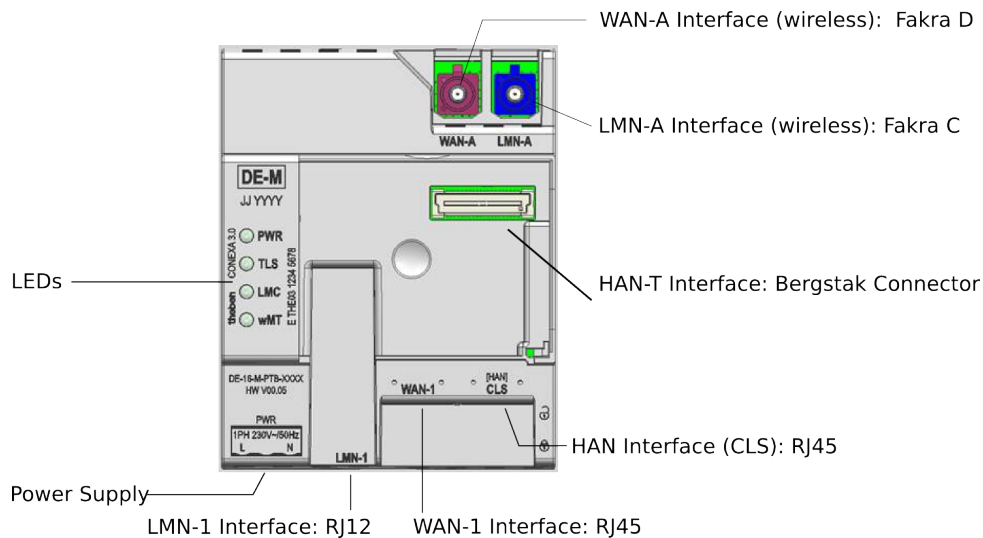


Figure 1.5: Casing of the TOE - External interfaces

408 Figure 1.6 shows the hardware parts of CONEXA 3.0.

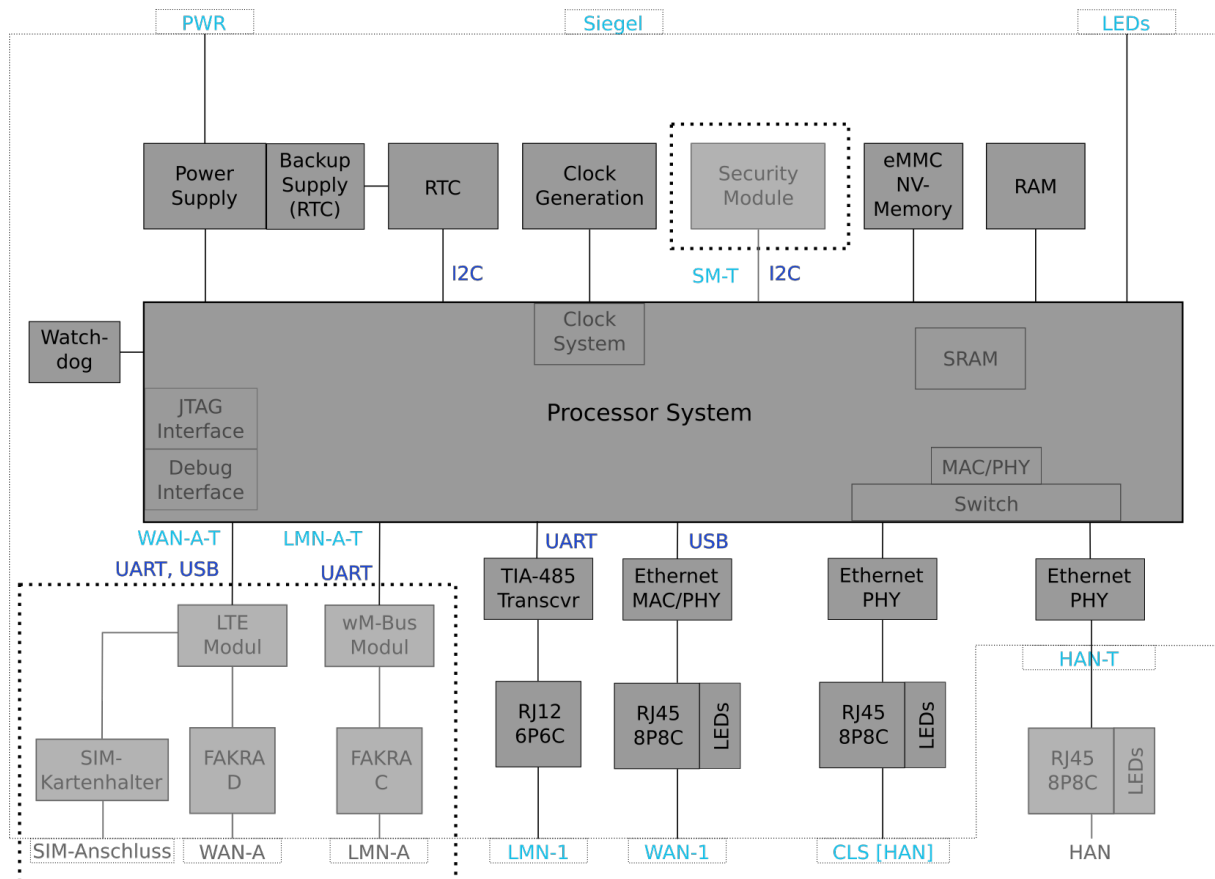


Figure 1.6: The hardware parts of the TOE

409 In Figure 1.6 the physical interfaces at the Conexa casing are surrounded by a small box with small dotted  
 410 lines. The physical interfaces of the TOE are colored in light blue. The components drawn in light gray  
 411 and surrounded by a dotted lines are not part of the TOE. Please note that these components are physically

412 integrated into the CONEXA 3.0 but are not part of the TOE.

413 The components are briefly described below.

#### 414 **Power Supply**

415 This component supplies all other components of CONEXA 3.0 with voltage providing the correct  
416 powersequencing. It provides the external interface Power Supply (PWR) (cf. [Figure 1.5](#)).

#### 417 **Backup Supply (RTC)**

418 This component supplies the Real Time Clock (RTC) with voltage for a particular amount of time if  
419 the component power supply is down. Therefore it is ensured that the RTC keeps running within this  
420 timeframe.

#### 421 **RTC**

422 The Real Time Clock (RTC) of the TOE is used to synchronize the internal system time of the TOE after a  
423 power cut. During the operation of the TOE the RTC is adjusted using the internal system time of the TOE,  
424 if the internal system time corresponds to the reliable time source provided by the Gateway Administrator.

#### 425 **Clock Generation**

426 This component provides clock signals for the Clock System inside of the Processor and other TOE  
427 components.

#### 428 **Security Module**

429 The Security Module TCOS Smart Meter Security Module Version 1.0 Release 2/P60C144PVE from  
430 T-Systems International GmbH, certified under BSI Certification-ID BSI-DSZ-CC-0957-V2-2016, is  
431 integrated into the Conexa but is not part of the TOE. Mainly the TOE uses the functionality of the  
432 Security Module for cryptographic support. For more information please refer to [section 1.5.10](#).

433 The logical interface IF\_GW\_SM is provided on the physical interface SM-T which is located underneath  
434 the enclosing case.

#### 435 **External Memories**

436 This component provides non-volatile storage used for code and data (FLASH) and random access  
437 memory (RAM) used by the Processor System.

#### 438 **Watchdog**

439 This component monitors the operation of the TOE and performs a reboot of the TOE if necessary.

#### 440 **Processor System**

441 The Processor System as part of the CPU comprises the following main components:

- 442 • Clock System

443 The Clock System uses the clock provided by the Clock Generation to provide the clock to the  
444 Processor System.

- 445 • MAC-PHY / Switch

446 These components are used to connect the CPU to the PHYs of the HAN interfaces.

#### 447 **IF\_GW\_WAN**

448 The logical interface IF\_GW\_WAN is realized by the following two interfaces:

- 449 • IF\_GW\_WAN/WIRELESS

450 This interface enables the communication between the TOE and external entities located in the WAN

451 via an attached GSM wireless module, supporting GSM and GPRS and LTE. The physical interface  
452 WAN-A-T which is located underneath the enclosing case as shown in [Figure 1.6](#) and a LED that  
453 displays the connection status are therefore provided by the TOE. The external interface WAN-A,  
454 the FAKRA D-Socket and the SIM card slot and tray are not part of the TOE (cf. [Figure 1.5](#)).

#### 455 • IF\_GW\_WAN/WIRED

456 This component implements the external, physical interface WAN-1 (cf. [Figure 1.5](#)) and hence,  
457 enables a wired connection between the TOE and external entities located in the WAN. As an  
458 interface for a router the TOE provides an 8p8c-Socket (RJ45). After the installation and start of  
459 operation (cf. [section 1.5.11](#)) the Socket is located beneath the sealed casing of the SMGW. Further,  
460 an LED located on the frontside of the SMGW casing displays the connection status.

### 461 IF\_GW\_MTR

462 The logical interface IF\_GW\_MTR is realized by the following two interfaces:

#### 463 • IF\_GW\_MTR/OMS

464 This interface enables the communication between the TOE and Meters located in the LMN via an  
465 attached wM-Bus wireless module, supporting wireless M-Bus. Therefore the TOE provides the  
466 physical interface LMN-A-T which is located underneath the enclosing case shown in [Figure 1.6](#).  
467 The external interface LMN-A and the FAKRA C-Socket (cf. [Figure 1.5](#)) are not part of the TOE.

#### 468 • IF\_GW\_MTR/HDLC

469 This component provides the external, physical interface LMN-1 (cf. [Figure 1.5](#)) and hence, enables  
470 a wired connection based on TIA-485 and HDLC communication between the TOE and Meters  
471 located in the LMN. Therefore the TOE provides an 6p6c-Socket (RJ12). Further this interface is  
472 used to power supply some of the Meters using this interface.

### 473 IF\_GW\_CON, IF\_GW\_SRV and IF\_GW\_CLS

474 The physical interface to the HAN is represented by a 8p8c-Socket (RJ45) (CLS [HAN]) and a Bergstak  
475 Mezzanine Connector (HAN-T). The two interfaces are separated by an Ethernet Switch which is a part  
476 of the CPU. The Mezzanine Connector is used to connect to an optional HAN-Module which provides a  
477 8p8c-Socket (RJ45) and maybe equipped with other non TOE HAN/CLS components. The HAN-Module  
478 is not part of the TOE. This way, an user is able to connect a display or another device to get access  
479 to the Consumer Log or to view his consumption data (HAN Interface (Consumer), cf. [Figure 1.5](#)) if  
480 authenticated. If the module is not present the Energy Service Provider has to add an external switch to  
481 grant the user access to the HAN. In addition, The other socket is used for the communication between the  
482 TOE and the CLS located in the HAN (HAN Interface ( CLS), cf. [Figure 1.5](#)). After the installation and  
483 start of operation (cf. [section 1.5.11](#)) this socket is located inside the sealed cabinet enclosing the SMGW.  
484 Both sockets can be used by Service Technicians to read the System Log or start the selftest. Further, the  
485 TOE provides two LEDs on the frontside of the SMGW casing which display the connection status.

### 486 IF\_LED

487 The TOE comprises four LEDs (light emitting diodes) which are located on the front side of the SMGW  
488 casing. The LEDs provide information about the connection status of the interfaces of the TOE. It provides  
489 the external interface *LED* (cf. [Figure 1.5](#))

### 490 Casing

491 The TOE consists of a hardware and a software part. One hardware part is the casing of the Smart Meter  
492 Gateway. The casing is an interface for the fixation of a seal to allow an authorized user to detect a  
493 physical manipulation. (cf. [Figure 1.5](#))

### 494 1.5.9.2 Overview of the TOE software

495 The TOE software is based on a Linux operating system (OS). The Linux Kernel includes all required  
496 hardware drivers for TOE hardware. Also all required Kernel software-modules are built-in. Dynamic  
497 loading of drivers or software-modules is deactivated (not built-in by build config) in Kernel.

498 To get the OS running, a bootloader initializes the TOE hardware, selects kernel image from persistent  
499 memory, loads it into RAM and gives control to kernel (boot kernel image). Selecting kernel image is  
500 required because kernel is stored twice to have a redundant boot option i.e. on memory defects.

501 On kernel startup all hardware devices are (re-)initialized by kernel according built-in configuration  
502 (device tree). Kernel image also includes a RAM-disk with a minimal system (root file system) containing  
503 a minimal-init process, called miniinit.

504 The miniinit process prepares the TOE / Linux runtime environment by setting up temporary and pseudo-  
505 filesystems. Further miniinit selects and mounts the root file system (root partition). Selecting root file  
506 system is required because it is stored twice (each on a separate memory partition) to have a redundant  
507 boot option i.e. on memory defects. Finally miniinit switches from RAM-disk to selected root file system.  
508 From here a custom init process (smgw-init) located on root file system is taking control.

509 TOE functionality is split up into several software components named "SMGW applications". Not all of  
510 these applications are security-relevant but are necessary for functional operation. Every component is  
511 started by smgw-init according a defined start order. Access rights and system capabilities are set-up by  
512 smgw-init for each started process as well. Further each process is observed and controlled by smgw-init  
513 using implemented software-watchdog and selftest functions. Malfunctions will lead to process restart or  
514 even system reboot in case of fatal failures.

515 Based on selftest results smgw-init may also switch system into a secure minimal operation mode, called  
516 "secure state". Not all SMGW application will run on this minimal operation mode (reduced functionality)  
517 but full administrative access is available for Gateway Administrator.

518 After all SMGW applications are started by smgw-init and running as required, TOE interfaces are  
519 available for use. Functionality provided by SMGW applications internally (core) and on TOE interfaces  
520 is described below.

#### 521 **Core functionality**

522 Some TOE functionality is not directly assigned to an interface but is realized by SMGW core applications.  
523 One of these functions is configuration handling. Configuration done by Gateway Administrator is stored  
524 persistent in TOE and provided to SMGW applications for their special need / required operation.

525 Initial TOE configuration is done within personalization process on manufacturer site (see [section 1.5.11](#))  
526 by initial configuration file provided by Gateway Administrator. Once TOE is initially configured,  
527 configuration can only be done by connected Gateway Administrator.

528 Another core functionality is log handling. All logs issued by SMGW applications are stored into  
529 maintained logbooks:

- 530 • System Log

531 This logbook holds global system events. Some System Logs are send directly to Gateway Admin-  
532 istrator on occurrence.

533 Reading the System Log is restricted to Gateway Administrator and Service Technician.



- 534 • Calibration Log
- 535 This logbook holds events required by national calibration authority. Some Calibration Logs are
- 536 send directly to Gateway Administrator on occurrence.
- 537 Reading the Calibration Log is restricted to Gateway Administrator.
- 538 • Consumer Log
- 539 For each configured Consumer a dedicated logbook is maintained by TOE.
- 540 Reading the Consumer Log is restricted to assigned Consumer only. Therefor entries from Consumer
- 541 Log are never send to Gateway Administrator.

542 Log handling also includes watching System Logs for security relevant issues. In case of security relevant

543 issue detection, system is switched to secure minimal operation mode, called "secure state".

#### 544 **Functionality on IF\_GW\_WAN**

545 On IF\_GW\_WAN interface channels to external entities in WAN are established by TOE software.

546 Each channel is a mutual authenticated TLS channel initialized by TOE (TLS client) to a configured

547 endpoint. Required channels for initial operation can be configured within personalization process (initial

548 configuration).

Channel name	endpoint entity	purpose
MANAGEMENT	Gateway Administrator	management functions, i.e. configura- tion or log review
ADMIN-SERVICE	Gateway Administrator	sending logs, software update down- load
NTP-TLS	timeserver on behalf of Gateway Ad- ministrator	system time sincronization
INFO-REPORT	external entity called EMT	sending billing relevant meter data
CLS-WAN	external entity called EMT	communication with CLS via TOE (proxy)

**Table 1.6: WAN channels**

549 All WAN TLS channels are established by TOE on demand and kept established as long as configured or

550 closed by peer. At least TLS channels on WAN will be closed after 48 hours by TOE.

551 To enable Gateway Administrator to trigger a MANAGEMENT connection, incoming wake-up messages

552 will be accepted on IF\_GW\_WAN as described in [section 1.5.6.5](#).

553 For management purposes on MANAGEMENT channel, TOE is providing a webserver with a RESTful

554 API as specified in [\[TR 03109-1\]](#). This webserver is reachable via MANAGEMENT channel only and not

555 directy via any TOE interface.

556 Local time (system time) will be synchronized with a reliable external time source in WAN. For synchrono-

557 nization ntp via TLS channel is used ("NTP-over-TLS" / NTP-TLS).

558 Without a valid time, system will not get into full operational mode.

559 For CLS proxy purposes "CLS-WAN" channels are established by TOE. Data transferred on these channels

560 are not handled by TOE but redirected to configured CLS device on IF\_GW\_CLS and vice versa (proxy

561 functionality).

**562 Functionality on IF\_GW\_CON**

563 IF\_GW\_CON may be used by users (Consumers) on HAN to access TOE. Therefore the TOE is providing  
564 a HTTPS webserver with HTML API on this interface. Following functionality is provided by this  
565 webserver:

- 566 • View meter data associated to Consumer.
- 567 • Review Consumer Log entries.
- 568 • Trigger TOE self test.

569 Consumer authentication on IF\_GW\_CON is done either via mutual TLS authentication (TLS certificates)  
570 or by unique username and password. Each Consumer has to be configured by Gateway Administrator.

**571 Functionality on IF\_GW\_SRV**

572 IF\_GW\_SRV may be used by a Service Technician on HAN to access TOE. Therefore the TOE is running  
573 a HTTPS webserver with a RESTful API on this interface.

574 Authentication on IF\_GW\_SRV is done via mutual TLS authentication (TLS certificates) only. Service  
575 Technician access has to be configured by Gateway Administrator.

**576 Functionality on IF\_GW\_CLS**

577 A CLS on HAN may establish a connection to TOE via IF\_GW\_CLS. Connections will be accepted only  
578 if device is configured on TOE by Gateway Administrator. Connection is done via SOCKSv5 protocol  
579 with included TLS handshake whereby TOE is TLS server. The TOE may also establish a connection as a  
580 TLS client to a CLS if configured by Gateway Administrator. Authentication on IF\_GW\_CLS is done via  
581 mutual TLS authentication (TLS certificates) only.

582 If a configured CLS established a connection on IF\_GW\_CLS, corresponding CLS-WAN connection  
583 to external entity (EMT) on IF\_GW\_WAN will be established by TOE. For data flow TOE acts only as  
584 proxy transferring data from CLS to EMT and vice versa.

**585 Functionality on IF\_GW\_MTR**

586 Meter data is captured/accepted on IF\_GW\_MTR (LMN) only. There are two physical interfaces provided  
587 by TOE:

- 588 • IF\_GW\_MTR/OMS

589 This wireless interface is using wireless M-Bus (OMS) protocol to capture meter data.

- 590 • IF\_GW\_MTR/HDLC

591 This wired interface is using HDLC protocol on a TIA-485 bus. TOE acts as master on that bus  
592 providing bus addresses to connected meters.

593 All meter communication on IF\_GW\_MTR is encrypted. Meter data is only captured for meters configured  
594 by Gateway Administrator. If meter connection is bi-directional, only configured meters are requested for  
595 data.

596 Captured meter data is transformed to an internal Meter Record format regardless what protocol is used  
597 by meter itself. This unified format is used to simplify handling and storage of the data.

598 After meter data has been captured, it is processed according Processing Profiles configured by Gateway  
599 Administrator. Processing meter data covers:

- 600 • capturing meter data in a configured interval
- 601 • providing billing relevant meter data (tariff data)
- 602 • storing captured/tariffed data
- 603 • sending billing relevant meter data
- 604 to external entities (EMT) in WAN
- 605 via INFO-REPORT channel described above
- 606 • deleting stored data after handling is done
- 607 or after configured archive period.

#### 608 **1.5.10 The cryptography of the TOE and its Security Module**

609 Parts of the cryptographic functionality used in the upper mentioned functions shall be provided by a  
610 Security Module. The Security Module provides strong cryptographic functionality, random number  
611 generation, secure storage of secrets and supports the authentication of the Gateway Administrator. The  
612 Security Module is a different IT product and not part of the TOE as described in this ST. Nevertheless it  
613 is physically embedded into the CONEXA 3.0 and protected by the same level of physical protection.  
614 The requirements applicable to the Security Module are specified in a separate PP (see [[SM-PP](#)]).  
615 The following table provides a more detailed overview on how the cryptographic functions are distributed  
616 between the TOE and its Security Module.

Aspect	TOE	Security Module
Communication with external entities	<ul style="list-style-type: none"> <li>• encryption</li> <li>• decryption</li> <li>• hashing</li> <li>• key Derivation</li> <li>• MAC generation</li> <li>• MAC verification</li> <li>• secure storage of the TLS certificates</li> </ul>	Key negotiation: <ul style="list-style-type: none"> <li>• support of the authentication of the external entity</li> <li>• secure storage of the private key</li> <li>• random number generation</li> <li>• digital signature verification and generation</li> </ul>
Communication with the Consumer	<ul style="list-style-type: none"> <li>• encryption</li> <li>• decryption</li> <li>• hashing</li> <li>• key Derivation</li> <li>• MAC generation</li> <li>• MAC verification</li> <li>• secure storage of the TLS certificates</li> </ul>	Key negotiation: <ul style="list-style-type: none"> <li>• support of the authentication of the Consumer</li> <li>• secure storage of the private key</li> <li>• random number generation</li> <li>• digital signature verification and generation</li> </ul>
Communication with the Meter	<ul style="list-style-type: none"> <li>• encryption</li> <li>• decryption</li> <li>• hashing</li> <li>• key derivation</li> <li>• MAC generation</li> <li>• MAC verification</li> <li>• secure storage of the TLS certificates</li> </ul>	Key negotiation (in case of TLS connection): <ul style="list-style-type: none"> <li>• support of the authentication of the meter</li> <li>• secure storage of the private key (in case of TLS connection)</li> <li>• digital signature verification and generation</li> <li>• random number generation</li> </ul>
Signing data before submission to an external entity	<ul style="list-style-type: none"> <li>• hashing</li> </ul>	Signature creation <ul style="list-style-type: none"> <li>• secure storage of the private key</li> </ul>
Content data encryption and integrity protection	<ul style="list-style-type: none"> <li>• encryption</li> <li>• decryption</li> <li>• MAC generation</li> <li>• key derivation</li> <li>• secure storage of the public key</li> </ul>	Key negotiation: <ul style="list-style-type: none"> <li>• secure storage of the private key</li> <li>• random number generation</li> </ul>

**Table 1.7: Cryptographic support of the TOE and its Security Module**

### 617 1.5.10.1 Content data encryption vs. an encrypted channel

618 The TOE utilises concepts of the encryption of data on the content level as well as the establishment of a  
619 trusted channel to external entities.

620 As a general rule all processed Meter Data that is prepared to be submitted to external entities is encrypted  
621 and integrity protected on a content level using CMS (according to [TR 03109-1-I]).

622 Further, all communication with external entities is enforced to happen via encrypted, integrity protected  
623 and mutually authenticated channels.

624 This concept of encryption on two layers facilitates use cases in which the external entity that the TOE  
625 communicates with is not the final recipient of the Meter Data. In this way it is for example possible that  
626 the Gateway Administrator receives Meter Data that they forward to other parties. In such a case the  
627 Gateway Administrator is the endpoint of the trusted channel but cannot read the Meter Data.

628 Administration data that is transmitted between the Gateway administrator and the TOE is also encrypted  
629 and integrity protected using CMS.

630 The following figure introduces the communication process between the Meter, the TOE and external  
631 entities (focussing on billing-relevant Meter Data).

632 The basic information flow for Meter Data is as follows and shown in [Figure 1.7](#):

- 633 1. The Meter measures the consumption or production of a certain commodity.
- 634 2. The Meter Data is prepared for transmission:
  - 635 (a) The Meter Data is typically signed (typically using the services of an integrated Security  
636 Module).
  - 637 (b) If the communication between the Meter and the Gateway is performed bidirectional, the  
638 Meter Data is transmitted via an encrypted and mutually authenticated channel to the Gateway.  
639 Please note that the submission of this information may be triggered by the Meter or the  
640 Gateway.
  - 641 Or
  - 642 (c) If a unidirectional communication is performed between the Meter and the Gateway the Meter  
643 Data is encrypted using a symmetric algorithm (according to [TR 03109-3]) and facilitating a  
644 defined data structure to ensure the authenticity and confidentiality.
- 645 3. The authenticity and integrity of the Meter Data is verified by the Gateway
- 646 4. If (and only if) authenticity and integrity have been verified successfully the Meter Data is further  
647 processed by the Gateway according to the rules in the Processing Profile else the cryptographic  
648 information flow will be cancelled.
- 649 5. The processed Meter Data is encrypted and integrity protected using CMS (according to [TR  
650 03109-1-I]) for the final recipient of the data<sup>24</sup>.
- 651 6. The processed Meter Data is signed using the services of the Security Module.
- 652 7. The processed and signed Meter Data may be stored for a certain amount of time.
- 653 8. The processed Meter Data is finally submitted to an authorised external entity in the WAN via an  
654 encrypted and mutually authenticated channel.

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<sup>24</sup> Optionally the Meter Data can additionally be signed before any encryption is done.

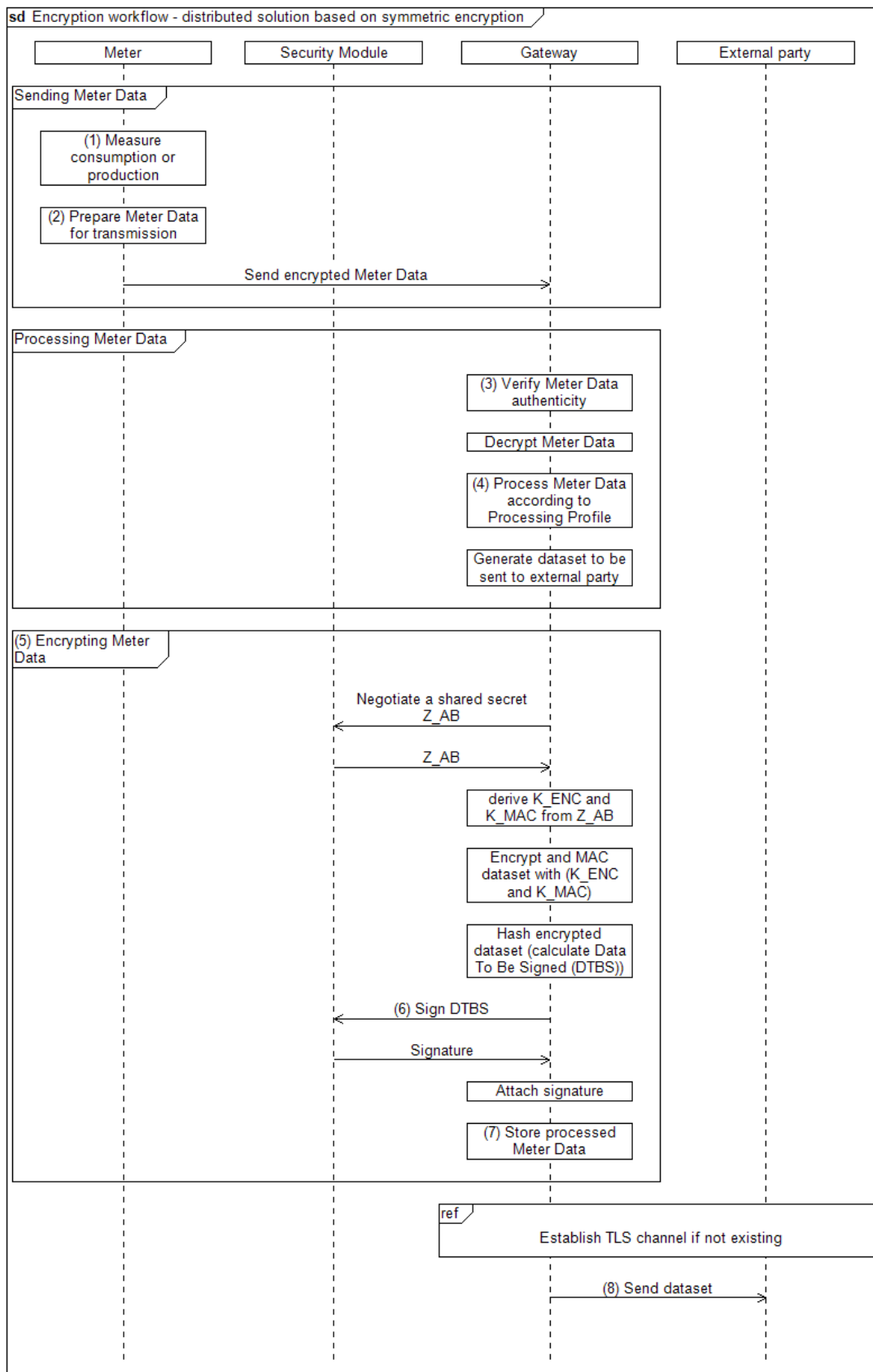


Figure 1.7: Cryptographic information flow for distributed Meter and Gateway

### 655 **1.5.11 TOE life-cycle**

656 The life-cycle of the Gateway can be separated into the following phases:

- 657 1. Development
- 658 2. Production
- 659 3. Pre-personalization at the developer's premises (without Security Module)
- 660 4. Pre-personalization and integration of Security Module
- 661 5. Installation and start of operation
- 662 6. Personalization
- 663 7. Normal operation

664 A detailed description of the different phases is provided in [\[TR 03109-1-VI\]](#).

665 The certified configuration of the TOE will be established after phase "Personalization". It is ensured that  
666 previous phases are performed by trusted personal in secure environments.

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## 2. Conformance Claims

### 2.1 CC Conformance Claims

This ST has been developed using Version 3.1 Revision 5 of Common Criteria [CC]. This ST is [CC] part 2 extended due to the use of FPR\_CON.1. This ST is [CC] part 3 conformant; no extended assurance components have been defined.

### 2.2 PP Claim

This ST claims strict conformance to the Common Criteria Protection Profile for the Gateway of a Smart Metering System [SMGW-PP], version 1.3.

### 2.3 Conformance claim rationale

This ST claims strict conformance only to one PP, the Gateway PP [SMGW-PP].

The security problem definition (SPD) of this ST complies with the security problem definition in the Gateway PP [SMGW-PP], as this security target claims strict conformance to the Gateway PP and no other threats, assumptions and organisational security policies are added.

The security objectives of this ST comply with the security objectives in the Gateway PP [SMGW-PP], as this security target claims strict conformance to the Gateway PP and no other security objectives are added.

The security requirements of this ST comply with the security requirements in the Gateway PP [SMGW-PP], as this security target claimed strict conformance to the Gateway PP and no other security requirements are added.

All assignments and selections of the security functional requirements are done in the Gateway PP [SMGW-PP] and in this security target section 6.1.

### 2.4 Package Claim

This ST conforms to assurance package EAL4 augmented by AVA\_VAN.5 and ALC\_FLR.2 as defined in [CC] Part 3 for product certification.



## 3. Security Problem Definition

### 3.1 External entities

The following external entities interact with the system consisting of Meter and Gateway. Those roles have been defined for the use in this Security Target. It is possible that a party implements more than one role in practice.

Role	Description
Consumer	The authorised individual or organization that “owns” the Meter Data. In most cases this will be tenants or house owners consuming electricity, water, gas or further commodities. However, it is also possible that the Consumer produces or stores energy (e.g. with their own solar plant).
Gateway Administrator	Authority that installs, configures, monitors, and controls the Smart Meter Gateway.
Service Technician	The authorised individual that is responsible for diagnostic purposes.
Authorised External Entity / User	Human or IT entity possibly interacting with the TOE from outside of the TOE boundary. In the context of this ST the term user or external entity serve as a hypernym for all entities mentioned before.

**Table 3.1: Roles used in the Protection profile**

### 3.2 Assets

The following tables introduce the relevant assets for this Security Target. The tables focus on the assets that are relevant for the Gateway and do not claim to provide an overview over all assets in the Smart Metering System or for other devices in the LMN.

The following Table 3.2 lists all assets typified as “user data”:

Asset	Description	Need for Protection
Meter Data	<p>Meter readings that allow calculation of the quantity of a commodity, e.g. electricity, gas, water or heat consumed over a period. Meter Data comprise Consumption or Production Data (billing-relevant) and grid status data (not billing-relevant).</p> <p>While billing-relevant data needs to have a relation to the Consumer grid status data do not have to be directly related to a Consumer.</p>	<ul style="list-style-type: none"> <li>According to their specific need (see below)</li> </ul>

Asset	Description	Need for Protection
System Log data	Log data from the <ul style="list-style-type: none"> <li>• System Log.</li> </ul>	<ul style="list-style-type: none"> <li>• Integrity</li> <li>• Confidentiality (only authorised SMGW administrators and Service technicians may read the log data)</li> </ul>
Consumer Log data	Log data from the <ul style="list-style-type: none"> <li>• Consumer Log.</li> </ul>	<ul style="list-style-type: none"> <li>• Integrity</li> <li>• Confidentiality (only authorised Consumers may read the log data)</li> </ul>
Calibration Log data	Log data from the <ul style="list-style-type: none"> <li>• Calibration Log.</li> </ul>	<ul style="list-style-type: none"> <li>• Integrity</li> <li>• Confidentiality (only authorised SMGW administrators may read the log data)</li> </ul>
Consumption Data	Billing-relevant part of Meter Data. Please note that the term Consumption Data implicitly includes Production Data.	<ul style="list-style-type: none"> <li>• Integrity and authenticity (comparable to the classical meter and its security requirements)</li> <li>• Confidentiality (due to privacy concerns)</li> </ul>
Status Data	Grid status data, subset of Meter Data that is not billing-relevant <sup>25</sup> .	<ul style="list-style-type: none"> <li>• Integrity and authenticity (comparable to the classical meter and its security requirements)</li> <li>• Confidentiality (due to privacy concerns)</li> </ul>

<sup>25</sup> Please note that these readings and data of the Meter which are not relevant for billing may require an explicit endorsement of the consumer(s).

Asset	Description	Need for Protection
Supplementary Data	The Gateway may be used for communication purposes by devices in the LMN or HAN. It may be that the functionality of the Gateway, that is used by such a device is limited to pure (but secure) communication services. Data that is transmitted via the Gateway but that does not belong to one of the aforementioned data types is named Supplementary Data.	<ul style="list-style-type: none"> <li>• According to their specific need</li> </ul>
Data	The term Data is used as a hypernym for Meter Data and Supplementary Data.	<ul style="list-style-type: none"> <li>• According to their specific need</li> </ul>
Gateway time	Date and time of the real-time clock of the Gateway. Gateway Time is used in Meter Data records sent to external entities.	<ul style="list-style-type: none"> <li>• Integrity</li> <li>• Authenticity (when time is adjusted to an external reference time)</li> </ul>
Personally Identifiable Information (PII)	Personally Identifiable Information refers to information that can be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual.	<ul style="list-style-type: none"> <li>• Confidentiality</li> </ul>

Table 3.2: Assets (User data)

701 Table 3.3 lists all assets typified as “TSF data”:

Asset	Description	Need for Protection
Meter config (secondary asset)	Configuration data of the Meter to control its behaviour including the Meter identity. Configuration data is transmitted to the Meter via the Gateway.	<ul style="list-style-type: none"> <li>• Integrity and authenticity</li> <li>• Confidentiality</li> </ul>
Gateway config (secondary asset)	Configuration data of the Gateway to control its behaviour including the Gateway identity, the Processing Profiles, and certificate/key material for authentication.	<ul style="list-style-type: none"> <li>• Integrity and authenticity</li> <li>• Confidentiality</li> </ul>
CLS config (secondary asset)	Configuration data of a CLS to control its behaviour. Configuration data is transmitted to the CLS via the Gateway.	<ul style="list-style-type: none"> <li>• Integrity and authenticity</li> <li>• Confidentiality</li> </ul>
Firmware update (secondary asset)	Firmware update that is downloaded by the TOE to update the firmware of the TOE.	<ul style="list-style-type: none"> <li>• Integrity and authenticity</li> </ul>

Asset	Description	Need for Protection
Ephemeral keys (secondary asset)	Ephemeral cryptographic material used by the TOE for cryptographic operations.	<ul style="list-style-type: none"> <li>• Integrity and authenticity</li> <li>• Confidentiality</li> </ul>

Table 3.3: Assets (TSF data)

### 702 3.3 Assumptions

703 In this threat model the following table lists assumptions about the environment of the components in this  
704 threat model that need to be taken into account in order to ensure a secure operation.

<b>A.ExternalPrivacy</b>	It is assumed that <u>authorised</u> and authenticated external entities receiving any kind of privacy-relevant data or billing-relevant data and the applications that they operate are trustworthy (in the context of the data that they receive) and do not perform unauthorised analyses of this data with respect to the corresponding Consumer(s).
<b>A.TrustedAdmins</b>	It is assumed that the Gateway Administrator and the Service Technician are trustworthy and well-trained.
<b>A.PhysicalProtection</b>	It is assumed that the TOE is installed in a non-public environment within the premises of the Consumer which provides a basic level of physical protection. This protection covers the TOE, the Meter(s) that the TOE communicates with and the communication channel between the TOE and its Security Module.
<b>A.ProcessProfile</b>	The Processing Profiles that are used when handling data are assumed to be trustworthy and correct.
<b>A.Update</b>	It is assumed that firmware updates for the Gateway that can be provided by an authorised external entity have undergone a certification process according to this Security Target before they are issued and can therefore be assumed to be correctly implemented. It is further assumed that the external entity that is authorised to provide the update is trustworthy and will not introduce any malware into a firmware update.
<b>A.Network</b>	It is assumed that <ul style="list-style-type: none"> <li>• a WAN network connection with a sufficient reliability and bandwidth for the individual situation is available,</li> <li>• one or more trustworthy sources for an update of the system time are available in the WAN,</li> <li>• the Gateway is the only communication gateway for Meters in the LMN<sup>26</sup>,</li> <li>• if devices in the HAN have a separate connection to parties in the WAN (beside the Gateway) this connection is appropriately protected.</li> </ul>

<sup>26</sup> Please note that this assumption holds on a logical level rather than on a physical one. It may be possible that the Meters in the LMN have a physical connection to other devices that would in theory also allow a communication. This is specifically true for wireless communication technologies. It is further possible that signals of Meters are amplified by other devices or other Meters on the physical level without violating this assumption. However, it is assumed that the Meters do only communicate with the TOE and that only the TOE is able to decrypt the data sent by the Meter.

**A.Keygen** It is assumed that the ECC key pair for a Meter (TLS) is generated securely according to the [TR 03109-3] and brought into the Gateway in a secure way by the Gateway Administrator.

**Application Note 1:** This ST acknowledges that the Gateway cannot be completely protected against unauthorised physical access by its environment. However, it is important for the overall security of the TOE that it is not installed within a public environment.

The level of physical protection that is expected to be provided by the environment is the same level of protection that is expected for classical meters that operate according to the regulations of the national calibration authority [TR 03109-1].

**Application Note 2:** The Processing Profiles that are used for information flow control as referred to by A.ProcessProfile are an essential factor for the preservation of the privacy of the Consumer. The Processing Profiles are used to determine which data shall be sent to which entity at which frequency and how data are processed, e.g. whether the data needs to be related to the Consumer (because it is used for billing purposes) or whether the data shall be pseudonymised.

The Processing Profiles shall be visible for the Consumer to allow a transparent communication.

It is essential that Processing Profiles correctly define the amount of information that must be sent to an external entity.

## 705 3.4 Threats

706 The following sections identify the threats that are posed against the assets handled by the Smart Meter  
707 Gateway. Those threats are the result of a threat model that has been developed for the whole Smart  
708 Metering System first and then has been focussed on the threats against the Gateway.

709 It should be noted that the threats in the following paragraphs consider two different kinds of attackers:

- 710 • Attackers having physical access to Meter, Gateway, or a connection between these components, or  
711 local logical access to any of the interfaces (local attacker), trying to disclose or alter assets while  
712 stored in Meter or Gateway or while transmitted between meters in the LMN and the Gateway.  
713 Please note that the following threat model assumes that the local attacker has less motivation than  
714 the WAN attacker as a successful attack of a local attacker will always only impact one Gateway.  
715 Please further note that the local attacker includes the authorised individuals like Consumers.
- 716 • An attacker located in the WAN (WAN attacker) trying to compromise the confidentiality and/or  
717 integrity of the processed Meter Data and or configuration data transmitted via the WAN, or attacker  
718 trying to conquer a component of the infrastructure (i.e. Meter, Gateway or Controllable Local  
719 System) via the WAN to cause damage to a component itself or to the corresponding grid (e.g. by  
720 sending forged Meter Data to an external entity).

721 The definition of the following threats acknowledges that the local attacker (facilitating physical access)  
722 has less motivation for an attack than a remote attacker.

723 The specific rationale for this situation is given by the expected benefit of a successful attack. An attacker  
724 who has to have physical access to the TOE that they are attacking, will only be able to compromise one

725 TOE at a time. So the effect of a successful attack will always be limited to the attacked TOE. A logical  
 726 attack from the WAN side on the other hand may have the potential to compromise a large amount of  
 727 TOEs.

**T.DataModificationLocal** A local attacker may try to modify (i.e. alter, delete, insert, replay or redirect) Meter Data when transmitted between Meter and Gateway, Gateway and Consumer, or Gateway and external entities. The objective of the attacker may be to alter billing-relevant information or grid status information. The attacker may perform the attack via any interface (e.g. LMN, HAN, or WAN).

In order to achieve the modification, the attacker may also try to modify secondary assets like the firmware or configuration parameters of the Gateway.

**T.DataModificationWAN** A WAN attacker may try to modify (i.e. alter, delete, insert, replay or redirect) Meter Data, Gateway config data, Meter config data, CLS config data or a firmware update when transmitted between the Gateway and an external entity in the WAN.

When trying to modify Meter Data it is the objective of the WAN attacker to modify billing-relevant information or grid status data.

When trying to modify config data or a firmware update the WAN attacker tries to circumvent security mechanisms of the TOE or tries to get control over the TOE or a device in the LAN that is protected by the TOE.

**T.TimeModification** A local attacker or WAN attacker may try to alter the Gateway time. The motivation of the attacker could be e.g. to change the relation between date/time and measured consumption or production values in the Meter Data records (e.g. to influence the balance of the next invoice).

**T.DisclosureWAN** A WAN attacker may try to violate the privacy of the Consumer by disclosing Meter Data or configuration data (Meter config, Gateway config or CLS config) or parts of it when transmitted between Gateway and external entities in the WAN.

**T.DisclosureLocal** A Local Attacker may try to violate the privacy of the Consumer by disclosing Meter Data transmitted between the TOE and the Meter. This threat is of specific importance if Meters of more than one Consumer are served by one Gateway.

**T.Infrastructure** A WAN attacker may try to obtain control over Gateways, Meters or CLS via the TOE, which enables the WAN Attacker to cause damage to Consumers or external entities or the grids used for commodity distribution (e.g. by sending wrong data to an external entity).

A WAN attacker may also try to conquer a CLS in the HAN first in order to logically attack the TOE from the HAN side.

**T.ResidualData** By physical and/or logical means a local attacker or a WAN attacker may try to read out data from the Gateway, which travelled through the Gateway before and which are no longer needed by the Gateway (i.e. Meter Data, Meter config, or CLS config).

**T.ResidentData** A WAN or local attacker may try to access (i.e. read, alter, delete) information to which they don't have permission to while the information is stored in the TOE.

While the WAN attacker only uses the logical interface of the TOE that is provided into the WAN the local attacker may also physically access the TOE.

**T.Privacy** A WAN attacker may try to obtain more detailed information from the Gateway than actually required to fulfil the tasks defined by its role or the contract with the Consumer. This includes scenarios in which an external entity that is primarily authorised to obtain information from the TOE tries to obtain more information than the information that has been authorised as well as scenarios in which an attacker who is not authorised at all tries to obtain information.

## 728 3.5 Organizational Security Policies (OSPs)

729 This section lists the organizational security policies (OSP) that the Gateway shall comply with:

**OSP.SM** The TOE shall use the services of a certified Security Module for

- verification of digital signatures,
- generation of digital signatures,
- key agreement,
- key transport,
- key storage,
- Random Number Generation.

The Security Module shall be certified according to [SM-PP] and shall be used in accordance with its relevant guidance documentation.

**OSP.Log**

The TOE shall maintain a set of log files as defined in [TR 03109-1] as follows:

1. A System Log of relevant events in order to allow an authorised Gateway Administrator to analyse the status of the TOE. The TOE shall also analyse the System Log automatically for a cumulation of security relevant events.
2. A Consumer Log that contains information about the information flows that have been initiated to the WAN and information about the Processing Profiles causing this information flow as well as the billing-relevant information.
3. A Calibration Log (as defined in chapter 6.2.1) that provides the Gateway Administrator with a possibility to review calibration relevant events.

The TOE shall further limit access to the information in the different log files as follows:

1. Access to the information in the System Log shall only be allowed for an authorised Gateway Administrator via IF\_GW\_WAN of the TOE and an authorised Service Technician via IF\_GW\_SRV.
2. Access to the information in the Calibration Log shall only be allowed for an authorised Gateway Administrator via the IF\_GW\_WAN interface of the TOE.
3. Access to the information in the Consumer Log shall only be allowed for an authorised Consumer via the IF\_GW\_CON interface of the TOE. The Consumer shall only have access to their own information.

The System Log may overwrite the oldest events in case that the audit trail gets full.

For the Consumer Log the TOE shall ensure that a sufficient amount of events is available (in order to allow a Consumer to verify an invoice) but may overwrite older events in case that the audit trail gets full.

For the Calibration Log, however, the TOE shall ensure the availability of all events over the lifetime of the TOE.



## 730 4. Security Objectives

### 731 4.1 Security Objectives for the TOE

#### **O.Firewall**

The TOE shall serve as the connection point for the connected devices within the LAN to external entities within the WAN and shall provide firewall functionality in order to protect the devices of the LMN and HAN (as long as they use the Gateway) and itself against threats from the WAN side.

The firewall:

- shall allow only connections established from HAN or the TOE itself to the WAN (i.e. from devices in the HAN to external entities in the WAN or from the TOE itself to external entities in the WAN),
- shall provide a wake-up service on the WAN side interface,
- shall not allow connections from the LMN to the WAN,
- shall not allow any other services being offered on the WAN side interface,
- shall not allow connections from the WAN to the LAN or to the TOE itself,
- shall enforce communication flows by allowing traffic from CLS in the HAN to the WAN only if confidentiality-protected and integrity-protected and if endpoints are authenticated.

#### **O.SeparateIF**

The TOE shall have physically separated ports for the LMN, the HAN and the WAN and shall automatically detect during its self test whether connections (wired or wireless), if any, are wrongly connected.

#### **Application Note 3:**

O.SeparateIF refers to physical interfaces and must not be fulfilled by a pure logical separation of one physical interface only.

#### **O.Conceal**

To protect the privacy of its Consumers, the TOE shall conceal the communication with external entities in the WAN in order to ensure that no privacy-relevant information may be obtained by analysing the frequency, load, size or the absence of external communication. <sup>27</sup>

<sup>27</sup> It should be noted that this requirement only applies to communication flows in the WAN.

**O.Meter**

The TOE receives or polls information about the consumption or production of different commodities from one or multiple Meters and is responsible for handling this Meter Data.

This includes that:

- The TOE shall ensure that the communication to the Meter(s) is established in an Gateway Administrator-definable interval or an interval as defined by the Meter,
- the TOE shall enforce encryption and integrity protection for the communication with the Meter <sup>28</sup>,
- the TOE shall verify the integrity and authenticity of the data received from a Meter before handling it further,
- the TOE shall process the data according to the definition in the corresponding Processing Profile,
- the TOE shall encrypt the processed Meter Data for the final recipient, sign the data and
- deliver the encrypted data to authorised external entities as defined in the corresponding Processing Profiles facilitating an encrypted channel,
- the TOE shall store processed Meter Data if an external entity cannot be reached and re-try to send the data until a configurable number of unsuccessful retries has been reached,
- the TOE shall pseudonymise the data for parties that do not need the relation between the processed Meter Data and the identity of the Consumer.

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<sup>28</sup> It is acknowledged that the implementation of a secure channel between the Meter and the Gateway is a security function of both units. The TOE as defined in this Security Target only has a limited possibility to secure this communication as both sides have to sign responsible for the quality of a cryptographic connection.

**O.Crypt**

The TOE shall provide cryptographic functionality as follows:

- authentication, integrity protection and encryption of the communication and data to external entities in the WAN,
- authentication, integrity protection and encryption of the communication to the Meter,
- authentication, integrity protection and encryption of the communication to the Consumer,
- replay detection for all communications with external entities,
- encryption of the persistently stored TSF and user data of the TOE.<sup>29</sup>

In addition the TOE shall generate the required keys utilising the services of its Security Module<sup>30</sup>, ensure that the keys are only used for an acceptable amount of time and destroy ephemeral<sup>31</sup> keys if not longer needed.

**O.Time**

The TOE shall provide reliable time stamps and update its internal clock in regular intervals by retrieving reliable time information from a dedicated reliable source in the WAN.

**O.Protect**

The TOE shall implement functionality to protect its security functions against malfunctions and tampering.

Specifically, the TOE shall

- encrypt its TSF and user data as long as it is not in use,
- overwrite any information that is not longer needed to ensure that it is no longer available via the external interfaces of the TOE
- monitor user data and the TOE firmware for integrity errors,
- contain a test that detects whether the interfaces for WAN and LAN are separate,
- have a fail-safe design that specifically ensures that no malfunction can impact the delivery of a commodity (e.g. energy, gas, heat or water)<sup>32</sup>,
- make any physical manipulation within the scope of the intended environment detectable for the Consumer and Gateway Administrator.

<sup>29</sup> The encryption of the persistent memory shall support the protection of the TOE against local attacks.

<sup>30</sup> Please refer to chapter 1.5.10 for an overview on how the cryptographic functions are distributed between the TOE and its Security Module.

<sup>31</sup> This objective addresses the destruction of ephemeral keys only because all keys that need to be stored persistently are stored in the Security Module.

<sup>32</sup> Indeed this Security Target assumes that the Gateway and the Meters have no possibility at all to impact the delivery of a commodity. Even an intentional stop of the delivery of a certain commodity is not within the scope of this Security Target. It should however be noted that such a functionality may be realised by a CLS that utilises the services of the TOE for its communication.

**O.Management**

The TOE shall only provide authorised Gateway Administrators with functions for the management of the security features.

The TOE shall ensure that any change in the behaviour of the security functions can only be achieved from the WAN side interface. Any management activity from a local interface may only be read only.

Further, the TOE shall implement a secure mechanism to update the firmware of the TOE that ensures that only authorised entities are able to provide updates for the TOE and that only authentic and integrity protected updates are applied.

**O.Log**

The TOE shall maintain a set of log files as defined in [TR 03109-1] as follows:

1. A System Log of relevant events in order to allow an authorised Gateway Administrator or an authorised Service Technician to analyse the status of the TOE. The TOE shall also analyse the System Log automatically for a cumulation of security relevant events.
2. A Consumer Log that contains information about the information flows that have been initiated to the WAN and information about the Processing Profiles causing this information flow as well as the billing-relevant information and information about the system status (including relevant error messages).
3. A Calibration Log that provides the Gateway Administrator with a possibility to review calibration relevant events.

The TOE shall further limit access to the information in the different log files as follows:

1. Access to the information in the System Log shall only be allowed for an authorised Gateway Administrator via IF\_GW\_WAN or for an authorised Service Technician via IF\_GW\_SRV.
2. Access to the information in the Consumer Log shall only be allowed for an authorised Consumer via the IF\_GW\_CON interface of the TOE and via a secured (i.e. confidentiality and integrity protected) connection. The Consumer shall only have access to their own information.
3. Read-only access to the information in the Calibration Log shall only be allowed for an authorised Gateway Administrator via the WAN interface of the TOE.

The System Log overwrites the oldest events in case that the audit trail gets full. For the Consumer Log the TOE ensures that a sufficient amount of events is available (in order to allow a Consumer to verify an invoice) but may overwrite older events in case that the audit trail gets full.

For the Calibration Log however, the TOE shall ensure the availability of all events over the lifetime of the TOE.

**O.Access** The TOE shall control the access of external entities in WAN, HAN or LMN to any information that is sent to, from or via the TOE via its external interfaces<sup>33</sup> Access control shall depend on the destination interface that is used to send that information.

## 732 4.2 Security objectives for the operational environment

**OE.ExternalPrivacy** Authorised and authenticated external entities receiving any kind of private or billing-relevant data shall be trustworthy and shall not perform unauthorised analyses of these data with respect to the corresponding Consumer(s).

**OE.TrustedAdmins** The Gateway Administrator and the Service Technician shall be trustworthy and well-trained.

**OE.PhysicalProtection** The TOE shall be installed in a non-public environment within the premises of the Consumer that provides a basic level of physical protection. This protection shall cover the TOE, the Meters that the TOE communicates with and the communication channel between the TOE and its Security Module. Only authorised individuals may physically access the TOE.

**OE.Profile** The Processing Profiles that are used when handling data shall be obtained from a trustworthy and reliable source only.

**OE.SM** The environment shall provide the services of a certified Security Module for

- verification of digital signatures,
- generation of digital signatures,
- key agreement,
- key transport,
- key storage,
- Random Number Generation.

The Security Module used shall be certified according to [SM-PP] and shall be used in accordance with its relevant guidance documentation.

**OE.Update** The firmware updates for the Gateway that can be provided by an authorised external entity shall undergo a certification process according to this Security Target before they are issued to show that the update is implemented correctly. The external entity that is authorised to provide the update shall be trustworthy and ensure that no malware is introduced via a firmware update.

<sup>33</sup> While in classical access control mechanisms the Gateway Administrator gets complete access the TOE also maintains a set of information (specifically the Consumer Log) to which Gateway Administrators have restricted access.

**OE.Network**

It shall be ensured that

- a WAN network connection with a sufficient reliability and bandwidth for the individual situation is available,
- one or more trustworthy sources for an update of the system time are available in the WAN,
- the Gateway is the only communication gateway for Meters in the LMN,
- if devices in the HAN have a separate connection to parties in the WAN (beside the Gateway) this connection is appropriately protected.

**OE.Keygen**

It shall be ensured that the ECC key pair for a Meter (TLS) is generated securely according to the [TR 03109-3]. It shall also be ensured that the keys are brought into the Gateway in a secure way by the Gateway Administrator.

733 **4.3 Security Objectives rationale**

734 **4.3.1 Overview**

735 The following table gives an overview how the assumptions, threats, and organisational security policies  
736 are addressed by the security objectives. The text of the following sections justifies this more in detail.

	O.Firewall	O.SeparateIF	O.Conceal	O.Meter	O.Crypt	O.Time	O.Protect	O.Management	O.Log	O.Access	OE.SM	OE.ExternalPrivacy	OE.TrustedAdmins	OE.PhysicalProtection	OE.Profile	OE.Update	OE.Network	OE.Keygen
T.DataModificationLocal				X	X		X	X					X	X				
T.DataModificationWAN	X				X		X	X					X					
T.TimeModification					X	X	X	X					X	X				
T.DisclosureWAN	X		X		X		X	X					X					
T.DisclosureLocal				X	X		X	X					X	X				
T.Infrastructure	X	X		X	X		X	X					X					
T.ResidualData							X	X					X					
T.ResidentData	X				X		X	X		X			X	X				
T.Privacy	X		X	X	X		X	X					X		X			
OSP.SM					X		X	X			X		X					
OSP.Log							X	X	X	X			X					
A.ExternalPrivacy												X						
A.TrustedAdmins													X					
A.PhysicalProtection														X				
A.ProcessProfile															X			
A.Update																X		
A.Network																	X	
A.Keygen																		X

Table 4.1: Rationale for Security Objectives

### 737 4.3.2 Countering the threats

738 The following sections provide more detailed information on how the threats are countered by the security  
739 objectives for the TOE and its operational environment.

#### 740 4.3.2.1 General objectives

741 The security objectives O.Protect, O.Management and OE.TrustedAdmins contribute to counter each  
742 threat and contribute to each OSP.

743 **O.Management** is indispensable as it defines the requirements around the management of the Security  
744 Functions. Without a secure management no TOE can be secure. Also **OE.TrustedAdmins** contributes  
745 to this aspect as it provides the requirements on the availability of a trustworthy Gateway Administrator  
746 and Service Technician. **O.Protect** is present to ensure that all security functions are working as specified.

747 Those general objectives will not be addressed in detail in the following paragraphs.

#### 748 4.3.2.2 T.DataModificationLocal

749 The threat **T.DataModificationLocal** is countered by a combination of the security objectives **O.Meter**,  
750 **O.Crypt** and **OE.PhysicalProtection**.

751 **O.Meter** defines that the TOE will enforce the encryption of communication when receiving Meter Data  
752 from the Meter. **O.Crypt** defines the required cryptographic functionality. The objectives together ensure  
753 that the communication between the Meter and the TOE cannot be modified or released.

754 **OE.PhysicalProtection** is of relevance as it ensures that access to the TOE is limited.

#### 755 4.3.2.3 T.DataModificationWAN

756 The threat **T.DataModificationWAN** is countered by a combination of the security objectives **O.Firewall**  
757 and **O.Crypt**.

758 **O.Firewall** defines the connections for the devices within the LAN to external entities within the WAN  
759 and shall provide firewall functionality in order to protect the devices of the LMN and HAN (as long  
760 as they use the Gateway) and itself against threats from the WAN side. **O.Crypt** defines the required  
761 cryptographic functionality. Both objectives together ensure that the data transmitted between the TOE  
762 and the WAN cannot be modified by a WAN attacker.

#### 763 4.3.2.4 T.TimeModification

764 The threat **T.TimeModification** is countered by a combination of the security objectives **O.Time**,  
765 **O.Crypt** and **OE.PhysicalProtection**.

766 **O.Time** defines that the TOE needs a reliable time stamp mechanism that is also updated from reliable  
767 sources regularly in the WAN. **O.Crypt** defines the required cryptographic functionality for the communi-  
768 cation to external entities in the WAN. Therewith, **O.Time** and **O.Crypt** are the core objective to counter  
769 the threat **T.TimeModification**.

770 **OE.PhysicalProtection** is of relevance as it ensures that access to the TOE is limited.

#### 771 4.3.2.5 T.DisclosureWAN

772 The threat **T.DisclosureWAN** is countered by a combination of the security objectives **O.Firewall**,  
773 **O.Conceal** and **O.Crypt**.

774 **O.Firewall** defines the connections for the devices within the LAN to external entities within the WAN  
775 and shall provide firewall functionality in order to protect the devices of the LMN and HAN (as long  
776 as they use the Gateway) and itself against threats from the WAN side. **O.Crypt** defines the required  
777 cryptographic functionality. Both objectives together ensure that the communication between the Meter  
778 and the TOE cannot be disclosed.

779 **O.Conceal** ensures that no information can be disclosed based on additional characteristics of the  
780 communication like frequency, load or the absence of a communication.

#### 781 4.3.2.6 T.DisclosureLocal

782 The threat **T.DisclosureLocal** is countered by a combination of the security objectives **O.Meter**, **O.Crypt**  
783 and **OE.PhysicalProtection**.

784 **O.Meter** defines that the TOE will enforce the encryption and integrity protection of communication  
785 when polling or receiving Meter Data from the Meter. **O.Crypt** defines the required cryptographic  
786 functionality. Both objectives together ensure that the communication between the Meter and the TOE  
787 cannot be disclosed.

788 **OE.PhysicalProtection** is of relevance as it ensures that access to the TOE is limited.



#### 789 4.3.2.7 T.Infrastructure

790 The threat **T.Infrastructure** is countered by a combination of the security objectives **O.Firewall**,  
791 **O.SeparateIF**, **O.Meter** and **O.Crypt**.

792 **O.Firewall** is the core objective that counters this threat. It ensures that all communication flows to the  
793 WAN are initiated by the TOE. The fact that the TOE does not offer any services to the WAN side and will  
794 not react to any requests (except the wake-up call) from the WAN is a significant aspect in countering this  
795 threat. Further the TOE will only communicate using encrypted channels to authenticated and trustworthy  
796 parties which mitigates the possibility that an attacker could try to hijack a communication.

797 **O.Meter** defines that the TOE will enforce the encryption and integrity protection for the communication  
798 with the Meter.

799 **O.SeparateIF** facilitates the disjunction of the WAN from the LMN.

800 **O.Crypt** supports the mitigation of this threat by providing the required cryptographic primitives.

#### 801 4.3.2.8 T.ResidualData

802 The threat **T.ResidualData** is mitigated by the security objective **O.Protect** as this security objective  
803 defines that the TOE shall delete information as soon as it is no longer used. Assuming that a TOE follows  
804 this requirement an attacker can not read out any residual information as it does simply not exist.

#### 805 4.3.2.9 T.ResidentData

806 The threat **T.ResidentData** is countered by a combination of the security objectives **O.Access**, **O.Firewall**,  
807 **O.Protect** and **O.Crypt**. Further, the environment (**OE.PhysicalProtection** and **OE.TrustedAdmins**)  
808 contributes to this.

809 **O.Access** defines that the TOE shall control the access of users to information via the external interfaces.  
810 The aspect of a local attacker with physical access to the TOE is covered by a combination of **O.Protect**  
811 (defining the detection of physical manipulation) and **O.Crypt** (requiring the encryption of persistently  
812 stored TSF and user data of the TOE). In addition the physical protection provided by the environment  
813 (**OE.PhysicalProtection**) and the Gateway Administrator (**OE.TrustedAdmins**) who could realise a  
814 physical manipulation contribute to counter this threat.

815 The aspect of a WAN attacker is covered by **O.Firewall** as this objective ensures that an adequate level of  
816 protection is realised against attacks from the WAN side.

#### 817 4.3.2.10 T.Privacy

818 The threat **T.Privacy** is primarily addressed by the security objectives **O.Meter**, **O.Crypt** and **O.Firewall**  
819 as these objective ensures that the TOE will only distribute Meter Data to external entities in the WAN  
820 as defined in the corresponding Processing Profiles and that the data will be protected for the transfer.  
821 **OE.Profile** is present to ensure that the Processing Profiles are obtained from a trustworthy and reliable  
822 source only..

823 Finally, **O.Conceal** ensures that an attacker cannot obtain the relevant information for this threat by  
824 observing external characteristics of the information flow.

### 825 4.3.3 Coverage of organisational security policies

826 The following sections provide more detailed information about how the security objectives for the  
827 environment and the TOE cover the organizational security policies.

#### 828 4.3.3.1 OSP.SM

829 The Organizational Security Policy **OSP.SM** that mandates that the TOE utilises the services of a certified  
830 Security Module is directly addressed by the security objectives **OE.SM** and **O.Crypt**. The objective  
831 **OE.SM** addresses the functions that the Security Module shall be utilised for as defined in **OSP.SM** and  
832 also requires a certified Security Module. **O.Crypt** defines the cryptographic functionalities for the TOE  
833 itself. In this context it has to be ensured that the Security Module is operated in accordance with its  
834 guidance documentation.

#### 835 4.3.3.2 OSP.Log

836 The Organizational Security Policy **OSP.Log** that mandates that the TOE maintains an audit log is directly  
837 addressed by the security objective for the TOE **O.Log**.  
838 **O.Access** contributes to the implementation of the OSP as it defines that also Gateway Administrators  
839 are not allowed to read/modify all data. This is of specific importance to ensure the confidentiality and  
840 integrity of the log data as is required by the **OSP.Log**.

### 841 4.3.4 Coverage of assumptions

842 The following sections provide more detailed information about how the security objectives for the  
843 environment cover the assumptions.

#### 844 4.3.4.1 A.ExternalPrivacy

845 The assumption **A.ExternalPrivacy** is directly and completely covered by the security objective  
846 **OE.ExternalPrivacy**. The assumption and the objective for the environment are drafted in a way  
847 that the correspondence is obvious.

#### 848 4.3.4.2 A.TrustedAdmins

849 The assumption **A.TrustedAdmins** is directly and completely covered by the security objective  
850 **OE.TrustedAdmins**. The assumption and the objective for the environment are drafted in a way that the  
851 correspondence is obvious.

#### 852 4.3.4.3 A.PhysicalProtection

853 The assumption **A.PhysicalProtection** is directly and completely covered by the security objective  
854 **OE.PhysicalProtection**. The assumption and the objective for the environment are drafted in a way that  
855 the correspondence is obvious.

#### 856 4.3.4.4 A.ProcessProfile

857 The assumption **A.ProcessProfile** is directly and completely covered by the security objective **OE.Profile**.  
858 The assumption and the objective for the environment are drafted in a way that the correspondence is  
859 obvious.

#### 860 4.3.4.5 A.Update

861 The assumption **A.Update** is directly and completely covered by the security objective **OE.Update**. The  
862 assumption and the objective for the environment are drafted in a way that the correspondence is obvious.

---

863 **4.3.4.6 A.Network**

864 The assumption **A.Network** is directly and completely covered by the security objective **OE.Network**.  
865 The assumption and the objective for the environment are drafted in a way that the correspondence is  
866 obvious.

867 **4.3.4.7 A.Keygen**

868 The assumption **A.Keygen** is directly and completely covered by the security objective **OE.Keygen**. The  
869 assumption and the objective for the environment are drafted in a way that the correspondence is obvious.

## 870 5. Extended Component definition

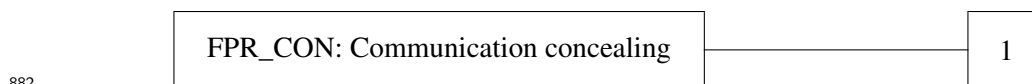
### 871 5.1 Communication concealing (FPR\_CON)

872 The additional family Communication concealing (FPR\_CON) of the Class FPR (Privacy) is defined here  
873 to describe the specific IT security functional requirements of the TOE. The TOE shall prevent attacks  
874 against Personally Identifiable Information (PII) of the Consumer that may be obtained by an attacker by  
875 observing the encrypted communication of the TOE with remote entities.

### 876 5.2 Family behaviour

877 This family defines requirements to mitigate attacks against communication channels in which an attacker  
878 tries to obtain privacy relevant information based on characteristics of an encrypted communication  
879 channel. Examples include but are not limited to an analysis of the frequency of communication or the  
880 transmitted workload.

### 881 5.3 Component levelling



### 883 5.4 Management

884 The following actions could be considered for the management functions in FMT:

- 885 a) Definition of the interval in FPR\_CON.1.2 if definable within the operational phase of the  
886 TOE.

### 887 5.5 Audit

888 There are no auditable events foreseen.

## 889 5.6 Communication concealing (FPR\_CON.1)

Hierarchical to: No other components.

Dependencies: No dependencies.

FPR\_CON.1.1 **The TSF shall enforce the [assignment: *information flow policy*] in order to ensure that no personally identifiable information (PII) can be obtained by an analysis of [assignment: *characteristics of the information flow that need to be concealed*].**

890

FPR\_CON.1.2 **The TSF shall connect to [assignment: *list of external entities*] in intervals as follows [selection: *weekly, daily, hourly, [assignment: *other interval*]*] to conceal the data flow.**

## 6. Security Requirements

### 6.1 Overview

This chapter describes the security functional and the assurance requirements which have to be fulfilled by the TOE. Those requirements comprise functional components from part 2 of [CC] and the assurance components as defined for the Evaluation Assurance Level 4 from part 3 of [CC].

The following notations are used:

- **Refinement** operation (denoted by **bold text**): is used to add details to a requirement, and thus further restricts a requirement. In case that a word has been deleted from the original text this refinement is indicated by ~~crossed-out bold~~-text
- **Selection** operation (denoted by underlined text): is used to select one or more options provided by the [CC] in stating a requirement.
- **Assignment** operation (denoted by *italicised text*): is used to assign a specific value to an unspecified parameter, such as the length of a password.
- **Iteration** operation: are identified with a suffix in the name of the SFR (e.g. FDP\_IFC.2/FW).

It should be noted that the requirements in the following chapters are not necessarily be ordered alphabetically. Where useful the requirements have been grouped.

The following table summarises all TOE security functional requirements of this ST:

Class FAU: Security Audit	
FAU_ARP.1/SYS	Security alarms for System Log
FAU_GEN.1/SYS	Audit data generation for System Log
FAU_SAA.1/SYS	Potential violation analysis for System Log
FAU_SAR.1/SYS	Audit review for System Log
FAU_STG.4/SYS	Prevention of audit data loss for the System Log
FAU_GEN.1/CON	Audit data generation for Consumer Log
FAU_SAR.1/CON	Audit review for Consumer Log
FAU_STG.4/CON	Prevention of audit data loss for the Consumer Log
FAU_GEN.1/CAL	Audit data generation for Calibration Log
FAU_SAR.1/CAL	Audit review for Calibration Log
FAU_STG.4/CAL	Prevention of audit data loss for the Calibration Log
FAU_GEN.2	User identity association
FAU_STG.2	Guarantees of audit data availability
Class FCO: Communication	
FCO_NRO.2	Enforced proof of origin
Class FCS: Cryptographic Support	

FCS_CKM.1/TLS	Cryptographic key generation for TLS
FCS_COP.1/TLS	Cryptographic operation for TLS
FCS_CKM.1/CMS	Cryptographic key generation for CMS
FCS_COP.1/CMS	Cryptographic operation for CMS
FCS_CKM.1/MTR	Cryptographic key generation for Meter communication encryption
FCS_COP.1/MTR	Cryptographic operation for Meter communication encryption
FCS_CKM.4	Cryptographic key destruction
FCS_COP.1/HASH	Cryptographic operation for Signatures
FCS_COP.1/MEM	Cryptographic operation for TSF and user data encryption
<b>Class FDP: User Data Protection</b>	
FDP_ACC.2	Complete Access Control
FDP_ACF.1	Security attribute based access control
FDP_IFC.2/FW	Complete information flow control for firewall
FDP_IFF.1/FW	Simple security attributes for Firewall
FDP_IFC.2/MTR	Complete information flow control for Meter information flow
FDP_IFF.1/MTR	Simple security attributes for Meter information
FDP_RIP.2	Full residual information protection
FDP_SDI.2	Stored data integrity monitoring and action
<b>Class FIA: Identification and Authentication</b>	
FIA_ATD.1	User attribute definition
FIA_AFL.1	Authentication failure handling
FIA_UAU.2	User authentication before any action
FIA_UAU.5	Multiple authentication mechanisms
FIA_UAU.6	Re-Authenticating
FIA_UID.2	User identification before any action
FIA_USB.1	User-subject binding
<b>Class FMT: Security Management</b>	
FMT_MOF.1	Management of security functions behaviour
FMT_SMF.1	Specification of Management Functions
FMT_SMR.1	Security roles
FMT_MSA.1/AC	Management of security attributes for Gateway access policy
FMT_MSA.3/AC	Static attribute initialisation for Gateway access policy
FMT_MSA.1/FW	Management of security attributes for firewall policy
FMT_MSA.3/FW	Static attribute initialisation for Firewall policy
FMT_MSA.1/MTR	Management of security attributes for Meter policy
FMT_MSA.3/MTR	Static attribute initialisation for Meter policy

<b>Class FPR: Privacy</b>	
FPR_CON.1	Communication Concealing
FPR_PSE.1	Pseudonymity
<b>Class FPT: Protection of the TSF</b>	
FPT_FLS.1	Failure with preservation of secure state
FPT_RPL.1	Replay Detection
FPT_STM.1	Reliable time stamps
FPT_TST.1	TSF testing
FPT_PHP.1	Passive detection of physical attack
<b>Class FTP: Trusted path/channels</b>	
FTP_ITC.1/WAN	Inter-TSF trusted channel for WAN
FTP_ITC.1/MTR	Inter-TSF trusted channel for Meter
FTP_ITC.1/USR	Inter-TSF trusted channel for User

Table 6.1: List of Security Functional Requirements

## 908 6.2 Class FAU: Security Audit

### 909 6.2.1 Introduction

910 A TOE compliant to this Security Target shall implement three different audit logs as defined in OSP.Log  
 911 and O.Log. The following table provides an overview over the three audit logs before the following  
 912 chapters introduce the SFRs related to those audit logs.



	<b>System-Log</b>	<b>Consumer-Log</b>	<b>Calibration-Log</b>
<b>Purpose</b>	<ul style="list-style-type: none"> <li>• Inform the Gateway Administrator about security relevant events</li> <li>• Log all events as defined by Common Criteria for the used SFR</li> <li>• Log all system relevant events on specific functionality</li> <li>• Automated alarms in case of a cumulation of certain events</li> <li>• Inform the Service Technician about the status of the Gateway</li> </ul>	<ul style="list-style-type: none"> <li>• Inform the Consumer about all information flows to the WAN</li> <li>• Inform the Consumer about the Processing Profiles</li> <li>• Inform the Consumer about other metering data (not billing-relevant)</li> <li>• Inform the Consumer about all billing-relevant data needed to verify an invoice</li> </ul>	<ul style="list-style-type: none"> <li>• Track changes that are relevant for the calibration of the TOE</li> </ul>
<b>Data</b>	<ul style="list-style-type: none"> <li>• As defined by CC part 2</li> <li>• Augmented by specific events for the security functions</li> </ul>	<ul style="list-style-type: none"> <li>• Information about all information flows to the WAN</li> <li>• Information about the current and the previous Processing Profiles</li> <li>• Billing-relevant data needed to verify an invoice</li> <li>• Non-billing-relevant Meter Data</li> <li>• Information about the system status (including relevant errors)</li> <li>• Billing-relevant data needed to verify an invoice</li> </ul>	<ul style="list-style-type: none"> <li>• Calibration relevant data only</li> </ul>

	System-Log	Consumer-Log	Calibration-Log
<b>Access</b>	<ul style="list-style-type: none"> <li>• Access by authorised Gateway Administrator and via IF_GW_WAN only</li> <li>• Events may only be deleted by an authorised Gateway Administrator via IF_GW_WAN</li> <li>• Read access by authorised Service Technician via IF_GW_SRV only</li> </ul>	<ul style="list-style-type: none"> <li>• Read access by authorised Consumer and via IF_GW_CON only to the data related to the current Consumer</li> </ul>	<ul style="list-style-type: none"> <li>• Access by authorised Gateway Administrator and via IF_GW_WAN only</li> </ul>
<b>Deletion</b>	<ul style="list-style-type: none"> <li>• Ring buffer.</li> <li>• The availability of data has to be ensured for a sufficient amount of time</li> <li>• Overwriting old events is possible if the memory is full</li> </ul>	<ul style="list-style-type: none"> <li>• Ring buffer.</li> <li>• The availability of data has to be ensured for a sufficient amount of time</li> <li>• Overwriting old events is possible if the memory is full</li> <li>• Retention period is set by authorised Gateway Administrator on request by Consumer, data older than this are deleted.</li> </ul>	<ul style="list-style-type: none"> <li>• The availability of data has to be ensured over the lifetime of the TOE.</li> </ul>

Table 6.2: Overview over audit processes

## 913 6.2.2 Security Requirements for the System Log

### 914 6.2.2.1 Security audit automatic response (FAU\_ARP)

#### 915 6.2.2.1.1 FAU\_ARP.1/SYS: Security Alarms for System Log

FAU\_ARP.1.1/SYS The TSF shall ~~take~~ *[inform an authorised Gateway Administrator and [create a log entry within the System Log]]* upon detection of a potential security violation.

Hierarchical to: No other components

Dependencies: FAU\_SAA.1 Potential violation analysis

916 **6.2.2.2 Security audit data generation (FAU\_GEN)**917 **6.2.2.2.1 FAU\_GEN.1/SYS: Audit data generation for System Log**

FAU\_GEN.1.1/SYS The TSF shall be able to generate an audit record of the following auditable events:

- a) Start-up and shutdown of the audit functions;
- b) All auditable events for the [basic] level of audit; and
- c) [other non-privacy relevant auditable events as listed in Table 6.3].

FAU\_GEN.1.2/SYS The TSF shall record within each audit record at least the following information:

- a) Date and time of the event, type of event, subject identity (if applicable), and the outcome (success or failure) of the event; and
- b) For each audit event type, based on the auditable event definitions of the functional components included in the PP/ST, [all information as listed in Table 6.4].

Hierarchical to: No other components

Dependencies: FPT\_STM.1

SFR	Auditable Event
FAU_ARP.1/SYS	Actions taken due to potential security violations.
FAU_GEN.1/SYS	-
FAU_GEN.1/CON	-
FAU_GEN.1/CAL	-
FAU_SAA.1/SYS	<del>Enabling and disabling of any of the analysis mechanisms. Automated responses performed by the tool.</del> <sup>34</sup>
FAU_SAR.1/SYS	Reading of information from the audit records.
FAU_SAR.1/CON	Reading of information from the audit records.
FAU_SAR.1/CAL	Reading of information from the audit records.
FAU_STG.4/SYS	Actions taken due to the audit storage failure.
FAU_STG.4/CON	Actions taken due to the audit storage failure.
FAU_STG.4/CAL	Actions taken due to the audit storage failure.
FAU_GEN.2	-
FAU_STG.2	-
FCO_NRO.2	The <b>failure of</b> invocation of the non-repudiation service. <sup>35</sup> Identification of the information, the destination, and a copy of the evidence provided.

<sup>34</sup> It is not possible to disable the analysis mechanism. Automated responses are not foreseen.

<sup>35</sup> It is not possible to store every successful invocation of the non-repudiation service due to memory restrictions.

SFR	Auditable Event
FCS_CKM.1/TLS	<del>Success and</del> failure of the activity. <sup>36</sup> The object attribute(s), and object value(s) excluding any sensitive information (e.g. secret or private keys).
FCS_COP.1/TLS	<del>Success and</del> failure, and the type of cryptographic operation. <sup>37</sup> Any applicable cryptographic mode(s) of operation, subject attributes and object attributes.
FCS_CKM.1/CMS	<del>Success and</del> Failure of the activity. <sup>38</sup> The object attribute(s), and object value(s) excluding any sensitive information (e.g. secret or private keys). <sup>39</sup>
FCS_COP.1/CMS	<del>Success and</del> failure, and the type of cryptographic operation. <sup>40</sup> Any applicable cryptographic mode(s) of operation, subject attributes and object attributes.
FCS_CKM.1/MTR	Success and failure of the activity. The object attribute(s), and object value(s) excluding any sensitive information (e.g. secret or private keys).
FCS_COP.1/MTR	Success and failure, and the type of cryptographic operation. Any applicable cryptographic mode(s) of operation, subject attributes and object attributes.
FCS_CKM.4	Success <del>and failure</del> of the activity. <sup>41</sup> The object attribute(s), <del>and object value(s)</del> excluding any sensitive information (e.g. secret or private keys). <sup>42</sup>
FCS_COP.1/HASH	<del>Success and</del> failure, and the type of cryptographic operation. <sup>43</sup> Any applicable cryptographic mode(s) of operation, subject attributes and object attributes.
FCS_COP.1/MEM	Success <del>and failure</del> , and the type of cryptographic operation. <sup>44</sup> Any applicable cryptographic mode(s) of operation, subject attributes and object attributes.
FDP_ACC.2	-
FDP_ACF.1	All requests to perform an operation on an object covered by the SFP.
FDP_IFC.2/FW	-
FDP_IFF.1/FW	All decisions on requests for information flow.
FDP_IFC.2/MTR	-
FDP_IFF.1/MTR	All decisions on requests for information flow.
FDP_RIP.2	-
FDP_SDI.2	All attempts to check the integrity of user data, including an indication of the results of the check, if performed.

<sup>36</sup> It is not possible to store every successful TLS key management activity due to memory restrictions.

<sup>37</sup> It is not possible to store every successful TLS activity due to memory restrictions.

<sup>38</sup> It is not possible to store every successful CMS key management activity due to memory restrictions.

<sup>39</sup> The attributes and values are fixed within this ST and not configurable. Therefore it is not necessary to log these attributes and values every time.

<sup>40</sup> It is not possible to store every successful CMS activity due to memory restrictions.

<sup>41</sup> If the TOE is unable to destroy keys or other sensitive material in system memory, the TOE is out of order and will reboot caused by memory management and protection features.

<sup>42</sup> To prevent the disclosure of sensitive information, object values are not part of the logged items.

<sup>43</sup> It is not possible to store every successful HASH activity due to memory restrictions.

<sup>44</sup> Logging of failures in this context is not possible, because the target that holds the log entries is out of order.

SFR	Auditable Event
FIA_ATD.1	-
FIA_AFL.1	The reaching of the threshold for the unsuccessful authentication attempts and the actions taken and the subsequent, if appropriate, restoration to the normal state (e.g. re-enabling of a terminal).
FIA_UAU.2	All use of the authentication mechanism.
FIA_UAU.5	The result of each activated mechanism together with the final decision.
FIA_UAU.6	All reauthentication attempts.
FIA_UID.2	All use of the user identification mechanism, including the user identity provided.
FIA_USB.1	Success and failure of binding of user security attributes to a subject (e.g. success or failure to create a subject).
FMT_MOF.1	All modifications in the behaviour of the functions in the TSF.
FMT_SMF.1	Use of the management functions.
FMT_SMR.1	Modifications to the group of users that are part of a role.
FMT_MSA.1/AC	All modifications of the values of security attributes.
FMT_MSA.3/AC	- <sup>45</sup>
FMT_MSA.1/FW	All modifications of the values of security attributes.
FMT_MSA.3/FW	- <sup>46</sup>
FMT_MSA.1/MTR	All modifications of the values of security attributes.
FMT_MSA.3/MTR	- <sup>47</sup>
FPR_CON.1	-
FPR_PSE.1	The subject/user that requested resolution of the user identity should be audited.
FPT_FLS.1	Failure of the TSF.
FPT_RPL.1	Detected replay attacks.
FPT_STM.1	Changes to the time.
FPT_TST.1	Execution of the TSF self tests and the results of the tests.
FPT_PHP.1	- <sup>48</sup>
FTP_ITC.1/WAN	All attempted uses of the trusted channel functions. Identification of the initiator and target of all trusted channel functions.
FTP_ITC.1/MTR	All attempted uses of the trusted channel functions. Identification of the initiator and target of all trusted channel functions.
FTP_ITC.1/USR	All attempted uses of the trusted channel functions. Identification of the initiator and target of all trusted channel functions.

**Table 6.3: Auditable Events for System Log**

<sup>45</sup> Initial values can not be changed (cf. FMT\_MSA.3/AC)

<sup>46</sup> Initial values can not be changed (cf. FMT\_MSA.3/FW)

<sup>47</sup> Initial values can not be changed (cf. FMT\_MSA.3/MTR)

<sup>48</sup> Because the detection is performed by human person only, there is nothing to be logged by the TOE.

Additional Information	Description
record_number	Unique log entry identifier.
datetime	Date and Time of the event using UTC.
event_type	Type of the recorded event.
subject_identity	Identity of the subject that causes the event.
outcome	Outcome of the performed action

Table 6.4: Information that shall be logged

918 **6.2.2.3 Security audit analysis (FAU\_SAA)**919 **6.2.2.3.1 FAU\_SAA.1/SYS: Potential violation analysis for System Log**

FAU\_SAA.1.1/SYS The TSF shall be able to apply a set of rules in monitoring the audited events and based upon these rules indicate a potential violation of the enforcement of the SFRs.

FAU\_SAA.1.2/SYS The TSF shall enforce the following rules for monitoring audited events:

a) Accumulation or combination of [

- *a defined number of blocking of IF\_GW\_CON*
- *a process restarted*
- *a defined number of incorrect wake-up calls received*
- *a defined number of detected telegram replay for each interface*

] known to indicate a potential security violation;

b) [none]

Hierarchical to: No other components

Dependencies: FAU\_GEN.1

**Application Note 4:** All types of failures in the TSF as listed in FPT\_FLS.1 will directly be recognized as a potential violation by the TOE. It is not relied upon monitoring the audited events in order to detect them.

920 **6.2.2.4 Security audit review (FAU\_SAR)**921 **6.2.2.4.1 FAU\_SAR.1/SYS: Audit Review for System Log**

FAU\_SAR.1.1/SYS The TSF shall provide [*only authorised Gateway Administrators via the IF\_GW\_WAN interface and authorised Service Technicians via the IF\_GW\_SRV interface*] with the capability to read [*all information*] from the **system** audit records.

FAU\_SAR.1.2/SYS The TSF shall provide the audit records in a manner suitable for the user to interpret the information.

Hierarchical to: No other components

Dependencies: FAU\_GEN.1

922 **6.2.2.5 Security audit event storage (FAU\_STG)**923 **6.2.2.5.1 FAU\_STG.4/SYS: Prevention of audit data loss for the System Log**

FAU\_STG.4.1/SYS The TSF shall [overwrite the oldest stored audit records] and [*inform the Gateway Administrator*] if the **system** audit trail is full.

Hierarchical to: FAU\_STG.3 Action in case of possible audit data loss

Dependencies: FAU\_STG.1 Protected audit trail storage

**Application Note 5:** The size of the audit trail that is available before the oldest events get overwritten is configurable for the Gateway Administrator.

924 **6.2.3 Security Requirements for the Consumer Log**925 **6.2.3.1 Security audit data generation (FAU\_GEN)**926 **6.2.3.1.1 FAU\_GEN.1/CON: Audit data generation for Consumer Log**

FAU\_GEN.1.1/CON The TSF shall be able to generate an audit record of the following auditable events:

- a) Start-up and shutdown of the audit functions;
- b) All auditable events for the [not specified] level of audit; and
- c) [*all audit events as listed in [Table 6.5](#) and [none]*].

FAU\_GEN.1.2/CON The TSF shall record within each audit record at least the following information:

- a) Date and time of the event, type of event, subject identity (if applicable), and the outcome (success or failure) of the event; and
- b) For each audit event type, based on the auditable event definitions of the functional components included in the **PP/ST**, [*additional information as listed in [Table 6.5](#) and [[Table 6.4](#)]*].

Hierarchical to: No other components

Dependencies: FPT\_STM.1

Event	Additional Information
Any change to a Processing Profile	The new and the old Processing Profile
Any submission of Meter Data to an external entity	The Processing Profile that lead to the submission The submitted values
Any submission of Meter Data that is not billing-relevant	-
Billing-relevant data	-
Any administrative action performed	-
Relevant system status information including relevant errors	-
Adding or removing of meters located in the LMN and attached to the respective Consumer	-
Changing of authentication information	-

Table 6.5: Events for Consumer Log

927 **6.2.3.2 Security audit review (FAU\_SAR)**928 **6.2.3.2.1 FAU\_SAR.1/CON Audit Review for Consumer Log**

FAU\_SAR.1.1/CON The TSF shall provide [*only authorised Consumer via the IF\_GW\_CON interface*] with the capability to read [*all information that are related to them*] from the **Consumer** audit records.

FAU\_SAR.1.2/CON The TSF shall provide the audit records in a manner suitable for the user to interpret the information.

Hierarchical to: No other components

Dependencies: FAU\_GEN.1

**Application Note 6:** FAU\_SAR.1.2/CON shall ensure that the Consumer is able to interpret the information that is provided to him in a way that allows him to verify the invoice.

929 **6.2.3.3 Security audit event storage (FAU\_STG)**930 **6.2.3.3.1 FAU\_STG.4/CON: Prevention of audit data loss for the Consumer Log**

FAU\_STG.4.1/CON The TSF shall [*overwrite the oldest stored audit records*] and [*inform the Gateway Administrator*] if the **Consumer** audit trail is full.

Hierarchical to: FAU\_STG.3 Action in case of possible audit data loss

Dependencies: FAU\_STG.1 Protected audit trail storage

**Application Note 7:** The size of the audit trail that is available before the oldest events get overwritten is configurable for the Gateway Administrator.



931 **6.2.4 Security Requirements for the Calibration Log**932 **6.2.4.1 Security audit data generation (FAU\_GEN)**933 **6.2.4.1.1 FAU\_GEN.1/CAL: Audit data generation for Calibration Log**

FAU\_GEN.1.1/CAL The TSF shall be able to generate an audit record of the following auditable events:

- a) Start-up and shutdown of the audit functions;
- b) All auditable events for the [not specified] level of audit; and
- c) [all audit events as listed in [Table 6.6](#)].

FAU\_GEN.1.2/CAL The TSF shall record within each audit record at least the following information:

- a) Date and time of the event, type of event, subject identity (if applicable), and the outcome (success or failure) of the event; and
- b) For each audit event type, based on the auditable event definitions of the functional components included in the ~~PP~~/ST, [additional information as listed in [Table 6.6](#) and [Table 6.4](#)].

Hierarchical to: No other components

Dependencies: FPT\_STM.1

**Application Note 8:** The Calibration Log serves to fulfill national requirements in the context of the calibration of the TOE.

Event	Additional Information
Start of operation of the SMGW	-
Adding or removing of meters located in the LMN and attached to a Consumer of the gateway	-
Any change to a Processing Profile	-
Soft- and Firmwareupdates	-
Deviation (more than 3% of the shortest measuring period) between the local time and the reliable timesource provided by the Gateway Administrator.	-
Successful synchronisation of the local time using the reliable time source provided by the Gateway Administrator.	-
Meter Error	Information provided by the Meter

Table 6.6: Events for Calibration Log

#### 934 6.2.4.2 Security audit review (FAU\_SAR)

##### 935 6.2.4.2.1 FAU\_SAR.1/CAL: Audit Review for Calibration Log

FAU\_SAR.1.1/CAL The TSF shall provide [*only authorised Gateway Administrators via the IF\_GW\_WAN interface*] with the capability to read [*all information*] from the **calibration** audit records.

FAU\_SAR.1.2/CAL The TSF shall provide the audit records in a manner suitable for the user to interpret the information.

Hierarchical to: No other components

Dependencies: FAU\_GEN.1

#### 936 6.2.4.3 Security audit event storage (FAU\_STG)

##### 937 6.2.4.3.1 FAU\_STG.4/CAL: Prevention of audit data loss for Calibration Log

FAU\_STG.4.1/CAL The TSF shall [*ignore audited events*] and [*stop the operation of the TOE and inform a Gateway Administrator*] if the **calibration** audit trail is full.

Hierarchical to: FAU\_STG.3 Action in case of possible audit data loss

Dependencies: FAU\_STG.1 Protected audit trail storage

**Application Note 9:** As outlined in the introduction it has to be ensured that the events of the Calibration Log are available over the lifetime of the TOE.

938 **6.2.5 Security Requirements that apply to all logs**939 **6.2.5.1 Security audit data generation (FAU\_GEN)**940 **6.2.5.1.1 FAU\_GEN.2: User identity association**

FAU\_GEN.2.1 For audit events resulting from actions of identified users, the TSF shall be able to associate each auditable event with the identity of the user that caused the event.

Hierarchical to: No other components

Dependencies: FAU\_GEN.1  
FIA\_UID.1

**Application Note 10:** Please note that FAU\_GEN.2 applies to all audit logs, the System Log, the Calibration Log, and the Consumer Log.

941 **6.2.5.2 Security audit event storage (FAU\_STG)**942 **6.2.5.2.1 FAU\_STG.2: Guarantees of audit data availability**

FAU\_STG.2.1 The TSF shall protect the stored audit records in ~~the~~ **all** audit trails from unauthorised deletion.

FAU\_STG.2.2 The TSF shall be able to [prevent] unauthorised modifications to the stored audit records in ~~the~~ **all** audit trails.

FAU\_STG.2.3 The TSF shall ensure that [*all records from the Calibration Log and a sufficient, adjustable number of days within a predefined range of days for the System Log and for each Consumer Log of*] stored audit records will be maintained when the following conditions occur: [audit storage exhaustion or failure].

Hierarchical to: FAU\_STG.1 Protected audit trail storage

Dependencies: FAU\_GEN.1 Audit data generation

**Application Note 11:** Please note that FAU\_STG.2 applies to all audit logs, the System Log, the Calibration Log, and the Consumer Log.

943 **6.3 Class FCO: Communication**944 **6.3.1 Non-repudiation of origin (FCO\_NRO)**945 **6.3.1.1 FCO\_NRO.2: Enforced proof of origin**

FCO\_NRO.2.1 The TSF shall enforce the generation of evidence of origin for transmitted [*Meter Data*] at all times.

FCO\_NRO.2.2 The TSF shall be able to relate the [*key material used for signature*<sup>49</sup>] of the originator of the information, and the [*signature*] of the information to which the evidence applies.

FCO\_NRO.2.3 The TSF shall provide a capability to verify the evidence of origin of information to [recipient, *[Consumer]*] given [*limitations of the digital signature according to [TR 03109-1]*].

Hierarchical to: FCO\_NRO.1 Selective proof of origin

Dependencies: FIA\_UID.1 Timing of identification

**Application Note 12:** FCO\_NRO.2 requires that the TOE calculates a signature over Meter Data that is submitted to external entities.

Therefore the TOE has to create a hash value over the Data To Be Signed (DTBS) as defined in FCS\_COP.1/HASH. The creation of the actual signature however is performed by the Security Module.

## 946 6.4 Class FCS: Cryptographic Support

### 947 6.4.1 Cryptographic support for TLS

#### 948 6.4.1.1 Cryptographic key management (FCS\_CKM)

##### 949 6.4.1.1.1 FCS\_CKM.1/TLS: Cryptographic key generation for TLS

FCS\_CKM.1.1/TLS The TSF shall generate cryptographic keys in accordance with a specified cryptographic key generation algorithm [*TLS PRF within algorithms defined in FCS\_COP.1/TLS, using elliptic curves NIST P-256 (secp256r1), NIST P-384 (secp384r1), BrainpoolP256r1, BrainpoolP384r1 and BrainpoolP512r1*] and specified cryptographic key sizes [AES: 128 bit, 256 bit, ECC: 256 bit, 384 bit, 512 bit] that meet the following: [*RFC 5289*], [*RFC 5246*], [*FIPS 180-4*], [*RFC 2104*].

Hierarchical to: No other components

Dependencies: [FCS\_CKM.2 Cryptographic key distribution, or FCS\_COP.1 Cryptographic operation], fulfilled by FCS\_COP.1/TLS FCS\_CKM.4 Cryptographic key destruction

**Application Note 13:** The Security Module is used for parts of the TLS key negotiation. In particular, the key generation for TLS is performed by the Security Module. The TOE only implements the pseudorandom function (PRF) in accordance to the used cipher suites to generate the key from the master secret.

#### 950 6.4.1.2 Cryptographic operation (FCS\_COP)

##### 951 6.4.1.2.1 FCS\_COP.1/TLS: Cryptographic operation for TLS

<sup>49</sup> The key material here also represents the identity of the Gateway.

FCS\_COP.1.1 /TLS The TSF shall perform [*TLS encryption, decryption, and integrity protection*] in accordance with a specified cryptographic algorithm [*TLS\_ECDHE\_ECDSA\_WITH\_AES\_128\_CBC\_SHA256, TLS\_ECDHE\_ECDSA\_WITH\_AES\_256\_CBC\_SHA384, TLS\_ECDHE\_ECDSA\_WITH\_AES\_128\_GCM\_SHA256, TLS\_ECDHE\_ECDSA\_WITH\_AES\_256\_GCM\_SHA384, using elliptic curves NIST P-256 (secp256r1), NIST P-384 (secp384r1), BrainpoolP256r1, BrainpoolP384r1 and BrainpoolP512r1*] and cryptographic key sizes [*128 bit, 256 bit*] that meet the following: [*RFC 5289, RFC 5246, RFC 2104, NIST SP800-38A, NIST SP800-38D, FIPS 180-4, FIPS 197*]].

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/TLS FCS\_CKM.4 Cryptographic key destruction

## 952 6.4.2 Cryptographic support for CMS

### 953 6.4.2.1 Cryptographic key management (FCS\_CKM)

#### 954 6.4.2.1.1 FCS\_CKM.1/CMS: Cryptographic key generation for CMS

FCS\_CKM.1.1/CMS The TSF shall generate cryptographic keys in accordance with a specified cryptographic key generation algorithm [*ECKA-EG*] and specified cryptographic key sizes [*128bit*] that meet the following: [*TR 03111*]].

Hierarchical to: No other components

Dependencies: [FCS\_CKM.2 Cryptographic key distribution, or FCS\_COP.1 Cryptographic operation], fulfilled by FCS\_COP.1/CMS FCS\_CKM.4 Cryptographic key destruction

**Application Note 14:** The TOE utilises the services of its Security Module for parts of the key generation procedure.

### 955 6.4.2.2 Cryptographic operation (FCS\_COP)

#### 956 6.4.2.2.1 FCS\_COP.1/CMS: Cryptographic operation for CMS

FCS\_COP.1.1/CMS The TSF shall perform [*symmetric encryption, decryption and integrity protection*] in accordance with a specified cryptographic algorithm [*id-aes128-gcm, id-aes-CBC-CMAC-128*] and cryptographic key sizes [*128bit*] that meet the following: [*RFC 4493, RFC 5084, FIPS 197, NIST SP800-38A, NIST SP800-38D*]].

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/CMS FCS\_CKM.4 Cryptographic key destruction

957 **6.4.3 Cryptographic support for Meter communication encryption**958 **6.4.3.1 Cryptographic key management (FCS\_CKM)**959 **6.4.3.1.1 FCS\_CKM.1/MTR: Cryptographic key generation for Meter communication (symmetric encryption)**  
960

FCS\_CKM.1.1/MTR The TSF shall generate cryptographic keys in accordance with a specified cryptographic key generation algorithm [*AES-CMAC*] and specified cryptographic key sizes [*128bit*] that meet the following: [*RFC 4493*], [*FIPS 197*].

Hierarchical to: No other components.

Dependencies: [FCS\_CKM.2 Cryptographic key distribution, or FCS\_COP.1 Cryptographic operation], fulfilled by FCS\_COP.1/MTR FCS\_CKM.4 Cryptographic key destruction

961 **6.4.3.2 Cryptographic operation (FCS\_COP)**962 **6.4.3.2.1 FCS\_COP.1/MTR: Cryptographic operation for Meter communication encryption**

FCS\_COP.1.1/MTR The TSF shall perform [*symmetric encryption, decryption, integrity protection*] in accordance with a specified cryptographic algorithm [*AES-CBC for encryption and decryption and AES-CMAC for integrity protection*] and cryptographic key sizes [*128bit*] that meet the following: [*RFC 4493*], [*FIPS 197*], [*NIST SP800-38A*].

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/MTR FCS\_CKM.4 Cryptographic key destruction

**Application Note 15:** The PP allows different scenarios of key generation for Meter communication encryption. Those are:

- 1) If a TLS encryption is being used the key generation/negotiation is as defined by FCS\_CKM.1/TLS
- 2) If AES encryption is being used the key has been brought into the Gateway via a management function during the pairing process for the Meter (see FMT\_SMF.1) and defined by FCS\_COP.1/MTR.

**Application Note 16:** If the connection between the Meter and TOE is unidirectional, the communication between the Meter and the TOE is secured by the use of a symmetric AES encryption. If a bidirectional connection between the Meter and the TOE is established, the communication is secured by a TLS channel as described in chapter 6.4.1. As the TOE shall be interoperable with all kind of Meters it implements both kinds of encryption.

963 **6.4.4 General Cryptographic support**964 **6.4.4.1 Cryptographic key management (FCS\_CKM)**965 **6.4.4.1.1 FCS\_CKM.4: Cryptographic key destruction**

FCS\_CKM.4.1 The TSF shall destroy cryptographic keys in accordance with a specified cryptographic key destruction method [*zeroization*] that meets the following: [\[\[FIPS 140-2\]\]](#).

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/TLS and FCS\_CKM.1/CMS and FCS\_CKM.1/MTR.

**Application Note 17:** Please note that as against the requirement FDP\_RIP.2 the mechanisms implementing the requirement from FCS\_CKM.4 shall be suitable to avoid attackers with physical access to the TOE from accessing the keys after they are no longer used.

966 **6.4.4.2 Cryptographic operation (FCS\_COP)**967 **6.4.4.2.1 FCS\_COP.1/HASH: Cryptographic operation, hashing for signatures**

FCS\_COP.1.1/HASH The TSF shall perform [*hashing for signature creation and verification*] in accordance with a specified cryptographic algorithm [*SHA-256, SHA-384, SHA-512*] and cryptographic key sizes [*none*] that meet the following: [\[\[FIPS 180-4\]\]](#).

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<sup>50</sup>] FCS\_CKM.4 Cryptographic key destruction

**Application Note 18:** The TOE is only responsible for hashing of data in the context of digital signatures. The actual signature operation and the handling (i.e. protection) of the cryptographic keys in this context is performed by the Security Module.

968 **6.4.4.2.2 FCS\_COP.1/MEM: Cryptographic operation, encryption of TSF and user data**

FCS\_COP.1.1/MEM The TSF shall perform [*TSF and user data encryption*] in accordance with a specified cryptographic algorithm [*AES-128-CBC ESSIV:SHA256*] and cryptographic key sizes [*128bit*] that meet the following: [\[\[FIPS 197\]\]](#),[\[NIST SP800-38A\]](#),[\[FIPS 180-4\]\]](#).

Hierarchical to: No other components

<sup>50</sup> The justification for the missing dependency FCS\_CKM.1 can be found in chapter [6.12.1.3](#).

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<sup>50</sup>  
 FCS\_CKM.4 Cryptographic key destruction

**Application Note 19:** Please note that the random number generation mechanism of the Security Module is used for key generation.

**Application Note 20:** The TOE encrypts its local TSF and user data while it is not in use (i.e. while stored in a persistent memory). The Security Module is used to store the symmetric key that is used for the encryption of TSF and user data.

It shall be noted that this kind of encryption cannot provide an absolute protection against physical manipulation and does not aim to. It however contributes to the security concept that considers the protection that is provided by the environment.

## 969 6.5 Class FDP: User Data Protection

### 970 6.5.1 Introduction to the Security Functional Policies

971 The security functional requirements that are used in the following chapters implicitly define a set of  
 972 Security Functional Policies (SFP). These policies are introduced in the following paragraphs in more  
 973 detail to facilitate the understanding of the SFRs:

- 974 • The Gateway access SFP is an access control policy to control the access to objects under the control  
 975 of the TOE. The details of this access control policy highly depend on the concrete application of  
 976 the TOE. The access control policy is described in more detail in [TR 03109-1].
- 977 • The Firewall SFP implements an information flow policy to fulfil the objective O.Firewall. All  
 978 requirements around the communication control that the TOE poses on communications between  
 979 the different networks are defined in this policy.
- 980 • The Meter SFP implements an information flow policy to fulfil the objective O.Meter. It defines all  
 981 requirements concerning how the TOE shall handle Meter Data.

### 982 6.5.2 Gateway Access SFP

#### 983 6.5.2.1 Access control policy (FDP\_ACC)

##### 984 6.5.2.1.1 FDP\_ACC.2: Complete access control

FDP\_ACC.2.1 The TSF shall enforce the [*Gateway access SFP*] on [  
*subjects: external entities in WAN, HAN and LMN*  
*objects: any information that is sent to, from or via the TOE and any information*  
*that is stored in the TOE*] and all operations among subjects and objects covered  
 by the SFP.

FDP\_ACC.2.2 The TSF shall ensure that all operations between any subject controlled by the  
 TSF and any object controlled by the TSF are covered by an access control SFP.

Hierarchical to: FDP\_ACC.1 Subset access control

Dependencies: FDP\_ACF.1 Security attribute based access control

##### 985 6.5.2.1.2 FDP\_ACF.1 Security attribute based access control



- FDP\_ACF.1.1 The TSF shall enforce the [*Gateway access SFP*] to objects based on the following: [  
*subjects: external entities on the WAN, HAN or LMN side*  
*objects: any information that is sent to, from or via the TOE*  
*attributes: destination interface*].
- FDP\_ACF.1.2 The TSF shall enforce the following rules to determine if an operation among controlled subjects and controlled objects is allowed: [  
  - *an authorised Consumer is only allowed to have read access to his own User Data via the interface IF\_GW\_CON,*
  - *an authorised Service Technician is only allowed to have read access to the System Log via the interface IF\_GW\_SRV, the Service Technician must not be allowed to read, modify or delete any other TSF data,*
  - *an authorised Gateway Administrator is allowed to interact with the TOE only via IF\_GW\_WAN,*
  - *only authorised Gateway Administrators are allowed to establish a wake-up call,*
  - *[Meter Data shall be transmitted only via the interface IF\_GW\_MTR to the Gateway]*].
- FDP\_ACF.1.3 The TSF shall explicitly authorise 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: [  
  - *the Gateway Administrator is not allowed to read consumption data or the Consumer Log,*
  - *nobody must be allowed to read the symmetric keys used for encryption*].
- Hierarchical to: No other components
- Dependencies: FDP\_ACC.1 Subset access control  
 FMT\_MSA.3 Static attribute initialisation

### 986 6.5.3 Firewall SFP

#### 987 6.5.3.1 Information flow control policy (FDP\_IFC)

##### 988 6.5.3.1.1 FDP\_IFC.2/FW: Complete information flow control for firewall

- FDP\_IFC.2.1/FW The TSF shall enforce the [*Firewall SFP*] on [*the TOE, external entities on the WAN side, external entities on the LAN side and all information flowing between them*] and all operations that cause that information to flow to and from subjects covered by the SFP.
- FDP\_IFC.2.2/FW The TSF shall ensure that all operations that cause any information in the TOE to flow to and from any subject in the TOE are covered by an information flow control SFP.
- Hierarchical to: FDP\_IFC.1 Subset information flow control
- Dependencies: FDP\_IFF.1 Simple security attributes

989 **6.5.3.2 Information flow control functions (FDP\_IFF)**990 **6.5.3.2.1 FDP\_IFF.1/FW: Simple security attributes for Firewall**

FDP\_IFF.1.1/FW The TSF shall enforce the [*Firewall SFP*] based on the following types of subject and information security attributes: [  
*subjects: The TOE and external entities on the WAN, HAN or LMN side*  
*information: any information that is sent to, from or via the TOE*  
*attributes: destination\_interface (TOE, LMN, HAN or WAN), source\_interface (TOE, LMN, HAN or WAN), destination\_authenticated*].

FDP\_IFF.1.2/FW The TSF shall permit an information flow between a controlled subject and controlled information via a controlled operation if the following rules hold: [  
*(if source\_interface=HAN or source\_interface=TOE) and*  
*destination\_interface=WAN and*  
*destination\_authenticated = true*  
*Connection establishment is allowed*  
*[(if source\_interface=HAN or source\_interface=LMN) and*  
*destination\_interface=TOE and*  
*source\_authentication=true*  
*Connection establishment is allowed*  
*if source\_interface=TOE and*  
*(destination\_interface=LMN or destination\_interface=HAN) and*  
*destination\_authenticated = true*  
*Connection establishment is allowed*  
*]*  
*else*  
*Connection establishment is denied*  
 ].

FDP\_IFF.1.3/FW The TSF shall enforce the [*establishment of a connection to a configured external entity in the WAN after having received a wake-up message on the WAN interface*].

FDP\_IFF.1.4/FW The TSF shall explicitly authorise an information flow based on the following rules: [*none*].

FDP\_IFF.1.5/FW The TSF shall explicitly deny an information flow based on the following rules: [*none*].

Hierarchical to: No other components

Dependencies: FDP\_IFC.1 Subset information flow control  
 FMT\_MSA.3 Static attribute initialisation

**Application Note 21:** It should be noted that the FDP\_IFF.1.1/FW facilitates different interfaces of the origin and the destination of an information flow implicitly requires the TOE to implement physically separate ports for WAN, LMN and HAN.

991 **6.5.4 Meter SFP**992 **6.5.4.1 Information flow control policy (FDP\_IFC)**993 **6.5.4.1.1 FDP\_IFC.2/MTR: Complete information flow control for Meter information flow**

FDP\_IFC.2.1/MTR The TSF shall enforce the [*Meter SFP*] on [*the TOE, attached Meters, authorized External Entities in the WAN and all information flowing between them*] and all operations that cause that information to flow to and from subjects covered by the SFP.

FDP\_IFC.2.2/MTR The TSF shall ensure that all operations that cause any information in the TOE to flow to and from any subject in the TOE are covered by an information flow control SFP.

Hierarchical to: FDP\_IFC.1 Subset information flow control

Dependencies: FDP\_IFF.1 Simple security attributes

#### 994 6.5.4.2 Information flow control functions (FDP\_IFF)

##### 995 6.5.4.2.1 FDP\_IFF.1/MTR: Simple security attributes for Meter information

FDP\_IFF.1.1/MTR The TSF shall enforce the [*Meter SFP*] based on the following types of subject and information security attributes: [  
*subjects: TOE, external entities in WAN, Meters located in LMN*  
*information: any information that is sent via the TOE*  
*attributes: destination interface, source interface (LMN or WAN), Processing Profile*  
 ].

FDP\_IFF.1.2/MTR The TSF shall permit an information flow between a controlled subject and controlled information via a controlled operation if the following rules hold: [  
 • *an information flow shall only be initiated if allowed by a corresponding Processing Profile*].

FDP\_IFF.1.3/MTR The TSF shall enforce the [*following rules*]:

- *Data received from Meters shall be processed as defined in the corresponding Processing Profile,*
- *Results of processing of Meter Data shall be submitted to external entities as defined in the Processing Profiles,*
- *The internal system time shall be synchronised as follows:*
  - *The TOE shall compare the system time to a reliable external time source [according to [RFC 5905] within a synchronization interval between 1 minute and 11.6 hours (41653 seconds)].*
  - *If the deviation between the local time and the remote time is acceptable<sup>51</sup> the local system time shall be updated according to the remote time.*
  - *If the deviation is not acceptable the TOE*
    - *shall ensure that any following Meter Data is not used,*
    - *stop operation<sup>52</sup> and*
    - *inform a Gateway Administrator*].

FDP\_IFF.1.4/MTR The TSF shall explicitly authorise an information flow based on the following rules: [*none*].

<sup>51</sup> Please refer to the following application note for a detailed definition of “acceptable”

<sup>52</sup> Please note that this refers to the complete functional operation of the TOE and not only to the update of local time. However, an administrative access shall still be possible.

FDP\_IFF.1.5/MTR The TSF shall explicitly deny an information flow based on the following rules: [*The TOE shall deny any acceptance of information by external entities in the LMN unless the authenticity, integrity and confidentiality of the Meter Data could be verified*].

Hierarchical to: No other components

Dependencies: FDP\_IFC.1 Subset information flow control  
FMT\_MSA.3 Static attribute initialisation

**Application Note 22:** FDP\_IFF.1.3 defines that the TOE shall update the local system time regularly with a reliable external time sources if the deviation is acceptable. In the context of this functionality two aspects should be mentioned:

**Reliability of external source**

To achieve the reliability of the external source the TOE synchronises the local time only with a time source provided by the Gateway Administrator. After a power cut the TOE can use the integrated Real Time Clock (RTC) for the first adjustment of the local time.

**Acceptable deviation**

For the question whether a deviation between the time source(s) in the WAN and the local system time is still acceptable, normative or legislative regulations are considered. Therefore, a maximum deviation of 3% of the measuring period is allowed to be in conformance with this Security Target.

**Application Note 23:** In FDP\_IFF.1.5/MTR the TOE is required to verify the authenticity, integrity and confidentiality of the Meter Data received from the Meter. The TOE has two options to do so:

1. To implement a channel between the Meter and the TOE using the functionality as described in [FCS\\_COP.1/TLS](#).
2. To accept, decrypt and verify data that has been encrypted by the Meter as required in [FCS\\_COP.1/MTR](#) if a wireless connection to the meters is established.

The latter possibility is only used if a wireless connection between the Meter and the TOE is established.

996 **6.5.5 General Requirements on user data protection**

997 **6.5.5.1 Residual information protection (FDP\_RIP)**

998 **6.5.5.1.1 FDP\_RIP.2: Full residual information protection**

FDP\_RIP.2.1 The TSF shall ensure that any previous information content of a resource is made unavailable upon the [deallocation of the resource from] all objects.

Hierarchical to: FDP\_RIP.1 Subset residual information protection

Dependencies: No dependencies.

**Application Note 24:** Please refer to chapter F.9 of part 2 of [CC] for more detailed information about what kind of information this requirement applies to.

Please further note that this SFR has been used in order to ensure that information that is not longer used is made unavailable from a logical perspective. Specifically, it has to be ensured that this information is no longer available via an external interface (even if an access control or information flow policy would fail). However, this does not necessarily mean that the information is overwritten in a way that makes it impossible for an attacker to get access to it assuming a physical access to the memory of the TOE.

## 999 6.5.5.2 Stored data integrity (FDP\_SDI)

### 1000 6.5.5.2.1 FDP\_SDI.2: Stored data integrity monitoring and action

FDP\_SDI.2.1 The TSF shall monitor user data stored in containers controlled by the TSF for [*integrity errors*] on all objects, based on the following attributes: [*hash value and valid signature, if expected*].

FDP\_SDI.2.2 Upon detection of a data integrity error, the TSF shall [*always inform the Gateway Administrator*].

Hierarchical to: FDP\_SDI.1 Stored data integrity monitoring

Dependencies: No dependencies.

**Application Note 25:** This Security Target defines that the TOE shall be capable of detecting integrity errors on all objects.

## 1001 6.6 Class FIA: Identification and Authentication

### 1002 6.6.1 User Attribute Definition (FIA\_ATD)

#### 1003 6.6.1.1 FIA\_ATD.1: User attribute definition

FIA\_ATD.1.1 The TSF shall maintain the following list of security attributes belonging to individual users: [

- *User Identity*
- *Status of Identity (Authenticated or not)*
- *Connecting network (WAN, HAN or LMN)*
- *Role membership*
- [*none*].

Hierarchical to: No other components.

Dependencies: No dependencies.

### 1004 6.6.2 Authentication Failures (FIA\_AFL)

#### 1005 6.6.2.1 FIA\_AFL.1: Authentication Failure handling

FIA\_AFL.1.1 The TSF shall detect when [**a Gateway Administrator configurable positive integer within [3 and 10]**] unsuccessful authentication attempts occur related to [*authentication attempts at IF\_GW\_CON*].

FIA\_AFL.1.2 When the defined number of unsuccessful authentication attempts has been [met], the TSF shall [*block the interface IF\_GW\_CON for 5 minutes and create a System Log entry*].

Hierarchical to: No other components.

Dependencies: FIA\_UAU.1 Timing of authentication

### 1006 6.6.3 User Authentication (FIA\_UAU)

#### 1007 6.6.3.1 FIA\_UAU.2: User authentication before any action

FIA\_UAU.2.1 The TSF shall require each user to be successfully authenticated before allowing any other TSF-mediated actions on behalf of that user.

Hierarchical to: FIA\_UAU.1

Dependencies: FIA\_UID.1 Timing of identification

**Application Note 26:** Please refer to [[TR 03109-1](#)] for a more detailed overview on the authentication of the TOE users.

#### 1008 6.6.3.2 FIA\_UAU.5: Multiple authentication mechanisms

FIA\_UAU.5.1 The TSF shall provide [

- *authentication via certificates at the IF\_GW\_MTR interface,*
- *TLS-authentication via certificates at the IF\_GW\_WAN interface,*
- *TLS-authentication via HAN-certificates at the IF\_GW\_CON interface,*
- *authentication via password at the IF\_GW\_CON interface,*
- *TLS-authentication via HAN-certificates at the IF\_GW\_SRV interface,*
- *authentication via HAN-certificates at the IF\_GW\_CLS interface,*
- *verification via a commands' signature*

] to support user authentication.

FIA\_UAU.5.2 The TSF shall authenticate any user's claimed identity according to the [

- *meters shall be authenticated via certificates at the IF\_GW\_MTR interface only,*
- *Gateway administrators shall be authenticated via TLS-certificates at the IF\_GW\_WAN interface only,*
- *Consumers shall be authenticated via TLS-certificates or via password at the IF\_GW\_CON interface only,*
- *Service Technicians shall be authenticated via TLS-certificates at the IF\_GW\_SRV interface only,*
- *CLS shall be authenticated at the IF\_GW\_CLS only,*
- *each command of an Gateway Administrator shall be authenticated by verification of the commands' signature,*
- *other external entities shall be authenticated via TLS-certificates at the IF\_GW\_WAN interface only*

].

Hierarchical to: No other components.

Dependencies: No dependencies.

**Application Note 27:** Please refer to [TR 03109-1] for a more detailed overview on the authentication of the TOE users.

### 1009 6.6.3.3 FIA\_UAU.6: Re-authenticating

FIA\_UAU.6.1 The TSF shall re-authenticate **an external entity** under the conditions [  
- *TLS channel to the WAN shall be disconnected after 48 hours,*  
- *TLS channel to the LMN shall be disconnected after 5 MB of transmitted information,*  
- *Other local users shall be re-authenticated after 10 minutes of inactivity,*  
].

Hierarchical to: No other components.

Dependencies: No dependencies.

**Application Note 28:** This requirement on re-authentication for external entities in the WAN and LMN is addressed by disconnecting the TLS channel even though a re-authentication is – strictly speaking – only achieved if the TLS channel is build up again.

**Application Note 29:** The term "other local users" refers to the roles "authorised Consumer" and "authorised Service Technician".

### 1010 6.6.4 User identification (FIA\_UID)

#### 1011 6.6.4.1 FIA\_UID.2: User identification before any action

FIA\_UID.2.1 The TSF shall require each user to be successfully identified before allowing any other TSF-mediated actions on behalf of that user.

Hierarchical to: FIA\_UID.1

Dependencies: No dependencies.

### 1012 6.6.5 User-subject binding (FIA\_USB)

#### 1013 6.6.5.1 FIA\_USB.1: User-subject binding

FIA\_USB.1.1 The TSF shall associate the following user security attributes with subjects acting on the behalf of that user: [*attributes as defined in FIA\_ATD.1*].

FIA\_USB.1.2 The TSF shall enforce the following rules on the initial association of user security attributes with subjects acting on the behalf of users: [

- *set 'User Identity' to configured value*
- *set 'Status of Identity' to not authenticated*
- *set 'Connecting network' to configured selection (WAN, HAN or LMN)*
- *set 'Role membership' to configured selection*

].

FIA\_USB.1.3 The TSF shall enforce the following rules governing changes to the user security attributes associated with subjects acting on the behalf of users: [

- *security attribute 'User Identity' is not changeable.*
- *security attribute 'Status of Identity' is changeable.*
- *security attribute 'Connecting network' is not changeable.*
- *security attribute 'Role membership' is not changeable.*

].

Hierarchical to: No other components.

Dependencies: FIA\_ATD.1 User attribute definition

## 1014 **6.7 Class FMT: Security Management**

### 1015 **6.7.1 Management of the TSF**

#### 1016 **6.7.1.1 Management of functions in TSF**

##### 1017 **6.7.1.1.1 FMT\_MOF.1: Management of security functions behaviour**

FMT\_MOF.1.1 The TSF shall restrict the ability to [modify the behaviour of] the functions [*for management as defined in [FMT\\_SMF.1](#)*] to [*roles and criteria as defined in [Table 6.7](#)*].

Hierarchical to: No other components.

Dependencies: FMT\_SMR.1 Security roles  
FMT\_SMF.1 Specification of Management Functions



Function	Limitation
Display the version number of the TOE Display the current time	The management functions must only be accessible for an authorised Consumer and only via the interface IF_GW_CON. <b>An authorized Service Technician is also able to access the software version number and the current time of the TOE via the interface IF_GW_SRV.</b> <sup>53</sup>
All other management functions as defined in FMT_SMF.1	The management functions must only be accessible for an authorised Gateway Administrator and only via the interface IF_GW_WAN <sup>54</sup>
Firmware Update	The firmware update must only be possible after the authenticity of the firmware update has been verified (using the services of the Security Module and the trust anchor of the Gateway developer) and if the version number of the new firmware is higher to the version of the installed firmware.
Deletion or modification of events from the Calibration Log	A deletion or modification of events from the Calibration Log must not be possible.

Table 6.7: Restrictions on Management Functions

1018 **6.7.1.2 Specification of Management Functions (FMT\_SMF)**1019 **6.7.1.2.1 FMT\_SMF.1: Specification of Management Functions**

FMT\_SMF.1.1 The TSF shall be capable of performing the following management functions:  
[list of management functions as defined in Table 6.8 and Table 6.9 and [none]].

Hierarchical to: No other components.

Dependencies: No dependencies.

SFR	Management functionality
FAU_ARP.1/SYS	<ul style="list-style-type: none"> <li><del>The management (addition, removal, or modification) of actions.</del> <sup>55</sup></li> </ul>
FAU_GEN.1/SYS FAU_GEN.1/CON FAU_GEN.1/CAL	-
FAU_SAA.1/SYS	<ul style="list-style-type: none"> <li><del>Maintenance of the rules by (adding, modifying, deletion) of rules from the set of rules.</del> <sup>56</sup></li> </ul>

<sup>53</sup> The authorized Service Technician must be able to read the software version number and the current time of the TOE via the interface IF\_GW\_SRV because he has to ensure that the TOE is running correctly the certified firmware.

<sup>54</sup> This criterion applies to all management functions. The following entries in this table only augment this restriction further.

<sup>55</sup> As the actions taken due to potential security violations are fixed within this ST the management functions as defined by Common Criteria part 2 do not apply.

<sup>56</sup> As the rules defined by the Gateway Administrator may be potentially weak, the rules are set fixed by the firmware of the

SFR	Management functionality
FAU_SAR.1/SYS FAU_SAR.1/CON FAU_SAR.1/CAL	<sup>57</sup>
FAU_STG.4/SYS FAU_STG.4/CON	<ul style="list-style-type: none"> <li>• <del>Maintenance (deletion, modification, addition) of actions to be taken in case of audit storage failure.</del><sup>58</sup></li> <li>• Size configuration of the audit trail that is available before the oldest events get overwritten.</li> </ul>
FAU_STG.4/CAL	<sup>59</sup>
FAU_GEN.2	-
FAU_STG.2	<ul style="list-style-type: none"> <li>• <del>Maintenance of the parameters that control the audit storage capability for the Consumer Log and the System Log.</del><sup>60</sup></li> </ul>
FCO_NRO.2	<ul style="list-style-type: none"> <li>• The management of changes to <del>information types, fields, originator attributes and recipients key material</del> of evidence.<sup>61</sup></li> </ul>
FCS_CKM.1/TLS	-
FCS_COP.1/TLS	<ul style="list-style-type: none"> <li>• Management of key material including key material stored in the Security Module</li> </ul>
FCS_CKM.1/CMS	-
FCS_COP.1/CMS	<ul style="list-style-type: none"> <li>• Management of key material including key material stored in the Security Module</li> </ul>
FCS_CKM.1/MTR	-

TOE based upon the security knowledge of the manufacturer. Therefore the management functions as defined in part 2 of Common Criteria do not apply.

<sup>57</sup> As the rules for audit review are fixed within this ST the management functions as defined by Common Criteria part 2 do not apply.

<sup>58</sup> As the actions to be taken in case of audit storage failure are fixed within this ST not all management functions as defined by Common Criteria part 2 do apply.

<sup>59</sup> As the actions that shall be performed if the audit trail is full are fixed within this ST the management functions as defined by Common Criteria part 2 do not apply.

<sup>60</sup> As the parameters that control the audit storage capability are fixed within this ST the management function as defined by Common Criteria part 2 do not apply.

<sup>61</sup> As there exist no standard method for the management of changes to information types, fields, originator attributes and recipients these parameters cannot be changed by the Gateway Administrator. Only the key material used for signature generation can be changed by the Gateway Administrator using a management function.

SFR	Management functionality
FCS_COP.1/MTR	<ul style="list-style-type: none"> <li>• Management of key material stored in the Security Module and key material brought into the gateway during the pairing process.</li> </ul>
FCS_CKM.4	-
FCS_COP.1/HASH	-
FCS_COP.1/MEM	<ul style="list-style-type: none"> <li>• <del>Management of key material</del><sup>62</sup></li> </ul>
FDP_ACC.2	-
FDP_ACF.1	-
FDP_IFC.2/FW	-
FDP_IFF.1/FW	<ul style="list-style-type: none"> <li>• Managing the attributes used to make explicit access based decisions.</li> <li>• Add authorised units for communication (pairing).</li> <li>• Management of endpoint to be contacted after successful wake-up call.</li> <li>• Management of CLS systems.</li> </ul>
FDP_IFC.2/MTR	-
FDP_IFF.1/MTR	<ul style="list-style-type: none"> <li>• Managing the attributes (including Processing Profiles) used to make explicit access based decisions.</li> </ul>
FDP_RIP.2	-
FDP_SDI.2	<ul style="list-style-type: none"> <li>• <del>The actions to be taken upon the detection of an integrity error shall be configurable.</del><sup>63</sup></li> </ul>
FIA_ATD.1	<ul style="list-style-type: none"> <li>• <del>If so indicated in the assignment, the authorised Gateway Administrator might be able to define additional security attributes for users.</del><sup>64</sup></li> </ul>

<sup>62</sup> As the key material is created within the production process and brought securely into the Security Module the management functions as defined by Common Criteria part 2 do not apply.

<sup>63</sup> As the actions to be taken upon the detection of an integrity error are fixed within this ST the management functions as defined by Common Criteria part 2 do not apply.

<sup>64</sup> As it is not possible for the Gateway Administrator to define additional security attributes for users the management functions as defined by Common Criteria part 2 do not apply.

SFR	Management functionality
FIA_AFL.1	<ul style="list-style-type: none"> <li>• Management of the threshold for unsuccessful authentication attempts;</li> <li>• <del>Management of actions to be taken in the event of an authentication failure.</del><sup>65</sup></li> </ul>
FIA_UAU.2	<ul style="list-style-type: none"> <li>• Management of the authentication data by an Gateway Administrator;</li> </ul>
FIA_UAU.5	- <sup>66</sup>
FIA_UAU.6	- <sup>66</sup>
FIA_UID.2	<ul style="list-style-type: none"> <li>• The management of the user identities.</li> </ul>
FIA_USB.1	<ul style="list-style-type: none"> <li>• <del>An authorised Gateway Administrator can define default subject security attributes, if so indicated in the assignment of FIA_ATD.1.</del></li> <li>• <del>An authorised Gateway Administrator can change subject security attributes, if so indicated in the assignment of FIA_ATD.1.</del><sup>67</sup></li> </ul>
FMT_MOF.1	<ul style="list-style-type: none"> <li>• <del>Managing the group of roles that can interact with the functions in the TSF.</del><sup>68</sup></li> </ul>
FMT_SMF.1	-
FMT_SMR.1	<ul style="list-style-type: none"> <li>• Managing the group of users that are part of a role.</li> </ul>
FMT_MSA.1/AC	<ul style="list-style-type: none"> <li>• <del>Management of rules by which security attributes inherit specified values.</del><sup>69</sup></li> </ul>
FMT_MSA.3/AC	- <sup>70</sup>

<sup>65</sup> As the actions that shall be performed if the threshold of unsuccessful authentication attempts is reached are fixed within this ST not all management functions as defined by Common Criteria part 2 do apply.

<sup>66</sup> As the rules for re-authentication are fixed within this ST the management functions as defined by Common Criteria part 2 do not apply.

<sup>67</sup> As it is not possible for the Gateway Administrator to define default subject security attributes or to change subject security attributes the management functions as defined by Common Criteria part 2 do not apply.

<sup>68</sup> As the TOE only supports subject security attributes based on roles and users the management functions as defined by Common Criteria part 2 do not apply.

<sup>69</sup> As the role that can interact with the security attributes is restricted to the Gateway Administrator within this ST not all management functions as defined by Common Criteria part 2 do apply.

SFR	Management functionality
FMT_MSA.1/FW	<ul style="list-style-type: none"> <li>• <del>Management of rules by which security attributes inherit specified values.</del><sup>71</sup></li> </ul>
FMT_MSA.3/FW	- <sup>70</sup>
FMT_MSA.1/MTR	<ul style="list-style-type: none"> <li>• <del>Management of rules by which security attributes inherit specified values.</del><sup>71</sup></li> </ul>
FMT_MSA.3/MTR	- <sup>70</sup>
FPR_CON.1	<ul style="list-style-type: none"> <li>• Definition of the interval in FPR_CON.1.2 if definable within the operational phase of the TOE.</li> </ul>
FPR_PSE.1	-
FPT_FLS.1	-
FPT_RPL.1	-
FPT_STM.1	<ul style="list-style-type: none"> <li>• Management of a time source.</li> </ul>
FPT_TST.1	- <sup>72</sup>
FPT_PHP.1	<ul style="list-style-type: none"> <li>• Management of the user or role that determines whether physical tampering has occurred.<sup>73</sup></li> </ul>
FTP_ITC.1/WAN	- <sup>74</sup>
FTP_ITC.1/MTR	- <sup>74</sup>
FTP_ITC.1/USR	- <sup>74</sup>

**Table 6.8: SFR related Management Functionalities**

<sup>70</sup> As no role is allowed to specify alternative initial values within this ST the management functions as defined by Common Criteria part 2 do not apply.

<sup>71</sup> As the role that can read, modify, delete or add the security attributes is restricted to the Gateway Administrator within this ST not all management functions as defined by Common Criteria part 2 do apply.

<sup>72</sup> As the rules for TSF testing are fixed within this ST the management functions as defined by Common Criteria part 2 do not apply.

<sup>73</sup> This management function will be fulfilled by descriptions in the corresponding guidance documentation.

<sup>74</sup> As the configuration of the actions that require a trusted channel is fixed by the ST the management functions as defined in part 2 of Common Criteria do not apply.

Gateway specific Management Functionalities
Pairing of a Meter <sup>75</sup>
Performing a firmware update <sup>75</sup>
Management of certificates of external entities in the WAN for communication <sup>75</sup>
Displaying the current version number of the TOE
Displaying the current time
Resetting of the TOE <sup>76, 77</sup>

**Table 6.9: Gateway specific Management Functionalities**

1020 **6.7.2 Security management roles (FMT\_SMR)**

1021 **6.7.2.1 FMT\_SMR.1: Security roles**

FMT\_SMR.1.1 The TSF shall maintain the roles [*authorised Consumer*, *authorised Gateway Administrator*, *authorised Service Technician*, [*authorised External Entity*]].

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

Hierarchical to: No other components.

Dependencies: No dependencies.

1022 **6.7.3 Management of security attributes for Gateway access SFP**

1023 **6.7.3.1 Management of security attributes (FMT\_MSA)**

1024 **6.7.3.1.1 FMT\_MSA.1/AC: Management of security attributes for Gateway access SFP**

FMT\_MSA.1.1/AC The TSF shall enforce the [*Gateway access SFP*] to restrict the ability to [query, modify, delete, [*none*]] the security attributes [*all relevant security attributes*] to [*authorised Gateway Administrators*].

Hierarchical to: No other components.

Dependencies: [FDP\_ACC.1 Subset access control], or  
FDP\_IFC.1 Subset information flow control], fulfilled by FDP\_ACC.2  
FMT\_SMR.1 Security roles  
FMT\_SMF.1 Specification of Management Functions

1025 **6.7.3.1.2 FMT\_MSA.3/AC: Static attribute initialisation for Gateway access SFP**

<sup>75</sup> This management function will be executed by installing a new processing profile

<sup>76</sup> Resetting the TOE will be necessary when the TOE stopped operation due to a critical deviation between local and remote time(see FDP\_IFF.1.3/MTR) ~~or when the Calibration Log is full~~

<sup>77</sup> The definition of “resetting the TOE” in this ST is to issue a controlled restart of the TOE. This can be done by request of the authorized Gateway Administrator only. This function has no impact on stored data or the TOE configuration.

FMT\_MSA.3.1/AC The TSF shall enforce the [*Gateway access SFP*] to provide [restrictive] default values for security attributes that are used to enforce the SFP.

FMT\_MSA.3.2/AC The TSF shall allow the [*no role*] to specify alternative initial values to override the default values when an object or information is created.

Hierarchical to: No other components.

Dependencies: FMT\_MSA.1 Management of security attributes  
FMT\_SMR.1 Security roles

## 1026 6.7.4 Management of security attributes for Firewall SFP

### 1027 6.7.4.1 Management of security attributes (FMT\_MSA)

#### 1028 6.7.4.1.1 FMT\_MSA.1/FW: Management of security attributes for firewall policy

FMT\_MSA.1.1/FW The TSF shall enforce the [*Firewall SFP*] to restrict the ability to [query, modify, delete, [none]] the security attributes [*all relevant security attributes*] to [*authorised Gateway Administrators*].

Hierarchical to: No other components.

Dependencies: [FDP\_ACC.1 Subset access control, or  
FDP\_IFC.1 Subset information flow control], fulfilled by FDP\_IFC.2/FW  
FMT\_SMR.1 Security roles  
FMT\_SMF.1 Specification of Management Functions

#### 1029 6.7.4.1.2 FMT\_MSA.3/FW: Static attribute initialisation for Firewall policy

FMT\_MSA.3.1/FW The TSF shall enforce the [*Firewall SFP*] to provide [restrictive] default values for security attributes that are used to enforce the SFP.

FMT\_MSA.3.2/FW The TSF shall allow the [*no role*] to specify alternative initial values to override the default values when an object or information is created.

Hierarchical to: No other components.

Dependencies: FMT\_MSA.1 Management of security attributes  
FMT\_SMR.1 Security roles

**Application Note 30:** The definition of restrictive default rules for the firewall information flow policy refers to the rules as defined in [FDP\\_IFF.1.2/FW](#) and [FDP\\_IFF.1.5/FW](#). Those rules apply to all information flows and must not be overwriteable by anybody.

## 1030 6.7.5 Management of security attributes for Meter SFP

### 1031 6.7.5.1 Management of security attributes (FMT\_MSA)

#### 1032 6.7.5.1.1 FMT\_MSA.1/MTR: Management of security attributes for Meter policy

FMT\_MSA.1.1/MTR The TSF shall enforce the [*Meter SFP*] to restrict the ability to [change\_default, query, modify, delete, [none]] the security attributes [*all relevant security attributes*] to [*authorised Gateway Administrators*].

Hierarchical to: No other components.

Dependencies: [FDP\_ACC.1 Subset access control, or  
 FDP\_IFC.1 Subset information flow control], fulfilled by FDP\_IFC.2/FW  
 FMT\_SMR.1 Security roles  
 FMT\_SMF.1 Specification of Management Functions

### 1033 6.7.5.1.2 FMT\_MSA.3/MTR: Static attribute initialisation for Meter policy

FMT\_MSA.3.1/MTR The TSF shall enforce the [*Meter SFP*] to provide [restrictive] default values for security attributes that are used to enforce the SFP.

FMT\_MSA.3.2/MTR The TSF shall allow the [*no role*] to specify alternative initial values to override the default values when an object or information is created.

Hierarchical to: No other components.

Dependencies: FMT\_MSA.1 Management of security attributes  
 FMT\_SMR.1 Security roles

## 1034 6.8 Class FPR: Privacy

### 1035 6.8.1 Communication Concealing (FPR\_CON)

#### 1036 6.8.1.1 FPR\_CON.1: Communication Concealing

FPR\_CON.1.1 The TSF shall enforce the [*Firewall SFP*] in order to ensure that no personally identifiable information(PII) can be obtained by an analysis of [*frequency how often are Meter Data send to authorized External Entities, the size and the load of the transmitted Meter Data*].

FPR\_CON.1.2 The TSF shall connect to [*authorized External Entities as defined within the Processing Profiles*] in intervals as **follows** [*defined within the Processing Profiles but at least daily*] to conceal the data flow.

Hierarchical to: No other components.

Dependencies: No dependencies.

### 1037 6.8.2 Pseudonymity (FPR\_PSE)

#### 1038 6.8.2.1 FPR\_PSE.1 Pseudonymity

FPR\_PSE.1.1 The TSF shall ensure that [*external entities in the WAN*] are unable to determine the real user name bound to [*information neither relevant for billing nor for a secure operation of the Grid sent to parties in the WAN*].

FPR\_PSE.1.2 The TSF shall be able to provide [*aliases as defined by the Processing Profiles*] **of the real user name for the Meter and Gateway identity** to [*external entities in the WAN*].

FPR\_PSE.1.3 The TSF shall [determine an alias for a user] and verify that it conforms to the [*alias given by the Gateway Administrator in the Processing Profile*].

Hierarchical to: No other components.

Dependencies: No dependencies.



**Application Note 31:** When the TOE submits information about the consumption or production of a certain commodity that is not relevant for the billing process nor for a secure operation of the Grid, there is no need that this information is sent with a direct link to the identity of the Consumer. In those cases the TOE shall replace the identity of the Consumer by a pseudonymous identifier. Please note that the identity of the Consumer may not be their name but could also be a number (e.g. Consumer ID) used for billing purposes.

A Gateway may use more than one pseudonymous identifier.

A complete anonymisation would be beneficial in terms of the privacy of the Consumer. However, a complete anonymous set of information would not allow the external entity to ensure that the data comes from a trustworthy source.

Please note that an information flow shall only be initiated if allowed by a corresponding Processing Profile.

## 1039 6.9 Class FPT: Protection of the TSF

### 1040 6.9.1 Fail secure (FPT\_FLS)

#### 1041 6.9.1.1 FPT\_FLS.1: Failure with preservation of secure state

FPT\_FLS.1.1 The TSF shall preserve a secure state when the following types of failures occur:  
[

- *the deviation between local system time of the TOE and the reliable external time source is too large,*
- *the deviation between the local time and the reliable time source exceeds 3% of the shortest measuring period supported by the TOE and allowed for billing by the national calibration authority,*
- *the system is unable to get a valid time within 36 hours,*
- *the memory consumption of log storage has reached a critical limit,*
- *the memory consumption of metering data storage has reached a critical limit,*
- *the HAN interface is connected to the WAN (HAN-WAN interfaces are not separate or interchanged),*
- *a critical and non-correctable error occurred in the boot process,*

].

Hierarchical to: No other components.

Dependencies: No dependencies.

<sup>77</sup> These IDs are a placeholder for all possibly personally identifiable information (PII) contained in the Meter Data send to an Authorised External Identity.

1042 **6.9.2 Replay Detection (FPT\_RPL)**

1043 **6.9.2.1 FPT\_RPL.1: Replay detection**

FPT\_RPL.1.1 The TSF shall detect replay for the following entities: *[all external entities]*.

FPT\_RPL.1.2 The TSF shall perform *[ignore replayed data]* when replay is detected.

Hierarchical to: No other components.

Dependencies: No dependencies.

1044 **6.9.3 Time stamps (FPT\_STM)**

1045 **6.9.3.1 FPT\_STM.1: Reliable time stamps**

FPT\_STM.1.1 The TSF shall be able to provide reliable time stamps.

Hierarchical to: No other components.

Dependencies: No dependencies.

**Application Note 32:** The local system time of the TOE is synchronised regularly with a reliable external time source provided by the Gateway Administrator. Radio controlled clocks are not used. The local clock has a sufficient exactness as the synchronisation will fail if the deviation is too large (the TOE will preserve a secure state according to FPT\_FLS.1). Therefore the local clock shall be as exact as required by normative or legislative regulations.

A maximum deviation of 3% of the measuring period is allowed to be in conformance with [\[SMGW-PP\]](#).

1046 **6.9.4 TSF self test (FPT\_TST)**

1047 **6.9.4.1 FPT\_TST.1: TSF testing**

FPT\_TST.1.1 The TSF shall run a suite of self tests [during initial startup, at the request of a user and periodically during normal operation] 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 [TSF].

Hierarchical to: No other components.

Dependencies: No dependencies.

1048 **6.9.5 TSF physical protection (FPT\_PHP)**

1049 **6.9.5.1 FPT\_PHP.1: Passive detection of physical attack**

FPT\_PHP.1.1 The TSF shall provide unambiguous detection of physical tampering that might compromise the TSF.

FPT\_PHP.1.2 The TSF shall provide the capability to determine whether physical tampering with the TSF's devices or TSF's elements has occurred.

Hierarchical to: No other components.

Dependencies: No dependencies.

## 1050 6.10 Class FTP: Trusted path/channels

### 1051 6.10.1 Inter-TSF trusted channel (FTP\_ITC)

#### 1052 6.10.1.1 FTP\_ITC.1/WAN: Inter-TSF trusted channel for WAN

FTP\_ITC.1.1/WAN The TSF shall provide a communication channel between itself and another trusted IT product that is logically distinct from other communication channels and provides assured identification of its end points and protection of the channel data from modification or disclosure.

FTP\_ITC.1.2/WAN The TSF shall permit [the TSF] to initiate communication via the trusted channel.

FTP\_ITC.1.3/WAN The TSF shall initiate communication via the trusted channel for [*all communications to external entities in the WAN*].

Hierarchical to: No other components

Dependencies: No dependencies.

#### 1053 6.10.1.2 FTP\_ITC.1/MTR: Inter-TSF trusted channel for Meter

FTP\_ITC.1.1/MTR The TSF shall provide a communication channel between itself and another trusted IT product that is logically distinct from other communication channels and provides assured identification of its end points and protection of the channel data from modification or disclosure.

FTP\_ITC.1.2/MTR The TSF shall permit [the Meter, the TOE] to initiate communication via the trusted channel.

FTP\_ITC.1.3/MTR The TSF shall initiate communication via the trusted channel for [*any communication between a Meter and the TOE*].

Hierarchical to: No other components.

Dependencies: No dependencies.

**Application Note 33:** The corresponding cryptographic primitives are defined by [FCS\\_COP.1/MTR](#).

#### 1054 6.10.1.3 FTP\_ITC.1/USR: Inter-TSF trusted channel for User

- FTP\_ITC.1.1/USR The TSF shall provide a communication channel between itself and another trusted IT product that is logically distinct from other communication channels and provides assured identification of its end points and protection of the channel data from modification or disclosure.
- FTP\_ITC.1.2/USR The TSF shall permit [**the Consumer, the Service Technician**] to initiate communication via the trusted channel.
- FTP\_ITC.1.3/USR The TSF shall initiate communication via the trusted channel for [*any communication between a Consumer and the TOE and the Service Technician and the TOE*].
- Hierarchical to: No other components.
- Dependencies: No dependencies.

## 1055 **6.11 Security Assurance Requirements for the TOE**

1056 The minimum Evaluation Assurance Level for this Security Target is **EAL 4 augmented by AVA\_VAN.5**  
1057 **and ALC\_FLR.2.**

1058 The following table lists the assurance components which are therefore applicable to this ST.

<b>Assurance Class</b>	<b>Assurance Component</b>
Development	ADV_ARC.1
	ADV_FSP.4
	ADV_IMP.1
	ADV_TDS.3
Guidance documents	AGD_OPE.1
	AGD_PRE.1
Life-cycle support	ALC_CMC.4
	ALC_CMS.4
	ALC_DEL.1
	ALC_DVS.1
	ALC_LCD.1
	ALC_TAT.1
	ALC_FLR.2
Security Target Evaluation	ASE_CCL.1
	ASE_ECD.1
	ASE_INT.1
	ASE_OBJ.2
	ASE_REQ.2
	ASE_SPD.1
	ASE_TSS.1
Tests	ATE_COV.2
	ATE_DPT.1
	ATE_FUN.1
	ATE_IND.2
Vulnerability Assessment	AVA_VAN.5

**Table 6.10: Assurance Requirements**

1059 **6.12 Security Requirements rationale**1060 **6.12.1 Security Functional Requirements rationale**1061 **6.12.1.1 Fulfillment of the Security Objectives**

1062 This chapter proves that the set of security requirements (TOE) is suited to fulfill the security objectives  
 1063 described in [chapter 4](#) and that each SFR can be traced back to the security objectives. At least one  
 1064 security objective exists for each security requirement.

	O.Firewall	O.SeparateIF	O.Conceal	O.Meter	O.Crypt	O.Time	O.Protect	O.Management	O.Log	O.Access
FAU_ARP.1/SYS									X	
FAU_GEN.1/SYS									X	
FAU_SAA.1/SYS									X	
FAU_SAR.1/SYS									X	
FAU_STG.4/SYS									X	
FAU_GEN.1/CON									X	
FAU_SAR.1/CON									X	
FAU_STG.4/CON									X	
FAU_GEN.1/CAL									X	
FAU_SAR.1/CAL									X	
FAU_STG.4/CAL									X	
FAU_GEN.2									X	
FAU_STG.2									X	
FCO_NRO.2				X						
FCS_CKM.1/TLS					X					
FCS_COP.1/TLS					X					
FCS_CKM.1/CMS					X					
FCS_COP.1/CMS					X					
FCS_CKM.1/MTR					X					
FCS_COP.1/MTR					X					
FCS_CKM.4					X					
FCS_COP.1/HASH					X					
FCS_COP.1/MEM					X		X			
FDP_ACC.2										X
FDP_ACF.1										X
FDP_IFC.2/FW	X	X								

	O.Firewall	O.SeparateIF	O.Conceal	O.Meter	O.Crypt	O.Time	O.Protect	O.Management	O.Log	O.Access
FDP_IFF.1/FW	X	X								
FDP_IFC.2/MTR				X		X				
FDP_IFF.1/MTR				X		X				
FDP_RIP.2							X			
FDP_SDI.2							X			
FIA_ATD.1								X		
FIA_AFL.1								X		
FIA_UAU.2								X		
FIA_UAU.5										X
FIA_UAU.6										X
FIA_UID.2								X		
FIA_USB.1								X		
FMT_MOE.1								X		
FMT_SME.1								X		
FMT_SMR.1								X		
FMT_MSA.1/AC								X		
FMT_MSA.3/AC								X		
FMT_MSA.1/FW								X		
FMT_MSA.3/FW								X		
FMT_MSA.1/MTR								X		
FMT_MSA.3/MTR								X		
FPR_CON.1			X							
FPR_PSE.1				X						
FPT_FLS.1							X			
FPT_RPL.1					X					
FPT_STM.1						X			X	
FPT_TST.1		X					X			
FPT_PHP.1							X			
FTP_ITC.1/WAN	X									
FTP_ITC.1/MTR				X						
FTP_ITC.1/USR									X	

Table 6.11: Fulfillment of Security Objectives

1065 The following paragraphs contain more details on this mapping.

#### 1066 **6.12.1.1.1 O.Firewall**

1067 O.Firewall is met by a combination of the following SFRs:

- 1068 • **FDP\_IFC.2/FW** defines that the TOE shall implement an information flow policy for its firewall
- 1069 functionality.
- 1070 • **FDP\_IFF.1/FW** defines the concrete rules for the firewall information flow policy.
- 1071 • **FDP\_ITC.1/WAN** defines the policy around the trusted channel to parties in the WAN.

#### 1072 **6.12.1.1.2 O.SeparateIF**

1073 O.SeparateIF is met by a combination of the following SFRs:

- 1074 • **FDP\_IFC.2/FW** and **FDP\_IFF.1/FW** implicitly require the TOE to implement physically separate
- 1075 ports for WAN and LMN.
- 1076 • **FPT\_TST.1** implements a self test that also detects whether the ports for WAN and LMN have
- 1077 been interchanged.

#### 1078 **6.12.1.1.3 O.Conceal**

1079 O.Conceal is completely met by **FPR\_CON.1** as it defines rules to protect PII from disclosure by analysing

1080 the size, load or frequency of transmitted Meter Data.

#### 1081 **6.12.1.1.4 O.Meter**

1082 O.Meter is met by a combination of the following SFRs:

- 1083 • **FDP\_IFC.2/MTR** and **FDP\_IFF.1/MTR** define an information flow policy to introduce how the
- 1084 Gateway shall handle Meter Data.
- 1085 • **FCO\_NRO.2** ensures that all Meter Data will be signed by the Gateway (invoking the services of
- 1086 its Security Module) before being submitted to external entities.
- 1087 • **FPR\_PSE.1** defines requirements around the pseudonymization of Meter identities for Status data.
- 1088 • **FDP\_ITC.1/MTR** defines the requirements around the Trusted Channel that shall be implemented
- 1089 by the Gateway in order to protect information submitted via the Gateway and external entities in
- 1090 the WAN or the Gateway and a distributed Meter.

#### 1091 **6.12.1.1.5 O.Crypt**

1092 O.Crypt is met by a combination of the following SFRs:

- 1093 • **FCS\_CKM.4** defines the requirements around the secure deletion of ephemeral cryptographic keys.
- 1094 • **FCS\_CKM.1/TLS** defines the requirements on key negotiation for the TLS protocol.
- 1095 • **FCS\_CKM.1/CMS** defines the requirements on key generation for symmetric encryption within
- 1096 CMS.
- 1097 • **FCS\_COP.1/TLS** defines the requirements around the encryption and decryption capabilities of
- 1098 the Gateway for communications with external entities and to Meters.
- 1099 • **FCS\_COP.1/CMS** defines the requirements around the encryption and decryption of content and
- 1100 administration data.
- 1101 • **FCS\_CKM.1/MTR** defines the requirements on key negotiation for meter communication encryp-
- 1102 tion.
- 1103 • **FCS\_COP.1/MTR** defines the cryptographic primitives for meter communication encryption.



- 1104 • **FCS\_COP.1/HASH** defines the requirements on hashing that are needed in the context of digital  
1105 signatures (which are created and verified by the Security Module).  
1106 • **FCS\_COP.1/MEM** defines the requirements around the encryption of TSF data.  
1107 • **FPT\_RPL.1** ensures that a replay attack for communications with external entities is detected.

#### 1108 6.12.1.1.6 O.Time

1109 O.Time is met by a combination of the following SFRs:

- 1110 • **FDP\_IFC.2/MTR** and **FDP\_IFF.1/MTR** define the required update functionality for the local  
1111 time as part of the information flow control policy for handling Meter Data.  
1112 • **FPT\_STM.1** defines that the TOE shall be able to provide reliable time stamps.

#### 1113 6.12.1.1.7 O.Protect

1114 O.Protect is met by a combination of the following SFRs:

- 1115 • **FCS\_COP.1/MEM** defines that the TOE shall encrypt its TSF and user data as long as it is not in  
1116 use.  
1117 • **FDP\_RIP.2** defines that the TOE shall make information unavailable as soon as it is no longer  
1118 needed.  
1119 • **FDP\_SDI.2** defines requirements around the integrity protection for stored data.  
1120 • **FPT\_FLS.1** defines requirements that the TOE falls back to a safe state for specific error cases.  
1121 • **FPT\_TST.1** defines the self testing functionality to detect whether the interfaces for WAN and  
1122 LAN are separate.  
1123 • **FPT\_PHP.1** defines the exact requirements around the physical protection that the TOE has to  
1124 provide.

#### 1125 6.12.1.1.8 O.Management

1126 O.Management is met by a combination of the following SFRs:

- 1127 • **FIA\_ATD.1** defines the attributes for users.  
1128 • **FIA\_AFL.1** defines the requirements if the authentication of users fails multiple times.  
1129 • **FIA\_UAU.2** defines requirements around the authentication of users.  
1130 • **FIA\_UID.2** defines requirements around the identification of users.  
1131 • **FIA\_USB.1** defines that the TOE must be able to associate users with subjects acting on behalf of  
1132 them.  
1133 • **FMT\_MOF.1** defines requirements around the limitations for management of security functions.  
1134 • **FMT\_MSA.1/AC** defines requirements around the limitations for management of attributes used  
1135 for the Gateway access SFP.  
1136 • **FMT\_MSA.1/FW** defines requirements around the limitations for management of attributes used  
1137 for the Firewall SFP.  
1138 • **FMT\_MSA.1/MTR** defines requirements around the limitations for management of attributes used  
1139 for the Meter SFP.  
1140 • **FMT\_MSA.3/AC** defines the default values for the Gateway access SFP.  
1141 • **FMT\_MSA.3/FW** defines the default values for the Firewall SFP.  
1142 • **FMT\_MSA.3/MTR** defines the default values for the Meter SFP.  
1143 • **FMT\_SME.1** defines the management functionalities that the TOE must offer.  
1144 • **FMT\_SMR.1** defines the role concept for the TOE.

1145 **6.12.1.1.9 O.Log**

1146 O.Log defines that the TOE shall implement three different audit processes that are covered by the Security  
1147 Functional Requirements as follows:

1148 **System Log**

1149 The implementation of the System Log itself is covered by the use of **FAU\_GEN.1/SYS**.  
1150 **FAU\_ARP.1/SYS** and **FAU\_SAA.1/SYS** allow to define a set of criteria for automated analysis of  
1151 the audit and a corresponding response. **FAU\_SAR.1/SYS** defines the requirements around the audit  
1152 review functions and that access to them shall be limited to authorised Gateway Administrators via the  
1153 IF\_GW\_WAN interface and to authorises Service Technicians via the IF\_GW\_SRV interface. Finally,  
1154 **FAU\_STG.4/SYS** defines the requirements on what should happen if the audit log is full.

1155 **Consumer Log**

1156 The implementation of the Consumer Log itself is covered by the use of **FAU\_GEN.1/CON**.  
1157 **FAU\_STG.4/CON** defines the requirements on what should happen if the audit log is full.  
1158 **FAU\_SAR.1/CON** defines the requirements around the audit review functions for the Consumer Log  
1159 and that access to them shall be limited to authorised Consumer via the IF\_GW\_CON interface.  
1160 **FPT\_ITC.1/USR** defines the requirements on the protection of the communication of the Consumer with  
1161 the TOE.

1162 **Calibration Log**

1163 The implementation of the Calibration Log itself is covered by the use of **FAU\_GEN.1/CAL**.  
1164 **FAU\_STG.4/CAL** defines the requirements on what should happen if the audit log is full.  
1165 **FAU\_SAR.1/CAL** defines the requirements around the audit review functions for the Calibration Log and  
1166 that access to them shall be limited to authorised Gateway Administrators via the IF\_GW\_WAN interface.

1167 **FAU\_GEN.2**, **FAU\_STG.2** and **FPT\_STM.1** apply to all three audit processes.

1168 **6.12.1.1.10 O.Access**

1169 **FDP\_ACC.2** and **FDP\_ACE.1** define the access control policy as required to address O.Access.  
1170 **FIA\_UAU.5** ensures that entities that would like to communicate with the TOE are authenticated before  
1171 any action whereby **FIA\_UAU.6** ensures that external entities in the WAN are re-authenticated after the  
1172 session key has been used for a certain amount of time.

1173 **6.12.1.2 Fulfillment of the dependencies**

1174 The following table summarises all TOE functional requirements dependencies of this ST and demonstrates  
1175 that they are fulfilled.

SFR	Dependencies	Fulfilled by
FAU_ARP.1/SYS	FAU_SAA.1 Potential violation analysis	FAU_SAA.1/SYS
FAU_GEN.1/SYS	FPT_STM.1 Reliable time stamps	FPT_STM.1
FAU_SAA.1/SYS	FAU_GEN.1 Audit data generation	FAU_GEN.1/SYS
FAU_SAR.1/SYS	FAU_GEN.1 Audit data generation	FAU_GEN.1/SYS
FAU_STG.4/SYS	FAU_STG.1 Protected audit trail storage	FAU_STG.2
FAU_GEN.1/CON	FPT_STM.1 Reliable time stamps	FPT_STM.1
FAU_SAR.1/CON	FAU_GEN.1 Audit data generation	FAU_GEN.1/CON
FAU_STG.4/CON	FAU_STG.1 Protected audit trail storage	FAU_STG.2

<b>SFR</b>	<b>Dependencies</b>	<b>Fulfilled by</b>
FAU_GEN.1/CAL	FPT_STM.1 Reliable time stamps	FPT_STM.1
FAU_SAR.1/CAL	FAU_GEN.1 Audit data generation	FAU_GEN.1/CAL
FAU_STG.4/CAL	FAU_STG.1 Protected audit trail storage	FAU_STG.1
FAU_GEN.2	FAU_GEN.1 Audit data generation FIA_UID.1 Timing of identification	FAU_GEN.1/SYS FAU_GEN.1/CON FIA_UID.2
FAU_STG.2	FAU_GEN.1 Audit data generation	FAU_GEN.1/SYS FAU_GEN.1/CON FAU_GEN.1/CAL
FCO_NRO.2	FIA_UID.1 Timing of identification	FIA_UID.2
FCS_CKM.1/TLS	[FCS_CKM.2 Cryptographic key distribution, or FCS_COP.1 Cryptographic operation] FCS_CKM.4 Cryptographic key destruction	FCS_COP.1/TLS FCS_CKM.4
FCS_COP.1/TLS	[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_CKM.1/TLS FCS_CKM.4
FCS_CKM.1/CMS	[FCS_CKM.2 Cryptographic key distribution, or FCS_COP.1 Cryptographic operation] FCS_CKM.4 Cryptographic key destruction	FCS_COP.1/CMS FCS_CKM.4
FCS_COP.1/CMS	[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_CKM.1/CMS FCS_CKM.4
FCS_CKM.1/MTR	[FCS_CKM.2 Cryptographic key distribution, or FCS_COP.1 Cryptographic operation] FCS_CKM.4 Cryptographic key destruction	FCS_COP.1/MTR FCS_CKM.4
FCS_COP.1/MTR	[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_CKM.1/MTR FCS_CKM.4
FCS_CKM.4	[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.1/TLS FCS_CKM.1/CMS FCS_CKM.1/MTR

SFR	Dependencies	Fulfilled by
FCS_COP.1/HASH	[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_CKM.4 Please refer to chapter 6.12.1.3 for missing dependency
FCS_COP.1/MEM	[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_CKM.4 Please refer to chapter 6.12.1.3 for missing dependency
FDP_ACC.2	FDP_ACF.1 Security attribute based access control	FDP_ACF.1
FDP_ACF.1	FDP_ACC.1 Subset access control FMT_MSA.3 Static attribute initialisation	FDP_ACC.2 FMT_MSA.3/AC
FDP_IFC.2/FW	FDP_IFF.1 Simple security attributes	FDP_IFF.1/FW
FDP_IFF.1/FW	FDP_IFC.1 Subset information flow control FMT_MSA.3 Static attribute initialisation	FDP_IFC.2/FW FMT_MSA.3/FW
FDP_IFC.2/MTR	FDP_IFF.1 Simple security attributes	FDP_IFF.1/MTR
FDP_IFF.1/MTR	FDP_IFC.1 Subset information flow control FMT_MSA.3 Static attribute initialisation	FDP_IFC.2/MTR FMT_MSA.3/MTR
FDP_RIP.2	-	-
FDP_SDI.2	-	-
FIA_ATD.1	-	-
FIA_AFL.1	FIA_UAU.1 Timing of authentication	FIA_UAU.2
FIA_UAU.2	FIA_UID.1 Timing of identification	FIA_UID.2
FIA_UAU.5	-	-
FIA_UAU.6	-	-
FIA_UID.2	-	-
FIA_USB.1	FIA_ATD.1 User attribute definition	FIA_ATD.1
FMT_MOF.1	FMT_SMR.1 Security roles FMT_SMF.1 Specification of Management Functions	FMT_SMR.1 FMT_SMF.1
FMT_SMF.1	-	-
FMT_SMR.1	FIA_UID.1 Timing of identification	FIA_UID.2
FMT_MSA.1/AC	[FDP_ACC.1 Subset access control, or FDP_IFC.1 Subset information flow control] FMT_SMR.1 Security roles FMT_SMF.1 Specification of Management Functions	FDP_ACC.2 FMT_SMR.1 FMT_SMF.1

SFR	Dependencies	Fulfilled by
FMT_MSA.3/AC	FMT_MSA.1 Management of security attributes FMT_SMR.1 Security roles	FMT_MSA.1/AC FMT_SMR.1
FMT_MSA.1/FW	[FDP_ACC.1 Subset access control, or FDP_IFC.1 Subset information flow control] FMT_SMR.1 Security roles FMT_SMF.1 Specification of Management Functions	FDP_IFC.2/FW FMT_SMR.1 FMT_SMF.1
FMT_MSA.3/FW	FMT_MSA.1 Management of security attributes FMT_SMR.1 Security roles	FMT_MSA.1/FW FMT_SMR.1
FMT_MSA.1/MTR	[FDP_ACC.1 Subset access control, or FDP_IFC.1 Subset information flow control] FMT_SMR.1 Security roles FMT_SMF.1 Specification of Management Functions	FDP_IFC.2/MTR FMT_SMR.1 FMT_SMF.1
FMT_MSA.3/MTR	FMT_MSA.1 Management of security attributes FMT_SMR.1 Security roles	FMT_MSA.1/MTR FMT_SMR.1
FPR_CON.1	-	-
FPR_PSE.1	-	-
FPT_FLS.1	-	-
FPT_RPL.1	-	-
FPT_STM.1	-	-
FPT_TST.1	-	-
FPT_PHP.1	-	-
FTP_ITC.1/WAN	-	-
FTP_ITC.1/MTR	-	-
FTP_ITC.1/USR	-	-

Table 6.12: SFR Dependencies

### 1176 6.12.1.3 Justification for missing dependencies

1177 The hash algorithm as defined in [FCS\\_COP.1/HASH](#) does not need any key material. As such the  
1178 dependency to an import or generation of key material is omitted for this SFR.

1179 The key material as defined in [FCS\\_COP.1/MEM](#) will be generated and stored into the security module  
1180 while the integration phase of production of the TOE. There is no dependency to SFR [FCS\\_CKM.1/CMS](#).

### 1181 6.12.2 Security Assurance Requirements rationale

1182 The decision on the assurance level has been mainly driven by the assumed attack potential. As outlined  
1183 in the previous chapters of this Security Target it is assumed that – at least from the WAN side – a high  
1184 attack potential is posed against the security functions of the TOE. This leads to the use of [AVA\\_VAN.5](#)  
1185 (Resistance against high attack potential).

1186 In order to keep evaluations according to this Security Target commercially feasible EAL 4 has been chosen  
1187 as assurance level as this is the lowest level that provides the prerequisites for the use of [AVA\\_VAN.5](#).

1188 Eventually, the augmentation by ALC\_FLR.2 has been chosen to emphasize the importance of a structured  
1189 process for flaw remediation at the developers side, specifically for such a new technology.

#### 1190 **6.12.2.1 Dependencies of assurance components**

1191 The dependencies of the assurance requirements taken from EAL 4 are fulfilled automatically. The  
1192 augmentation by AVA\_VAN.5 and ALC\_FLR.2 does not introduce additional assurance components that  
1193 are not contained in EAL 4.

## 7. TOE Summary Specification

### 7.1 SFAU: Audit

The TOE maintains three kinds of log:

- System Log
- Consumer Log
- Calibration Log

The purpose of the **System Log** is to inform the Gateway Administrator and the Service Technician about the system status of Smart Meter Gateway. Therefore the TOE records within this log all system relevant events as listed in [Table 6.3 \(FAU\\_GEN.1.1/SYS\)](#). No privacy relevant information (e.g. Meter Data) are stored within the System Log. Only the authorized Gateway Administrator using IF\_GW\_WAN and authorized Service Technicians via IF\_GW\_SRV are able to read this log file ([FAU\\_SAR.1/SYS](#)).

To indicate any potential security violations the TOE monitors the audited events ([FAU\\_SAA.1/SYS](#)). The TOE detects a potential security violation, if at least one of the following events occur:

- a defined number of blocking of IF\_GW\_CON
- a process restarted
- a defined number of incorrect wake-up calls received
- a defined number of detected telegram replay for each interface

Upon detection of a potential security violation the TOE generates a log entry within the System Log and informs the Gateway Administrator via the communication scenario “ADMIN-SERVICE” as described in [\[TR 03109-1\]](#), chapter 3.2.3.2 ([FAU\\_ARP.1/SYS](#)). Therefore a TLS channel between the Gateway and the Gateway Administrator must be in place. The TOE sends a web service request containing CMS-data to the Gateway Administrator. The Gateway Administrator processes the request and if the operation was performed successfully, sends web service request-code OK (including CMS-data, if applicable) to the Gateway. Otherwise the Gateway Administrator sends a web service response that contains the corresponding error code and if applicable CMS-data to the Gateway. To transmit the web service requests and responses the TOE uses HTTP/1.1 in accordance to [\[RFC 2616\]](#).

The TOE ensures that a sufficient amount of storage space is available for the System Log. The time based storage depth (commissioning time) of the audit trail can be configured by the Gateway Administrator using IF\_GW\_WAN (cf. [section 7.5](#)) within a predefined range of days. This range ensures that a minimum of 31 days (one month) of logged entries is always available ([FAU\\_STG.2](#)). If the difference of the timestamps of stored log entries exceeds the configured commissioning time the TOE deletes the outdated log entries.

The TOE informs the Gateway Administrator and creates a log entry within the System Log after every elapsed commissioning time interval ([FAU\\_STG.4/SYS](#)).

If the audit storage space used for the System Log exceeds a predefined logical limit the TOE informs the Gateway Administrator and creates a log entry within the System Log.

1230 Please note that nobody is able to delete or modify the events that are recorded within the System Log  
1231 ([FAU\\_STG.2](#)).

1232

1233 The **Consumer Log** informs authorized Consumers about all information flows to the WAN, available  
1234 Processing Profiles, billing relevant and other Meter Data. Therefor the TOE tracks all events as listed  
1235 in [Table 6.5 \(FAU\\_GEN.1.1/CON\)](#). Only authorized Consumer via IF\_GW\_CON have the possibility  
1236 to read all information from the Consumer Log related to them ([FAU\\_SAR.1/CON](#)). Especially even  
1237 the Gateway Administrator is not allowed to read the Consumer Log ([FDP\\_ACF.1.4](#)). To provide the  
1238 information to authorized Consumers the TOE serves static HTML webpages to a client in the HAN  
1239 network.

1240 The TOE ensures that a sufficient amount of storage space is available for the Consumer Log. The  
1241 time based storage depth (commissioning time) of the audit trail can be configured by the Gateway  
1242 Administrator using IF\_GW\_WAN (cf. [section 7.5](#)) within a predefined range of days. This range ensures  
1243 that a minimum of 465 days (15 months x 31 days) of logged entries is always available ([FAU\\_STG.2](#)).  
1244 If the difference of the timestamps of stored log entries exceeds the configured commissioning time  
1245 the TOE deletes the outdated log data. The TOE informs the Gateway Administrator and creates a  
1246 log entry within the corresponding Consumer Log after every elapsed commissioning time interval  
1247 ([FAU\\_STG.4/CON](#)).

1248 If the audit storage space used for the Consumer Log exceeds a predefined logical limit the TOE informs  
1249 the Gateway Administrator and creates a log entry within the System Log.

1250 Please note that nobody is able to delete or modify the events that are recorded within the Consumer Log  
1251 ([FAU\\_STG.2](#)).

1252

1253 Within the **Calibration Log** only calibration relevant information as listed in [Table 6.6](#) is stored  
1254 ([FAU\\_GEN.1/CAL](#)).

1255 Only the authorized Gateway Administrator via IF\_GW\_WAN is able to read this log file, but the TSF  
1256 allow no deletions or modifications of the stored audit events ([FAU\\_SAR.1/CAL](#), [FAU\\_STG.2](#)). If the  
1257 audit storage space used for the Calibration Log exceeds a predefined logical limit the TOE informs the  
1258 Gateway Administrator and creates a log entry within the System Log. In case the storage space used for  
1259 all logs is full, the TOE stops operation and enters a secure state ([FAU\\_STG.4/CAL](#)).

1260 To ensure that the auditable events listed above are available over the lifetime of the TOE, the storage  
1261 space reserved for the Calibration Log will be sufficient for at least 8 years of operation. The calculation  
1262 of the storage space is based on an assumption of expected events per day.

1263 Within all logs each log entry contains the information as listed in [Table 6.4 \(FAU\\_GEN.1.2/SYS,](#)  
1264 [FAU\\_GEN.1.2/CON, FAU\\_GEN.1.2/CAL, FAU\\_GEN.2\)](#).

## 1265 7.2 SF.CR: Cryptography

1266 All connections between the TOE and external entities in WAN, HAN or LMN shall be cryptographically  
1267 protected. Hence the TOE allows only TLS 1.2 protected connections according to [\[RFC 5246\]](#) between the  
1268 TOE and entities in the WAN or HAN ([FTP\\_ITC.1/WAN, FTP\\_ITC.1/USR](#)). Therefore in accordance  
1269 to [\[RFC 5289\]](#), [\[RFC 5246\]](#), [\[RFC 2104\]](#), [\[NIST SP800-38A\]](#), [\[NIST SP800-38D\]](#), [\[FIPS 180-4\]](#) and  
1270 [\[FIPS 197\]](#), the TOE implements the following cipher suites ([FCS\\_COP.1/TLS](#)):

- 1271 • TLS\_ECDHE\_ECDSA\_WITH\_AES\_128\_CBC\_SHA256,
- 1272 • TLS\_ECDHE\_ECDSA\_WITH\_AES\_256\_CBC\_SHA384,
- 1273 • TLS\_ECDHE\_ECDSA\_WITH\_AES\_128\_GCM\_SHA256, and



- 1274
- TLS\_ECDHE\_ECDSA\_WITH\_AES\_256\_GCM\_SHA384.

1275 No other cipher suites are supported by the TOE. The corresponding key is generated using the services of  
1276 the Security Module. The TOE itself does only implement a pseudorandom function (PRF) in accordance  
1277 to [RFC 5289] and [RFC 5246] to generate the key from the master secret (**FCS\_CKM.1/TLS**). The key  
1278 size and the hash algorithm used by the PRF depend on the chosen cipher suite and are implemented  
1279 according to [FIPS 180-4] and [RFC 2104]. As elliptical curves the TOE supports the following:

- 1280
- NIST P-256 (secp256r1) in accordance to [RFC 5114],
  - 1281 • NIST P-384 (secp384r1) in accordance to [RFC 5114],
  - 1282 • BrainpoolP256r1 in accordance to [RFC 5639],
  - 1283 • BrainpoolP384r1 in accordance to [RFC 5639],
  - 1284 • BrainpoolP512r1 in accordance to [RFC 5639].

1285 In case that a bidirectional communication is supported by a Meter in LMN the TOE shall use the TLS pro-  
1286 tocol as described above to protect the communication between the TOE and the Meter (**FTP\_ITC.1/MTR**).  
1287 The usage of the TLS protocol implicitly enforces the authenticity, integrity and confidentiality of the  
1288 Meter Data (**FDP\_IFF.1.5/MTR**). If only an unidirectional communication to the Meter is possible, the  
1289 TOE is not able to establish a TLS channel. Thus the TOE supports the following symmetric cryptographic  
1290 algorithm (**FCS\_COP.1/MTR**):

- 1291
- AES-CBC with 128 bit key for encryption and decryption in accordance to [FIPS 197] and [NIST  
1292 SP800-38A]
  - 1293 • AES-CMAC with 128 bit key for integrity protection in accordance to [RFC 4493]

1294 This method enforces that the TOE and the corresponding Meter have a common symmetric 128 bit key.  
1295 Since each data exchange between the Meter and the Gateway must be encrypted and MAC-protected, the  
1296 TOE derives the keys  $k_{Enc}$  for encryption and  $k_{MAC}$  for MAC-Protection before any use of a new data set.  
1297 Therefore the TOE supports the key generation algorithm AES-CMAC for 128bit keys in accordance to  
1298 [FIPS 197] and [RFC 4493] (**FCS\_CKM.1/MTR**).

1299 Please note that a symmetric cryptographic communication protection between Meters and TOE will only  
1300 be established in two cases:

- 1301
- A wireless, unidirectional connection between the Meter and the TOE is in place.
  - 1302 • For the first messages of the pairing process (SYM messages) between a wired connected Meter  
1303 and the TOE.

1304 However, a logically separated communication channel between the TOE and the Meter is provided  
1305 regardless of whether TLS 1.2 or the symmetric cryptographic algorithm is used (**FTP\_ITC.1/MTR**).

1306 Since Meter Data intended for authorized External Entities sometimes are transferred from the Gateway  
1307 via a third party, e.g. Gateway Administrator, the content data is always encrypted, MAC-protected and  
1308 signed for the corresponding external entity. For the encryption and MAC-protection of the Meter Data  
1309 the TOE implements the following symmetric cryptographic algorithms (**FCS\_COP.1/CMS**):

- 1310
- id-aes128-gcm in accordance to [FIPS 197], [RFC 5084], [NIST SP800-38D],

- 1311 • id-aes-CBC-CMAC-128 in accordance to [FIPS 197], [RFC 4493], [NIST SP800-38A],

1312 The randomly generated and encrypted keys for the encryption and MAC protection of the transmitted  
1313 Meter Data are included in the CMS Container that is sent to the authorized External Entity. Thereby the  
1314 TOE performs the key encryption via the following encryption algorithms in accordance to [RFC 3394]:

- 1315 • id-aes128-wrap,

1316 The key needed to perform the key encryption using the algorithms above is derived by the TOE using  
1317 ECKA-EG with X9.63 Key Derivation Function according to [TR 03111] (FCS\_CKM.1/CMS). Therefor  
1318 the TOE uses the hash function SHA-256 (FCS\_COP.1/HASH) according to [FIPS 180-4].

1319 To provide the authorized External Entity with the capability to verify the origin of the received Meter Data  
1320 the Gateway signs the encrypted and MAC-protected data using ECDSA in accordance to [TR 03111]  
1321 with the hash function SHA-256 and the curve BrainpoolP256r1 according to [RFC 5114] (FCO\_NRO.2,  
1322 FCS\_COP.1/HASH). Please note that the actual signature generation is performed by the Security  
1323 Module.

1324 Further the TOE encrypts its local TSF and user data while it is stored in a persistent memory using the  
1325 symmetric cryptographic algorithm AES-CBC according to [FIPS 197] and [NIST SP800-38A] with a  
1326 128 bit key (FCS\_COP.1/MEM). This key is generated using the random number generation mechanism  
1327 of the Security Module. It is protected and stored permanently inside the Security Module.

1328 All ephemeral cryptographic keys used for TLS or symmetric AES encryption are destroyed using the  
1329 method “zeroization” in accordance to [FIPS 140-2]. Therefor the TOE overrides the RAM area where  
1330 those keys are stored with zeros when they are no longer needed. Please note that this RAM area and the  
1331 Security Module are the only places where ephemeral cryptographic keys are stored (FCS\_CKM.4).

1332 The keys used for symmetric cryptography used for Meter communication that are stored permanently  
1333 within the SMGW are protected against back-reading. Hence it is ensured that nobody is able to read the  
1334 symmetric keys used for encryption (FDP\_ACF.1.4).

### 1335 7.3 SE.UD: User Data Protection

1336 The TOE is attached to three separated networks HAN, WAN and LMN. The interfaces to the different  
1337 networks are physically separated.

1338 This TSF controls the access of all external entities in WAN, HAN and LMN to any information that is  
1339 sent to, from or via the TOE or that is stored within the TOE. Therefor the TOE enforces two Information  
1340 Flow Control Policies (FDP\_IFC.2/FW, FDP\_IFE.1/FW, FDP\_IFC.2/MTR, FDP\_IFE.1/MTR):

- 1341 • **Firewall SFP**

1342 Defines the rules concerning the information flow between the different networks.

- 1343 • **Meter SFP**

1344 Defines the handling of Meter Data by the TOE.

1345 and an Access Control Policy (FDP\_ACC.2, FDP\_ACF.1):

- 1346 • **Gateway SFP**

1347 Defines the access control policy for external entities in WAN, HAN and LMN on information  
1348 maintained by the TOE.

### 1349 Gateway SFP

1350 This TSF defines the access rules for external entities based on the different roles as defined in  
1351 [FMT\\_SMR.1](#).

1352 The TOE communicates with Meters only via the interface IF\_GW\_MTR ([FDP\\_ACF.1.2](#)). This interface  
1353 is implemented as two different interfaces. One wired UART interfaces to the wM-Bus wireless module.  
1354 On this interface the application protocol M-Bus EN 13757-3 according to [[DIN EN 13757-3](#)] and a  
1355 proprietary configuration protocol is used. The wM-Bus wireless module is not part of the TOE. The  
1356 wireless interface at the output side of this module is implemented as a wM-Bus interface in accordance  
1357 to [[DIN EN 13757-4](#)].

1358 The second wired interface is implemented as an TIA-485 interface in accordance to [[TIA 485](#)]. As  
1359 application protocols the TOE supports OBIS IEC 62056-6-1 in accordance to [[IEC 62056-6-1](#)] and  
1360 DLMS/COSEM IEC 65056-6-2 in accordance to [[IEC 62056-6-2](#)]. The encryption of the communication  
1361 via the interface IF\_GW\_MTR is described in [section 7.2](#).

1362 To communicate with authorized External Entities in the HAN the TOE implements three logical interfaces:

- 1363 • IF\_GW\_CLS,
- 1364 • IF\_GW\_CON,
- 1365 • IF\_GW\_SRV.

1366 User Data are provided to Consumers only via the interface IF\_GW\_CON and Service Technicians are  
1367 only able to access the TOE via IF\_GW\_SRV ([FDP\\_ACF.1.2](#)). Thereby the Service Technician is not  
1368 able to read, modify or delete any TSF Data except for reading the System Log. To communicate with  
1369 CLS devices the TOE uses only the interface IF\_GW\_CLS. The physical interface to HAN is an ethernet  
1370 interface in accordance to [[IEEE 802.3](#)] and supports IPv4 as well as IPv6. The communication between  
1371 TOE and authorized External Entities in the HAN is secured via TLS 1.2 as described in [section 7.2](#).

1372 The authorized Gateway Administrator is only able to communicate with the TOE via the interface  
1373 IF\_GW\_WAN ([FDP\\_ACF.1.2](#)). The communication is performed via RESTful COSEM web services  
1374 and HTTP/1.1 according to [[RFC 2616](#)], whereby the data modeling is performed via COSEM Interface-  
1375 classes according to [[IEC 62056-6-2](#)] and OBIS Codes in accordance to [[IEC 62056-6-1](#)] and [[DIN EN](#)  
1376 [13757-1](#)]. The connection is protected via TLS 1.2 as described in [section 7.2](#).

### 1377 Firewall SFP

1378 The Firewall SFP requires that only the TOE may establish a connection to an external entity in the WAN  
1379 ([FDP\\_IFF.1.2/FW](#)). Therefore no connection attempts from any entities in the WAN are accepted by  
1380 the TOE, except of a wake-up call performed by an authorized Gateway Administrator. Therefore the  
1381 Gateway Administrator prepares a wake-up packet corresponding to the structure given in [[TR 03109-1](#)],  
1382 chapter 9. Subsequently the Gateway Administrator sends this UDP packet via a preconfigured channel  
1383 to the Gateway. The TOE receives the wake-up packet and performs checks as defined in [[TR 03109-1](#),  
1384 Chapter 3.2.5.4] whether the packet is trustworthy.

1385 Further the Firewall SFP enforces that an information flow between different networks and the TOE is only  
1386 allowed if the rules as described in [FDP\\_IFF.1.3/FW](#) are fulfilled. Otherwise the connection establishment  
1387 will be denied.

### 1388 Meter SFP

1389 The Meter SFP enforces that Meter Data are provided to authorized External Entities only as defined  
1390 within corresponding Processing Profiles ([FDP\\_IFF.1.3/MTR](#)). It is assumed that the Processing Profiles  
1391 are correct and trustworthy. Nevertheless the TOE provides a set of tests as required in [[TR 03109-1](#)],  
1392 chapter 4.4, before a Processing Profile can be activated.

1393 In addition this TSF monitors user data stored within the TOE for integrity errors by checking the hash  
1394 value (SHA-256 ([FCS\\_COP.1/HASH](#))) and the signature, if applicable. Thereby the signature is verified  
1395 using the services of the Security Module. Upon the detection of a data integrity error, the TOE always  
1396 informs the Gateway Administrator ([FDP\\_SDI.2](#)).  
1397 Further this TSF ensures that no residual information can be accessed by an attacker since the TOE frees  
1398 allocated resources directly after use ([FDP\\_RIP.2](#)).

## 1399 **7.4 SFIA: Identification & Authentication**

1400 Each user who communicates with the TOE or receives data from the TOE shall be identified and  
1401 authenticated before any action on behalf of that user, including receiving of data sent from the Gate-  
1402 way ([FIA\\_UID.2](#), [FIA\\_UAU.2](#)). Therefor the TOE maintains the following attributes for each user  
1403 ([FIA\\_ATD.1](#)):

- 1404 • User Identity,
- 1405 • Status of Identity (Authenticated or not),
- 1406 • Connecting network (WAN, HAN or LMN),
- 1407 • Role membership,

1408 Within the process of initial association or changing of these security attributes for any user, the TOE  
1409 verifies that the following rules are applied:

- 1410 • the attribute role membership shall correspond to only one of the following values ([FMT\\_SMR.1](#)):
  - 1411 – authorized Consumer,
  - 1412 – authorized Gateway Administrator,
  - 1413 – authorized Service Technician,
  - 1414 – authorized External Entity,
- 1415 • if the user is an authorized Gateway Administrator the security attribute connection network shall  
1416 only be WAN,
- 1417 • if the user is an authorized Consumer the security attribute connection network shall only be HAN,
- 1418 • if the user is an authorized Service Technician the security attribute connection network shall only  
1419 be HAN,

1420 Within the initial association of the security attributes the status of identity is set to "not authenticated"  
1421 ([FIA\\_USB.1](#)).

1422 Further the TOE prevents that more than one user of the role Gateway Administrator becomes active. Two  
1423 active Gateway Administrators are allowed temporary only for switching from one Gateway Administrator  
1424 to another. The maximum time interval allowed for this process are 14 days.

1425 The connection network may only be set to a value from a combination as defined in [FDP\\_ACF.1](#)  
1426 depending on the role membership of the user of the connection.

1427 According to the attribute role membership the TOE determines the authentication mechanism that shall  
1428 be used. Therefor the TOE provides the following authentication mechanisms

- 1429 • authentication via certificates at the IF\_GW\_MTR interface,
- 1430 • TLS-authentication via certificates at the IF\_GW\_WAN interface,
- 1431 • TLS-authentication via HAN-certificates at the IF\_GW\_CON interface,
- 1432 • authentication via username and password at the IF\_GW\_CON interface,
- 1433 • TLS-authentication via HAN-certificates at the IF\_GW\_SRV interface,
- 1434 • authentication via HAN-certificates at the IF\_GW\_CLS interface,
- 1435 • verification via a commands' signature.

1436 The authentication of the Gateway Administrator and all external entities at the IF\_GW\_WAN interface  
1437 shall only be performed via certificates that corresponds to the Smart Metering Public Key Infrastructure  
1438 according to [TR 03109-4]. In addition each Wake-Up command from a Gateway Administrator shall be  
1439 authenticated by verification of the commands' signature.

1440 In case of bidirectional communication between Meter and Gateway at the IF\_GW\_MTR interface the  
1441 authentication of the Meter shall be performed via X.509-certificates that correspond to [TR 03109-1],  
1442 chapter 10.

1443 Depending on the configuration by the Gateway Administrator it is allowed for Consumers at the  
1444 IF\_GW\_CON interface to authenticate via certificates or via username and password. In former case the  
1445 certificates shall correspond to [TR 03109-1], chapter 11. Those certificates are also used to authenticate  
1446 Service Technicians at the IF\_GW\_SRV interface and CLS at the IF\_GW\_CLS interface. In case of  
1447 Consumer authentication via username and password the required information is transmitted to the TOE  
1448 via HTTP-Digest-Access-Authentication (FIA\_UAU.5).

1449 For the authentication mechanism via username and password the Gateway Administrator must set the  
1450 threshold for unsuccessful authentication attempts<sup>78</sup>. Thereby the threshold shall correspond to an integer  
1451 between 3 and 10 unsuccessful authentication attempts. The default value is set to 5. If the defined number  
1452 of unsuccessful authentication attempts is met, the TSF blocks IF\_GW\_CON for 5 minutes and creates a  
1453 System Log entry<sup>79</sup> (FIA\_AFL.1). After a successful authentication of a Consumer at IF\_GW\_CON the  
1454 counter of unsuccessful authentication attempts is set to zero.

1455 If authenticated local users in the HAN are inactive for more than 10 minutes, a re-authentication according  
1456 to the authentication rules described above is required. Otherwise the next communication attempt will  
1457 fail. Furthermore an established TLS channel from the TOE to the WAN shall be disconnected after 48  
1458 hours after TLS channel establishment and to the LMN after 5 MB of transmitted data (FIA\_UAU.6).

## 1459 7.5 SF.SM: Security Management

1460 The TOE offers a set of functions to manage and configure the TSF (FMT\_SMF.1). Those security  
1461 functions comprise

- 1462 • Management of devices in LMN and HAN  
1463 The TOE provides only the authorized Gateway Administrator with the capability to register  
1464 the attached devices (e.g. Meters and CLS) and to match them to corresponding Consumers  
1465 (FMT\_SMR.1).

<sup>78</sup> See section 7.5 for more details on the management functionality of the TOE

<sup>79</sup> See section 7.1 for more details.

- 1466 • Client management  
 1467 The TOE provides only the authorized Gateway Administrator with the capability to create, alter  
 1468 and delete TOE users. Further only the authorized Gateway Administrator is able to create and  
 1469 delete certificates and User ID and Password for those users (**FMT\_SMR.1**).
- 1470 • Maintenance of Processing Profiles  
 1471 The TOE provides only the authorized Gateway Administrator with the capability to insert, activate  
 1472 and delete Processing Profiles.
- 1473 • Key- and Certificate-Management  
 1474 The TOE provides only the authorized Gateway Administrator with the capability to insert, activate,  
 1475 deactivate and delete certificates for Meters, CLS and authorized External Entities.
- 1476 • Firmware Update  
 1477 The TOE provides only the authorized Gateway Administrator with the capability to insert, verify  
 1478 and activate new firmware. The TOE supports only one kind of update.
- 1479 – Full update  
 1480 Within a full update the TOE updates all updateable software parts.
- 1481 Before an activation of the update, the TOE checks the version number of the new firmware and  
 1482 verifies the integrity of the firmware update. This is done by verifying the signature using the  
 1483 services of the Security Module. Only if the firmware version is higher than the installed firmware  
 1484 version and the integrity is ensured, the TOE activates the firmware update (**FMT\_MOE.1**). After a  
 1485 necessary reboot the TOE starts the activated new firmware.
- 1486 • wake-up configuration  
 1487 The TOE provides only the authorized Gateway Administrator with the capability to alter the end  
 1488 point which is used by the TOE to establish a TLS channel in case of successful wake-up call.
- 1489 • Monitoring  
 1490 The TOE provides only the authorized Gateway Administrator and authorized Service Technicians  
 1491 with the capability to read the System Log. Further only the Gateway Administrator is allowed to  
 1492 read the Calibration Log.
- 1493 • Restarting the TOE  
 1494 The TOE allows only the authorized Gateway Administrator to trigger a restart of the TOE. This  
 1495 function is not something like a factory reset and has no impact on stored data or the TOE  
 1496 configuration.
- 1497 • Audit Log configuration  
 1498 The TOE provides only the authorized Gateway Administrator with the capability to configure the  
 1499 size of the audit trail for the System Log and the Consumer Log. Thereby it is ensured that the  
 1500 storage space does not exceeds a defined minimum number of logged days for each of those logs.  
 1501 If the audit trails contain the defined numbers of logged days, the TOE starts to overwrite the oldest  
 1502 log entries.
- 1503 Especially all management functions as listed in [Table 6.8](#) and the ability to query, modify and delete  
 1504 the security attributes for the access control policy Gateway access SFP and the information control  
 1505 policies Firewall SFP and Meter SFP is restricted to the authorized Gateway Administrator and only acces-  
 1506 sible via the Interface IF\_GW\_WAN (**FMT\_MSA.1/AC**, **FMT\_MSA.1/FW** and **FMT\_MSA.1/MTR**).  
 1507 Thereby the restricted default values for these policies can not be specified by any user (**FMT\_MSA.3/AC**,

1508 [FMT\\_MSA.3/FW](#) and [FMT\\_MSA.3/MTR](#)).

1509

1510 All management functions performed by the Gateway Administrator via the IF\_GW\_WAN interface are  
1511 performed using the “MANAGEMENT” scenario as described in [[TR 03109-1](#)], chapter 3.2.3.1. Within  
1512 this communication scenario a TLS channel between the Gateway and the Gateway Administrator must  
1513 be in place. To perform a management function the Gateway Administrator sends a web service request  
1514 that contains CMS-data, if applicable, to the Gateway. The Gateway receives the web service request  
1515 and performs the requested operation. If the action was successful the Gateway sends the web service  
1516 response code “OK” and, if applicable, CMS-data to the Gateway Administrator. Otherwise the TOE  
1517 sends a web service response that contains the corresponding error code and if applicable CMS-data. To  
1518 transmit the web service requests and responses the TOE uses HTTP/1.1 in accordance to [[RFC 2616](#)].

1519

1520 The Service Technician is allowed to read the software version number of the TOE and to read the current  
1521 time of the TOE ([FMT\\_MOE.1](#)). The Service Technician is also allowed to start the selftest and to  
1522 read the System Log including the result of the selftest. Those functions are performed by the Service  
1523 Technician via the Interface IF\_GW\_SRV.

1524

1525 The only management functions that are accessible by Consumers via the interface IF\_GW\_CON are to  
1526 advertise the software version number and the current time of the TOE ([FMT\\_MOE.1](#)).

1527 Furthermore the TOE provides reliable time stamps. Therefor the internal system time of the TOE is  
1528 synchronized according to [[RFC 5905](#)] within an interval between 1 minute and 11.6 hours (41653 sec-  
1529 onds) with a reliable external time source provided by the Gateway Administrator ([FDP\\_IFF.1.3/MTR](#)).  
1530 Therefor the TOE supports the communication mechanisms **NTP over TLS** transmitting NTP-Packets  
1531 using a TLS 1.2 channel according to [[TR 03109-1](#)] chapter 3.2.6

1532 Before the synchronization is applied the TOE checks whether the deviation between the system time of  
1533 the TOE and the external time source amounts to 3% of the shortest measuring period supported by the  
1534 TOE and allowed for billing by the national calibration authority. If the deviation time is too large the  
1535 synchronization will fail. In this case the TOE will tag all following Meter Data, create a log entry within  
1536 the Calibration Log and inform the Gateway Administrator. Furthermore the TOE will stop the operation  
1537 and enters a secure state ([FDP\\_IFF.1.3/MTR](#)). Please refer to [section 7.7](#) for more details on the secure  
1538 state.

1539 If the Round Trip Time (RTT) exceeds the amount of 3% of the shortest measuring period supported  
1540 by the TOE and allowed for billing by the national calibration authority the synchronization will fail.  
1541 In this case the TOE tries to synchronize the time in a short time interval to overcome mobile network  
1542 characteristics.

1543 In addition the TOE contains a Real Time Clock (RTC) that shall be adjusted using the internal system  
1544 time of the TOE, if the internal system time corresponds to the reliable time source. The RTC can be used  
1545 to synchronize the internal system time of the TOE after a power cut if the deviation does not exceed 3%  
1546 of the shortest measuring period supported by the TOE ([FPT\\_STM.1](#)).

## 1547 **7.6 SF.PR: Privacy**

1548 This TSF assures the privacy of the Consumer by ensuring that authorized External Entities can only obtain  
1549 data that is absolutely relevant for billing processes and the secure operation of the grid ([FPR\\_PSE.1.1](#)).  
1550 Therefor the TOE pseudonymizes the Meter ID and the Consumer ID and ensures that no relation between  
1551 not billing-relevant data and the identity of the Consumer is possible. The Processing Profile determines  
1552 the data that shall be sent to defined authorized External Entities at defined points in time. For that reason

1553 each Processing Profile states whether the not billing-relevant data shall be pseudonymized and which  
1554 pseudonym shall be used<sup>80</sup> (**FPR\_PSE.1.2**).

1555 Those Processing Profiles are provided to the Gateway by the Gateway Administrator using the Manage-  
1556 ment functionality of the TOE<sup>81</sup>. Each time when a Processing Profile is updated or a new one added, the  
1557 TOE checks whether it contains a pseudonym.

1558 If Meter Data shall be provided pseudonymized to an authorized External Entity the TOE removes the  
1559 unique Meter ID, Consumer ID and all other possibly personally identifiable information (PII) and replaces  
1560 the IDs or PII by the pseudonym given within the Processing Profile. Thereby the TOE determines the  
1561 alias for a user and verifies that it conforms to the alias given in the Processing Profile (**FPR\_PSE.1.3**).  
1562 Subsequently the data are encrypted, signed and send out to the authorized External Entity as described  
1563 within the Processing Profile<sup>82</sup>.

1564 Since the Consumer and Meter IDs are pseudonymised the authorized External Entity has no possibility to  
1565 relate the received data directly to any Consumer (**FPR\_PSE.1.1**). Since the TLS channel is authenticated  
1566 on both sides and the transferred data ist signed and encrypted, the Gateway sending the data is always  
1567 known to the authorized External Entity.

1568 Further the TOE provides the possibility to conceal the frequency, load and size of Meter Data sent to  
1569 authorized External Entities to ensure that no information of Consumer behavior can be obtained by an  
1570 analysis of the sending process (**FPR\_CON.1.1**). If the last packet was sent more than 24 hours ago, the  
1571 TOE sends a packet to the authorized External Entity containing irrelevant data at random points in time  
1572 between the normal data transfers (**FPR\_CON.1.2**).

1573 Further the TOE ensures that no information of Consumer behavior can be obtained by the analysis of the  
1574 Meter Data size or load sent to authorized External Entities. This is carried out by using a fixed block size  
1575 (padding) for the transmitted data without correlation to the consumption of the Consumer. The load is  
1576 protected against analysis by using symmetric encryption. Every time a new CMS data container is send,  
1577 a new encryption key is used. Also by the analysis of the load of several CMS data container it won't be  
1578 possible to extract any personally identifiable information.

## 1579 **7.7 SE.SP: Self-protection**

1580 The TOE provides a set of self-protection mechanisms that in particular comprises the self test of the  
1581 TOE, detection of replay and physical attacks and the failure with preservation of a secure state.

1582 Within the self test functionality the TOE implements different tests which are used to define the system  
1583 health status (**FPT\_TST.1**). Those tests can be grouped in three categories:

- 1584 • periodically running tests,
- 1585 • tests running at start-up and
- 1586 • passive detection of tampering events based on log entries.

1587 The periodically running tests are also used to verify the system during the boot process. Those test are  
1588 performed in the background every 4 hours. The periodically running tests comprise:

- 1589 • signature verification of all application and operation system files,
- 1590 • checking for files not listed in the software suite description,

---

<sup>80</sup> According to the assumption A.ProcessProfile it is assumed that the Processing Profiles are trustworthy and correct.

<sup>81</sup> See [section 7.5](#) for more details on the Management functionality of the TOE.

<sup>82</sup> See [section 7.2](#) for more details on the encryption algorithm and process.



- 1591 • verification of all log, meter and configuration data and their signatures,
- 1592 • verification of the time by comparing the internal system time with the time provided by the NTP-  
1593 Server of the Gateway Administrator,
- 1594 • running the test routine of every software module of the TOE,
- 1595 • verification of HAN/WAN separation,
- 1596 • checking that HAN and WAN interfaces are not interchanged.

1597 In addition the TOE provides a set of mechanisms against replay attacks. Therefor the TOE ensures that  
1598 only TLS-protected connections are possible between the TOE and devices located in the WAN, HAN or  
1599 LMN (except for Meters where only a unidirectional communication is possible, cf. [section 7.2](#)). The  
1600 used TLS-protocol<sup>83</sup> protects the TOE against replay attacks. Further, to detect replay attacks from LMN  
1601 the TOE checks whether the transmission counter of the received data is monotonically increasing. In  
1602 case of wake-up calls the TOE verifies that the attached time stamp is not older than 30 seconds and  
1603 that this wake-up packet was not received before. Otherwise the packet will be dropped and ignored  
1604 (**FPT\_RPL.1**).

1605 Further this TSF provides different secure states of the TOE, that are used to prevent an attacker from  
1606 gaining information about the device configuration and the device itself.

1607 In the secure state the system shuts down all functions that have thrown critical errors, have been  
1608 compromised or cannot work properly because of system state.

1609 The TOE enters the secure state, if one of the following events occur (**FPT\_FLS.1**):

- 1610 • the deviation between the internal system time and the reliable time source is too large and exceeds  
1611 3% of the shortest measuring period supported by the TOE and allowed for billing by the national  
1612 calibration authority,
- 1613 • the system is unable to get a valid time within 36 hours,
- 1614 • the memory consumption of log and meter data storage has reached a critical limit,
- 1615 • the HAN interface is connected to the WAN, the HAN-WAN interfaces are not separate or have  
1616 been interchanged,
- 1617 • a critical and non-correctable error occurred in the boot process

1618 The TOE is protected by a secure boot mechanism using a trust chain from start-up to the TOE application.  
1619 A critical error in the boot process e.g. by missing boot components, integrity or authentication failures or  
1620 unexpected version numbers result in a special secure state terminating the TOE application.

1621 Within the others non-terminating secure states the TOE overrides functional requirements and parameters  
1622 set by the Gateway Administrator in accordance with the following table:

---

<sup>83</sup> For more information on the TLS-protocol refer to [section 7.2](#).

Function	Action take upon entering the secure state
<b>WAN connectivity</b>	
TLS Channels	All TLS channels will be terminated. All TLS channels will be deactivated except those used for connection to the Gateway Administrator
Wake-up call	No action taken.
<b>LMN connectivity</b>	
IF_GW_MTR	Will be disabled.
<b>HAN connectivity</b>	
CLS functionality	Will be disabled.
TLS Channels	All TLS channels will be terminated.
<b>SMGW Logsystem</b>	
Access to the Consumer Logs	No action taken.
Access to the System Log	No action taken.
Access to the Calibration Log	No action taken.
Application Management	All applications no longer needed will be shut down.

**Table 7.1: Actions performed entering and within the Secure State of the TOE**

1623 To return to normal operational mode, a complete reboot is required.

1624 In addition the TOE provides a detection mechanisms to determine whether physical tampering of the  
 1625 Gateway has occurred. Therefor a BSI TL-03415 certified seal is affixed at the Gateway in a way that it is  
 1626 not possible to open the casing of the Gateway without visible tampering the seal.

1627 Furthermore it is assured that no critical signals are attachable from outside the casing of the TOE  
 1628 ([FPT\\_PHP.1](#)).

## 1629 7.8 Rationale on TOE Specifications

	SF.AU	SF.CR	SF.UD	SF.IA	SF.SM	SF.PR	SF.SP
<b>FAU_ARP.1/SYS</b>	X						
<b>FAU_GEN.1/SYS</b>	X						
<b>FAU_SAA.1/SYS</b>	X						
<b>FAU_SAR.1/SYS</b>	X						
<b>FAU_STG.4/SYS</b>	X						
<b>FAU_GEN.1/CON</b>	X						
<b>FAU_SAR.1/CON</b>	X						

	SF.AU	SF.CR	SF.UD	SF.IA	SF.SM	SF.PR	SF.SP
FAU_STG.4/CON	X						
FAU_GEN.1/CAL	X						
FAU_SAR.1/CAL	X						
FAU_STG.4/CAL	X						
FAU_GEN.2	X						
FAU_STG.2	X						
FCO_NRO.2		X					
FCS_CKM.1/TLS		X					
FCS_COP.1/TLS		X					
FCS_CKM.1/CMS		X					
FCS_COP.1/CMS		X					
FCS_CKM.1/MTR		X					
FCS_COP.1/MTR		X					
FCS_CKM.4		X					
FCS_COP.1/HASH		X	X				
FCS_COP.1/MEM		X					
FDP_ACC.2			X				
FDP_ACF.1	X	X	X				
FDP_IFC.2/FW			X				
FDP_IFF.1/FW			X				
FDP_IFC.2/MTR			X				
FDP_IFF.1/MTR		X	X		X		
FDP_RIP.2			X				
FDP_SDI.2			X				
FIA_ATD.1				X			
FIA_AFL.1				X			
FIA_UAU.2				X			
FIA_UAU.5				X			
FIA_UAU.6				X			
FIA_UID.2				X			
FIA_USB.1				X			
FMT_MOF.1					X		
FMT_SME.1					X		
FMT_SMR.1			X	X	X		
FMT_MSA.1/AC					X		

	<b>SF.AU</b>	<b>SF.CR</b>	<b>SF.UD</b>	<b>SF.IA</b>	<b>SF.SM</b>	<b>SF.PR</b>	<b>SF.SP</b>
<b>FMT_MSA.3/AC</b>					X		
<b>FMT_MSA.1/FW</b>					X		
<b>FMT_MSA.3/FW</b>					X		
<b>FMT_MSA.1/MTR</b>					X		
<b>FMT_MSA.3/MTR</b>					X		
<b>FPR_CON.1</b>						X	
<b>FPR_PSE.1</b>						X	
<b>FPT_FLS.1</b>							X
<b>FPT_RPL.1</b>							X
<b>FPT_STM.1</b>					X		
<b>FPT_TST.1</b>							X
<b>FPT_PHP.1</b>							X
<b>FTP_ITC.1/WAN</b>		X					
<b>FTP_ITC.1/MTR</b>		X					
<b>FTP_ITC.1/USR</b>		X					

Table 7.2: Fulfillment of Security Requirements

## A. Mapping from English to German terms

English term	German term
billing-relevant	abrechnungsrelevant
CLS, Controllable Local System	dezentral steuerbare Verbraucher- oder Erzeugersysteme
Consumer	Anschlussnutzer Letztverbraucher (im verbrauchenden Sinne) u.U. auch Einspeiser
Consumption Data	Verbrauchsdaten
Gateway	Kommunikationseinheit
Grid	Netz (für Strom/Gas/Wasser)
Grid Status Data	Zustandsdaten des Versorgungsnetzes
LAN, Local Area Network	Lokales Netz (für Kommunikation)
LMN, Local Metrological Network	Lokales Messeinrichtungsnetz
Meter	Messeinrichtung (Teil eines Messsystems)
Processing Profiles	Konfigurationsprofile
Security Module	Sicherheitsmodul (z.B. eine Smart Card)
Service Provider	Diensteanbieter
Smart Meter Smart Metering System <sup>84</sup>	Intelligente, in ein Kommunikationsnetz eingebundene, elektronische Messeinrichtung (Messsystem)
TOE	EVG (Evaluierungsgegenstand)
WAN, Wide Area Network	Weitverkehrsnetz (für Kommunikation)

<sup>84</sup> Please note that the terms “Smart Meter” and “Smart Metering System” are used synonymously within this document

## B. Glossary

Term	Description
8p8c	8 position 8 contact connector
AES	Advanced Encryption Standard
API	Application Programming Interface
APN	Access Point Name
Authenticity	property that an entity is what it claims to be (according to [SD6])
Block Tariff	Tariff in which the charge is based on a series of different energy/volume rates applied to successive usage blocks of given size and supplied during a specified period. (according to [CEN])
CA	Certificate Authority or Certification Authority, an entity that issues digital certificates.
CEK	Customer Encryption Key, used for encryption of PPA and ISW.
CLS config (secondary asset)	See [ST, section 3.2]
CMS	Cryptographic Message Syntax
Confidentiality	the property that information is not made available or disclosed to unauthorised individuals, entities, or processes (according to [SD6])
Consumer	End user of electricity, gas, water or heat. (according to [CEN])
CPU	Central Processing Unit
CPU-SIG	CPU specific signature key, known to the SMGW manufacturer only and identical for all devices. The CPU-Sig Public Key means the same key as MPK.
CSS	Cascading Style Sheets
DHCP	Dynamic Host Configuration Protocol
DKE	Deutsche Kommission Elektrotechnik Elektronik Informationstechnik in DIN und VDE
DLMS	Device Language Message Specification (originally Distribution Line Message Specification)
DNS	Domain Name System
DTBS	Data To Be Signed
EAL	Evaluation Assurance Level
ECC	Elliptic Curve Cryptography
eFuse	Memory location that is one time programmable only. The term <i>OTP-Memory</i> is used for this functionality as well.
eMMC	embedded MultiMediaCard,

Term	Description
EMT	Externer Marktteilnehmer
Energy Service Provider	Organisation offering energy related services to the consumer (according to [CEN])
External entity	See [ST, section 3.1]
FAKRA D	50 ohm radio frequency interface (RFI) for road vehicles (50 Ohm RFI) acc. DIN 72594-1 and USCAR-18 ("FAchKReis Automobil")
FDT	Flattened Device Tree. Abstraction layer to make the Linux-kernel more hardware independent.
FIT-Image	Flattened Image Tree. Image format which consists on a tree structure with subimages and configurations.
Firmware update	See [ST, section 3.2]
FQDN	Fully qualified domain name. Ein vollständiger Domainname inklusive Toplevel- und Subdomains, sofern vorhanden.
Gateway Administrator (GWA)	See [ST, section 3.1]
Gateway config (secondary asset)	See [ST, section 3.2]
Gateway time	See [ST, section 3.2]
GID	Group ID. Gruppen ID einer Benutzergruppe im Linux-Rechtmanagement.
GPIO	General Purpose IO
GPRS	General Packet Radio Service
GSM	Global System for Mobile
HDLC	High-Level Data Link Control
HAN-Module	Optional module which is not part of the TOE, providing a 8p8c modular socket (RJ45) for HAN connections.
Home Area Network (HAN)	In-house LAN which interconnects domestic equipment and can be used for energy management purposes. (according to [CEN])
HREF-Anchor	HTML Anchor Tag using a "href"-attribute for setting a hyperlink.
HTML	Hypertext Markup Language
HTTP	HyperText Transfer Protocol
HTTPS	HyperText Transfer Protocol Secure
HUID	Herstellerübergreifende Identifikationsnummer des DKE
Integrity	property that sensitive data has not been modified or deleted in an unauthorised and undetected manner (according to [SD6])
IPC	Inter Process Communication
ISW	Initial Software. Part of the Secure Signed Image (SSI) and same as U-Boot-SPL.
IT-System	Computersystem

Term	Description
JSON	JavaScript Object Notation
KEK	Key Encryption Key, used for encryption of the CEK.
LAN	Local Area Network
LED	Light-emitting diode
Local attacker	See [ST, section 3.4]
LSM	Linux Security Modul
LTE	Long Term Evolution
MAC	Message Authentication Code
MB	Mega Byte
M-Bus	Meter-Bus
Meter	See [ST, section 1.4]
Meter config (secondary asset)	See [ST, section 3.2]
Meter Data	See [ST, section 3.2]
Meter Data Aggregator (MDA)	Entity which offers services to aggregate metering data by grid supply point on a contractual basis.  NOTE: The contract is with a supplier. The aggregate is of all that supplier's consumers connected to that particular grid supply point. The aggregate may include both metered data and data estimated by reference to standard load profiles (adopted from [CEN])
Meter Data Collector (MDC)	Entity which offers services on a contractual basis to collect metering data related to a supply and provide it in an agreed format to a data aggregator (that can also be the DNO).  NOTE: The contract is with a supplier or a pool. The collection may be carried out by manual or automatic means. ([CEN])
Meter Data Manage- ment System (MDMS)	System for validating, storing, processing and analyzing large quantities of Meter Data. ([CEN])
Metrological Area Net- work	In-house data communication network which interconnects metrolog- ical equipment (i.e. Meters).
MLO	The name "MLO" is a setpoint value for the first stage bootloader file (Minimal Bootloader) of the used processor system for the startup from memory devices.
MPK	Master Public Key used for Secure Boot process.
NTP	Network Time Protocol
NTPd	NTP daemon
OMS	Open Metering System
OS	Operating System



Term	Description
OSS	Open Source Software. Software that uses a GPL or similar license type.
OTP-Memory	Memory location that is one time programmable only. The term <i>eFuse</i> is used for this functionality as well.
PC	Protocol Converter
Personally Identifiable Information (PII)	Personally Identifiable Information refers to information that can be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual.
PIN	Personal Identification Number.
PKA	Public Keys Accelerator. Hardware unit for fast asymmetric public-key based decryption.
PKC	Public Keys Certificate. List containing public keys for Secure Boot. Structure defined by the CPU manufacturer.
PLMN	Public Land Mobile Network. Access to PLMN is achieved using radio communication and communications towers. Sometimes the name PLMN is used for the addition of Mobile Country Code (MCC) and Mobile Network Code (MNC) only.
PPA	Primary Protected Application. Application loaded by the ROM-Bootcode to extend the ROM-Code und to configure the hardware firewall.
PRNG	Pseudo Random Number Generator
Processing Profiles (Auswerteprofile)	Processing Profiles contain the necessary information to receive, process and send the metering data. The virtual container "Processing Profile" includes parts from the KAF HAN WAN-Profil, the KAF LMN-Profil and the TAF-Profil.
Pseudorandom function (PRF)	Function to generate the key for TLS from the master key
RAM	Random Access Memory
REST	Representational State Transfer
RFI	Radio frequency interface
RMII	Reduced Media Independent Interface
RNG	Random Number Generator
TIA-485	Standard defining the electrical characteristics of drivers and receivers for use in balanced digital multipoint systems, also known as RS-485 or EIA-485.
RTC	Real Time Clock
SAP	Service Access Point
Secure Boot	Manufacturer specific name of the secure initialisation (boot) feature.
Secure Signed Image (SSI)	Image containing the PPA, PKC and ISW.

Term	Description
Sensor	See: Meter
Service Technician	See [ST, section 3.1]
SFP	Security Functional Policy
SHA	Secure Hash Algorithm
SIM	Subscriber Identity Module
SLAAC	Stateless Address Autoconfiguration
SML	Smart Message Language
SMLplus	Smart Message Language plus. SML extension to support overhead reduced realtime readout of meterdata. ([SMLplus])
SMPF	Smart Metering Platform Framework
SOCKSv5	Socket Secure version 5, internet protocol that routes network packets between a client and server through a proxy server.
SPL	Secondary Programm Loader. U-Boot based first stage bootloader. Fullname U-Boot-SPL.
Tariff	Price structure (normally comprising a set of one or more rates of charge) applied to the consumption or production of a product or service provided to a consumer. (according to [CEN])
TCP/IP	Transmission Control Protocol / Internet Protocol
TLS	Transport Layer Security protocol according to RFC5246
TOC	Table of Contents
TOE	Target of Evaluation – set of software, firmware and/or hardware possibly accompanied by guidance
TPM	Trusted Platform Module
TSF	TOE security functionality
UART	Universal Asynchronous Receiver Transmitter
UDP	User Datagram Protocol
UID	User ID. Benutzer ID eines Benutzers im Linux-Rechtemanagement.
WAN attacker	See [ST, section 3.4]
WLAN	Wireless Local Area Network
wMBus	wireless M-Bus
XML	Extensible Markup Language
XSD	XML Schema Definition

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