Assurance Continuity Maintenance Report

Kazumasa Fujie, Chairman
Information-technology Promotion Agency, Japan

Changed TOE

Application Date/ID	2014-08-08 (ITM-4096)
Certification No.	C0366
Sponsor	RICOH COMPANY, LTD.
TOE Name	Ricoh Aficio SP 5200S/5210SF/5210SR, Savin SP 5200S/5210SF/5210SR, Lanier SP 5200S/5210SF/5210SR, nashuatec SP 5200S/5210SF/5210SR, Rex-Rotary SP 5200S/5210SF/5210SR, Gestetner SP 5200S/5210SF/5210SR, Ricoh Aficio SP 5200SG/5210SFG/5210SRG, Savin SP 5200SG/5210SFG/5210SRG, Lanier SP 5200SG/5210SFG/5210SRG, all of the above MFPs with Facsimile Function
TOE Version	- Software System/Copy 2.05 Network Support 10.65 Fax 03.00.00 RemoteFax 01.00.00 NetworkDocBox 1.04 Web Support 1.03 Web Uapl 1.02 animation 1.01 Scanner 01.04 Printer 1.02.1 PCL 1.06 PCL Font 1.05 Data Erase Std 1.01m GWFCU3-24(WW) 03.00.00 Engine A2.0:20 Engine(Scanner) 1.01:00 OpePanel 1.02 LANG0 1.02 LANG1 1.02 - Hardware Ic Key 01020714 Ic Hdd 01
PP Conformance	IEEE Std 2600.1™-2009
Assurance Package	EAL3 Augmented with ALC_FLR.2
Developer	RICOH COMPANY, LTD.
Evaluation Facility	ECSEC Laboratory Inc. Evaluation Center

This is to report the result of assurance continuity for the above changed TOE as follows.
2014-11-27

Takumi Yamasato, Technical Manager
Information Security Certification Office
IT Security Center, Technology Headquarters

Evaluation Criteria, etc.: The subset evaluation has been conducted in accordance with the following standards prescribed in the "IT Security Evaluation and Certification Scheme."

1) Common Criteria for Information Technology Security Evaluation
Version 3.1 Release 4
2) Common Methodology for Information Technology Security Evaluation
Version 3.1 Release 4

Certification Result: Pass

"Ricoh Aficio SP 5200S/5210SF/5210SR, Savin SP 5200S/5210SF/5210SR, Lanier SP 5200S/5210SF/5210SR, nashuatec SP 5200S/5210SF/5210SR, Rex-Rotary SP 5200S/5210SF/5210SR, Gestetner SP 5200S/5210SF/5210SR, Ricoh Aficio SP 5200SG/5210SFG/5210SRG, Savin SP 5200SG/5210SFG/5210SRG, Lanier SP 5200SG/5210SFG/5210SRG, all of the above MFPs with Facsimile Function" (the changed TOE) has been verified in accordance with the provisions of the "Requirements for IT Security Certification" by Information-technology Promotion Agency, Japan, and it is confirmed that the assurance is maintained as the maintained TOE.

Notice:
This document is the English translation version of the Assurance Continuity Maintenance Report published by the Certification Body of Japan Information Technology Security Evaluation and Certification Scheme.

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1. Executive Summary

1.1 Introduction

This Assurance Continuity Maintenance Report describes the certification result in relation to the assurance continuity for the changed "Ricoh Aficio SP 5200S/5210SF/ 5210SR, Savin SP 5200S/5210SF/5210SR, Lanier SP 5200S/5210SF/5210SR, nashuatec SP 5200S/5210SF/5210SR, Rex-Rotary SP 5200S/5210SF/5210SR, Gestetner SP 5200S/ 5210SF/5210SR, Ricoh Aficio SP 5200SG/5210SFG/5210SRG, Savin SP 5200SG/5210SFG/ 5210SRG, Lanier SP 5200SG/5210SFG/5210SRG, all of the above MFPs with Facsimile Function" (hereinafter referred to as the "changed TOE") to the certified TOE "Ricoh Aficio SP 5200S/5210SF/5210SR, Savin SP 5200S/5210SF/5210SR, Lanier SP 5200S/5210SF/ 5210SR, nashuatec SP 5200S/5210SF/5210SR, Rex-Rotary SP 5200S/5210SF/5210SR, Gestetner SP 5200S/5210SF/5210SR, all of the above MFPs with Facsimile Function" (hereinafter referred to as the "certified TOE"), and it is intended to report to the sponsor, RICOH COMPANY, LTD.

Readers of this Assurance Continuity Maintenance Report are advised to read the following Certification Report, ST for the changed TOE, and manual attached to the changed TOE (please refer to "1.4.3. Documents attached to the changed TOE" for further details) together with this report. The environmental assumptions, corresponding security objectives, security functional requirements and assurance requirements needed for those implementation, and their summary specifications, are specifically described in the ST of the changed TOE. The operational conditions and functional specifications are also described in the documents attached to the changed TOE.

Note that this Assurance Continuity Maintenance Report presents the certification result in relation to assurance continuity which will give the changed TOE the same level of assurance given to the certified TOE, and does not certify an individual IT product itself.

1.2 Identification of Assurance Continuity

1.2.1 Identification of the Changed TOE

The changed TOE that is to be subjected to this assurance continuity is as follows:

TOE Name:	Ricoh Aficio SP 5200S/5210SF/5210SR,
	Savin SP 5200S/5210SF/5210SR,
	Lanier SP 5200S/5210SF/5210SR,
	nashuatec SP 5200S/5210SF/5210SR,
	Rex-Rotary SP 5200S/5210SF/5210SR,
	Gestetner SP 5200S/5210SF/5210SR,
	Ricoh Aficio SP 5200SG/5210SFG/5210SRG,
	Savin SP 5200SG/5210SFG/5210SRG,
	Lanier SP 5200SG/5210SFG/5210SRG
	all of the above MFPs with Facsimile Function

TOE Version:

- Software

System/Copy	2.05	Network Support	10.65
Fax	03.00.00	RemoteFax	01.00.00

NetworkDocBox	1.04	Web Support	1.03
Web Uapl	1.02	animation	1.01
Scanner	01.04	Printer	1.02.1
PCL	1.06	PCL Font	1.05
Data Erase Std	1.01m		
GWFCU3-24(WW)	03.00.00		
Engine	A2.0:20	Engine(Scanner)	1.01:00
OpePanel	1.02	LANG0	1.02
LANG1	1.02		

- Hardware

Ic Key	01020714
Ic Hdd	01

Developer: RICOH COMPANY, LTD.

1.2.2 Identification of the Certified TOE

The certified TOE for this assurance continuity is as follows:

Certification No.: C0366

TOE Name: Ricoh Aficio SP 5200S/5210SF/5210SR,

Savin SP 5200S/5210SF/5210SR,

Lanier SP 5200S/5210SF/5210SR,

nashuatec SP 5200S/5210SF/5210SR,

Rex-Rotary SP 5200S/5210SF/5210SR,

Gestetner SP 5200S/5210SF/5210SR

all of the above MFPs with Facsimile Function

TOE Version: - Software

System/Copy	2.02	Network Support	10.63
Fax	02.00.00	RemoteFax	01.00.00
NetworkDocBox	1.04	Web Support	1.02
Web Uapl	1.02	animation	1.01
Scanner	01.03	Printer	1.02.1
PCL	1.02	PCL Font	1.05
Data Erase Std	1.01m		
GWFCU3-24(WW)	02.00.00		
Engine	A2.0:20	Engine (Scanner)	1.01:00
OpePanel	1.02	LANG0	1.02
LANG1	1.02		

- Hardware

Ic Key	01020714
Ic Hdd	01

Developer: RICOH COMPANY, LTD.

PP Conformance: IEEE Std 2600.1™-2009

Assurance Level: EAL3 Augmented with ALC_FLR.2

1.2.3 ST Identification of the Changed TOE

The ST of the changed TOE for this Assurance Continuity is as follows:

TOE Name:	Aficio SP 5200S/5210SF/5210SR series Security Target
TOE Version:	1.02
Date:	2014-09-05
Author:	RICOH COMPANY, LTD.

1.2.4 Identification of the Certification Report of the Certified TOE

The Certification Report of the certified TOE for this Assurance Continuity is as follows:

TOE Name:
Ricoh Aficio SP 5200S/5210SF/5210SR,

Savin SP 5200S/5210SF/5210SR,

Lanier SP 5200S/5210SF/5210SR,

nashuatec SP 5200S/5210SF/5210SR,

Rex-Rotary SP 5200S/5210SF/5210SR,

Gestetner SP 5200S/5210SF/5210SR,

all of the above MFPs with Facsimile Function

TOE Version:

- Software

System/Copy	2.02	Network Support	10.63
Fax	02.00.00	RemoteFax	01.00.00
NetworkDocBox	1.04	Web Support	1.02
Web Uapl	1.02	animation	1.01
Scanner	01.03	Printer	1.02.1
PCL	1.02	PCL Font	1.05
Data Erase Std	1.01m		
GWFCU3-24(WW)	02.00.00		
Engine	A2.0:20	Engine(Scanner)	1.01:00
OpePanel	1.02	LANG0	1.02
LANG1	1.02		

- Hardware

Ic Key	01020714
Ic Hdd	01

Application ID:	ITC-1381
Certification No.:	C0366
Document No.:	CRP-C0366-01
Date:	2012-08-30
Author:	Information Security Certification Office, IT Security Center, Technology Headquarters, Information-technology Promotion Agency, Japan

1.3 Certification of Assurance Continuity

Under the IT Security Evaluation and Certification Scheme that the Certification Body operates, the Certification Body conducted a preliminary review based on the "Impact Analysis Report" [4] (hereinafter referred to as the "IAR") prepared by the developer, in accordance with the publicized documents such as "IT Security Evaluation and Certification Scheme" [1], "Requirements for IT Security Certification" [2], and "Assurance Continuity: CCRA Requirements" [3]. As a result, the Certification Body determined that the subset evaluation would be necessary, so the subset evaluation of the changed TOE has been conducted by the Evaluation Facility based on the CC/CEM, and a "partial Evaluation Technical Report (ETR)" [5] has been submitted on 2014-11. The Certification Body verified the IAR and the partial ETR and confirmed that the assurance of the changed TOE could be maintained. The Certification Body prepared this Assurance Continuity Maintenance Report based on the IAR and the partial ETR, and concluded the certification activities.

1.4 Overview of Report

1.4.1 Description of Changes

1) Changes to the certified TOE

　　The main changes to the certified TOE are as follows:

Outline	Description
Added the TOE name	The TOE name is modified with the addition of MFP names of some models which have been manufactured in the new development sites. For the models which have been manufactured in all development sites, there is no difference as MFP products for the TOE.
Modified the software to meet the new environmental standards	The software is modified with the addition of the Mode Change Function to meet the new standards of "The Blue Angel" mark which is the international environmental standards. This change mentioned above is a design and implementation change and applied only to interfaces for CE, which general users do not use. Therefore, the developers' review and tests of design specifications ensure that this change has no effect on the security functions at the assurance level of this case.
Modified the software to improve the performance of document size selection	The implementation change is made to improve the performance of the Auto Paper Select function with which the machine automatically

	selects a suitable size of pater based on the original document size. With this change, the available document sizes are expanded. This change mentioned above is an implementation change and applied only to the basic functions of the TOE. Therefore, the developers' review and tests of design specifications ensure that this change has no effect on the security functions at the assurance level of this case.
Fixed other defects	The implementation changes are made to fix defects related to the basic functions provided by the MFP. These changes are implementation changes and applied only to the basic functions of the TOE. Therefore, the developers' review and tests of design specifications ensure that these changes have no effect on the security functions at the assurance level of this case.

2) Changes to the development environment of the certified TOE

For the models added to the TOE name of the changed TOE, the product assembly sites and some parts of manufacturing sites are newly added.
For the models included in the TOE name of the certified TOE, there are no changes to the development environment.

1.4.2 Modified Developer Evidence

The changes to the TOE required modifications for some parts of developer evidence that had been previously provided for the certified TOE. The modified developer evidence has been correctly identified, and the revised version has been issued.

1.4.3 Documents Attached to the Changed TOE

The documents attached to the changed TOE are as follows:

[English version-1] (Attached documents of products for North America)

Document Name	Version
SP 5200S/5210SF/5210SR Quick Installation Guide	M052-7000
SP 5200S/5210SF/5210SR Initial Guide for Scanner and Fax	M052-7003
Note to Administrator	M052-7013
SP 5200S/5210SF/5210SR Manuals and Safety Information for This Machine	M052-7017
Changing the On-screen Language	M052-7024
Notes on Hard Disk Data Encryption	M052-7026
ENERGY STAR Program	M052-7028B
Notes for Users	M052-7030
Notes for Users	D081-7676
Note for Administrators: Additional Information on Hard Disk Encryption	M052-7032
RICOH SP 5200S/SP 5210SF/SP 5210SR LASER MFP LIMITED WARRANTY - FOR U.S. ONLY	M052-7995
Notes for Administrators: Using this Machine in a Network Environment Compliant with IEEE Std. 2600.1™-2009	M052-7038A
Operating Instructions Notes on Security Functions	M052-7039
Manuals Aficio SP 5200S/SP 5210SF/SP 5210SR SP 5200S/SP 5210SF/SP 5210SR A	M052-7903
Help	83NHCBENZ 1.00 v120
FAX OPTION TYPE SP5200 (Machine Code: M381) INSTALLATION PROCEDURE For Machine Code: M052/M054 Copiers	M381-8610

[English version-2] (Attached documents of products for Europe)

Document Name	Version
SP 5200S/5210SF/5210SR Quick Installation Guide	M052-7022
SP 5200S/5210SF/5210SR Initial Guide for Scanner and Fax	M052-7005
Note to Administrator	M052-7023
SP 5200S/5210SF/5210SR Manuals and Safety Information for This Machine	M052-7019
Notes on Hard Disk Data Encryption	M052-7027
Attaching the Control Panel Seal	M052-7021
Changing the On-screen Language	M052-7025
Note for Administrators: Additional Information on Hard Disk Encryption	M052-7033
ENERGY STAR Program	M052-7029B
Notes for Users	M052-7031
Notes for Users	D081-7668
Safety Information	A232-8561A
Notes for Administrators: Using this Machine in a Network Environment Compliant with IEEE Std. 2600.1™-2009	M052-7036
Operating Instructions Notes on Security Functions	M052-7037
Manuals Aficio SP 5200S/SP 5210SF/SP 5210SR SP 5200S/SP 5210SF/SP 5210SR A	M052-7903
Help	83NHCBENZ 1.00 v120
FAX OPTION TYPE SP5200 (Machine Code: M381) INSTALLATION PROCEDURE For Machine Code: M052/M054 Copiers	M381-8610

[English version-3] (Attached documents of products for Asia Pacific)

Document Name	Version
SP 5200S/5210SF/5210SR Quick Installation Guide	M052-7000
SP 5200S/5210SF/5210SR Initial Guide for Scanner and Fax	M052-7003
Note to Administrator	M052-7013
SP 5200S/5210SF/5210SR Manuals and Safety Information for This Machine	M052-7020
Notes on Hard Disk Data Encryption	M052-7026
ENERGY STAR Program	M052-7035A
Notes for Users	M052-7030
Note for Administrators: Additional Information on Hard Disk Encryption	M052-7032
Notes for Users	D081-7676
User Information on Electrical & Electronic Equipment	D127-6601
Notes for Administrators: Using this Machine in a Network Environment Compliant with IEEE Std. 2600.1™-2009	M052-7038A
Operating Instructions Notes on Security Functions	M052-7039
Manuals Aficio SP 5200S/SP 5210SF/SP 5210SR SP 5200S/SP 5210SF/SP 5210SR A	M052-7903
Help	83NHCBENZ 1.00 v120
FAX OPTION TYPE SP5200 (Machine Code: M381) INSTALLATION PROCEDURE For Machine Code: M052/M054 Copiers	M381-8610

[English version-4] (Attached documents of products for the U.S. government)

Document Name	Version
SP 5200S/5210SF/5210SR Quick Installation Guide	M052-7000
SP 5200S/5210SF/5210SR Initial Guide for Scanner and Fax	M052-7003
Note to Administrator	M052-7013
SP 5200S/5210SF/5210SR SP 5200SG/5210SFG/5210SRG Manuals and Safety Information for This Machine	M052-7017A
Changing the On-screen Language	M052-7024
Notes on Hard Disk Data Encryption	M052-7026
ENERGY STAR Program	M052-7028B
Notes for Users	M052-7030
Notes for Users	D081-7676
Note for Administrators: Additional Information on Hard Disk Encryption	M052-7032
For users of SP 5200SG/SP 5210SFG/SP 5210SRG	M052-7040
A Notice Regarding the Energy Saver function	M109-8522
Power Level During Standby	M026-7444
RICOH SP 5200SG/SP 5210SFG/SP 5210SRG LASER MFP LIMITED WARRANTY – FOR U.S. ONLY	M052-7041
Notes for Administrators: Using this Machine in a Network Environment Compliant with IEEE Std. 2600.1™-2009	M052-7038A
Operating Instructions Notes on Security Functions	M052-7039
Manuals Aficio SP 5200S/SP 5210SF/SP 5210SR SP 5200S/SP 5210SF/SP 5210SR A	M052-7903
Help	83NHCBENZ 1.00 v120
FAX OPTION TYPE SP5200 (Machine Code: M381) INSTALLATION PROCEDURE For Machine Code: M052/M054 Copiers	M381-8610

2. Conduct and Results of Subset Evaluation by the Certification Body

2.1 Overview of Subset Evaluation Conducted

Based on the IAR submitted by the developer, the subset evaluation has been performed by the evaluator to conduct evaluations by verifying changes to the evaluation documentation.

The evaluator directly visited the development sites, where there were some changes to the development environment, on 2013-09, 2014-04 and 2014-09, and examined the procedural status conducted in relation to each work unit for configuration management, delivery, and development security by investigating records and interviewing staff. The evaluator also conducted evaluation for the evaluation deliverables.

2.2 Evaluation Result

The evaluator had determined that the changed TOE satisfies all work units that have undergone the subset evaluation.

As a result of the evaluation, the verdict "PASS" was confirmed for the following assurance components.

- ALC_CMC.3
- ALC_CMS.3
- ALC_DEL.1
- ALC_DVS.1

3. Conduct and Results of Assurance Continuity by the Certification Body

3.1 Overview of Assurance Continuity Conducted

The application for the assurance continuity was accepted on 2014-08-08 and concluded upon completion of this Assurance Continuity Maintenance Report.

3.2 Certification conducted

Based on the IAR submitted by the developer as well as on the partial ETR submitted by the Evaluation Facility, the Certification Body conducted the following verification in order to confirm that the changes to the TOE have no effect on the assurance of the certified TOE.

1) The developer evidence modified in accordance with the changes to the TOE shall be appropriate.

2) The process and result of the impact analysis for the changes to the TOE shall be adequate.

3) Appropriate tests have been conducted regarding the changed TOE.

4) Rationale of the evaluation verdict by the evaluator presented in the partial ETR shall be adequate.

5) The evaluator's evaluation methodology presented in the partial ETR shall conform to the CEM.

4. Conclusion

4.1 Certification Result

As the result of verifying the submitted IAR and the partial ETR, the Certification Body confirmed that the changed TOE satisfies the EAL3 augmented with ALC_FLR.2 assurance requirements of the certified TOE and has no effect on the assurance of the changed TOE. Further, the Certification Body confirmed that there is no effect on the behavior of the changed TOE as a result of the regression testing performed by the developer.

4.2 Recommendations

None

5. Glossary

The abbreviations used in this Assurance Continuity Maintenance Report are listed below.

CC	Common Criteria for Information Technology Security Evaluation
CEM	Common Methodology for Information Technology Security Evaluation
EAL	Evaluation Assurance Level
IAR	Impact Analysis Report
ST	Security Target
TOE	Target of Evaluation

The terms used in this Assurance Continuity Maintenance Report are listed below.

Certified TOE	A version of the TOE for which evaluation has been completed and the certificate has been issued.
Changed TOE	A different version of the certified TOE in which modifications has been added to.
IAR	Impact Analysis Report.
Maintained TOE	A changed TOE that has undergone the maintenance process, to which the application of the previous certification for the certified TOE is approved. The same assurance provided to the certified TOE is also applied to the maintained TOE.

6. Bibliography

[1]   IT Security Evaluation and Certification Scheme, March 2014,
         Information-technology Promotion Agency, Japan CCS-01

[2]   Requirements for IT Security Certification, April 2014,
         Information-technology Promotion Agency, Japan CCM-02

[3]   Assurance Continuity: CCRA Requirements, Version 2.1, June 2012

[4]   Aficio SP 5200S/5210SF/5210SR series Impact Analysis Report, Version 0.08,
         October 28, 2014, RICHO COMPANY, LTD.

[5]   Aficio SP 5200S/5210SF/5210SR series Partial Evaluation Technical Report,
         Version 2.0, November 20, 2014, ECSEC Laboratory Inc. Evaluation Center