Bundesamt für Sicherheit in der Informationstechnik

BSI-PP-0020-2005

Protection Profile

for

electronic Health Card (eHC) – elektronische Gesundheitskarte (eGK), Version 1.02

developed on behalf of the

Federal Ministry of Health, Germany

Certification Report

BSI - Bundesamt für Sicherheit in der Informationstechnik, Postfach 20 03 63, D-53133 Bonn
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Bundesamt für Sicherheit in der Informationstechnik

Certificate BSI-PP-0020-2005

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Assurance Package: EAL 4 augmented with ADV_IMP.2, AVA_MSU.3 and AVA_VLA.4

Common Criteria Arrangement

Bonn, December 14th, 2005

The President of the Federal Office for Information Security

Dr. Helmbrecht L.S.

The Protection Profile mentioned above was evaluated at an accredited and licenced/approved evaluation facility on the basis of the *Common Criteria for Information Technology Security Evaluation (CC), Version 2.1 (ISO/IEC 15408)* applying the *Common Methodology for Information Technology Security Evaluation (CEM), Part 1 Version 0.6, Part 2 Version 1.0* and including final interpretations for compliance with Common Criteria Version 2.2 and Common Methodology Part 2, Version 2.2.

This certificate applies only to the specific version and release of the Protection Profile and in conjunction with the complete Certification Report.

The evaluation has been conducted in accordance with the provisions of the certification scheme of the Federal Office for Information Security. The conclusions of the evaluation facility in the evaluation technical report are consistent with the evidence adduced.

This certificate is not an endorsement of the Protection Profile by the Federal Office for Information Security or any other organisation that recognises or gives effect to this certificate, and no warranty of the Protection Profile by the Federal Office for Information Security or any other organisation that recognises or gives effect to this certificate, is either expressed or implied.

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Preliminary Remarks

Under the BSIG[1] Act, the Bundesamt für Sicherheit in der Informationstechnik (BSI) has the task of issuing certificates for information technology products as well as for Protection Profiles (PP).

A PP defines an implementation-independent set of IT security requirements for a category of TOEs which are intended to meet common consumer needs for IT security. The development and certification of a PP or the reference to an existent one gives consumers the possibility to express their IT security needs without referring to a special product. Product or system certifications can be based on Protection Profiles. For products which have been certified based on a Protection Profile an individual certificate will be issued.
Certification of a Protection Profile is carried out on the instigation of the author, hereinafter called the sponsor.
A part of the procedure is the technical examination (evaluation) of the Protection Profile according to Common Criteria [1].

The evaluation is carried out by an evaluation facility recognised by the BSI or by the BSI itself.

The result of the certification procedure is the present Certification Report. This report contains among others the certificate (summarised assessment) and the detailed Certification Results.

[1] Act setting up the Bundesamt für Sicherheit in der Informationstechnik (BSI-Errichtungsgesetz, BSIG) of 17 December 1990, Bundesgesetzblatt I p. 2834

Contents

A Certification

1 Specifications of the Certification Procedure

The certification body conducts the procedure according to the criteria laid down in the following:

- BSIG[2]
- BSI Certification Ordinance[3]
- BSI Schedule of Costs[4]
- Special decrees issued by the Bundesministerium des Innern (Federal Ministry of the Interior)
- DIN EN 45011
- BSI Certification - Description of the Procedure (BSI 7125)
- Procedure for the Issuance of a PP certificate by the BSI
- Common Criteria for Information Technology Security Evaluation, Version 2.1[5]
- Common Methodology for IT Security Evaluation, Part 1 Version 0.6, Part 2 Version 1.0
- BSI certification: Application Notes and Interpretation of the Scheme (AIS)

The use of Common Criteria Version 2.1, Common Methodology, part 2, Version 1.0 and final interpretations as part of AIS 32 results in compliance of the certification results with Common Criteria Version 2.2 and Common Methodology Part 2, Version 2.2 as endorsed by the Common Criteria recognition arrangement committees.

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[2] Act setting up the Bundesamtes für Sicherheit in der Informationstechnik (BSI-Errichtungsgesetz, BSIG) of 17 December 1990, Bundesgesetzblatt I p. 2834

[3] Ordinance on the Procedure for Issuance of a Certificate by the Bundesamtes für Sicherheit in der Informationstechnik (BSI-Zertifizierungsverordnung, BSIZertV) of 7 July 1992, Bundesgesetzblatt I p. 1230

[4] Schedule of Cost for Official Procedures of the Bundesamt für Sicherheit in der Informationstechnik (BSI-Kostenverordnung, BSI-KostV) of 03 March 2005, Bundesgesetzblatt I p. 519

[5] Proclamation of the Bundesministerium des Innern of 22 September 2000

2 Recognition Agreements

In order to avoid multiple certification of the same Protection Profile in different countries a mutual recognition of Protection Profile certificates under certain conditions was agreed.

An arrangement (Common Criteria Arrangement) on the mutual recognition of certificates based on the CC evaluation assurance levels up to and including EAL 4 was signed in May 2000. It includes also the recognition of Protection Profiles based on the CC. The arrangement was signed by the national bodies of Australia, Canada, Finland, France, Germany, Greece, Italy, The Netherlands, New Zealand, Norway, Spain, United Kingdom and the United States. Israel joined the arrangement in November 2000, Sweden in February 2002, Austria in November 2002, Hungary and Turkey in September 2003, Japan in November 2003, the Czech Republic in September 2004, the Republic of Singapore in March 2005 and India in April 2005.

3 Performance of Evaluation and Certification

The certification body monitors each individual evaluation to ensure a uniform procedure, a uniform interpretation of the criteria and uniform ratings.

The Protection Profile for electronic Health Card (eHC) – elektronische Gesundheitskarte (eGK), Version 1.02 has undergone the certification procedure at the BSI.

The evaluation of the Protection Profile for electronic Health Card (eHC) – elektronische Gesundheitskarte (eGK), Version 1.02 was conducted by T-Systems GEI GmbH, Prüfstelle IT-Sicherheit. The evaluation facility of T-Systems GEI GmbH, Prüfstelle IT-Sicherheit is an evaluation facility (ITSEF)[6] recognised by BSI.

Developer is the ‘SRC Security Research & Consulting GmbH‘ on behalf of the ‘Federal Ministry of Health, Germany’.

The certification was concluded with

- the comparability check and
- the preparation of this Certification Report.

This work was completed by the BSI on December 14th, 2005.

[6] Information Technology Security Evaluation Facility

4 Publication

The following Certification Results contain pages B-1 to B-10.

The Protection Profile for electronic Health Card (eHC) – elektronische Gesundheitskarte (eGK), Version 1.02 has been included in the BSI list of certified and registered Protection Profiles, which is published regularly (see also Internet: http:// www.bsi.bund.de). Further information can be obtained via the BSI-Infoline +49 228 9582-111.

Further copies of this Certification Report may be ordered from the BSI[7]. The Certification Report may also be obtained in electronic form at the internet address stated above.

[7] BSI - Bundesamt für Sicherheit in der Informationstechnik, Postfach 20 03 63, D-53133 Bonn
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B Certification Results

Content of the Certification Results

1 PP Overview

The Protection Profile (PP) [7] defines the security objectives and requirements for the electronic Health Card (German: “elektronische Gesundheitskarte”) based on the regulations for the German health care system. It addresses the security services provided by this card, mainly:

- Mutual Authentication between the eHC and a Health Professional Card (HPC) or a Security Module Card (SMC).
- Mutual Authentication between the eHC and a security device (e. g. for online update of contract data in the card).
- Authentication of the card holder by use of a PIN, the eHC-PIN.

  Note: This eHC-PIN is used for general functions of the eHC. The electronic signature application requires a separate PIN for its exclusive purposes.
- Secure storage of contractual and medical data, with respect to confidentiality, integrity and authenticity of these data.
- An electronic signature application for the card holder.

  Note: This application is subject to the requirements for electronic signatures as defined in national and European law. Separate Protection Profiles exist defining such requirements, for example the SSCD-PPs [10]. Therefore the security requirements for this security feature are not contained in the eHC-PP. Annex 7.1 of the PP [7] gives guidance, how the eHC-PP and e.g. the SSCD-PP can be integrated in a Security Target.
- Authentication of the card using a private key and a X.509 certificate and
- Document content key decipherment using a private key

The Target of Evaluation (TOE) defined in the PP is a smart card, the electronic Health Card (eHC), which is conformant to the specification documents [8] and [9]. The size of the card is type ID-1 according to ISO 7810 (the usual credit-card-size).

The card is a card with contacts according to ISO 7816-1 to –3. In case an additional contact less interface is available, none of the eHC functions shall be accessible via this interface.

The overall system including the TOE and its environment are intended to comply to the relevant German legal regulations, in particular the “Gesetz zur Modernisierung der Gesetzlichen Krankenversicherung” (GKV-Modernisierungsgesetz – GMG), the “Sozialgesetzbuch” (SGB) and the privacy legislation (“Datenschutzgesetze des Bundes und der Länder”).

The TOE comprises the following parts

- TOE_IC, consisting of :
  - the circuitry of the eHC’s chip (the integrated circuit, IC) and
  - the IC Dedicated Software with the parts IC Dedicated Test Software and IC Dedicated Support Software

- TOE_ES
  - the IC Embedded Software (operating system)
- TOE_APP
  - the eHC applications (data structures and their content)
- guidance documentation delivered together with the TOE.

German health insurance companies issue electronic Health Cards to patients insured by them. The card is used by the card holders, when they use health care services, which are covered by the insurance. A picture of the patient is printed on the card in order to support identification. The eHC contains data for

- card holder identification,
- contractual and financial information to be exchanged between card holder and health care provider and/or the health insurance company and
- medical data, including electronic prescriptions.

(For a more detailed definition of the assets see PP [7] chapter 3.1.)

The TOE life cycle is described in terms of seven life cycle phases: Phase 1 “Smart Card Embedded Software Development”, Phase 2 “IC Development”, Phase 3 “IC Manufacturing and Testing”, Phase 4 “IC Packaging and Testing“, Phase 5 “ Smart Card Product Finishing Process”, Phase 6 “Smart Card Personalization” and Phase 7 “Smart Card End-usage”. For the evaluation of the HPC the phases 1 up to 4 as defined in Table 1 are part of the TOE development in the sense of the CC. The phases 6 and 7 are part of the operational use in the sense of the CC. The phase 5 may be part of one of these CC phases or may be split between them depending on the specific model used by the TOE developer. The writer of the ST shall define the exact boundary.

The PP defines the following Security Objectives for the TOE:

Identifier for Sec.Objective	**Issue addressed by the Security Objective**
OT.Access_rights	Access Control Policy for Data in the TOE
OT.AC_Pers	Access control for Personalisation
OT.Additional_Applications	Protection of additional Applications
OT.Services	Services provided by the Card
OT.Cryptographie	Implementation of cryptographic Algorithms
OT.Prot_Inf_Leak	Protection against Information Leakage
OT.Prot_Phys_Tamper	Protection against Physical Tampering
OT.Prot_Malfunction	Protection against Malfunctions
OT.Prot_Abuse_Func	Protection against Abuse of Functionality

Table 1: Security Objectives for the TOE

The PP defines the Security Objectives for the environment of the TOE divided into two categories:

Identifier for Sec.Objective	Issue addressed by the Security Objective
Security Objectives for the Development and Manufacturing Environment	
OD.Assurance	Assurance Security Measures in Development and Manufacturing Environment
OD.Material	Control over Smart Card Material
Security Objectives for the Operational Environment	
OE.Users	Adequate Usage of TOE and IT-Systems in the Environment
OE.legal_decisions	Legal Responsibility of authorised Persons
OE.data_protection	Protection of sensitive Data outside the eHC
OE.User_information	Information about secure Usage
OE.Perso	Secure Handling of Data during Personalisation and additional Personalisation

Table 2: Security Objectives for the environment of the TOE

For details and application notes refer to the PP [7] chapter 4. Security Functional Requirements for the TOE and for the IT-Environment are derived from these Security Objectives as outlined in the following chapter.

2 Security Functional Requirements

This section contains the functional requirements that must be satisfied by a TOE which is compliant to the Protection Profile. The TOE Security Functional Requirements (SFR) selected in the Security Target are Common Criteria Part 2 extended as shown in the following tables.

The following SFRs are taken from CC part 2:

Security Functional Requirement	Identifier and addressed issue
FCS	**Cryptographic support**
FCS_CKM.1/SM	Cryptographic Key Generation – Secure Messaging Keys
FCS_CKM.4	Cryptographic Key Destruction
FCS_COP.1/SHA	Cryptographic Operation – Hash Algorithm
FCS_COP.1/CCA_SIGN	Cryptographic Operation – Digital Signature-Creation for Card-to-Card Authentication
FCS_COP.1/CCA_VERIF	Cryptographic Operation – Digital Signature-Verification for Card-to-Card Authentication
FCS_COP.1/CSA	Cryptographic Operation – Digital Signature-Creation for Client-Server Authentication
FCS_COP.1/RSA_DEC	Cryptographic Operation – RSA Decryption
FCS_COP.1/TDES	Cryptographic Operation – Triple DES Encryption / Decryption

Security Functional Requirement	Identifier and addressed issue
FCS_COP.1/MAC	Cryptographic operation – Retail MAC
FDP	**User data protection**
FDP_ACC.2	Complete access control
FDP_ACF.1	Security attribute based access control
FDP_RIP.1	Residual Information Protection
FDP_SDI.2	Stored Data Integrity
FDP_UCT.1	Basic data exchange confidentiality
FDP_UIT.1	Data exchange integrity
FIA	**Identification and authentication**
FIA_AFL.1/PIN	Authentication failure handling – eHC-PIN
FIA_AFL.1/PUC	Authentication failure handling – eHC-PIN-unblocking code
FIA_ATD.1	User attribute definition
FIA_UID.1	Timing of identification
FIA_UAU.1	Timing of authentication
FIA_UAU.4	Single-use authentication mechanisms
FMT	**Security Management**
FMT_SMF.1	Specification of Management Functions
FMT_SMR.1	Security roles
FMT_MTD.1/Ini	Management of TSF data – Initialisation
FMT_MTD.1/Pers	Management of TSF data – Personalization
FMT_MTD.1/CMS	Management of TSF data – Card Management
FMT_MTD.1/PIN	Management of TSF data – Human user authentication data
FMT_MTD.1/KEY_MOD	Management of TSF data – Key Management
FPT	**Protection of the TOE Security Functions**
FPT_FLS.1	Failure with preservation of secure state
FPT_TST.1	TSF testing
FPT_PHP.3	Resistance to physical attack
FPT_RVM.1	Non-bypassability of the TSP
FPT_SEP.1	TSF domain separation
FTP	**Trusted Path/Channel**
FTP_ITC.1	Inter-TSF trusted channel

Table 3: SFRs for the TOE taken from CC Part 2

The following CC part 2 extended SFRs are defined:

Security Functional Requirement	Identifier and addressed issue
FCS	**Cryptographic support**
FCS_RND.1	Quality metric for random numbers
FMT	**Security management**
FMT_LIM.1	Limited capabilities
FMT_LIM.2	Limited availability
FPT	**Protection of the TOE Security Functions**
FPT_EMSEC.1	TOE Emanation

Table 4: SFRs for the TOE, CC part 2 extended

Note: Only the titles of the Security Functional Requirements are provided. For more details and application notes please refer to the PP [7] chapter 5.

3 Assurance Package

The security assurance requirements are based entirely on the assurance components defined in Part 3 of the Common Criteria. The assurance requirements comply with assurance level EAL 4 augmented (Evaluation Assurance Level 4 augmented).

The following table shows the augmented assurance components.

Requirement	Identifier
EAL4	TOE evaluation: Methodically designed, tested and reviewed
+: ADV_IMP.2	Implementation of the TSF
+: AVA_MSU.3	Analysis and testing for insecure states
+: AVA_VLA.4	Highly resistant

Table 5: Augmented assurance components

4 Strength of Functions

The minimum strength of function level is claimed SOF-high This protection profile does not contain any security functional requirement for which an explicit strength of function claim is required.

5 Results of the Evaluation

The Evaluation Technical Report (ETR), [6] was provided by the ITSEF according to the Common Criteria [1], the Methodology [2], the requirements of the Scheme [3] and all interpretations and guidelines of the Scheme (AIS) [4] as relevant for the TOE.

The verdict for the CC, Part 3 assurance component (according the class APE for the Protection Profile evaluation) is summarised in the following table.

CC Aspect	Result
CC Class APE	PASS
APE_DES.1	PASS
APE_ENV.1	PASS
APE_INT.1	PASS
APE_OBJ.1	PASS
APE_REQ.1	PASS
APE_SRE.1	PASS

Table 6: Verdict for assurance class

The Protection Profile for electronic Health Card (eHC) – elektronische Gesundheitskarte (eGK), Version 1.02 meets the requirements for Protection Profiles as specified in class APE of the CC.

6 Obligation for ST writer

In case that phase 5 “Smart Card Product Finishing Process“ of the PP is not part of the CC phase “TOE Development“ (see PP [7], chapter 2.3) the ST writer has to add an assumption for a secure Smart Card Product Finishing environment (see PP [7], table 1) and an according objective for the environment.

7 Definitions

7.1 Acronyms

CC	Common Criteria for IT Security Evaluation
EAL	Evaluation Assurance Level
eHC	electronic Health Card
IT	Information Technology
ITSEF	Information Technology Security Evaluation Facility
HPC	Health Professional Card
PP	Protection Profile
SF	Security Function
SFP	Security Function Policy
SMC	Security Module Card
SOF	Strength of Function
SSCD-PP	Protection Profile Secure Signature Creation Device
ST	Security Target
TOE	Target of Evaluation
TSC	TSF Scope of Control
TSF	TOE Security Functions
TSP	TOE Security Policy

7.2 Glossary

Augmentation - The addition of one or more assurance component(s) from Part 3 to an EAL or assurance package.

Extension - The addition to an ST or PP of functional requirements not contained in Part 2 and/or assurance requirements not contained in Part 3 of the CC.

Protection Profile - An implementation-independent set of security requirements for a category of TOEs that meet specific consumer needs.

Security Function - A part or parts of the TOE that have to be relied upon for enforcing a closely related subset of the rules from the TSP.

Security Target - A set of security requirements and specifications to be used as the basis for evaluation of an identified TOE.

Strength of Function - A qualification of a TOE security function expressing the minimum efforts assumed necessary to defeat its expected security behaviour by directly attacking its underlying security mechanisms.

SOF-basic - A level of the TOE strength of function where analysis shows that the function provides adequate protection against casual breach of TOE security by attackers possessing a low attack potential.

SOF-medium - A level of the TOE strength of function where analysis shows that the function provides adequate protection against straightforward or intentional breach of TOE security by attackers possessing a moderate attack potential.

SOF-high - A level of the TOE strength of function where analysis shows that the function provides adequate protection against deliberately planned or organised breach of TOE security by attackers possessing a high attack potential.

Target of Evaluation - An IT product or system and its associated administrator and user guidance documentation that is the subject of an evaluation.

TOE Security Functions - A set consisting of all hardware, software, and firmware of the TOE that must be relied upon for the correct enforcement of the TSP.

TOE Security Policy - A set of rules that regulate how assets are managed, protected and distributed within a TOE.

TSF Scope of Control - The set of interactions that can occur with or within a TOE and are subject to the rules of the TSP.

8 Bibliography

[1] Common Criteria for Information Technology Security Evaluation, Version 2.1, August 1999

[2] Common Methodology for Information Technology Security Evaluation (CEM), Part 1, Version 0.6; Part 2: Evaluation Methodology, Version 1.0, August 1999

[3] BSI certification: Procedural Description (BSI 7125)

[4] Application Notes and Interpretations of the Scheme (AIS) as relevant for the TOE.

[5] German IT Security Certificates (BSI 7148, BSI 7149), periodically updated list published also on the BSI Web-site

[6] Evaluation Technical Report for a PP evaluation, Version 1.0, December 09th, 2005, Common Criteria Protection Profile electronic Health Card (eHC) – elektronische Gesundheitskarte (eGK), T-Systems GEI GmbH (confidential document)

[7] Common Criteria Protection Profile electronic Health Card (eHC) – elektronische Gesundheitskarte (eGK) , BSI-PP-0020, Version 1.02, December 12th, 2005, BSI

[8] Die Spezifikation der elektronischen Gesundheitskarte, Teil 1: Kommandos, Algorithmen und Funktionen der Betriebssystem-Plattform, Version 0.99, 31.10.2005, BMGS

[9] Die Spezifikation der elektronischen Gesundheitskarte, Teil 2: Anwendungen und anwendungsspezifische Strukturen, Version 0.99, 06.11.2005, BMGS

[10] Protection Profile Secure Signature Creation Device Type 2 resp. Type 3, registered and certified by Bundesamt für Sicherheit in der Informationstechnik (BSI) under the reference BSI-PP-0005-2002T resp. BSI-PP-0006-2002T

C Annex: Protection Profile

The Protection Profile (PP) [7] is provided within a separate document.