

# Certification Report

**BSI-CC-PP-0019-V2-2009**

for

**Security Module Card Type A (PP-SMC-A),  
Version 2.2**

developed on behalf of the

**Federal Ministry of Health, Germany**

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Bundesamt  
für Sicherheit in der  
Informationstechnik

# Deutsches IT-Sicherheitszertifikat

erteilt vom



Bundesamt für Sicherheit in der Informationstechnik

## BSI-CC-PP-0019-V2-2009

Common Criteria Protection Profile

### Security Module Card Type A (PP-SMC-A)

Version 2.2

developed on behalf of the Federal Ministry of Health, Germany

Assurance Package claimed in the Protection Profile:

Common Criteria Part 3 conformant

EAL 4 augmented by

ADV\_IMP.2, AVA\_MSU.3 and AVA\_VLA.4



Common Criteria  
Recognition  
Arrangement for  
components up to  
EAL 4



The Protection Profile identified in this certificate has been evaluated at an accredited and licensed/ approved evaluation facility using the Common Methodology for IT Security Evaluation, Version 2.3 for conformance to the Common Criteria for IT Security Evaluation (CC), Version 2.3 (ISO/IEC 15408:2005).

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 German Federal Office for Information Security (BSI) and 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.

Bonn, 8 June 2009

For the Federal Office for Information Security

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## Preliminary Remarks

Under the BSIG<sup>1</sup> Act, the Federal Office for Information Security (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 products 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 the Protection Profile is carried out on the instigation of the BSI or a sponsor.

A part of the procedure is the technical examination (evaluation) of the Protection Profile according to Common Criteria [1].

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

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<sup>1</sup> Act setting up the Federal Office for Information Security (BSI-Errichtungsgesetz, BSIG) of 17 December 1990, Bundesgesetzblatt I p. 2834

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## A Certification

### 1 Specifications of the Certification Procedure

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

- BSIG<sup>2</sup>
- BSI Certification Ordinance<sup>3</sup>
- BSI Schedule of Costs<sup>4</sup>
- Special decrees issued by the Bundesministerium des Innern (Federal Ministry of the Interior)
- DIN EN 45011 standard
- BSI certification: Procedural Description (BSI 7125) [3]
- Common Criteria for IT Security Evaluation (CC), Version 2.3 (ISO/IEC 15408:2005)<sup>5</sup>
- Common Methodology for IT Security Evaluation, Version 2.3
- BSI certification: Application Notes and Interpretation of the Scheme (AIS)
- Procedure for the Issuance of a PP certificate by the BSI

### 2 Recognition Agreements

In order to avoid multiple certification of the same Protection Profile in different countries a mutual recognition of IT security certificates - as far as such certificates are based on CC - under certain conditions was agreed.

#### 2.1 International Recognition of CC - Certificates

An arrangement (Common Criteria Arrangement) on the mutual recognition of certificates based on the CC evaluation assurance levels up to and including EAL 4 has been signed in May 2000 (CCRA). It includes also the recognition of Protection Profiles based on the CC.

As of January 2009 the arrangement has been signed by the national bodies of: Australia, Austria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, India, Israel, Italy, Japan, Republic of Korea, Malaysia, The Netherlands, New Zealand, Norway, Pakistan, Republic of Singapore, Spain, Sweden, Turkey, United Kingdom, United

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<sup>2</sup> Act setting up the Federal Office for Information Security (BSI-Errichtungsgesetz, BSIG) of 17 December 1990, Bundesgesetzblatt I p. 2834

<sup>3</sup> Ordinance on the Procedure for Issuance of a Certificate by the Federal Office for Information Security (BSI-Zertifizierungsverordnung, BSIZertV) of 07 July 1992, Bundesgesetzblatt I p. 1230

<sup>4</sup> 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

<sup>5</sup> Proclamation of the Bundesministerium des Innern of 10 May 2006 in the Bundesanzeiger dated 19 May 2006, p. 3730

States of America. The current list of signatory nations resp. approved certification schemes can be seen on the web site: <http://www.commoncriteriaportal.org>

The Common Criteria Arrangement logo printed on the certificate indicates that this certification is recognised under the terms of this agreement.

### 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 PP Security Module Card Type A (PP-SMC-A), Version 2.2 has undergone the certification procedure at BSI.

The evaluation of the PP Security Module Card Type A (PP-SMC-A), Version 2.2 was conducted by the ITSEF SRC Security Research & Consulting GmbH. The evaluation was completed on 12 May 2009. The ITSEF SRC Security Research & Consulting GmbH is an evaluation facility (ITSEF)<sup>6</sup> recognised by the certification body of BSI.

The PP is developed on behalf of the 'Federal Ministry of Health, Germany'.

The certification is concluded with the comparability check and the production of this Certification Report. This work was completed by the BSI.

### 4 Validity of the certification result

This Certification Report only applies to the version of the Protection Profile as indicated.

In case of changes to the certified version of the Protection Profile, the validity can be extended to the new versions and releases, provided the sponsor applies for assurance continuity (i.e. re-certification or maintenance) of the modified Protection Profile, in accordance with the procedural requirements, and the evaluation does not reveal any security deficiencies.

For the meaning of the assurance levels and the confirmed strength of functions, please refer to the excerpts from the criteria at the end of the Certification Report.

### 5 Publication

The PP Security Module Card Type A (PP-SMC-A), Version 2.2 has been included in the BSI list of the certified Protection Profiles, which is published regularly (see also Internet: <http://www.bsi.bund.de> and [4]). Further information can be obtained from BSI-Infoline +49 228 9582-111.

Further copies of this Certification Report can be requested from the BSI<sup>7</sup> of the Protection Profile. The Certification Report may also be obtained in electronic form at the internet address stated above.

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<sup>6</sup> Information Technology Security Evaluation Facility

<sup>7</sup> Bundesamt für Sicherheit in der Informationstechnik, Godesberger Allee 185-189, 53133 Bonn, Germany



## **B Certification Results**

The following results represent a summary of

- the certified Protection Profile,
- the relevant evaluation results from the evaluation facility, and
- complementary notes and stipulations of the certification body.

# 1 Protection Profile Overview

This Protection Profile Security Module Card Type A (PP-SMC-A), Version 2.2 [6] is developed on behalf of the Federal Ministry of Health (Germany) as a basis for the development of Security Targets in order to perform a certification of an IT-product (TOE) in the framework of the German health care system.

The Target of Evaluation (TOE) defined in the PP is the Security Module Card Type A (SMC-A, German "Sicherheitsmodul-Karte Typ A"). SMC-A is a contact based smart card which is conformant to the specification documents [7], [8], [9] and [10].

The TOE comprises of

- **TOE\_IC**, consisting of:
  - the circuitry of the SMC-A'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 SMC-A applications (data structures and their content)

and

- **TOE\_GD**:
  - the guidance documentation delivered together with the TOE

The TOE is used by an institution which is under control of an individual acting as accredited health profession in a health care environment

- to support medical assistants, pharmaceutical staff and other persons under control of a health professional using a Health Professional Card (HPC) to get access to data on an electronic Health Card (eHC) and
- to support trusted channel in interaction with other smart cards.

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 SMC-A the phases 1 up to 4 as defined in [6], 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 assets to be protected by a TOE claiming conformance to this PP are defined in the Protection Profile [6], chapter 3.1. Based on these assets the security environment is defined in terms of Assumptions, Threats and Organisational Security Policies. This is outlined in the Protection Profile [6], chapter 3.2, 3.3 and 3.4.

These Assumptions, Threats and Organisational Security Policies are split into Security Objectives to be fulfilled by a TOE claiming conformance to this PP and Security Objectives to be fulfilled by the IT-Environment of a TOE claiming conformance to this PP.

## 2 Security Functional Requirements

Based on the Security Objectives to be fulfilled by a TOE claiming conformance to this PP the security policy is expressed by the set of Security Functional Requirements to be implemented by a TOE. It covers the following issues:

- card-to-card authentication between the SMC-A and an HPC or an eHC or another Security Module Card with and without establishment of a trusted channel.

These TOE Security Functional Requirements (SFR) are outlined in the PP [6], chapter 6.1. They are selected from Common Criteria Part 2 and some of them are newly defined. Thus the SFR claim is called:

Common Criteria Part 2 extended

The Protection Profile defines Security Objectives to be fulfilled by the IT-Environment of a TOE claiming conformance to this PP. These objectives are outlined in the PP [6], chapter 4.1.2 and 4.1.3.

## 3 Assurance Requirements

The TOE security assurance package claimed in the Protection Profile is based entirely on the assurance components defined in part 3 of the Common Criteria. Thus, this assurance package is called:

Common Criteria Part 3 conformant  
EAL 4 augmented by  
ADV\_IMP.2, AVA\_MSU.3 and AVA\_VLA.4

(for the definition and scope of assurance packages according to CC see part C or [1], part 3 for details).

## 4 Results of the PP-Evaluation

The Evaluation Technical Report (ETR) [5] 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) [11] as relevant for the TOE.

As a result of the evaluation the verdict PASS is confirmed for the assurance components of the class APE.

The following assurance components were used:

APE\_INT.1 PP introduction  
APE\_DES.1 TOE description  
APE\_ENV.1 Security Environment  
APE\_OBJ.1 Security objectives  
APE\_REQ.1 IT security requirements  
APE\_SRE.1 Explicitly stated IT security requirements

The results of the evaluation are only applicable to the Protection Profile as defined in chapter 1.

## 5 Obligations and notes for the usage

The following aspects need to be fulfilled when using the Protection Profile:

none

## 6 Protection Profile Document

The Protection Profile Security Module Card Type A (PP-SMC-A), Version 2.2 [6] is provided within a separate document as Annex A of this report.

## 7 Definitions

### 7.1 Acronyms

<b>BSI</b>	Bundesamt für Sicherheit in der Informationstechnik / Federal Office for Information Security, Bonn, Germany
<b>CCRA</b>	Common Criteria Recognition Arrangement
<b>CC</b>	Common Criteria for IT Security Evaluation
<b>EAL</b>	Evaluation Assurance Level
<b>eHC</b>	electronic Health Card
<b>HPC</b>	Health Professional Card
<b>IT</b>	Information Technology
<b>ITSEF</b>	Information Technology Security Evaluation Facility
<b>PP</b>	Protection Profile
<b>QES</b>	Qualified Electronic Signature
<b>SF</b>	Security Function
<b>SFP</b>	Security Function Policy
<b>SMC</b>	Security Module Card
<b>SOF</b>	Strength of Function
<b>SSCD</b>	Secure Signature Creation Device
<b>ST</b>	Security Target
<b>TOE</b>	Target of Evaluation
<b>TSC</b>	TSF Scope of Control
<b>TSF</b>	TOE Security Functions
<b>TSP</b>	TOE Security Policy

### 7.2 Glossary

**Augmentation** - The addition of one or more assurance component(s) from CC 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.

**Formal** - Expressed in a restricted syntax language with defined semantics based on well-established mathematical concepts.

**Informal** - Expressed in natural language.

**Object** - An entity within the TSC that contains or receives information and upon which subjects perform operations.

**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.

**Semiformal** - Expressed in a restricted syntax language with defined semantics.

**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.

**Subject** - An entity within the TSC that causes operations to be performed.

**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 2.3, August 2005
- [2] Common Methodology for Information Technology Security Evaluation (CEM), Evaluation Methodology, Version 2.3, August 2005
- [3] BSI certification: Procedural Description (BSI 7125)
- [4] German IT Security Certificates (BSI 7148, BSI 7149), periodically updated list published also on the BSI Website
- [5] Evaluation Technical Report, Version 1.0, 8<sup>th</sup> May 2009, Security Module Card Type A (PP-SMC-A), SRC Security Research & Consulting GmbH (confidential document)
- [6] Common Criteria Protection Profile – Security Module Card Type A (PP-SMC-A), Version 2.2, 21<sup>st</sup> April 2009, Bundesamt für Sicherheit in der Informationstechnik
- [7] Specification German Health Professional Card and Security Module Card - Part 1: Commands, Algorithms and Functions of the COS Platform, Version 2.3.0, 04.07.2008, Bundesärztekammer, Kassenärztliche Bundesvereinigung, Bundeszahnärztekammer, Bundespsychotherapeutenkammer, Kassenzahnärztliche Bundesvereinigung, Bundesapothekerkammer, Deutsche Krankenhaus-Gesellschaft
- [8] Specification German Health Professional Card and Security Module Card - Part 2: HPC Applications and Functions, Version 2.3.0, 04.07.2008, Bundesärztekammer, Kassenärztliche Bundesvereinigung, Bundeszahnärztekammer, Bundespsychotherapeutenkammer, Kassenzahnärztliche Bundesvereinigung, Bundesapothekerkammer, Deutsche Krankenhaus-Gesellschaft
- [9] Specification German Health Professional Card and Security Module Card - Part 3: SMC Applications and Functions, Version 2.3.0, 04.07.2008, Bundesärztekammer, Kassenärztliche Bundesvereinigung, Bundeszahnärztekammer, Bundespsychotherapeutenkammer, Kassenzahnärztliche Bundesvereinigung, Bundesapothekerkammer, Deutsche Krankenhaus-Gesellschaft
- [10] Specification Related Questions Nr. 0001 bis 0003, 08.08.2008, Bundesärztekammer, Kassenärztliche Bundesvereinigung, Bundeszahnärztekammer, Bundespsychotherapeutenkammer, Kassenzahnärztliche Bundesvereinigung, Bundesapothekerkammer, Deutsche Krankenhaus-Gesellschaft
- [11] Application Notes and Interpretations of the Scheme (AIS) as relevant for the TOE<sup>8</sup>

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<sup>8</sup> specially

- AIS 32, Version 1, 2 July 2001, Übernahme international abgestimmter CC-Interpretationen ins deutsche Zertifizierungsschema
- AIS 38, Version 2, 28 September 2007, Reuse of evaluation results

## C Excerpts from the Criteria

CC Part1:

### Conformance results (chapter 7.4)

„The conformance result indicates the source of the collection of requirements that is met by a TOE or PP that passes its evaluation. This conformance result is presented with respect to CC Part 2 (functional requirements), CC Part 3 (assurance requirements) and, if applicable, to a pre-defined set of requirements (e.g., EAL, Protection Profile).

The conformance result consists of one of the following:

- **CC Part 2 conformant** - A PP or TOE is CC Part 2 conformant if the functional requirements are based only upon functional components in CC Part 2.
- **CC Part 2 extended** - A PP or TOE is CC Part 2 extended if the functional requirements include functional components not in CC Part 2.

plus one of the following:

- **CC Part 3 conformant** - A PP or TOE is CC Part 3 conformant if the assurance requirements are based only upon assurance components in CC Part 3.
- **CC Part 3 extended** - A PP or TOE is CC Part 3 extended if the assurance requirements include assurance requirements not in CC Part 3.

Additionally, the conformance result may include a statement made with respect to sets of defined requirements, in which case it consists of one of the following:

- **Package name Conformant** - A PP or TOE is conformant to a pre-defined named functional and/or assurance package (e.g. EAL) if the requirements (functions or assurance) include all components in the packages listed as part of the conformance result.
- **Package name Augmented** - A PP or TOE is an augmentation of a pre-defined named functional and/or assurance package (e.g. EAL) if the requirements (functions or assurance) are a proper superset of all components in the packages listed as part of the conformance result.

Finally, the conformance result may also include a statement made with respect to Protection Profiles, in which case it includes the following:

- **PP Conformant** - A TOE meets specific PP(s), which are listed as part of the conformance result.“

## CC Part 3:

**Protection Profile criteria overview** (chapter 8.2)

“The goal of a PP evaluation is to demonstrate that the PP is complete, consistent, technically sound, and hence suitable for use as a statement of requirements for one or more evaluatable TOEs. Such a PP may be eligible for inclusion within a PP registry.”

“Assurance Class	Assurance Family
Class APE: Protection Profile evaluation	TOE description (APE_DES)
	Security environment (APE_ENV)
	PP introduction (APE_INT)
	Security objectives (APE_OBJ)
	IT security requirements (APE_REQ)
	Explicitly stated IT security requirements (APE_SRE)

Table 3 - Protection Profile families - CC extended requirements ”

**Security Target criteria overview** (Chapter 8.3)

“The goal of an ST evaluation is to demonstrate that the ST is complete, consistent, technically sound, and hence suitable for use as the basis for the corresponding TOE evaluation.”

“Assurance Class	Assurance Family
Class ASE: Security Target evaluation	TOE description (ASE_DES)
	Security environment (ASE_ENV)
	ST introduction (ASE_INT)
	Security objectives (ASE_OBJ)
	PP claims (ASE_PPC)
	IT security requirements (ASE_REQ)
	Explicitly stated IT security requirements (ASE_SRE)
	TOE summary specification (ASE_TSS)

Table 5 - Security Target families - CC extended requirements ”



**Assurance categorisation** (chapter 7.5)

“The assurance classes, families, and the abbreviation for each family are shown in Table 1.

<b>Assurance Class</b>	<b>Assurance Family</b>
ACM: Configuration management	CM automation (ACM_AUT)
	CM capabilities (ACM_CAP)
	CM scope (ACM_SCP)
ADO: Delivery and operation	Delivery (ADO_DEL)
	Installation, generation and start-up (ADO_IGS)
ADV: Development	Functional specification (ADV_FSP)
	High-level design (ADV_HLD)
	Implementation representation (ADV_IMP)
	TSF internals (ADV_INT)
	Low-level design (ADV_LLD)
	Representation correspondence (ADV_RCR)
	Security policy modeling (ADV_SPM)
AGD: Guidance documents	Administrator guidance (AGD_ADM)
	User guidance (AGD_USR)
ALC: Life cycle support	Development security (ALC_DVS)
	Flaw remediation (ALC_FLR)
	Life cycle definition (ALC_LCD)
	Tools and techniques (ALC_TAT)
ATE: Tests	Coverage (ATE_COV)
	Depth (ATE_DPT)
	Functional tests (ATE_FUN)
	Independent testing (ATE_IND)
AVA: Vulnerability assessment	Covert channel analysis (AVA_CCA)
	Misuse (AVA_MSU)
	Strength of TOE security functions (AVA_SOF)
	Vulnerability analysis (AVA_VLA)

Table 1: Assurance family breakdown and mapping”

## **Evaluation assurance levels (chapter 11)**

“The Evaluation Assurance Levels (EALs) provide an increasing scale that balances the level of assurance obtained with the cost and feasibility of acquiring that degree of assurance. The CC approach identifies the separate concepts of assurance in a TOE at the end of the evaluation, and of maintenance of that assurance during the operational use of the TOE.

It is important to note that not all families and components from CC Part 3 are included in the EALs. This is not to say that these do not provide meaningful and desirable assurances. Instead, it is expected that these families and components will be considered for augmentation of an EAL in those PPs and STs for which they provide utility.”

### **Evaluation assurance level (EAL) overview (chapter 11.1)**

“Table 6 represents a summary of the EALs. The columns represent a hierarchically ordered set of EALs, while the rows represent assurance families. Each number in the resulting matrix identifies a specific assurance component where applicable.

As outlined in the next section, seven hierarchically ordered evaluation assurance levels are defined in the CC for the rating of a TOE's assurance. They are hierarchically ordered inasmuch as each EAL represents more assurance than all lower EALs. The increase in assurance from EAL to EAL is accomplished by substitution of a hierarchically higher assurance component from the same assurance family (i.e. increasing rigour, scope, and/or depth) and from the addition of assurance components from other assurance families (i.e. adding new requirements).

These EALs consist of an appropriate combination of assurance components as described in chapter 7 of this Part 3. More precisely, each EAL includes no more than one component of each assurance family and all assurance dependencies of every component are addressed.

While the EALs are defined in the CC, it is possible to represent other combinations of assurance. Specifically, the notion of “augmentation” allows the addition of assurance components (from assurance families not already included in the EAL) or the substitution of assurance components (with another hierarchically higher assurance component in the same assurance family) to an EAL. Of the assurance constructs defined in the CC, only EALs may be augmented. The notion of an “EAL minus a constituent assurance component” is not recognised by the standard as a valid claim. Augmentation carries with it the obligation on the part of the claimant to justify the utility and added value of the added assurance component to the EAL. An EAL may also be extended with explicitly stated assurance requirements.

Assurance Class	Assurance Family	Assurance Evaluation Assurance Level Components							by
		EAL1	EAL2	EAL3	EAL4	EAL5	EAL6	EAL7	
Configuration management	ACM_AUT				1	1	2	2	
	ACM_CAP	1	2	3	4	4	5	5	
	ACM_SCP			1	2	3	3	3	
Delivery and operation	ADO_DEL		1	1	2	2	2	3	
	ADO_IGS	1	1	1	1	1	1	1	
Development	ADV_FSP	1	1	1	2	3	3	4	
	ADV_HLD		1	2	2	3	4	5	
	ADV_IMP				1	2	3	3	
	ADV_INT					1	2	3	
	ADV_LLD				1	1	2	2	
	ADV_RCR	1	1	1	1	2	2	3	
	ADV_SPM				1	3	3	3	
Guidance documents	AGD_ADM	1	1	1	1	1	1	1	
	AGD_USR	1	1	1	1	1	1	1	
Life cycle support	ALC_DVS			1	1	1	2	2	
	ALC_FLR								
	ALC_LCD				1	2	2	3	
	ALC_TAT				1	2	3	3	
Tests	ATE_COV		1	2	2	2	3	3	
	ATE_DPT			1	1	2	2	3	
	ATE_FUN		1	1	1	1	2	2	
	ATE_IND	1	2	2	2	2	2	3	
Vulnerability assessment	AVA_CCA					1	2	2	
	AVA_MSU			1	2	2	3	3	
	AVA_SOF		1	1	1	1	1	1	
	AVA_VLA		1	1	2	3	4	4	

Table 6: Evaluation assurance level summary”

**Evaluation assurance level 1 (EAL1) - functionally tested** (chapter 11.3)

## “Objectives

EAL1 is applicable where some confidence in correct operation is required, but the threats to security are not viewed as serious. It will be of value where independent assurance is required to support the contention that due care has been exercised with respect to the protection of personal or similar information.

EAL1 provides an evaluation of the TOE as made available to the customer, including independent testing against a specification, and an examination of the guidance documentation provided. It is intended that an EAL1 evaluation could be successfully conducted without assistance from the developer of the TOE, and for minimal outlay.

An evaluation at this level should provide evidence that the TOE functions in a manner consistent with its documentation, and that it provides useful protection against identified threats.”

**Evaluation assurance level 2 (EAL2) - structurally tested** (chapter 11.4)

## “Objectives

EAL2 requires the co-operation of the developer in terms of the delivery of design information and test results, but should not demand more effort on the part of the developer than is consistent with good commercial practice. As such it should not require a substantially increased investment of cost or time.

EAL2 is therefore applicable in those circumstances where developers or users require a low to moderate level of independently assured security in the absence of ready availability of the complete development record. Such a situation may arise when securing legacy systems, or where access to the developer may be limited.”

**Evaluation assurance level 3 (EAL3) - methodically tested and checked** (chapter 11.5)

## “Objectives

EAL3 permits a conscientious developer to gain maximum assurance from positive security engineering at the design stage without substantial alteration of existing sound development practices.

EAL3 is applicable in those circumstances where developers or users require a moderate level of independently assured security, and require a thorough investigation of the TOE and its development without substantial re-engineering.”

**Evaluation assurance level 4 (EAL4) - methodically designed, tested, and reviewed** (chapter 11.6)

## “Objectives

EAL4 permits a developer to gain maximum assurance from positive security engineering based on good commercial development practices which, though rigorous, do not require substantial specialist knowledge, skills, and other resources. EAL4 is the highest level at which it is likely to be economically feasible to retrofit to an existing product line.

EAL4 is therefore applicable in those circumstances where developers or users require a moderate to high level of independently assured security in conventional commodity TOEs and are prepared to incur additional security-specific engineering costs.”

**Evaluation assurance level 5 (EAL5) - semiformally designed and tested**  
(chapter 11.7)

## “Objectives

EAL5 permits a developer to gain maximum assurance from security engineering based upon rigorous commercial development practices supported by moderate application of specialist security engineering techniques. Such a TOE will probably be designed and developed with the intent of achieving EAL5 assurance. It is likely that the additional costs attributable to the EAL5 requirements, relative to rigorous development without the application of specialised techniques, will not be large.

EAL5 is therefore applicable in those circumstances where developers or users require a high level of independently assured security in a planned development and require a rigorous development approach without incurring unreasonable costs attributable to specialist security engineering techniques.”

**Evaluation assurance level 6 (EAL6) - semiformally verified design and tested**  
(chapter 11.8)

## “Objectives

EAL6 permits developers to gain high assurance from application of security engineering techniques to a rigorous development environment in order to produce a premium TOE for protecting high value assets against significant risks.

EAL6 is therefore applicable to the development of security TOEs for application in high risk situations where the value of the protected assets justifies the additional costs.”

**Evaluation assurance level 7 (EAL7) - formally verified design and tested**  
(chapter 11.9)

## “Objectives

EAL7 is applicable to the development of security TOEs for application in extremely high risk situations and/or where the high value of the assets justifies the higher costs. Practical application of EAL7 is currently limited to TOEs with tightly focused security functionality that is amenable to extensive formal analysis.“

**Strength of TOE security functions (AVA\_SOF)** (chapter 19.3)

## “Objectives

Even if a TOE security function cannot be bypassed, deactivated, or corrupted, it may still be possible to defeat it because there is a vulnerability in the concept of its underlying security mechanisms. For those functions a qualification of their security behaviour can be made using the results of a quantitative or statistical analysis of the security behaviour of these mechanisms and the effort required to overcome them. The qualification is made in the form of a strength of TOE security function claim.”

**Vulnerability analysis (AVA\_VLA)** (chapter 19.4)

## “Objectives

Vulnerability analysis is an assessment to determine whether vulnerabilities identified, during the evaluation of the construction and anticipated operation of the TOE or by other methods (e.g. by flaw hypotheses), could allow users to violate the TSP.

Vulnerability analysis deals with the threats that a user will be able to discover flaws that will allow unauthorised access to resources (e.g. data), allow the ability to interfere with or alter the TSF, or interfere with the authorised capabilities of other users.”

#### "Application notes

A vulnerability analysis is performed by the developer in order to ascertain the presence of security vulnerabilities, and should consider at least the contents of all the TOE deliverables including the ST for the targeted evaluation assurance level. The developer is required to document the disposition of identified vulnerabilities to allow the evaluator to make use of that information if it is found useful as a support for the evaluator's independent vulnerability analysis.”

“Independent vulnerability analysis goes beyond the vulnerabilities identified by the developer. The main intent of the evaluator analysis is to determine that the TOE is resistant to penetration attacks performed by an attacker possessing a low (for AVA\_VLA.2 Independent vulnerability analysis), moderate (for AVA\_VLA.3 Moderately resistant) or high (for AVA\_VLA.4 Highly resistant) attack potential.”

## **D Annexes**

### **List of annexes of this certification report**

Annex A: Protection Profile Security Module Card Type A (PP-SMC-A), Version 2.2 [6]  
provided within a separate document.

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