



**Fuji Xerox**  
**ApeosPort-II 5010/4000/3000**  
**Series Controller Software**  
**for Asia Pacific**

**Security Target**

**Version 1.0.5**

This document is a translation of the evaluated and certified security target written in Japanese

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## **1. ST OVERVIEW**

This chapter describes Security Target (ST) identification information, an overview of the ST, the evaluation assurance level of Target of Evaluation (TOE), Common Criteria (CC) conformance, references, acronyms, and terminology.

### **1.1. ST Identification**

This section provides information needed to identify this ST and its Target of Evaluation (TOE). This ST complies with ISO/IEC 15408 (2005).

#### **(1) ST Identification**

ST Title: Fuji Xerox ApeosPort-II 5010/4000/3000 Series Controller Software for Asia Pacific Security Target

ST Version: 1.0.5

Author: Fuji Xerox Co., Ltd.

Publication Date: December 20, 2007

CC Common Criteria for Information Technology Security Evaluation, Version 2.3

Identification: ISO/IEC 15408 (2005) Interpretations-0512

Keywords: Multifunction System, Multi Function Peripheral, Copy, Print, Scan, Fax, Internal Hard Disk Drive, Document Overwrite, Document Encryption

#### **(2) TOE Identification**

Fuji Xerox ApeosPort-II5010, Fuji Xerox ApeosPort-II4000, Fuji Xerox ApeosPort-II3000 are identified by the same TOE identification and use the same ROM version:

TOE Identification: Fuji Xerox ApeosPort-II 5010/4000/3000 Series Controller Software for Asia Pacific

Version: Controller ROM Ver. 1.180.0

Manufacturer: Fuji Xerox Co., Ltd.

### **1.2. ST Overview**

This ST provides the security specifications of the controller software of ApeosPort-II 5010/4000/3000 series (hereinafter referred to as “MFP”). This controller software is also used to realize functions of a data security kit, an option of the MFP.

MFP is the short name of Multi Function Peripheral which has copy, print, scan, and fax functions. The data security kit is an option which protects, from unauthorized disclosure, the document data which is stored in the internal HDD after being processed by the MFP (hereinafter referred to as “used document data”).

The document data and TOE configuration data on the internal network are protected from unauthorized access via fax line using public telephone line.

This TOE provides the following security functions:

- Hard Disk Data Overwrite (TSF\_IOW);
- Hard Disk Data Encryption (TSF\_CIPHER);
- System Administrator's Security Management (TSF\_FMT);
- Customer Engineer Operation Restriction (TSF\_CE\_LIMIT);
- Fax Flow Security (TSF\_FAX\_FLOW).

### 1.3. Common Criteria Conformance Claim

This ST conforms to the following evaluation standards for information security (CC). The ST does not conform to a Protection Profile (PP).

- CC Part 2
- CC Part 3
- Evaluation Assurance Level: EAL 2

### 1.4. References

The following documentation was used to prepare this ST:

Short Name	Document Title
[CC Part 1]	Common Criteria for Information Technology Security Evaluation - Version 2.3 Part 1: Introduction and general model, dated August 2005, CCMB-2005-08-001 (Translation version 1.0, dated December 2005, translated by Information Security Certification Office, IT Security Center, Information-Technology Promotion Agency, Japan)
[CC Part 2]	Common Criteria for Information Technology Security Evaluation - Version 2.3 Part 2: Security functional requirements, dated August 2005, CCMB-2005-08-002 (Translation version 1.0, dated December 2005, translated by Information Security Certification Office, IT Security Center, Information-Technology Promotion Agency, Japan)
[CC Part 3]	Common Criteria for Information Technology Security Evaluation - Version 2.3 Part 3: Security assurance requirements, dated August 2005, CCMB-2005-08-003 (Translation version 1.0, dated December 2005, translated by Information Security Certification Office, IT Security Center, Information-Technology Promotion Agency, Japan)
[CEM]	Common Methodology for Information Technology Security Evaluation - Version 2.3 Evaluation Methodology, dated August 2005, CCMB-2005-08-004 (Translation version 1.0, dated December 2005, translated by Information Security Certification Office, IT Security Center, Information-Technology Promotion Agency, Japan)
[ISO/IEC TR15446]	WD N3374, Guide for the Production of PPs and STs - Version 0.93 (Provisional translation, dated January 2004, translated by IT Security Center, Information-Technology Promotion Agency, Japan)

Short Name	Document Title
[I-0512]	Interpretations-0512 (Translation version 1.0, dated December 2005, translated by Information Security Certification Office, IT Security Center, Information-Technology Promotion Agency, Japan)

## 1.5. Acronyms and Terminology

### 1.5.1. Acronyms

The following acronyms are used in this ST:

Acronym	Definition
ADF	Auto Document Feeder
CC	Common Criteria for Information Technology Security Evaluation
CE	Customer Engineer / Customer Service Engineer
CWIS	CentreWare Internet Service
DC	Digital Copier
DRAM	Dynamic Random Access Memory
EAL	Evaluation Assurance Level
IIT	Image Input Terminal
IOT	Image Output Terminal
IT	Information Technology
IP	Internet Protocol
MFP	Multi Function Peripheral
NVRAM	Non Volatile Random Access Memory
PDL	Page Description Language
PP	Protection Profile
SAR	Security Assurance Requirement
SEEPROM	Serial Electronically Erasable and Programmable Read Only Memory
SF	Security Function
SFP	Security Function Policy
SFR	Security Functional Requirement
SMTP	Simple Mail Transfer Protocol
SOF	Strength of Function
ST	Security Target
TOE	Target of Evaluation
TSC	TSF Scope of Control
TSF	TOE Security Function
TSFI	TSF Interface
TSP	TOE Security Policy



### 1.5.2. Terminology

The following terms are used in this ST:

Term	Definition
User	Any entity outside TOE, who interacts with the TOE: <i>i.e.</i> general user, customer service engineer, and system administrator.
General User	Any person who uses copy, scan, and print functions of MFP.
System Administrator	An authorized user who manages MFP maintenance and configures TOE security functions.
Customer Engineer (CE)	This term is equivalent to customer service engineer, a Xerox engineer who maintains and repairs MFP.
Attacker	A malicious user of TOE.
Control Panel	A panel of MFP on which buttons, lamps, and a touch screen panel are mounted to operate the MFP.
General User Client	A client for general user.
System Administrator Client	A client for system administrator. An administrator can refer to and rewrite TOE configuration data of MFP via Web browser.
CentreWare Internet Service (CWIS)	A service to retrieve the document data scanned by MFP from Mailbox. It also enables a system administrator to refer to and rewrite TOE configuration data via Web browser.
System Administrator Mode	An operation mode that enables a system administrator to refer to and rewrite TOE configuration for device operation and that for security functions according to the operational environment. This mode is distinguished from the operation mode that enables a general user to use the MFP functions.
Fax Driver	Software for Direct Fax function, which enables a general user to fax data to the destination directly from a general user client through MFP. A user can send the fax data just as printing.
Network Scan Utility	Software for a general user client to retrieve the document data stored in Mailbox of MFP.
Print Driver	Software for a general user to convert the data on a general user client into the print data written in page description language (PDL), a readable format for MFP.
Print Data	The data written in PDL, a readable format for MFP, which is to be converted into bitmap data by TOE decompose function.
Control Data	The data that is transmitted by command and response interactions. This is one type of data transmitted between MFP hardware units.
Bitmap Data	The decomposed data of the data read by copy function and the print data transmitted from a user client to MFP. Bitmap data is stored into the internal HDD after being compressed in the unique process.
Decompose Function	A function to analyze and convert the print data written in PDL into bitmap data.
Decompose	To analyze and convert the data written in PDL into bitmap data by decompose

Term	Definition
	function.
Print Function	A function to decompose and print out the print data transmitted by a user client.
Print-Control Function	A function to control the device to enable print operation.
Store Print	<p>A print function in which bitmap data (decomposed print data) is temporarily stored in the MFP internal HDD and then printed out according to the general user's instruction from the control panel. There are three ways for the Store Print:</p> <ul style="list-style-type: none"> <li>• Security Print A user can start print operation by entering his/her password from the control panel. The user password needs to be preset from the print driver of the general user client.</li> <li>• Sample Print When printing several copies, only one copy is printed out first as a sample document. A user can check its quality and print out the remaining copies by sending an instruction from the control panel.</li> <li>• Mailbox Print Decomposed bitmap data is stored in Mailbox and printed out according to the general user's instruction from the control panel.</li> </ul>
Original	Texts, images, and photos to be read from IIT by copy function.
Copy Function	A function in which an original is read from IIT and then printed out from IOT according to the general user's instruction from the control panel. When more than one copy for one original is ordered, the data read from IIT is first stored into the MFP internal HDD. Then, the stored data is read out from the HDD as needed so that required number of copies can be made.
Copy Control Function	A function to control the device to enable copy operation.
Scan Function	<p>A function in which the original data is read from IIT and then stored into Mailbox within the MFP internal HDD according to the general user's instruction from the control panel.</p> <p>The stored document data can be retrieved via standard Web browser by CWIS or Network Scan Utility function.</p>
Scan Control Function	A function to control the device to enable scan operation.
Network Scan Function	A function in which original data is read from IIT and then transmitted to FTP server, SMB server, or Mail server according to the information set in the MFP. This function is operated according to the general user's instruction from the control panel.
Network Scan	A function to control the device to enable network scan operation.

Term	Definition
Control Function	
Fax Function	A function to send and receive fax data. According to the general user's instruction from the control panel to send a fax, the original data is read from IIT and then sent to the destination via public telephone line. The document data is received from the sender's machine via public telephone line and then printed out from the recipient's IOT.
Fax Control Function	A function to control the device to enable fax operation.
Direct Fax (D-Fax) Function	A fax function in which data is sent via public telephone line directly from a user client. The data is first sent to MFP as a print job and then to the destination without being printed out.
Internet Fax (i-Fax) Function	A fax function in which the data is sent or received via the Internet, not public telephone line.
D-Fax / i-Fax Control Function	A function to control the device to enable D-Fax / i-Fax operation.
Mailbox	A logical box created in the MFP internal HDD. The scanned document data or the data to be printed later can be stored inside.
Document Data	<p>Document data means all the image data transmitted across the MFP when copy, print, scan, or fax function is operated by a general user. The document data includes:</p> <ul style="list-style-type: none"> <li>• Bitmap data read from IIT and printed out from IOT (copy function);</li> <li>• Print data sent by general user client and its decomposed bitmap data (print function);</li> <li>• Bitmap data read from IIT and then stored into the internal HDD (scan function);</li> <li>• Bitmap data read from IIT and sent to the fax destination and the bitmap data faxed from the sender's machine and printed out from the recipient's IOT (fax function).</li> </ul>
Used Document Data	The remaining data in the MFP internal HDD even after deletion. The document data is first stored into the internal HDD, used, and then only its file is deleted.
Internally Stored Data	The data which is stored in the general user client or in the general client and server, but does not include data regarding TOE functions.
TOE Configuration Data	The data which is created by/for TOE and may affect TOE operations. Specifically, it includes the information regarding the functions of Hard Disk Data Overwrite, Hard Disk Data Encryption, System Administrator's Security Management, Customer Engineer Operation Restriction, and Mailbox.
General Client and Server	Client and server which do not engage in TOE operations.
Deletion from the Internal Hard Disk	Deletion from the internal HDD means deletion of the management information. When deletion of document data from the internal HDD is

Term	Definition
Drive (HDD)	requested, only the management information corresponding to the data is deleted. Therefore, a user cannot access the document data which was logically deleted. However, the document data itself is not deleted but remains as the used document data until a new data is written over the same storage area.
Overwrite	To write over the area of the document data stored in the internal HDD when deleting the data.
Cryptographic Seed Key	The 12 alphanumeric characters to be entered by a user. When data in the internal HDD can be encrypted, a cryptographic key is generated based on the cryptographic seed key.
Cryptographic Key	The 128-bit data which is automatically generated based on the cryptographic seed key. Before the data is stored into the internal HDD, it is encrypted with the cryptographic key.
Network	A general term to indicate both external and internal networks.
External Network	The network which cannot be managed by the organization that manages TOE. This does not include the internal network.
Internal Network	Channels between MFP and highly reliable remote server / client PC. The channels are located in the network of the organization, the owner of TOE, and are protected from the security risks coming from the external network.

## **2. TOE DESCRIPTION**

This chapter describes a TOE overview, assumption of TOE users, logical and physical scopes of TOE, and the assets protected by this TOE.

### **2.1. TOE Overview**

#### **2.1.1. Product Type**

This TOE, categorized as an IT product, is the controller software for MFP and has the following functions: copy, print, scan, Fax Control which enables fax communication through linkage with the external fax board, and Fax-Flow Security to prevent unauthorized access from the outside. The TOE is provided as the firmware product which controls the whole MFP and protects the TOE configuration data against threats. The TOE is stored on the controller ROM which is on the controller board.

The TOE is also used for the data security kit which is a MFP option to protect, from unauthorized disclosure, the used document data which is stored in the internal HDD after being processed by the MFP.

#### **2.1.2. Service Overview**

##### **2.1.2.1. Environment Assumptions**

This TOE is assumed to be used as an IT product at general office and to be linked to the internal network, public telephone line, and user clients.

Figure 1 shows the intended environment for TOE operation.

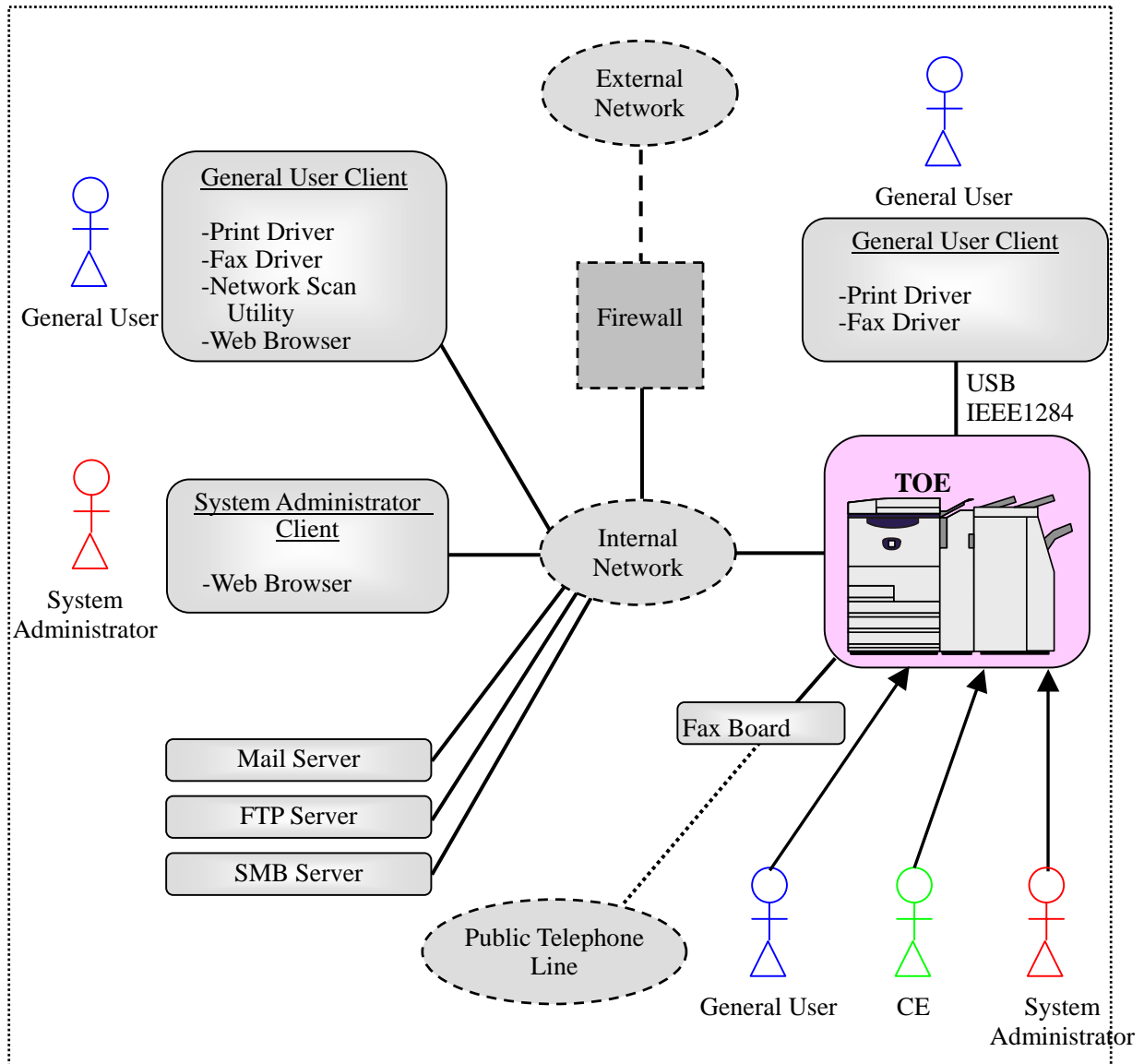


Figure 1: Intended Operational Environment

The following conditions are intended for the internal network environment linked to MFP:

(1) General user client:

When a client is linked to the MFP via the internal network and the print driver, Network Scan Utility, and fax driver are installed to the client, the general user can request the MFP to print, fax, and retrieve the document data.

The user can also request the MFP to retrieve the scanned document data via Web browser.

Additionally, the user can change the configurations which he/she registered to the MFP: Mailbox name, password, access control and automatic deletion of document.

When the client is linked to the MFP directly via USB or IEEE1284 and print/fax driver is installed to the client, the user can request the MFP to print/fax the document data.

(2) System administrator client:

A system administrator can refer to and change TOE configuration data via Web browser.

(3) Mail server:

The MFP sends/receives document data to/from Mail server via mail protocol.

(4) FTP server:

The MFP sends document data to FTP server via FTP.

(5) SMB server:

The MFP sends document data to SMB server via SMB.

(6) Fax board:

The fax board is connected to external public telephone line and supports G3/G4 protocols. The fax board is connected to the MFP via USB interface to enable fax communication.

The OSs of general user client (1) and system administrator client (2) are assumed to be Windows 2000, Windows XP, and Windows Vista.

To protect the devices within the internal network from unauthorized access, each device needs to be linked to the external network via Firewall.

**2.1.2.2. Security Function Overview**

The overview of the functions provided by this TOE is the following:

- Hard Disk Data Overwrite prevents unauthorized disclosure of used document data. The document data created during each job processing is temporarily stored in the internal HDD. After each job is completed, the used data is overwritten with new data by this function.  
The function of Hard Disk Data Encryption is also provided to prevent unauthorized disclosure of the document data which was created during each job processing. The document data is encrypted before stored into the internal HDD.
- System Administrator's Security Management restricts the right to configure TOE security functions to the authenticated system administrator. To refer to or renew TOE operational configurations, a system administrator needs to enter his/her ID and password from the control panel or Web browser.
- Customer Engineer Operation Restriction enables a system administrator to inhibit CE from configuring TOE security functions. This function prevents configuration change by an attacker who is impersonating CE.
- FAX Flow Security prevents unauthorized access to the internal network via telephone line / a modem used for fax function. For this, the fax function and network function are separated in the MFP.

**2.2. User Assumptions**

Table 1 specifies the roles of TOE users assumed in this ST.

Table 1: User Role Assumptions

User	Role Description
An organization administrator	An administrator or responsible official of the organization which owns and uses TOE.

User	Role Description
General user	A user of TOE functions such as copy, print, and fax.
System administrator	A user who is authorized to manage the device using the system administrator mode. The system administrator can refer to and rewrite, via Web browser or the control panel, the TOE configuration for device operation and that for security functions.
Customer service engineer (CE)	A user who configures the TOE operational configurations using the interface for CE.

### 2.3. Logical Scope and Boundary

The logical scope of this TOE consists of each function of the controller software recorded on the controller ROM, used document data, and TOE configuration data.

Figure 2 shows the logical architecture of the MFP.

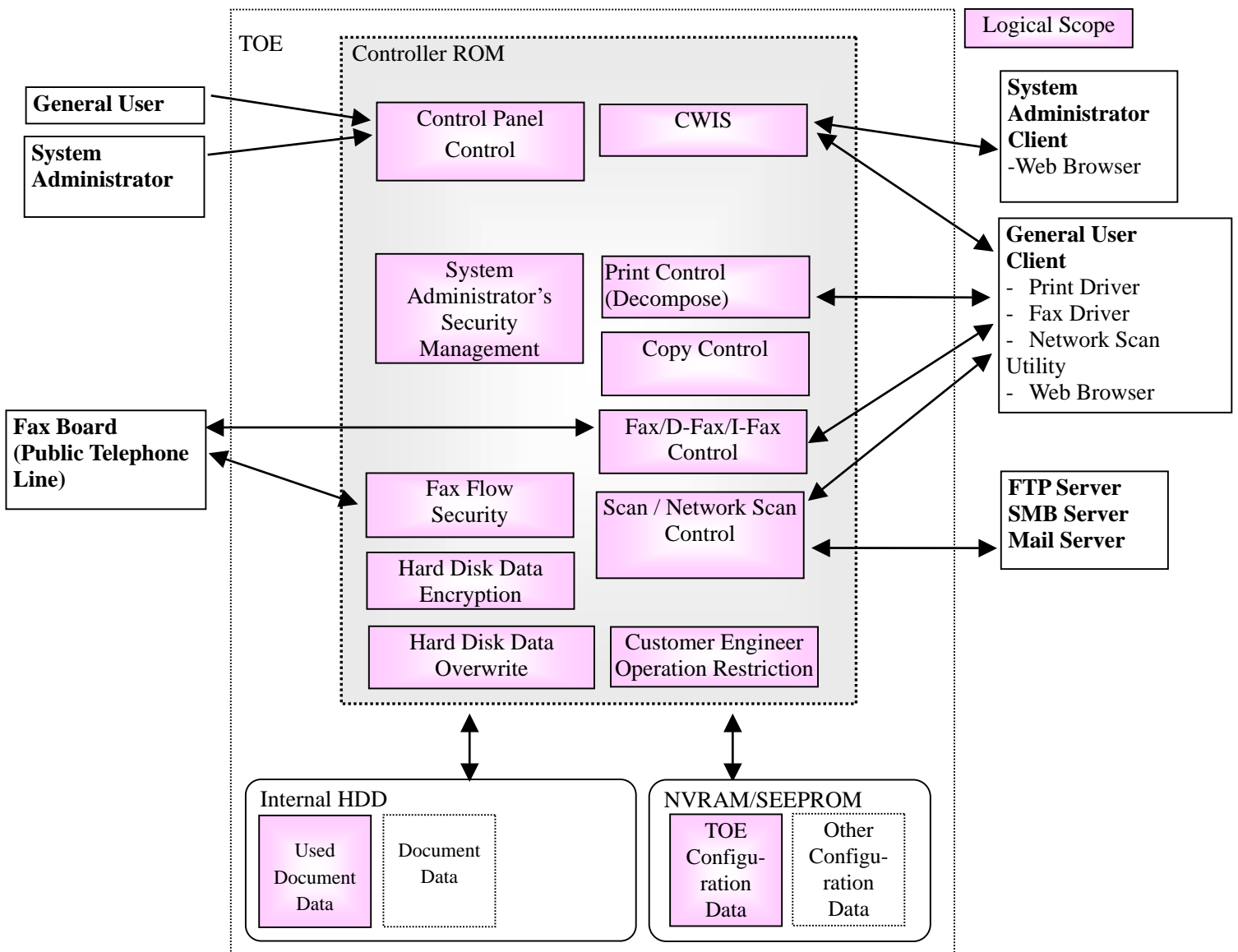


Figure 2: MFP Units and TOE Logical Scope



### **2.3.1. Basic Functions**

The TOE provides the functions of control panel, copy, print, scan, fax, i-Fax / D-Fax, and CWIS to general user.

#### **2.3.1.1. Control Panel Function**

Control panel function is a user interface function for general user and system administrator to operate MFP functions.

#### **2.3.1.2. Copy Function**

Copy function is to read the original data from IIT and print it out from IOT according to the general user's instruction from the control panel.

#### **2.3.1.3. Print Function**

Print function is to print out the data according to the instruction from the general user client. The print data created via print driver is sent to the MFP to be analyzed, decomposed, and printed out from IOT. The print function is of two types: the normal print in which the data is printed out from IOT directly after decomposed and the Store Print in which the bitmap data is temporarily stored in the internal HDD and then printed out from IOT according to the general user's instruction from the control panel.

#### **2.3.1.4. Scan Function, Network Scan Function**

Scan function is to read the original data from IIT and then store it into the internal HDD according to the general user's instruction from the control panel.

A general user can retrieve the stored document data from the general user client via CWIS or Network Scan Utility.

Network scan function is to read the original data from IIT and then transmit it to the general user client, FTP server, Mail server, or SMB server according to the information set in the MFP. A general user can request this function from the control panel.

#### **2.3.1.5. Fax Function**

Fax function is to send and receive fax data. According to the general user's instruction from the control panel to send a fax, the original data is read from IIT and then sent to the destination via public telephone line. The document data is received from the sender's machine and then printed out from the recipient's IOT.

#### **2.3.1.6. i-Fax / D-Fax Functions**

i-Fax function is to send and receive fax data as in the normal fax function. According to the general user's instruction from the control panel to send a fax, the original data is read from IIT and then sent to the destination via the Internet. The document data is received from the sender's machine via the Internet and then printed out from the recipient's IOT.

D-Fax function is to directly fax document data to the destination. According to the instruction from the general user client to send a fax, the print data created via fax driver is sent to the MFP, analyzed, and decomposed. Then, the data is converted to the format for fax sending and sent to the destination via public telephone line.

#### **2.3.1.7. CWIS Function**

CWIS is to retrieve, from the internal HDD, the scanned document data and the received fax data according to the instruction from Web browser of the general user client.

CWIS also enables System Administrator's Security Management by which a system administrator can access and rewrite TOE configuration data. For this, a system administrator must be authenticated by his/her ID and password entered from Web browser of the system administrator client.

### **2.3.2. Security Functions**

The TOE is not a general-purpose computer nor software. Therefore, its security functions are not architecturally jeopardized by such factors as bypass, destruction, interception, and alteration. The security functions provided by the TOE are the following.

#### **2.3.2.1. Hard Disk Data Overwrite (TSF\_IOW)**

To completely delete the used document data in the internal HDD, the data is overwritten with new data after each job is completed. Without this function, the used document data remains and only its management data is deleted.

#### **2.3.2.2. Hard Disk Data Encryption (TSF\_CIPHER)**

The document data is encrypted before stored into the internal HDD.

#### **2.3.2.3. System Administrator's Security Management (TSF\_FMT)**

To accord a privilege to a specific user, this TOE allows only the authenticated system administrator to access the system administrator mode which enables him/her to configure the following security functions from the control panel:

- Enable or disable Hard Disk Data Overwrite;
- Enable or disable Hard Disk Data Encryption;
- Configure the cryptographic seed key for Hard Disk Data Encryption;
- Enable or disable use of password entered from MFP control panel in user authentication;
- Change the ID and password of system administrator;
- Set the allowable number of system administrator's authentication failures before access denial;
- Enable or disable Customer Engineer Operation Restriction.

Additionally, this TOE allows only the system administrator authenticated from Web browser to configure the following security functions via CWIS:

- Change the ID and password of system administrator;
- Set the allowable number of system administrator's authentication failures before access denial.

#### **2.3.2.4. Customer Engineer Operation Restriction (TSF\_CE\_LIMIT)**

A system administrator can restrict CE's operation in the system administrator mode to inhibit CE from referring to or changing the configurations of the following TOE security functions. Customer Engineer Operation Restriction can prevent configuration change by an attacker who is impersonating CE.

- Hard Disk Data Overwrite;
- Hard Disk Data Encryption;
- Setting of system administrator ID/password;
- Setting of access denial due to authentication failure of system administrator identification;
- Customer Engineer Operation Restriction.

#### **2.3.2.5. Fax Flow Security (TSF\_FAX\_FLOW)**

A fax board is an option and is connected to TOE controller board via USB interface. An attacker cannot access the TOE inside or TOE internal network via the fax board.

## 2.4. Physical Scope and Boundary

The physical scope of this TOE is the controller software recorded on the controller ROM which is mounted on the controller board. Figure 3 shows configuration of each unit and TOE physical scope.

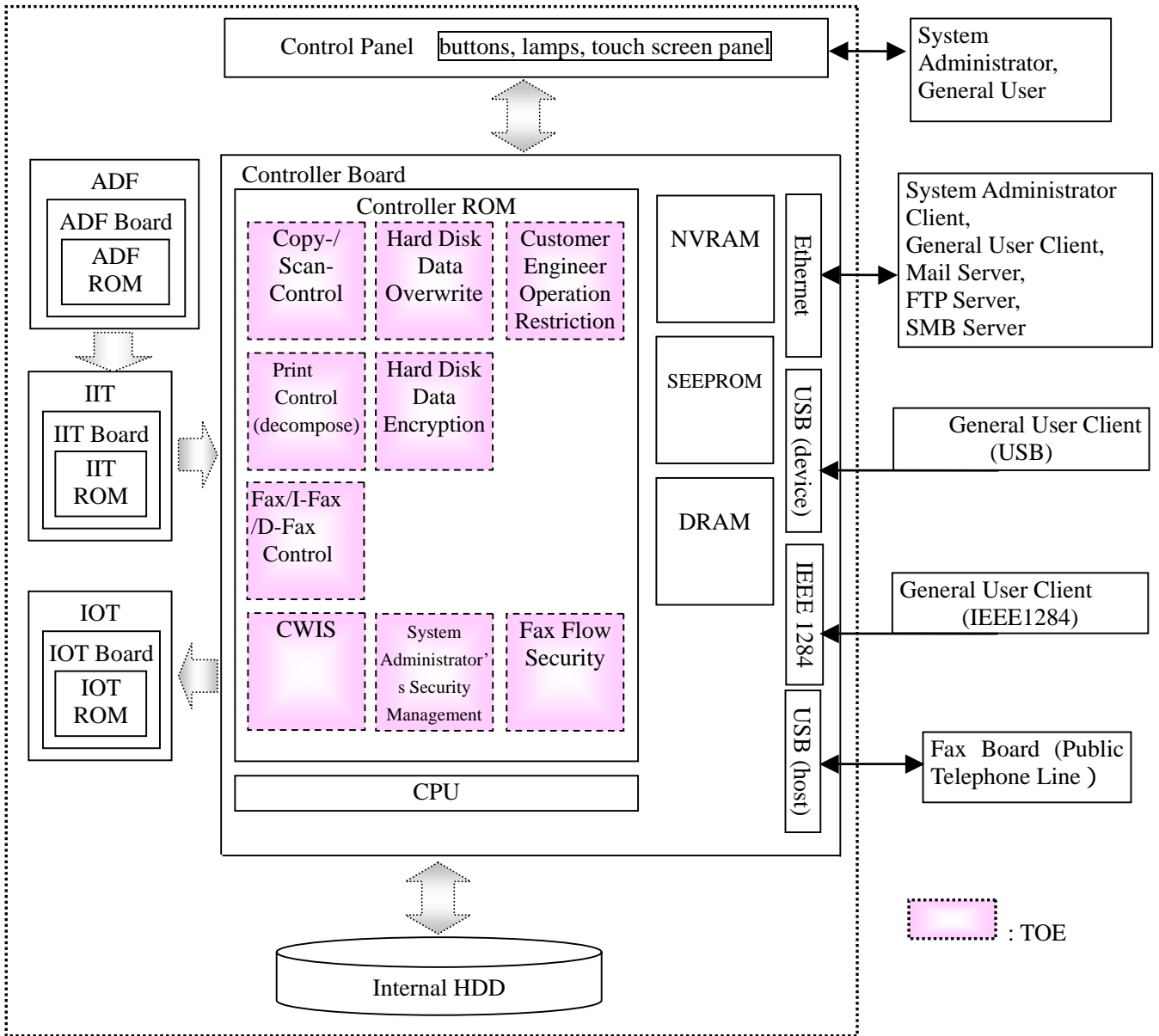


Figure 3: MFP Units and TOE Physical Scope

The MFP consists of the PWB units of controller board and control panel, IIT, and IOT.

The controller board is connected to the control panel via the internal interfaces which transmit control data, to the IIT board and IOT board via the internal interfaces which transmit document data and control data, and to the fax board via USB interface.

The controller board is a PWB which controls MFP functions of copy, print, scan, and fax. The board has a network interface (Ethernet) and local interfaces (IEEE1284 and USB) and is connected to the IIT board

and IOT board.

The control panel is a panel on which buttons, lamps, and a touch screen panel are mounted to enable MFP functions of copy, print, scan, and fax.

The IIT (Image Input Terminal) is a device to scan an original and send its data to the controller board for copy, print, scan, and fax functions.

The IOT (Image Output Terminal) is a device to output image information which was sent from the controller board.

## 2.5. Assets Protected by TOE

This TOE protects the following assets (Figure 4):

- Used document data

When a general user uses MFP functions of copy, fax, and scan, the document data is temporarily stored in the internal HDD for image processing, transmission, and Store Print. When the jobs are completed or canceled, only the management information is deleted but the data itself remains. The residual data includes general user's confidential information. Therefore, it is assumed as an asset to be protected.

- TOE configuration data

A system administrator can configure TOE security functions from the MFP control panel or system administrator client by System Administrator's Security Management. The configuration data stored in the TOE (see Table 2) can be a threat to other assets if used without authorization. Therefore, it is assumed as an asset to be protected.

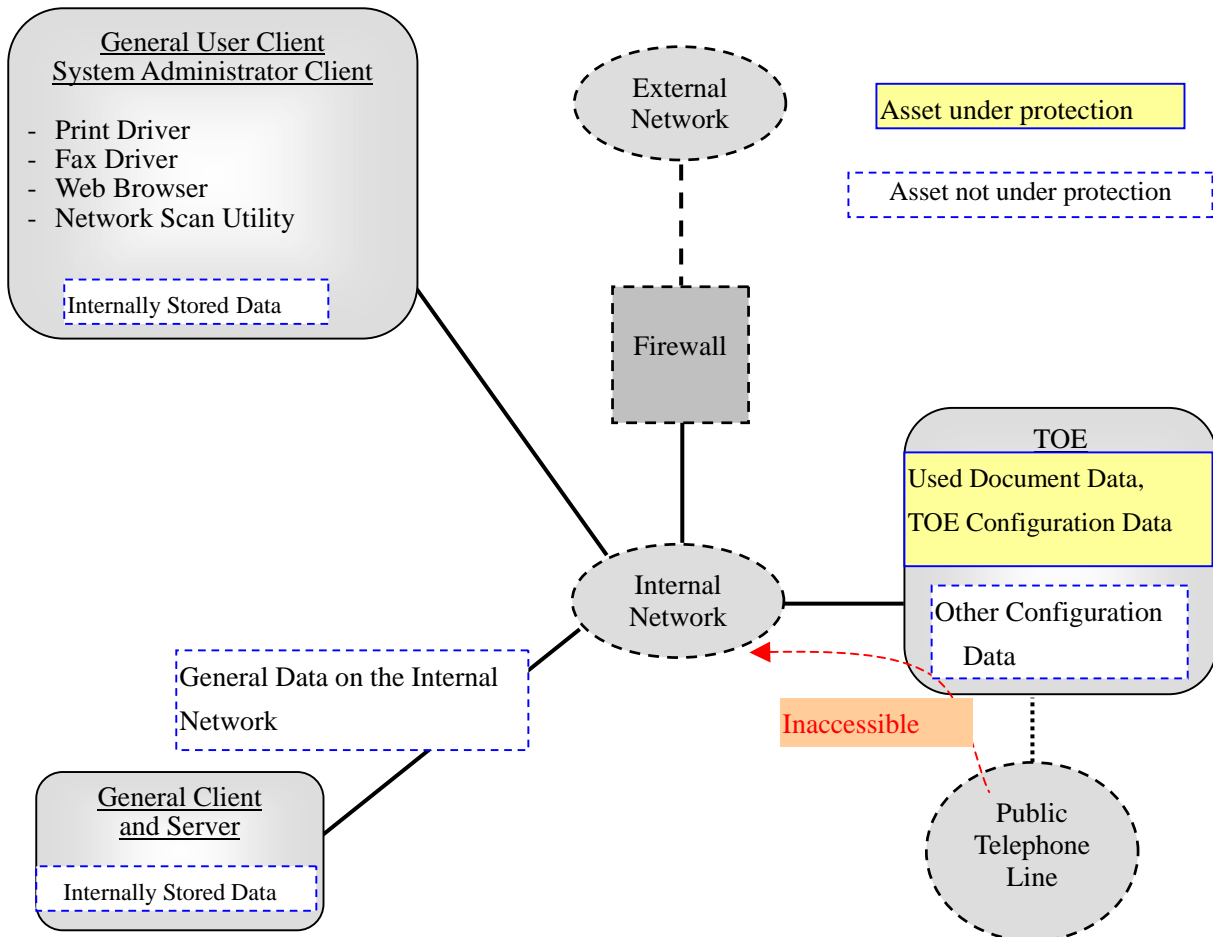


Figure 4: Assets under and not under Protection

The data stored in the general client and server within the internal network and the general data on the internal network are not assumed as assets to be protected. This is because TOE functions prevent the access to the internal network from public telephone line and it cannot be a threat.

Table 2 categorizes the TOE configuration data recorded on NVRAM and SEEPROM of the controller board.

Table 2: Categories of TOE Configuration Data

Categories of TOE Configuration Data (Note)
Data on Hard Disk Data Overwrite
Data on Hard Disk Data Encryption
Data on System Administrator's Security Management
Data on Customer Engineer Operation Restriction
Data on Mailbox

Note) Configuration data other than TOE configuration data are also stored on NVRAM and SEEPROM. Those configuration data, however, are not assumed as assets to be protected because they do not engage in TOE security functions.

### 3. TOE SECURITY ENVIRONMENT

This chapter describes the security aspects of the intended environment for the TOE. This includes assumptions regarding the TOE, threats to the TOE, and organizational security policy.

#### 3.1. Assumptions

Table 3 shows the assumptions for the operation and use of this TOE.

Table 3: Assumptions

Assumption (Identifier)	Description
<b>Personnel Confidence</b>	
A.ADMIN	A system administrator shall have the necessary knowledge of TOE security functions to perform the given role of managing the TOE and shall not operate it viciously.
<b>Protection Mode</b>	
A.SECMODE	<p>A system administrator shall configure the TOE as follows.</p> <ul style="list-style-type: none"> <li>• Use of password entered from MFP control panel in user authentication: enabled</li> <li>• Length of system administrator password: 7 characters or more</li> <li>• Access denial due to authentication failure of system administrator ID: enabled</li> <li>• Allowable number of system administrator's authentication failures before access denial: 5</li> <li>• Customer Engineer Operation Restriction: enabled</li> <li>• Hard Disk Data Overwrite: enabled</li> <li>• Hard Disk Data Encryption: enabled</li> <li>• Size of cryptographic seed key for Hard Disk Data Encryption: 12 characters</li> </ul>
<b>Network Connection Assumption</b>	
A.NET	<ul style="list-style-type: none"> <li>• Interception on the internal network of the MFP with the TOE installed shall be disabled.</li> <li>• When the internal network of the MFP with the TOE installed is linked to the external network, access to the MFP from the external network shall be disabled.</li> </ul>

#### 3.2. Threats

Table 4 identifies the threats addressed by the TOE. These threats are considered to be users with public knowledge of how the TOE operates. An attacker is considered to have low-level attack capability.

Table 4: Threats Addressed by the TOE

Threat (Identifier)	Description
Unauthorized reproduction of document data stored in the internal HDD	
T.RECOVER	An attacker may remove the internal HDD and connect it to commercial tools so that he/she can read out and leak the used document data inside.
Unauthorized access to TOE configuration data	
T.CONFDATA	An attacker may access, read, or alter, from control panel or Web browser, the TOE configuration data which only a system administrator is allowed to access.

### 3.3. Organizational Security Policy

Table 5 below describes the organizational security policy the TOE must comply with.

Table 5: Organizational Security Policy

Organizational Policy (Identifier)	Description
P.FAX_OPT	At the behest of the Australian agency, it must be ensured that the internal network cannot be accessed via public telephone line.

## 4. SECURITY OBJECTIVES

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

### 4.1. Security Objectives for the TOE

Table 6 defines the security objectives to be accomplished by the TOE.

Table 6: Security Objectives for the TOE

Objectives (Identifier)	Description
O.CIPHER	The TOE encrypts the used document data to be stored into the HDD so that it cannot be analyzed even if retrieved.
O.FAX_SEC	The TOE must prevent the unauthorized access to internal network via fax modem from public telephone line.
O.MANAGE	The TOE must inhibit a general user from accessing TOE configuration data. The TOE allows only the authenticated system administrator to access the system administrator mode which enables him/her to configure the security functions.
O.RESIDUAL	The TOE must prevent the used document data in the internal HDD from being reproduced or recovered.

### 4.2. Security Objectives for the Environment

Table 7 defines the security objectives for the TOE environment.

Table 7: Security Objectives for the Environment

Security Objectives (Identifier)	Description
OE.ADMIN	An organization administrator shall assign an appropriate and reliable person for TOE management as a system administrator and train him/her.
OE.AUTH	A system administrator shall configure the TOE security functions as follows. <ul style="list-style-type: none"> <li>• Use of password entered from MFP control panel in user authentication: enabled</li> <li>• Length of system administrator password: 7 characters or more</li> <li>• Access denial due to authentication failure of system administrator ID: enabled</li> <li>• Allowable number of system administrator's authentication failures before access denial: 5</li> <li>• Customer Engineer Operation Restriction: enabled</li> </ul>
OE.FUNCTION	A system administrator shall configure the TOE security functions as follows. <ul style="list-style-type: none"> <li>• Hard Disk Data Overwrite: enabled</li> </ul>



Security Objectives (Identifier)	Description
	<ul style="list-style-type: none"> <li>• Hard Disk Data Encryption: enabled</li> <li>• Size of cryptographic seed key for Hard Disk Data Encryption: 12 characters</li> </ul>
OE.NET	<p>An organization person in charge shall have a user install a device (client) and configure it properly to prevent interception on the internal network of the MFP with the TOE installed.</p> <p>An organization person in charge shall have a system administrator install a device (Firewall) and configure it properly to block the access from the external network to the MFP with the TOE installed.</p>

## 5. IT SECURITY REQUIREMENTS

This chapter describes TOE security requirements and the security functional requirements to the IT environment.

### 5.1. TOE Security Functional Requirements

Security functional requirements which the TOE offers are described below. Security functional requirements are based on the class and component which are specified by the [CC part 2].

#### 5.1.1. Class FCS: Cryptographic support

- |     |                  |   |
|-----|------------------|---|
| (1) | FCS_CKM.1        | Cryptographic key generation  |
|     | Hierarchical to: | No other components   |
|     | FCS_CKM.1.1      | The TSF shall generate cryptographic keys in accordance with a specified cryptographic key generation algorithm [assignment: <i>the Fuji Xerox's standard method, FXOSEC</i> ] and specified cryptographic key sizes [assignment: <i>128 bits</i> ] that meet the following: [assignment: <i>none</i> ].  |
|     | Dependencies:    | [FCS_CKM.2 Cryptographic key distribution,<br>or<br>FCS_COP. 1 Cryptographic operation]<br>FCS_CKM.4 Cryptographic key destruction<br>FMT_MSA.2 Secure security attributes  |
| (2) | FCS_COP.1        | Cryptographic operation   |
|     | Hierarchical to: | No other components   |
|     | FCS_COP.1.1      | The TSF shall perform [assignment: <i>encryption of the document data to be stored into the internal HDD and decryption of the document data retrieved from the internal HDD</i> ] in accordance with a specified cryptographic algorithm [assignment: <i>AES</i> ] and cryptographic key sizes [assignment: <i>128 bits</i> ] that meet the following: [assignment: <i>FIPS PUB 197</i> ]. |
|     | Dependencies:    | [FDP_ITC.1 Import of user data without security attributes<br>or<br>FDP_ITC.2 Import of user data with security attributes<br>or<br>FCS_CKM.1 Cryptographic key generation]<br>FCS_CKM.4 Cryptographic key destruction<br>FMT_MSA.2 Secure security attributes  |

#### 5.1.2. Class FDP: User data protection

- |     |                  |                                 |
|-----|------------------|---------------------------------|
| (1) | FDP_IFC.1        | Subset information flow control |
|     | Hierarchical to: | No other components             |

FDP\_IFC.1.1 The TSF shall enforce the [assignment: *fax information flow control SFP*] on [assignment: *subjects, information, and operations to cause the information flow, listed in Table 8.*]

**Table 8: Subjects, Information, and Operations Covered by Fax Information Flow Control SFP**

Subject	Information	Operation
<i>Receiving information from public telephone line</i>	<i>Data on public telephone line</i>	<i>Delivery</i>
<i>Sending information to the internal network</i>		

- Dependencies: FDP\_IFF.1 Simple security attribute
- (2) FDP\_IFF.1 Simple security attribute
- Hierarchical to: No other components
- FDP\_IFF.1.1 The TSF shall enforce the [assignment: *fax information flow control SFP*] based on the following types of subject and information security attributes: [assignment: *none. (Sending information to public telephone line, receiving information from the internal network, and the corresponding data on the public telephone line are not controlled under the fax information flow control SFP)*].
- FDP\_IFF.1.2 The TSF shall permit an information flow between a controlled subject and controlled information via a controlled operation if the following rules hold: [assignment: *the data received from public telephone line must not be sent to the internal network at any case*].
- FDP\_IFF.1.3 The TSF shall enforce the [assignment: *none*].
- FDP\_IFF.1.4 The TSF shall provide the following [assignment: *none*].
- FDP\_IFF.1.5 The TSF shall explicitly authorize an information flow based on the following rules: [assignment: *none*].
- FDP\_IFF.1.6 The TSF shall explicitly deny an information flow based on the following rules: [assignment: *none*].
- Dependencies: FDP\_IFC.1 Subset information flow control  
FMT\_MSA.3 Static attribute initialization
- (3) FDP\_RIP.1 Subset Residual Information Protection
- Hierarchical to: No other components
- FDP\_RIP.1.1 The TSF shall ensure that any previous information content of a resource is made unavailable upon the [selection: *deallocation of the resource from*] the following objects: [assignment: *used document data stored in the internal HDD*].
- Dependencies: No dependencies.

### 5.1.3. Class FIA: Identification and authentication

- (1) FIA\_AFL.1 Authentication failure handling  
 Hierarchical to: No other components  
 FIA\_AFL.1.1 The TSF shall detect when [selection: [assignment: *five*]] unsuccessful authentication attempts occur related to [assignment: *system administrator authentication*].  
 FIA\_AFL.1.2 When the defined number of unsuccessful authentication attempts has been met or surpassed, the TSF shall [assignment: *never allow the control panel to accept any operation except power cycle. Web browser is also inhibited from accepting authentication operation until the main unit is cycled*].  
 Dependencies: FIA\_UAU.1 Timing of Authentication
- (2) FIA\_UAU.2 User authentication before any action  
 Hierarchical to: FIA\_UAU.1 Timing of authentication  
 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.  
 Dependencies: FIA\_UID.1 Timing of identification
- (3) FIA\_UAU.7 Protected authentication feedback  
 Hierarchical to: No other components.  
 FIA\_UAU.7.1 The TSF shall provide only [assignment: *display of asterisks (“\*”) to hide the entered password characters*] to the user while the authentication is in progress.  
 Dependencies: FIA\_UAU.1 Timing of authentication
- (4) FIA\_UID.2 User identification before any action  
 Hierarchical to: FIA\_UID.1 Timing of identification  
 FIA\_UID.2.1 The TSF shall require each user to identify itself before allowing any other TSF-mediated actions on behalf of that user.  
 Dependencies: No dependencies.

### 5.1.4. Class FMT: Security management

- (1) FMT\_MOF.1 Management of security functions behavior  
 Hierarchical to: No other components  
 FMT\_MOF.1.1 The TSF shall restrict the ability to [selection: *enable, disable, or modify the behavior of*] the functions [assignment: *for security listed in Table 9*] to [assignment: *system administrator*].

Table 9: List of Security Functions

TSF Data	Behavior
<i>Customer Engineer Operation Restriction</i>	<i>Enable, disable</i>
<i>Hard Disk Data Encryption</i>	<i>Enable, disable</i>
<i>System Administrator’s Security Management</i>	<i>Enable, disable, modify</i>

Hard Disk Data Overwrite	Enable, disable, modify
--------------------------	-------------------------

- Dependencies: FMT\_SMF.1 Specification of Management Functions  
FMT\_SMR.1 Security roles
- (2) FMT\_MTD.1 Management of TSF data
- Hierarchical to: No other components
- FMT\_MTD.1.1 The TSF shall restrict the ability to [selection: *query and modify* [assignment: *none*] the [assignment: *TSF data listed in Table 9*] to [assignment: *system administrator*].

Table 10: Operation of TSF Data

TSF Data
<i>Information on system administrator</i>
<i>Information on Customer Engineer Operation Restriction</i>
<i>Information on Hard Disk Data Encryption</i>
<i>Information on Hard Disk Data Overwrite</i>

- Dependencies: FMT\_SMF.1 Specification of Management Functions  
FMT\_SMR.1 Security roles
- (3) FMT\_SMF.1 Specification of Management Functions
- Hierarchical to: No other components
- FMT\_SMF.1.1 The TSF shall be capable of performing the following security management functions: [assignment: *Security Management Functions listed in Table11*].

Table 11: Security Management Functions Provided by TSF

Functional requirements	Management items defined by CC	Management functions of TOE
FCS_CKM.1	The management of changes to cryptographic key attributes. Examples of key attributes include user, key type (e.g. public, private, secret), validity period, and use (e.g. digital signature, key encryption, key agreement, data encryption).	<i>None</i> <i>Reason: Management of changes in cryptographic-key attribute is not necessary because the size of cryptographic key is fixed and there are no other attributes.</i>
FCS_COP.1	None	-
FDP_IFC.1	None	-
FDP_IFF.1	Managing the attributes used to make explicit access based decisions.	<i>None</i> <i>Reason: Access is restricted and does not need to be managed.</i>
FDP_RIP.1	The choice of when to perform residual information protection (i.e. upon allocation or deallocation) could be made configurable within the TOE.	<i>None</i> <i>Reason: The timing is fixed to the time of document-data deletion.</i>

FIA_AFL.1	a) Management of the threshold for unsuccessful authentication attempts; b) Management of actions to be taken in the event of an authentication failure.	<i>System Administrator's Security Management: a) Management of allowable number of system administrator's authentication failures b) Denial of machine operation</i>
FIA_UAU.2	a) Management of the authentication data by an administrator; b) Management of the authentication data by the user associated with this data.	<i>System Administrator's Security Management: Management of information on system administrator (ID and password)</i>
FIA_UAU.7	None	-
FIA_UID.2	The management of the user identities.	<i>System Administrator's Security Management: Management of information on system administrator (ID and password)</i>
FMT_MOF.1	Managing the group of roles that can interact with the functions in the TSF;	<i>None Reason: The role group is only a system administrator and is not managed.</i>
FMT_MTD.1.1	Managing the group of roles that can interact with the TSF data.	<i>None Reason: The role group is only a system administrator and is not managed.</i>
FMT_SMF.1	None	-
FMT_SMR.1	Managing the group of users that are part of a role.	<i>None Reason: The role group is fixed and is not managed.</i>
FPT_RVM.1	None	-

Dependencies: FIA\_UID.1 Timing of Identification

(4) FMT\_SMR.1 Security role

Hierarchical to: No other components.

FMT\_SMR.1.1 The TSF shall maintain the roles [assignment: *system administrator*].

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

Dependencies: FIA\_UID.1 Timing of identification

#### 5.1.5. Class FPT: Protection of TSF

(1) FPT\_RVM.1 Non-bypassability of the TSP

Hierarchical to: No other components

FPT\_RVM.1.1 The TSF shall ensure that TSP enforcement functions are invoked and succeed before each function within the TSC is allowed to proceed.

Dependencies: No dependencies.

#### 5.1.6. TOE Security Function Strength

Minimum function strength level of TOE security functions is SOF-basic. TOE security functional requirements that use probabilistic or permutational mechanisms are FIA\_AFL.1, FIA\_UAU.2, and

FIA\_UAU.7.

## 5.2. TOE Security Assurance Requirements

The requirements for the TOE security assurance are described to Table 12.

The evaluation assurance level of TOE is EAL2. All the requirement components for assurance have quoted directly the component of EAL2 specified by [the CC part 3].

Table 12: EAL2 Assurance Requirements

Assurance Requirements	Assurance Component Name	Dependencies
Class ACM: Configuration management		
ACM_CAP.2	Configuration items	None
Class ADO: Delivery and operation		
ADO_DEL.1	Delivery procedures	None
ADO_IGS.1	Installation, generation, and start-up procedures	AGD_ADM.1
Class ADV: Development		
ADV_FSP.1	Informal functional specification	ADV_RCR.1
ADV_HLD.1	Descriptive high-level design	ADV_FSP.1, ADV_RCR.1
ADV_RCR.1	Informal correspondence demonstration	None
Class AGD: Guidance document		
AGD_ADM.1	Administrator guidance	ADV_FSP.1,
AGD_USR.1	User guidance	ADV_FSP.1
Class ATE: Tests		
ATE_COV.1	Evidence of coverage	ADV_FSP.1, ATE_FUN.1
ATE_FUN.1	Functional testing	None
ATE_IND.2	Independent testing-Sample	ADV_FSP.1, AGD_ADM.1, AGD_USR.1, ATE_FUN.1
Class AVA: Vulnerability assessment		
AVA_SOF.1	Strength of TOE security function evaluation	ADV_FSP.1, ADV_HLD.1
AVA_VLA.1	Developer vulnerability analysis	ADV_FSP.1, ADV_HLD.1, AGD_ADM.1, AGD_USR.1

## 5.3. Security Requirements for the IT Environment

There is no security functional requirement provided by IT environment of TOE.

## 6. TOE SUMMARY SPECIFICATION

This chapter describes TOE summary specification.

### 6.1. TOE Security Functions

This TOE provides the following security functions to satisfy the TOE security functional requirements described in section 5.1 of this ST.

Table 13 shows the relations between the security functional requirements and TOE security functions.

- (1) Hard Disk Data Overwrite (TSF\_IOW)
- (2) Hard Disk Data Encryption (TSF\_CIPHER)
- (3) System Administrator's Security Management (TSF\_FMT)
- (4) Customer Engineer Operation Restriction (TSF\_CE\_LIMIT)
- (5) Fax Flow Security (TSF\_FAX\_FLOW)

The TOE is not a general-purpose computer nor software. Therefore, its security functions are not architecturally jeopardized by such factors as bypass, destruction, interception, and alteration. The logical framework of TOE processing is that every "session" of the MFP is unique so that each TOE security function cannot have bypass measures. Moreover, the TOE security functional requirements control the object transfer between the TOE and its environment so that the interactions between a user and the TOE satisfy the following:

- A user cannot transfer data between domains.
- A user cannot upload the feasible codes, objects, or configuration files to the TOE.
- A user cannot refer to or rewrite the domain data.

The security functions provided by this TOE are configured to certainly operate because it is realized by unique software within the controller ROM, which does not have bypass measures.

Table 13: Relations between Security Functional Requirements and TOE Security Functions

Security functions					
TOE security functional requirements	TSF_IOW	TSF_CIPHER	TSF_FMT	TSF_CE_LIMIT	TSF_FAX_FLOW
FCS_CKM.1					
FCS_COP.1					
FDP_IFC.1					
FDP_IFF.1					
FDP_RIP.1					



Security functions					
TOE security functional requirements	TSF_IOW	TSF_CIPHER	TSF_FMT	TSF_CE_LIMIT	TSF_FAX_FLOW
FIA_AFL.1					
FIA_UAU.2					
FIA_UAU.7					
FIA_UID.2					
FMT_MOF.1					
FMT_MTD.1					
FMT_SMF.1					
FMT_SMR.1					
FPT_RVM.1					

#### 6.1.1. Hard Disk Data Overwrite (TSF\_IOW)

According to Hard Disk Data Overwrite which is configured by a system administrator using the system administrator mode, the document data area in the internal HDD is deleted by either one- or three-pass overwrite procedure.

List of the used document data which is to be overwritten and deleted is on the internal HDD. When the existence of the used document data is found in this list at the time of booting the TOE, this function overwrites and deletes the used document data.

Hard Disk Data Overwrite is configured to certainly operate because it is realized by unique software that does not have bypass measures.

#### 6.1.2. Hard Disk Data Encryption (TSF\_CIPHER)

According to Hard Disk Data Encryption which is configured by a system administrator using the system administrator mode, the document data to be stored into the internal HDD is encrypted.

Using the "hard disk data encryption seed key" that was set by a system administrator using the system administrator mode, TOE generates 128-bit cryptographic key by the Fuji Xerox's unique FXOSENK method algorithm at the time of booting. (When the "hard disk data encryption seed key" is the same, the same cryptographic key is generated.)

Before the data is stored into the internal HDD, it is encrypted with the cryptographic key generated at the time of booting. The stored document data is read after being decrypted with the cryptographic key generated at the time of booting.

As a security mechanism, the cryptographic key is generated using the cryptographic mechanism (encryption with Rijndael Algorithm) at the time of booting and then stored on DRAM on the controller board. The cryptographic key is lost when the main unit is powered off.

Hard Disk Data Encryption is configured to certainly operate because it is realized by unique software that does not have bypass measures.

### **6.1.3. System Administrator's Security Management (TSF\_FMT)**

To accord a privilege to a specific user, this function allows only the authorized system administrator to access the system administrator mode which enables him/her to refer to and configure the following security functions from the control panel.

- Refer to the setting of TSF\_IOW and enable/disable it;
- Refer to the setting of TSF\_CIPHER and enable/disable it;
- Configure the cryptographic seed key for Hard Disk Data Encryption;
- Refer to the setting of use of password entered from MFP control panel in user authentication and enable/disable it;
- Refer to the setting of system administrator ID and change the ID and password;
- Refer to the setting of access denial due to authentication failure of system administrator, enable/disable it, and set the allowable number of failures;
- Refer to the setting of TSF\_CE\_LIMIT and enable/disable it.

Additionally, the TSF\_FMT allows only an authorized system administrator to configure the following TOE security functions via CWIS. For this, a system administrator needs to be authenticated via the Web browser.

- Refer to the setting of system administrator ID and change the ID and password;
- Refer to the setting of access denial due to authentication failure of system administrator, enable/disable it, and set the allowable number of failures.

System Administrator's Security Management limits access to the above security functions to only the authenticated system administrator. To authenticate a system administrator, the MFP compares the system administrator ID and password preset in the MFP against those entered from the control panel or CWIS. When the authentication of a system administrator fails for wrong ID and password, reentry of the user information is required. However, when unsuccessful authentication attempts occurred five times, the control panel does not accept any operation except power cycle; Web browser does not accept authentication operation until the main unit is cycled.

The entered password characters are all displayed as asterisks ("\*") to hide the password.

User Authentication is configured to certainly operate because it is realized by unique software that does not have bypass measures.

### **6.1.4. Customer Engineer Operation Restriction (TSF\_CE\_LIMIT)**

According to Customer Engineer Operation Restriction which is configured by a system administrator using the system administrator mode, a system administrator can restrict CE's operation in the system administrator mode. This prevents TOE security configurations from being referred to or changed by CE. For this, CE cannot refer to or change the configurations of the following TOE security functions.

- Hard Disk Data Overwrite;
- Hard Disk Data Encryption;
- Setting of system administrator ID and password;
- Setting of access denial due to authentication failure of system administrator;

- Customer Engineer Operation Restriction.

Customer Engineer Operation Restriction is configured to certainly operate because it is realized by unique software that does not have bypass measures.

### 6.1.5. Fax Flow Security (TSF\_FAX\_FLOW)

The data received from public telephone line must not be sent to the internal network at any case.

## 6.2. Security Function Strength Level

Among the TOE security functions, System Administrator's Security Management (TSF\_FMT) is realized by the probabilistic or permutational mechanism. Its function strength level is SOF-basic.

## 6.3. Assurance Measures

This TOE satisfies the evaluation assurance level of EAL 2. Table 14 shows the TOE's security assurance measures which meet the TOE Security Assurance Requirements described in section 5.2 of this ST.

Table 14: Assurance Components and Assurance Measures

Assurance Requirements	Security Assurance Requirements	Assurance Measures (Identifier)
Class ACM: Configuration Management		
ACM_CAP.2	Configuration Item	TOE Configuration List Configuration Management Description
Class ADO: Operation and Delivery		
ADO_DEL.1	Delivery Procedure	Delivery, Introduction, and Operation Procedure Description
ADO_IGS.1	Installation, Generation, and Start-Up Procedures	User Guide
Class ADV: Development		
ADV_FSP.1	Informal Functional Specification	Functional Specification Disclosure Paper
ADV_HLD.1	Descriptive High-Level Design	High-Level Design Specification
ADV_RCR.1	Informal Correspondence Demonstration	Correspondence Analysis Description
Class AGD: Guidance Document		
AGD_ADM.1	Administrator Guidance	User Guide
AGD_USR.1	User Guidance	
Class ATE: Test		
ATE_COV.1	Evidence of Coverage	Test Plan and Report

Assurance Requirements	Security Assurance Requirements	Assurance Measures (Identifier)
ATE_FUN.1	Functional Test	
ATE_IND.2	Independent Testing - Sample	
Class AVA:	Vulnerability Assessment	
AVA_SOF.1	Evaluation of Security Function Strength	Vulnerability Analysis
AVA_VLA.1	Developer Vulnerability Analysis	

### 6.3.1. Configuration Management Description (TAS\_CONFIG)

The following are described in the "ApeosPort-II 5010/4000/3000 Series Configuration Management Description":

- Function and usage of configuration management system;
- Naming rule for the unique identification of TOE;
- Configuration items that are included in TOE;
- Unique identifier of each configuration item;
- How to track the changing history of TOE configuration items.

Corresponding security assurance requirement:

- ACM\_CAP.2

### 6.3.2. TOE Configuration List (TAS\_CONFIG\_LIST)

The following are described in the "ApeosPort-II 5010/4000/3000 Series TOE Configuration List":

- TOE configuration items that correspond to the evidential materials;
- Version for uniquely identifying TOE configuration items.

Corresponding security assurance requirement:

- ACM\_CAP.2

### 6.3.3. Delivery, Introduction, and Operation Procedure Description (TAS\_DELIVERY)

The following are described in the "ApeosPort-II 5010/4000/3000 Series Delivery, Introduction, and Operation Procedure Description":

- Procedure to identify TOE and maintain the integrity of TOE in transit;
- All procedures that are applied from the creation environment to the delivery to user, for maintaining the security of TOE;
- Method to check that TOE is correct when user receives it;
- Notes on the security of introduction, installation, and booting, and method to check the correct introduction, installation, and booting;
- Exceptional events and measures to deal with such events;
- Minimum system requirement that is necessary for the safe introduction and installation.

Corresponding security assurance requirements:

- ADO\_DEL.1

- ADO\_IGS.1

#### **6.3.4. Functional Specification (TAS\_FUNC\_SPEC)**

The following are described in the "WorkCentre 7328 Series, DocuCentre-II 3005 Series, and the ApeosPort-II 5010/4000/3000 Series Functional Specification":

- All security functions of TOE, and its external interfaces (only when such interfaces exist);
- Purpose, function, and usage (including parameter, exceptional item, and error message) of the above-described external interfaces;
- Complete description of TOE security functions.

Corresponding security assurance requirement:

- ADV\_FSP.1

#### **6.3.5. High-Level Design Specification (TAS\_HIGHLDESIGN)**

The following are described in the "WorkCentre 7328 Series, DocuCentre-II 3005 Series, and ApeosPort-II 5010/4000/3000 Series High-Level Design Specifications":

- TOE security functions' configuration as seen from the subsystems;
- Purpose and usage (including exceptional item and error message) of the interfaces among all the subsystems;
- Identification of the subsystems that provide security functions and those that do not.

Corresponding security assurance requirement:

- ADV\_HLD.1

#### **6.3.6. Correspondence Analysis Description (TAS\_REPRESENT)**

The following are described in the "WorkCentre 7328 Series, DocuCentre-II 3005 Series, and ApeosPort-II 5010/4000/3000 Series Correspondence Analysis Description":

- Analysis of whether the security functions are reflected accurately and completely in all the design phases.

Corresponding security assurance requirement:

- ADV\_RCR.1

#### **6.3.7. User Guide (TAS\_GUIDANCE)**

In the development of TOE, Fuji Xerox creates manuals (ApeosPort-II 5010/4000/3000 User Guide and ApeosPort-II 5010/4000/3000 Security Function Supplementary Guide) and reviews the following in the development department, product evaluation department, and technical support department.

(1) Review contents

- Checks the manual's description of the influence on the security, the policy for maintaining the security, the operation mode, and the contents of the following:

What to do after the occurrence of the trouble of the hardware or software related to TOE,

What to do after the occurrence of operational error,

What to do at the time of initial setting,

What to do at the recovery from the trouble.

- Checks the unified terminology in all the manuals;
- Checks the clarity, rationality, and consistency of the description in the manual;
- Checks the consistency among the descriptions in TOE functional specification, test specification, and manual.

“ApeosPort-II 5010/4000/3000 User Guide” and “ApeosPort-II 5010/4000/3000 Security Function Supplementary Guide” are common to system administrator and general user. The following are described in these user guides.

(2) Description for system administrator

- Management functions that are used by a system administrator, and its interfaces;
- How to manage TOE by ensuring the security;
- Notes on the functions and authority that should be managed in the environment where the security is ensured;
- Notes on all the security-related parameters under the management of a system administrator, and notes on the parameter values;
- Types of all the security events that are related to management functions;
- Assumptions about system-administrator’s responsibility and behavior;
- Contents of warning messages to a system administrator, and clear indication of specific measures to be taken.

(3) Description for general user

- How to use the security functions that can be used by a general user;
- Functions that are used by a general user, and their interfaces;
- Notes on the functions and authority that should be used in the environment where the security is ensured;
- Assumptions about general user’s responsibility and behavior;
- Contents of warning messages to general user, and clear indication of the specific measures to be taken.

Corresponding security assurance requirements:

- ADO\_DEL.1
- ADO\_IGS.1
- AGD\_ADM.1
- AGD\_USR.1

### **6.3.8. Test Plan and Report (TAS\_TEST)**

The following are described in the "ApeosPort-II 5010/4000/3000 Series Test Plan and Report":

- Overall plan which describes the schedule, skills necessary for testers, and configuration of the system used for the test;
- Test items;
- Test coverage analysis that verifies that all the functions described in the “WorkCentre 7328 Series, DocuCentre-II 3005 Series, and the ApeosPort-II 5010/4000/3000 Series Functional Specification” are tested with the test items;

- Purpose of each test item;
- How to conduct each test item;
- Expected result of each test item;
- Date of conducting each test item, and name of the test conductor;
- Result of each test item.

Corresponding security assurance requirements:

- ATE\_COV.1
- ATE\_FUN.1
- ATE\_IND.2

### **6.3.9. Vulnerability Analysis (TAS\_VULNERABILITY)**

Fuji Xerox creates “WorkCentre 7328 Series, DocuCentre-II 3005 Series, and ApeosPort-II 5010/4000/3000 Series Vulnerability Analysis” to check and evaluate the security strength and vulnerability of TOE. This document verifies that the TOE’s security strength and identified vulnerability are not problematic in an assumed environment. The following are described in the document:

#### (1) Security strength

- Result of analyzing that the security strength of TOE security function is the same or more of the minimum strength specified in this ST and the same or more of the strength specified in each specification;
- Result of checking that strength analysis is conducted to all the functions that use the techniques of probability theory, permutation, combination, and others;
- Result of verifying the validity of the assumption of security strength analysis.

#### (2) Vulnerability

- Confirmation of vulnerability analysis being conducted using the information on general security issues and all the materials provided for the evaluation;
- Result of testing that all the identified vulnerability is not problematic in an assumed operational environment;
- Result of checking that notes on vulnerability related to TOE configuration and settings for functions’ operation-conditions are described in the manual.

Corresponding security assurance requirement:

- AVA\_SOF.1
- AVA\_VLA.1

## **7. PP CLAIMS**

This chapter describes Protection Profile (PP) claims.

### **7.1. PP Reference**

There is no reference to PP.

### **7.2. PP Tailoring**

There is no refinement to PP.

### **7.3. PP Addition**

There is no addition to PP.



## 8. RATIONALE

This chapter describes security objectives rationale, security requirements rationale, and rationale for TOE summary specification.

### 8.1. Security Objectives Rationale

Table 15 shows the correspondences between TOE/environment security objectives and TOE security environments such as assumptions, threats, and security policy of organization. Table 16 describes that each TOE security environment is assured by TOE/environment security objectives.

**Table 15: Correspondences between TOE/Environment Security Objectives and TOE Security Environment**

TOE security environment TOE/environment security objectives	A.ADMIN	A.SECMODE	A.NET	T.RECOVER	T.CONFDATA	P.FAX_OPT
O.CIPHER						
O.FAX_SEC						
O.MANAGE						
O.RESIDUAL						
OE.ADMIN						
OE.AUTH						
OE.FUNCTION						
OE.NET						

**Table 16: Security Objectives Rationale for Each TOE Security Environment**

TOE Security Environment	TOE Security Objectives Rationale
A.ADMIN	By satisfying the following objective, A.ADMIN can be realized: - OE.ADMIN By OE.ADMIN, an organization person in charge selects a suitable member for system administrator and provides management and education.
A.SECMODE	By satisfying the following objectives, A.SECMODE can be realized: - OE.AUTH By OE.AUTH, a system administrator sets an appropriate ID and password and enables Customer Engineer Operation Restriction. - OE.FUNCTION

TOE Security Environment	TOE Security Objectives Rationale
	By OE.FUNCTION, Hard Disk Data Overwrite and Hard Disk Data Encryption are enabled, which disables the recovery of the used document data in the internal HDD.
A.NET	<p>A.NET is an intended environment in which interception on the internal network of MFP and attack by general public from the external network are inhibited. By satisfying the following objective, A.NET can be realized:</p> <ul style="list-style-type: none"> <li>- OE.NET</li> </ul> <p>By OE.NET, interception on the internal network and the access to the MFP from the external network are disabled. To prevent interception, a device (client) is installed and properly configured. For example, it is configured to encrypt the data transmitted between MFP and the client. To block the access to the MFP from the external network, a device (Firewall) is installed and properly configured.</p>
T.RECOVER	<p>By satisfying the following objective, T.RECOVER can be countered:</p> <ul style="list-style-type: none"> <li>- OE.FUNCTION <ul style="list-style-type: none"> <li>• By OE.FUNCTION, it is necessary to enable the TOE security functions (i.e. Hard Disk Data Overwrite and Hard Disk Data Encryption) and disable the recovery of the used document data in the internal HDD. To be specific, this threat can be countered by the following security objectives: O.RESIDUAL and O.CIPHER.</li> </ul> </li> <li>- O.CIPHER</li> </ul> <p>By O.CIPHER, the document data to be stored into the internal HDD is encrypted.</p> <ul style="list-style-type: none"> <li>- O.RESIDUAL</li> </ul> <p>By O.RESIDUAL, the used document data is overwritten and deleted to disable the reproduction of the used document data stored in the internal HDD.</p>
T.CONFDATA	<p>By satisfying the following objective, T.CONFDATA can be countered:</p> <ul style="list-style-type: none"> <li>- OE.AUTH</li> </ul> <p>By OE.AUTH, it is necessary to enable the security functions (i.e. User Authentication with Password, System Administrator Password, Allowable Number of System Administrator's Authentication Failures before Access Denial, and Customer Engineer Operation Restriction) and permits only the authenticated system administrator to change the TOE configuration data. To be specific, this threat can be countered by the following security objective:</p> <ul style="list-style-type: none"> <li>- O.MANAGE</li> </ul> <p>By O.MANAGE, only the authenticated system administrator is allowed to enable/disable the TOE security functions and to refer to / update the TOE configuration data.</p>
P.FAX_OPT	By satisfying the following objectives, P.FAX_OPT can be observed.

TOE Security Environment	TOE Security Objectives Rationale
	- O.FAX_SEC By O.FAX_SEC, the access to the internal network via public telephone line is disabled. This realizes P.FAX_OPT. Since the data received from public telephone line is not sent to the internal network, the internal network cannot be accessed.

## 8.2. Security Requirements Rationale

### 8.2.1. Security Functional Requirements Rationale

Table 17 shows the correspondences between security functional requirements and security objectives. Table 18 describes the rationale demonstrating that each security objective is assured by TOE security functional requirements.

Table 17: Correspondences between Security Functional Requirements and Security Objectives

TOE Security Functional Requirements \ Security Objectives	O.CIPHER	O.FAX_SEC	O.MANAGE	O.RESIDUAL
	FCS_CKM.1			
FCS_COP.1				
FDP_IFC.1				
FDP_IFF.1				
FDP_RIP.1				
FIA_AFL.1				
FIA_UAU.2				
FIA_UAU.7				
FIA_UID.2				
FMT_MOF.1				
FMT_MTD.1				
FMT_SMF.1				
FMT_SMR.1				
FPT_RVM.1				

Table 18: Security Objectives to SFR Rationale

Security Objectives	Security Functional Requirement Rationale
O.CIPHER	<p>O. CIPHER is an objective that encrypts the used document data in the internal HDD so that they cannot be analyzed even if retrieved.</p> <p>By satisfying the following security objectives, O.CIPHER can be realized.</p> <ul style="list-style-type: none"> <li>- FCS_CKM.1</li> </ul> <p>By FCS_CKM.1, the cryptographic key is generated in accordance with the specified cryptographic key size (128 bits).</p> <ul style="list-style-type: none"> <li>- FCS_COP.1</li> </ul> <p>By FCS_COP.1, the document data to be stored into the internal HDD is encrypted and then decrypted when the data is read, in accordance with the determined cryptographic algorithm and cryptographic key size.</p> <ul style="list-style-type: none"> <li>- FPT_RVM.1</li> </ul> <p>By FPT_RVM.1, TOE security functions are certainly invoked and not bypassed. Thus, the functional requirements related to this objective are surely conducted.</p>
O.FAX_SEC	<p>O.FAX_SEC is an objective that prevents the unauthorized access to the internal network via public telephone line.</p> <p>By satisfying the following security objectives, O.FAX_SEC can be realized:</p> <ul style="list-style-type: none"> <li>- FDP_IFC.1 and FDP_IFF.1</li> </ul> <p>By FDP_IFC.1 and FDP_IFF.1, the internal network to which the TOE is connected is prevented from being accessed via public telephone line from the communication path of TOE fax modem.</p> <ul style="list-style-type: none"> <li>- FPT_RVM.1</li> </ul> <p>By FPT_RVM.1, TOE security functions are certainly invoked and not bypassed. Thus, the functional requirements related to this objective are surely conducted.</p>
O.MANAGE	<p>O. MANAGE is an objective that allows only an authenticated system administrator to access the system administrator mode for security function setting and inhibits a general user from accessing the TOE configuration data.</p> <p>By satisfying the following security objectives, O.MANAGE can be realized:</p> <ul style="list-style-type: none"> <li>- FIA_AFL.1</li> </ul> <p>By FIA_AFL.1, successive attacks are prevented because the power needs to be cycled when the number of system administrator authentication failures reaches the defined number of times.</p> <ul style="list-style-type: none"> <li>- FIA_UAU.2</li> </ul> <p>By FIA_UAU.2, user authentication is performed to identify a proper system administrator or individual.</p> <ul style="list-style-type: none"> <li>- FIA_UAU.7</li> </ul> <p>By FIA_UAU.7, illicit leakage of the authentication information is prevented because the authentication feedback is protected.</p>

Security Objectives	Security Functional Requirement Rationale
	<p>- FIA_UID.2 By FIA_UID2, user authentication is performed to identify a proper system administrator or individual.</p> <p>- FMT_MOF.1 By FMT_MOF.1, the person who enables/disables TOE security functions and makes functional settings is limited to system administrator.</p> <p>- FMT_MTD.1 By FMT_MTD.1, the person who modifies settings of TOE security functions is limited to system administrator. Thus, only system administrators can query, modify, or delete TSF data.</p> <p>- FMT_SMF.1 By FMT_SMF.1, TOE security management functions are provided for system administrator.</p> <p>- FMT_SMR.1 By FMT_SMR.1, the role related to the security is limited to system administrator by maintaining the role of system administrator as a user who has special authority.</p> <p>- FPT_RVM.1 By FPT_RVM.1, TOE security functions are certainly invoked and not bypassed. Thus, the functional requirements related to this objective are surely conducted.</p>
O.RESIDUAL	<p>O.RESIDUAL is an objective that disables the reproduction and recovery of the used document data in the internal HDD.</p> <p>By satisfying the following security objectives, O.RESIDUAL can be realized:</p> <p>- FDP_RIP.1 By FDP_RIP.1, the previous information of the used document data file stored in the internal HDD is made unavailable.</p> <p>- FPT_RVM.1 By FPT_RVM.1, TOE security functions are certainly invoked and not bypassed. Thus, the functional requirements related to this objective are surely conducted.</p>

### 8.2.2. Rationale for Security Functional Requirement of IT Environment

There is no security functional requirement provided by TOE IT environment.

### 8.2.3. Rationale for Minimum Functional Strength Level

This ST is intended for MFP, which supports data overwrite, fax, and network scan. The MFP is used within the facilities of the organization such as general office on internal network and public telephone line network. Thus, the TOE has low risk level towards assumed threats.

Therefore, the minimum functional strength level is SOF-basic. The dishonest act by low-level attacker using public information can be fully countered.

The functional strength level of FIA\_AFL.1, FIA\_UAU.2, and FIA\_UAU.7 is SOF-basic, satisfying the functional security strength that TOE requires.

#### 8.2.4. Dependencies of Security Functional Requirements

Table 19 describes the functional requirements that are depended on by security functional requirements and those that are not and the reason why it is not problematic even if dependencies are not satisfied.

Table 19: Dependencies of Functional Security Requirements

Functional Requirement	Dependencies of Functional Requirements	
Requirement and its name	Requirement that is dependent on	Requirement that is not dependent on and its rationale
FCS_CKM.1 Cryptographic key generation	FCS_COP.1	FMT_MSA.2: TOE automatically generates the cryptographic key of the fixed 128-bit size from the TOE setting data that was set by system administrator. For this, it is not necessary to assure that only the secure value is accepted. Therefore, the dependency on FMT_MSA.2 does not need to be satisfied.
		FCS_CKM.4: A cryptographic key is generated when MFP is booted, and stored on DRAM (volatile memory). A cryptographic key does not need to be destructed because this key is lost when the MFP main unit is powered off. Therefore, the dependency on FCS_CKM.4 does not need to be satisfied.
FCS_COP.1 Cryptographic operation	FCS_CKM.1	FMT_MSA.2: TOE automatically generates the cryptographic key of the fixed 128-bit size from the TOE setting data that was set by system administrator. For this, it is not necessary to assure that only the secure value is accepted. Therefore, the dependency on FMT_MSA.2 does not need to be satisfied.

Functional Requirement	Dependencies of Functional Requirements	
Requirement and its name	Requirement that is dependent on	Requirement that is not dependent on and its rationale
		<p>FCS_CKM.4:</p> <p>A cryptographic key is generated when MFP is booted, and stored on DRAM (volatile memory). The cryptographic key does not need to be destructed because this key is lost when the MFP main unit is powered off.</p> <p>Therefore, the dependency on FCS_CKM.4 does not need to be satisfied.</p>
FDP_IFC.1 Subset information flow control	FDP_IFF.1	-
FDP_IFF.1 Simple security attributes	FDP_IFC.1	<p>FMT_MSA.3:</p> <p>The TOE does not support any function which requires static attribute initialization.</p>
FDP_RIP.1 Subset residual information protection	None	
FIA_AFL.1 Authentication failure handling	FIA_UAU.2	<p>FIA_UAU.1:</p> <p>The dependency on FIA_UAU.1 is satisfied because FIA_UAU.2 is the functional security requirement that is an upper hierarchy of FIA_UAU.1.</p>
FIA_UAU.2 User authentication before any action		<p>FIA_UID.1:</p> <p>The dependency on FIA_UID.1 is satisfied because FIA_UID.2 is the functional security requirement that is an upper hierarchy of FIA_UID.1.</p>
FIA_UAU.7 Protected authentication feedback		<p>FIA_UAU.1:</p> <p>The dependency on FIA_UAU.1 is satisfied because FIA_UAU.2 is the functional security requirement that is an upper hierarchy of FIA_UAU.1.</p>
FIA_UID.2 User identification before any action	None	
FMT_MOF.1 Management of security functions behavior	FMT_SMF.1, FMT_SMR.1	
FMT_MTD.1	FMT_SMF.1,	

Functional Requirement	Dependencies of Functional Requirements	
	Requirement that is dependent on	Requirement that is not dependent on and its rationale
Management of TSF data	FMT_SMR.1	
FMT_SMF.1 Specification of management functions		None
FMT_SMR.1 Security roles	FIA_UID.2	FIA_UID.1: The dependency on FIA_UID.1 is satisfied because FIA_UID.2 is the functional security requirement that is an upper hierarchy of FIA_UID.1.
FPT_RVM.1 Non-bypassability of the TSP		None

### 8.2.5. Interactions among Security Functional Requirements

Table 20 describes the interactions among TOE security functional requirements.

Table 20: Interactions among Security Functional Requirements

Functional Requirement		Bypass Prevention	De-activation Prevention
Functional Requirement ID	Requirement Name		
FCS_CKM.1	Cryptographic key generation	FPT_RVM.1	FMT_MOF.1
FCS_COP.1	Cryptographic operation	FPT_RVM.1	FMT_MOF.1
FDP_IFC.1	Subset information flow control	FPT_RVM.1	FMT_MOF.1
FDP_IFF.1	Simple security attribute	FPT_RVM.1	FMT_MOF.1
FDP_RIP.1	Subset residual information protection	FPT_RVM.1	FMT_MOF.1
FIA_AFL.1	Authentication failure handling	FPT_RVM.1	
FIA_UAU.2	User authentication before any action	FPT_RVM.1	
FIA_UAU.7	Protected authentication feedback	FPT_RVM.1	
FIA_UID.2	User identification before any action	FPT_RVM.1	
FMT_MOF.1	Management of security functions behavior		
FMT_MTD.1	Management of TSF data	FPT_RVM.1	
FMT_SMF.1	Specification of management functions		
FMT_SMR.1	Security roles		
FPT_RVM.1	Non-bypassability of the TSP		

#### 8.2.5.1. Bypass Prevention

Table 21 describes the rationale for bypass prevention of each security functional requirement that is defined in the Table 20: “Interactions among Security Functional Requirements.”



Table 21: Bypass Prevention Rationale for Security Functional Requirements

Functional Requirement	Bypass Prevention Rationale for Functional Requirements
FPT_RVM.1	
FCS_CKM.1, FCS_COP.1	These security functional requirements are configured by unique software that does not have bypass measures and cannot be replaced with another software or module. Based on system administrator setting, the functions are configured to certainly operate. Therefore, cryptographic-key generation and cryptographic operation cannot be circumvented, and non-bypassability is ensured.
FIA_AFL.1, FIA_UAU.2, FIA_UAU.7, FIA_UID.2	These security functional requirements are configured by unique software that does not have bypass measures and cannot be replaced with another software or module. Also, the function of identification and authentication of system administrator is always performed when functions that require user authentication are accessed. Therefore, “user identification before any action,” “user authentication before any action,” and “protected authentication-feedback” cannot be circumvented, and non-bypassability is ensured. For authentication of system administrator, there is no function to cancel the authentication-denial status that occurs when the number of access denials due to authentication failure reaches its maximum. Any operation other than power cycle is disabled.
FDP_IFC.1 FDP_IFF.1	These security functional requirements are configured by unique software that does not have bypass measures and cannot be replaced with another software or module. The data received from public telephone line can never be sent to the internal network at any case. Therefore, this function cannot be circumvented, and non-bypassability is ensured.
FDP_RIP.1	This security functional requirement is configured by unique software that does not have bypass measures and cannot be replaced with another software or module. Based on system administrator setting, the functions are also configured to certainly operate. In addition, the TOE is configured that, when overwrite processing is stopped due to power off, the overwrite deletion processing is re-started by power-on. Thus, this function cannot be circumvented, and non-bypassability is ensured.
FMT_MTD.	This security functional requirement is configured by unique software that does not have bypass measures and cannot be replaced with another software or module. When TOE configuration data is accessed, the authentication of system administrator always needs to be performed. Thus, this function cannot be circumvented, and non-bypassability is ensured.

#### 8.2.5.2. De-activation Prevention

Table 22 describes the rationale for de-activation prevention of each security functional requirement that is defined in the Table 20: “Interactions among Security Functional Requirements.”

Table 22: De-activation Prevention Rationale for Security Functional Requirements

Functional Requirement	De-activation Prevention Rationale for Functional Requirements
FMT_MOF.1	
FCS_CKM.1, FCS_COP.1, FDP_RIP.1	<p>The person who manages the behavior of the following TOE security functions is limited to the system administrator permitted by FMT_MOF.1. Thus, the behavior is protected from being de-activated by general users other than system administrator.</p> <ul style="list-style-type: none"> <li>• Hard Disk Data Overwrite (TSF_IOW)</li> <li>• Hard Disk Data Encryption (TSF_CIPHER)</li> <li>• System Administrator's Security Management (TSF_FMT)</li> <li>• Customer Engineer Operation Restriction (TSF_CE_LIMIT)</li> </ul>

### 8.2.5.3. Interference

Although this TOE is connected to the public telephone line, no unauthorized objects can exist since fax flow security function denies external access at any event. For other interfaces than fax as well, since only a system administrator is allowed to manage the behaviors of security functions, no unauthorized programs and objects can exist. Therefore, access control is not necessary and TOE security functions are not destroyed.

### 8.2.5.4. Detection of Defeat

Identification authentication allows only an identified administrator to operate the administrator interface, System Administrator's Security Management (TSF\_FMT). Thus, a general user, untrusted subject, cannot disable (defeat) TOE security functions using the administrator interface.

Attack on password is realistically impossible for the following reasons:

- 1) The power needs to be cycled when the number of successive authentication failures reaches five (FIA\_AFL.1).
- 2) The minimum password length is specified as seven characters (Assumptions).

## 8.2.6. Consistency Rationale between Security Functional Requirements

Some of TOE security functional requirements require security management functions. In [CC Part 2], the management activity that can be foreseen for each functional requirement is assigned as a management requirement of each component. Table 23 shows the management functions that each functional requirement component requires.

The security management functions that are defined in FMT\_SMT.1 of "Specification of Management Functions" are in line with the management functions defined in Table 23. Thus, TOE security functional requirements are internally consistent in terms of security management functions.

Table 23: Management Requirements of TOE Security Functions

Functional Requirement		Management Functions Required for Each Component
Component	Name	
FCS_CKM.1	Cryptographic key generation	Management of cryptographic key data

Functional Requirement		Management Functions Required for Each Component
Component	Name	
FCS_COP.1	Cryptographic operation	-
FDP_IFC.1	Subset information flow control	-
FDP_IFF.1	Simple security attribute	-
FDP_RIP.1	Subset residual information protection	Management of the used document data stored in the internal HDD
FIA_AFL.1	Authentication failure handling	Management of the number of times for authentication failures
FIA_UAU.2	User authentication before any action	<ul style="list-style-type: none"> <li>• Management of system administrator ID</li> <li>• Management of system administrator password data</li> </ul>
FIA_UAU.7	Protected authentication feedback	
FIA_UID.2	User identification before any action	
FMT_MOF.1	Management of security function behavior	Management of the following function settings: <ul style="list-style-type: none"> <li>• Hard Disk Data Overwrite (TSF_IOW)</li> <li>• Hard Disk Data Encryption (TSF_CIPHER)</li> <li>• System Administrator's Security Management (TSF_FMT)</li> <li>• Customer Engineer Operation Restriction (TSF_CE_LIMIT)</li> </ul>
FMT_MTD.1	Management of TSF data	Management of TSF data configuration
FMT_SMF.1	Specification of management functions	
FMT_SMR.1	Security roles	
FPT_RVM.1	Non-bypassability of the TSP	

### 8.2.7. Requirement Rationale for Security Assurance

This TOE is for a MFP, a commercial product. The threats are assumed to be caused by a low-level attacker and to include: attack via a MFP external interface from control panel or Web browser of system administrator's client and reading-out of information by removing the internal HDD and connecting it to a commercial tool.

Therefore, the TOE is assigned EAL2 assurance level that is supposed to be enough for business use.

### 8.3. TOE Summary Specification Rationale

#### 8.3.1. Rationale for TOE Security Function Requirements

Table 24 describes the rationale upon which each TOE security functional requirement is satisfied by the corresponding security function as defined in Table 13: “Relations between Security Functional Requirements and TOE Security Functions” in the section “6.1 TOE Security Functions.”

Table 24: Rationale for Relations between Security Functional Requirements and TOE Security Functions

Functional Requirement	Rationale for Relations between Security Function Requirements and TOE Security Functions
FCS_CKM.1	By TSF_CIPHER, TOE uses the "hard disk data encryption seed key" configured by a system administrator and generates a 128-bit encryption key through FXOSEN algorithm, a secure algorithm with sufficient complexity, at the time of booting.
FCS_COP.1	By TSF_CIPHER, TOE uses the automatically-generated encryption key and can encrypt/decrypt the document data in the internal HDD.
FDP_IFC.1 FDP_IFF.1	By TSF_FAX_FLOW, the data received from public telephone line is not sent to the internal network. Thus, the internal network is not accessed.
FDP_RIP.1	By TSF_IOW, TOE overwrites and deletes the used document data file stored in the internal HDD.  To control overwrite/delete function, two options are available: one pass (zero) overwrite procedure and three pass (random number / random number / zero) overwrite procedure. This is because whether to prioritize efficiency or security depends on the usage environment of the MFP.  When efficiency is prioritized, one pass overwrite procedure is applied.  When security is prioritized, three pass overwrite procedure is applied. Three pass overwrite has lower processing speed than one pass but can provide more solid overwrite function and thus can fully confront the low-level attacks trying to reproduce the data. Therefore, three pass is an appropriate number of times to overwrite.
FIA_AFL.1	By TSF_FMT, a system administrator needs to perform user authentication before accessing the system administrator mode. The function for authentication failure handling is provided. When the defined number of access denials due to unsuccessful authentication attempts of system administrator ID has been met or surpassed, any operation except power cycle is disabled.
FIA_UAU.2	By TSF_FMT, TOE requests a user to enter the password before permitting a system administrator to operate at the control panel or Web browser. The entered password is compared against the password registered on the TOE. This authentication and the identification (FIA_UID.2) are simultaneously performed, and the operation is allowed only when both of the identification

Functional Requirement	Rationale for Relations between Security Function Requirements and TOE Security Functions
	and authentication succeed.
FIA_UAU.7	By TSF_FMT, TOE offers the function to display the same number of asterisks (“**”) as the entered password characters on the control panel or the Web browser in order to hide the password at the time of system administrator authentication.
FIA_UID.2	By TSF_FMT, TOE requests a user to enter the user ID before permitting a system administrator to operate at the control panel or Web browser. The entered ID is verified against the ID registered on the TOE. This identification and the authentication (FIA_UAU.2) are simultaneously performed, and the operation is allowed only when both of the identification and authentication succeed.
FMT_MOF.1	By TSF_FMT and TSF_CE_LIMIT, TOE permits the authenticated system administrator to set the TOE configuration data. The person who changes the TOE configuration data is limited to system administrator.
FMT_MTD.1	By TSF_FMT and TSF_CE_LIMIT, TOE limits the person who changes the TOE configuration data to the authenticated system administrator.
FMT_SMF.1	By TSF_FMT, TOE limits the person who changes the TOE configuration data to the authenticated system administrator.
FMT_SMR.1	By TSF_FMT, a system administrator's role is maintained and the role is associated with the system administrator.
FPT_RVM.1	All TOE security functions are configured to certainly operate because they are realized by unique software that does not have bypass measures.

### 8.3.2. Security Function Strength Rationale

Among TOE security functions, the function which is realized by probabilistic or permutational mechanism is the ID password method of System Administrator's Security Management (TSF\_FMT). Its function strength is SOF-basic that is claimed in “6.2 Security Function Strength Level.” This satisfies the minimum function strength level SOF-basic that is claimed in “5.1.6 TOE Security Function Strength.” Therefore, both levels are consistent.

### 8.3.3. Security Assurance Measures Rationale

Table 25 describes the correspondences between assurance measures and security assurance requirements. Table 26 shows that each assurance measure is assured by security assurance requirements. All assurance measures are necessary to realize EAL2 security assurance requirements.

Table 25: Correspondences between Assurance Measures and Security Assurance Requirements

Assurance Measures (identifier)	Security Assurance Requirements								
	TAS_CONFIG	TAS_CONFIG_LIST	TAS_DELIVERY	TAS_FUNC_SPEC	TAS_HIGHLDESIGN	TAS_REPRESENT	TAS_GUIDANCE	TAS_TEST	TAS_VULNERABILITY
ACM_CAP.2									
ADO_DEL.1									
ADO_IGS.1									
ADV_FSP.1									
ADV_HLD.1									
ADV_RCR.1									
AGD_ADM.1									
AGD_USR.1									
ATE_COV.1									
ATE_FUN.1									
ATE_IND.2									
AVA_SOF.1									
AVA_VLA.1									

Table 26: Sufficiency of Security Assurance Requirements by Assurance Measures

Assurance Measures (identifier)	Assurance Requirement	Sufficiency of Security Assurance Requirements
TAS_CONFIG		DocuCentre-II 3005 Series Configuration Management Description
TAS_CONFIG_LIST		ApeosPort-II 5010/4000/3000 Series TOE Configuration List
	ACM_CAP.2	These documents satisfy the requirements such as naming rule for the unique identification of TOE version, list of configuration items, and unique identifier of each configuration item.
TAS_DELIVERY		ApeosPort-II 5010/4000/3000 Series Delivery, Introduction, and Operation Procedure Description

Assurance Measures (identifier)	Assurance Requirement	Sufficiency of Security Assurance Requirements
	ADO_DEL.1	This document satisfies the requirements such as procedure to identify TOE and maintain the integrity of TOE in transit, all procedures that are applied from the creation environment to the delivery to user, and method for a system administrator to check that TOE is correct.
	ADO_IGS.1	This document satisfies the requirements such as notes on security of installation, start-up procedures, method to check that TOE is correct, and measures to deal with exceptional events.
TAS_FUNC_SPEC	WorkCentre 7328 Series, DocuCentre-II 3005 Series, and ApeosPort-II 5010/4000/3000 Series Functional Specification	
	ADV_FSP.1	These documents satisfy the requirements such as the consistent/complete description on TOE security functions and its external interfaces and the detail description of external interfaces.
TAS_HIGHLDESIGN	WorkCentre 7328 Series, DocuCentre-II 3005 Series, and ApeosPort-II 5010/4000/3000 Series High-Level Design Specification	
	ADV_HLD.1	This document satisfies the requirements such as consistent description on TOE security functions configuration, identification/description of interfaces between subsystems, and identification of the subsystems that provide security functions and those that do not.
TAS_REPRESENT	WorkCentre 7328 Series, DocuCentre-II 3005 Series, and ApeosPort-II 5010/4000/3000 Series Correspondence Analysis Description	
	ADV_RCR.1	This document satisfies the requirements for TOE security functions' complete correspondence at each level (TOE summary specification, functional specification, and configuration design specification that are described in this ST).
TAS_GUIDANCE	ApeosPort-II 5010/4000/3000 Series User Guide, ApeosPort-II 5010/4000/3000 Security Function Supplementary Guide	
	ADO_DEL.1	This document satisfies the requirements such as procedure to identify TOE and maintain the integrity of TOE in transit, all procedures that are applied from the creation environment to the delivery to user, and method for a system administrator to check that TOE is correct.

Assurance Measures (identifier)	Assurance Requirement	Sufficiency of Security Assurance Requirements
	ADO_IGS.1	This document satisfies the requirements such as notes on security of installation, start-up procedures, method to check that TOE is correct, and measures to deal with exceptional events.
	AGD_ADM.1	This document satisfies the requirements for descriptions on management functions and interfaces available for system administrator, assumptions on system administrator's responsibility and behavior, and measures against warning messages.
	AGD_USR.1	This document satisfies the requirements for descriptions on management functions and interfaces available for general user, assumptions on general user's responsibility and behavior, and measures against warning messages.
TAS_TEST	ApeosPort-II 5010/4000/3000 Series Test Plan and Report	
	ATE_COV.1	This document satisfies the requirement for checking the sufficiency/integrity of TOE security functions.
	ATE_FUN.1	This document satisfies the requirement for checking that all the TOE security functions are executed as specified.
	ATE_IND.2	This document satisfies the requirement for recreating the test environment for TOE security functions and providing the test materials.
TAS_VULNERABILITY	WorkCentre 7328 Series, DocuCentre-II 3005 Series, and ApeosPort-II 5010/4000/3000 Series Vulnerability Analysis	
	AVA_SOF.1	This document satisfies the sufficiency of TOE security strength.
	AVA_VLA.1	This document satisfies the requirement for checking that the identified vulnerability of TOE is not illicitly used in an assumed environment.

As in Table 12 of "5.2 TOE Security Assurance Requirements," one or more assurance measures correspond to all the TOE security assurance requirements necessary for EAL2. The assurance measures cover the evidences that TOE security assurance requirements defined in this ST request. Therefore, the evidences that TOE security assurance requirements for EAL2 request are all satisfied.

#### 8.4. PP Claims Rationale

There is no applicable PP.