



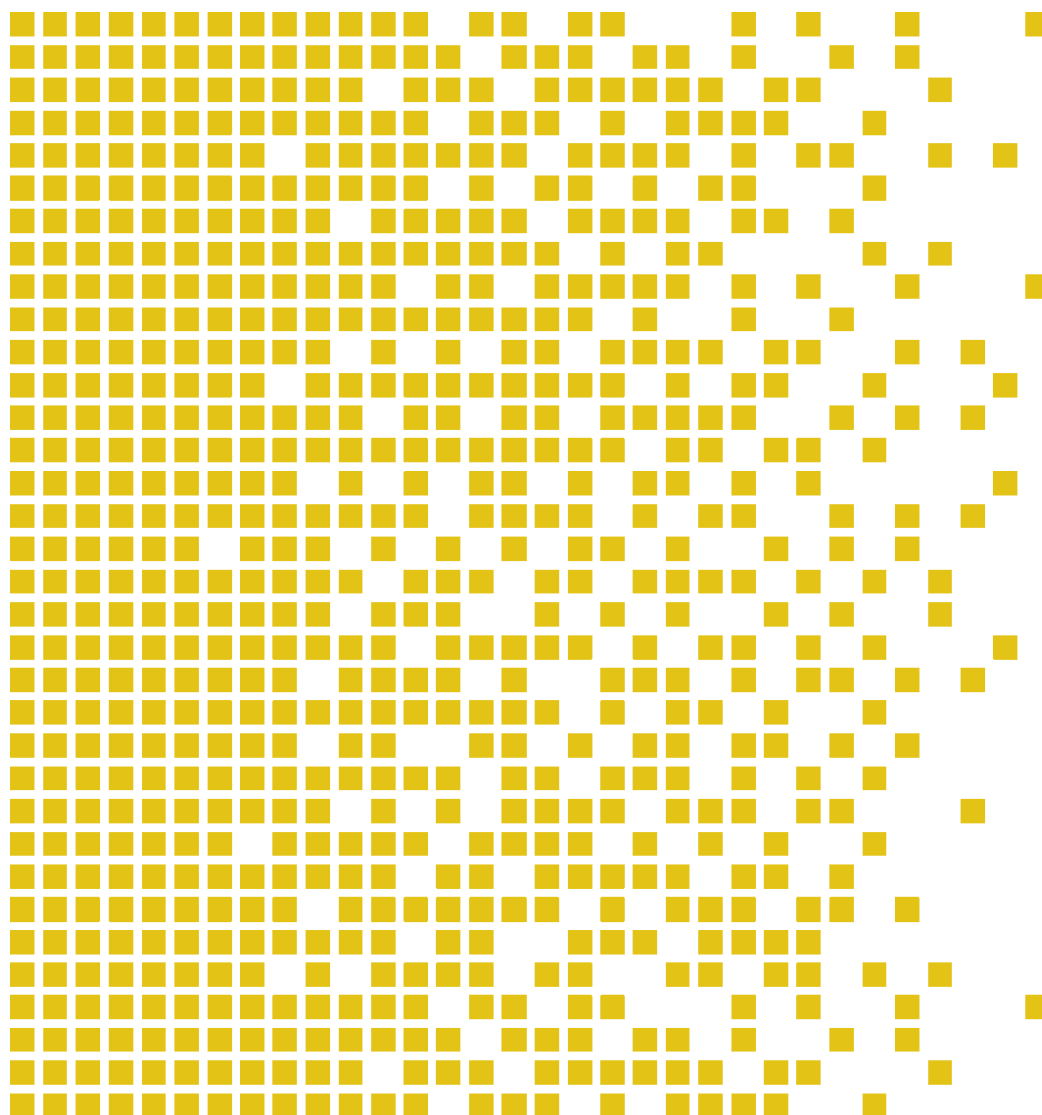
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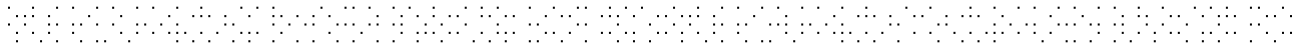
SERTIT-068 CR Certification Report

Issue 1.0 13 May 2015

A10 Networks Thunder 4430S, 5630S and 6630S
Application Delivery Controllers



CERTIFICATION REPORT - SERTIT STANDARD REPORT TEMPLATE SD 009E VERSION 2.2 16.12.2013



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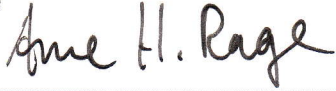
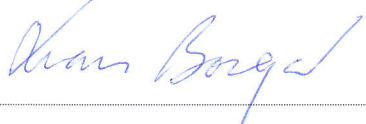



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1 Certification Statement

A10 Networks Thunder 4430S, 5630S and 6630S Application Delivery Controllers with firmware version 2.7.2-P5 have been evaluated under the terms of the Norwegian Certification Scheme for IT Security and have met the Common Criteria Part 3 (ISO/IEC 15408) conformant components of Evaluation Assurance Level EAL 2 augmented with ALC_FLR.1 for the specified Common Criteria Part 2 (ISO/IEC 15408) conformant functionality in the specified environment when running on the platforms specified in Annex A.

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Date approved	13 May 2015



2 Abbreviations

ACOS	Advanced Core Operating System
CC	Common Criteria for Information Technology Security Evaluation(ISO/IEC 15408)
CCRA	Arrangement on the Recognition of Common Criteria Certificates in the Field of Information Technology Security
CEM	Common Methodology for Information Technology Security Evaluation
CMVP	Cryptographic Module Validation Program
EAL	Evaluation Assurance Level
ETR	Evaluation Technical Report
EVIT	Evaluation Facility under the Norwegian Certification Scheme for IT Security
FIPS 140-2	Federal Information Processing Standards
HMAC	Hash-based Message Authentication Code
HTTPS	Hypertext Transfer Protocol Secure
ISO/IEC 15408	Information technology – Security techniques - Evaluation criteria for IT security
IP	Internet Protocol
ISP	Internet Service Provider
OSP	Organisational Security Policy
SERTIT	Norwegian Certification Authority for IT Security
SFP	Security Function Policy
SLB	Server Load Balancing
SSH	Secure Shell
SSL	Secure Sockets Layer
ST	Security Target
TOE	Target of Evaluation
TSF	TOE Security Functions
TSFI	TSF Interface
TSP	TOE Security Policy



3 References

- [1] Security Target for A10 Networks Thunder 4430S, 5630S and 6630S Applications Delivery Controllers, v.1.2, 18 February 2015.
- [2] Common Criteria for Information Technology Security Evaluation, Part 1: Introduction and general model, CCMB-2012-09-001, Version 3.1 R4, September 2012.
- [3] Common Criteria for Information Technology Security Evaluation, Part 2: Security functional components, CCMB-2012-09-002, Version 3.1 R4, September 2012.
- [4] Common Criteria for Information Technology Security Evaluation, Part 3: Security assurance components, CCMB-2012-09-003, Version 3.1 R4, September 2012.
- [5] The Norwegian Certification Scheme, SD001E, Version 9.0, 02 April 2013.
- [6] Common Methodology for Information Technology Security Evaluation, Evaluation Methodology, CCMB-2012-09-004, Version 3.1 R4, September 2012.
- [7] ETR for the evaluation project SERTIT-068, v.1.1, 24 February 2015.



4 Executive Summary

4.1 Introduction

This Certification Report states the outcome of the Common Criteria security evaluation of A10 Networks Thunder 4430S, 5630S and 6630S to the developer, A10 Networks, Inc., and is intended to assist prospective consumers when judging the suitability of the IT security of the product for their particular requirements.

Prospective consumers are advised to read this report in conjunction with the Security Target[1] which specifies the functional, environmental and assurance evaluation components.

4.2 Evaluated Product

The versions of the product evaluated were A10 Networks Thunder 4430S, 5630S and 6630S Application Delivery Controllers. The hardware versions are 4430 S, 5630S and 6630S. The firmware version is 2.7.2-P5.

These products are also described in this report as the Target of Evaluation (TOE). The developer was A10 Networks, Inc.

A10 Networks' Thunder is an application delivery controller designed to help enterprises and ISPs with application availability through a Web Application Delivery Platform. The TOE is a hardware device. The hardware and firmware components of the TOE are enclosed in a metal enclosure which is the physical boundary of the TOE.

The TOE are devices with the same security functionality, but with different performance parameters.

Details of the evaluated configuration, including the TOE's supporting guidance documentation, are given in Annex A.

4.3 TOE scope

The scope of the evaluation includes firmware and hardware that form the TOE and the TOE security functions that are stated in the Section 7.1 of the Security Target[1] For Thunder Application Delivery Controllers.

- High Availability feature is outside of the scope of the evaluation.
- The Data Plane of Thunder Application Delivery Controller shall not have open ports that are serviced by Thunder Application Delivery Controller (such as ssh management, etc.)

- There is no IP routing between the Management Plane and the Data Plane, therefore Thunder Data plane users cannot access the management plane.

4.4 Protection Profile Conformance

The Security Target[1] did not claim conformance to any protection profile.

4.5 Assurance Level

The Security Target[1] specified the assurance components for the evaluation. Predefined evaluation assurance level EAL 2 augmented with ALC_FLR.1 was used. Common Criteria Part 3[4] describes the scale of assurance given by predefined assurance levels EAL1 to EAL7. An overview of CC is given in CC Part 1[2].

4.6 Organisational Security Policies

P.Cryptography: The TOE shall provide cryptographic functions for its own use, including encryption/decryption operations.

P.Cryptography_Validated: Only FIPS 140-1/2 validated cryptography (methods and implementations) are acceptable for key management (i.e., generation, access, distribution, destruction, handling, and storage of keys) and cryptographic services (i.e.; encryption, decryption, signature, hashing, key exchange, and random number generation services).

P.Manage: The TOE shall only be managed by authorized users.

P.Access: All data collected and produced by the TOE shall only be used for authorized purposes.

P.Integrity: Data collected and produced by the TOE shall be protected from modification

4.7 Security Claims

The Security Target[1] fully specifies the TOE's security objectives, the threats and OSP's which these objectives counter and security functional components and security functions to elaborate the objectives. The SFR's are taken from CC Part 2[3]; use of this standard facilitates comparison with other evaluated products. There are however some functional components that are extended. The rationale for these components can be found in the Security Target[1], chapter 5.

4.8 Threats Countered

TT.Masquerade: A hacker may masquerade as another entity in order to gain unauthorized access to data or TOE resources.



TT.Tampering: A hacker may be able to bypass the TOE's security mechanisms by tampering with the TOE or TOE environment.

TT.Access_TOE: A user may gain unauthorized access to security data on the TOE due to SLB failure.

TT.Access_Int: A user may gain unauthorized access to server resources on protected/internal network.

TT.Mod_Conf: A hacker may modify the TOE configuration to gain unauthorized access to server resources on protected/internal network.

4.9 Threats and Attacks not Countered

No threats or attacks that are not countered are described.

4.10 Environmental Assumptions and Dependencies

A.Install: The TOE has been installed and configured according to the appropriate installation guides, and all traffic between clients and servers flows through it.

A.Manage: There is one or more competent individual (administrator) assigned to manage the TOE and the security of the information it contains.

A.No_Evil: The administrators of the TOE are non-hostile, appropriately trained, and follow all guidance.

A.Locate: The processing resources of the TOE will be located within controlled access facilities, which will prevent unauthorized physical access.

4.11 Security Objectives for the TOE

O.Load_Balancing: The TOE must provide encrypted SSL connections for load balanced servers with basic firewall protection.

O.Cryptography: The TOE shall provide cryptographic functions to maintain the confidentiality and allow for detection of modification of user data that is transmitted outside the TOE.

O.Cryptography_Validated: The TOE will use CMVP FIPS 140-1/2 compliant crypto modules for cryptographic services implementing CMVP -approved security functions and random number generation services used by cryptographic functions.

O.Protect: The TOE must ensure the integrity of audit and system data by protecting itself from unauthorized modifications and access to its functions and data, and preserve correct operations during specified failure events.

O.Admin: The TOE must include a set of functions that allow management of its functions and data, ensuring that TOE administrators with the appropriate privileges and only those TOE administrators, may exercise such control.

O.Authenticate: The TOE must be able to identify and authenticate administrators prior to allowing access to TOE administrative functions and data.

O.Audit: The TOE must record the actions taken by administrators, prevent unauthorized deletion of the audit records stored on the TOE, and provide the authorized administrators with the ability to review the audit trail.

O.Time: The TOE must provide reliable timestamps for its own use.

O.Access_Int: The TOE must allow access to server resources on protected/internal network only as defined by the Information Flow Control SFP.

O.Integrity: The TOE must ensure the integrity of all audit and system data

4.12 Security Objectives for the operational environment

OE.External: The TOE environment must ensure any authentication data in the environment are protected and maintained.

OE.Manage: Sites deploying the TOE will provide competent, non-hostile TOE administrators who are appropriately trained and follow all administrator guidance. TOE administrators will ensure the system is used securely. The reliability of the TOE's timestamps will be ensured via periodic manual checks by the TOE administrator.

OE.Connect: The TOE environment must provide network connectivity to the TOE. The network connection to the TOE must be reliable.

OE.Power: The TOE environment must provide the electricity necessary to the TOE to function. The power to the TOE must be reliable and protected from surges and disconnects.

OE.AC: The TOE environment must regulate the temperature of the facility where the TOE is located so no damage is caused by heat or cold.

OE.Physical: The physical environment must be suitable for supporting a computing device in a secure setting.

OE.Install: Those responsible for the TOE must ensure that the TOE is delivered, installed, managed, and operated in a manner which is consistent with IT security.

OE.Person: Personnel working as authorized administrators shall be carefully selected and trained for proper operation of the TOE.

4.13 Security Functional Components

- FLB_SCO_EXP.1 Secure communication
- FAU_GEN.1 Audit data generation
- FAU_GEN.2 User identity association
- FAU_SAR.1 Audit review



- FAU_SAR.3 Selectable audit review
- FAU_STG.1 Protected audit trail storage
- FAU_STG.4 Prevention of audit data loss
- FCS_BCM_EXP.1 Baseline cryptographic module
- FCS_CKM.1 Cryptographic key generation
- FCS_CKM.2 Cryptographic key distribution
- FCS_CKM.4 Cryptographic key destruction
- FCS_COP_EXP.1 Random Number Generation
- FCS_COP_EXP.2 Cryptographic Operation
- FDP_ACC.1a Subset access control – Administrator Access Control
- FDP_ACC.1b Subset access control – SSL Access Control
- FDP_ACF.1a Security attribute based access control - Administrator Access Control
- FDP_ACF.1b Security attribute based access control - SSL Access Control
- FDP_IFC.1 Subset information flow control
- FDP_IFF.1 Simple security attributes
- FIA_ATD.1 User attribute definition
- FIA_UAU.1a Timing of authentication - Administrator
- FIA_UAU_EXP.1 Timing of authentication – User
- FIA_UAU.5 Multiple authentication mechanisms
- FIA_UID.1 Timing of identification
- FMT_MOF.1 Management of security functions behaviour
- FMT_MSA.1 Management of security attributes
- FMT_MSA.2 Secure security attributes
- FMT_MSA.3a Static attribute initialisation - Administrator Access Control SFP
- FMT_MSA.3b Static attribute initialisation - SSL Access Control SFP
- FMT_MSA.3c Static attribute initialisation – Information Flow Control SFP
- FMT_SMF.1 Specification of Management Functions
- FMT_SMR.1 Security roles
- FPT_FLS.1 Fail secure
- FPT_ITC.1 Inter-TSF confidentiality during transmission
- FPT_ITT.1 Basic internal TSF data transfer protection
- FPT_STM.1 Reliable time stamps

4.14 Evaluation Conduct

The evaluation was carried out in accordance with the requirements of the Norwegian Certification Scheme for IT Security as described in SERTIT Document SD001E[5]. The Scheme is managed by the Norwegian Certification Authority for IT Security (SERTIT). As stated on page 2 of this Certification Report, SERTIT is a member of the Arrangement on the Recognition of Common Criteria Certificates in the Field of Information Technology Security (CCRA), and the evaluation was conducted in accordance with the terms of this Arrangement.

The purpose of the evaluation was to provide assurance about the effectiveness of the TOE in meeting its Security Target[1], which prospective consumers are advised to read. To ensure that the Security Target[1] gave an appropriate baseline for a CC evaluation, it was first itself evaluated. The TOE was then evaluated against this baseline. Both parts of the evaluation were performed in accordance with CC Part 3[4] and the Common Evaluation Methodology (CEM)[6].

SERTIT monitored the evaluation which was carried out by the Advanced Data Security Commercial Evaluation Facility (EVIT). The evaluation was completed when the EVIT submitted the Evaluation Technical Report (ETR)[7] to SERTIT in 24 February 2015. SERTIT then produced this Certification Report.

4.15 General Points

The evaluation addressed the security functionality claimed in the Security Target[1] with reference to the assumed operating environment specified by the Security Target[1]. The evaluated configuration was that specified in Annex A. Prospective consumers are advised to check that this matches their identified requirements and give due consideration to the recommendations and caveats of this report.

Certification does not guarantee that the IT product is free from security vulnerabilities. This Certification Report and the belonging Certificate only reflect the view of SERTIT at the time of certification. It is furthermore the responsibility of users (both existing and prospective) to check whether any security vulnerabilities have been discovered since the date shown in this report. This Certification Report is not an endorsement of the IT product by SERTIT or any other organization that recognizes or gives effect to this Certification Report, and no warranty of the IT product by SERTIT or any other organization that recognizes or gives effect to this Certification Report is either expressed or implied.

5 Evaluation Findings

5.1 Introduction

The evaluation addressed the requirements specified in the Security Target[1]. The results of this work were reported in the ETR under the CC Part 3[4] headings. The following sections note considerations that are of particular relevance to either consumers or those involved with subsequent assurance maintenance and re-evaluation of the TOE.

5.2 Delivery

On receipt of the TOE, the consumer is recommended to check that the evaluated version has been supplied, and to check that the security of the TOE has not been compromised in delivery.



The developer ships products using shipping boxes with sealed tape.

A cryptographic signature is used to verify the integrity of the firmware upon receipt (or first use) of the product. HMAC signature is used to satisfy the FIPS 140-2 requirement. Tamper proof seals are used to secure the product.

HTTPS cryptographic signatures are used to verify the integrity of the firmware upon electronic transfer of firmware.

The access to the firmware downloads is controlled, and the corresponding mechanism uses user name and password. Users registered to Support Web Portal and selected user id and password.

The firmware downloads are encrypted by an HTTPS session. Self-Signed Certificate is used for software distribution.

5.3 Installation and Guidance Documentation

Installation of the TOE must be performed completely in accordance with the all documents that comprise the administrator guidance, user guidance and installation guide provided by the developer.

These documents are a collection of all security relevant operations and settings that must be observed to ensure that the TOE operates in a secure manner.

5.4 Misuse

There is always a risk of intentional and unintentional misconfigurations that could possibly compromise confidential information. Developers should follow the guidance for the TOE in order to ensure that the TOE operates in a secure manner.

The guidance documents adequately describe the mode of operation of the TOE, all assumptions about the intended environment and all requirements for external security. Sufficient guidance is provided for the consumer to effectively use the TOE's security functions.

5.5 Vulnerability Analysis

The Evaluators' vulnerability analysis was based on both public domain sources and the visibility of the TOE given by the evaluation process. The evaluators have searched for potential vulnerabilities and penetration tests have been devised and performed. The evaluators have not found any exploitable vulnerabilities or residual vulnerabilities in the TOE.

5.6 Developer's Tests

The evaluators have examined the developers test plan and determined that it describes the scenarios for performing each test, including any ordering dependencies on results of other tests. The test plan provides information

about the test configuration being used: both on the configuration of the TOE and on any test equipment being used, as well as information about how to execute the tests.

5.7 Evaluators' Tests

The evaluators have employed a combination of a random sampling method and a method based on the intent to cover the TSFI, Security Functions, and subsystems to the maximum extent possible. The testing covered the following:

1. The use of the access control lists.
2. Load balancing using network protocols.
3. Tests of system functions.
4. Testing of encrypted user traffic.
5. Testing of secure administrative sessions via SSH and HTTPS.
6. Testing of logging.

6 Evaluation Outcome

6.1 Certification Result

After due consideration of the ETR[7], produced by the Evaluators, and the conduct of the evaluation, as witnessed by the Certifier, SERTIT has determined that A10 Networks Thunder 4430S, 5630S and 6630S Application Delivery Controllers with firmware version 2.7.2-P5 meet the Common Criteria Part 3 conformant components of Evaluation Assurance Level EAL 2 augmented with ALC_FLR.1 for the specified Common Criteria Part 2 extended functionality, in the specified environment, when running on platforms specified in Annex A.

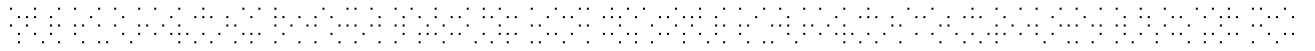
6.2 Recommendations

Prospective consumers of A10 Networks Thunder 4430S, 5630S and 6630S Application Delivery Controllers should understand the specific scope of the certification by reading this report in conjunction with the Security Target[1]. The TOE should be used in accordance with a number of environmental considerations as specified in the Security Target.

Only the evaluated TOE configuration should be installed. This is specified in Annex A with further relevant information given above in Section 4.3 "TOE Scope" and Section 5 "Evaluation Findings".

The TOE should be used in accordance with the supporting guidance documentation included in the evaluated configuration.

A10 Networks Thunder 4430S, 5630S and 6630S
Application Delivery Controllers



The above “Evaluation Findings” include a number of recommendations relating to the secure receipt, installation, configuration and operation of the TOE.

Annex A: Evaluated Configuration

TOE Identification

The TOE consists of:

A10 Networks Thunder 4430S, 5630S and 6630S Application Delivery Controllers with firmware version 2.7.2-P5.

TOE Documentation

The supporting guidance documents evaluated were:

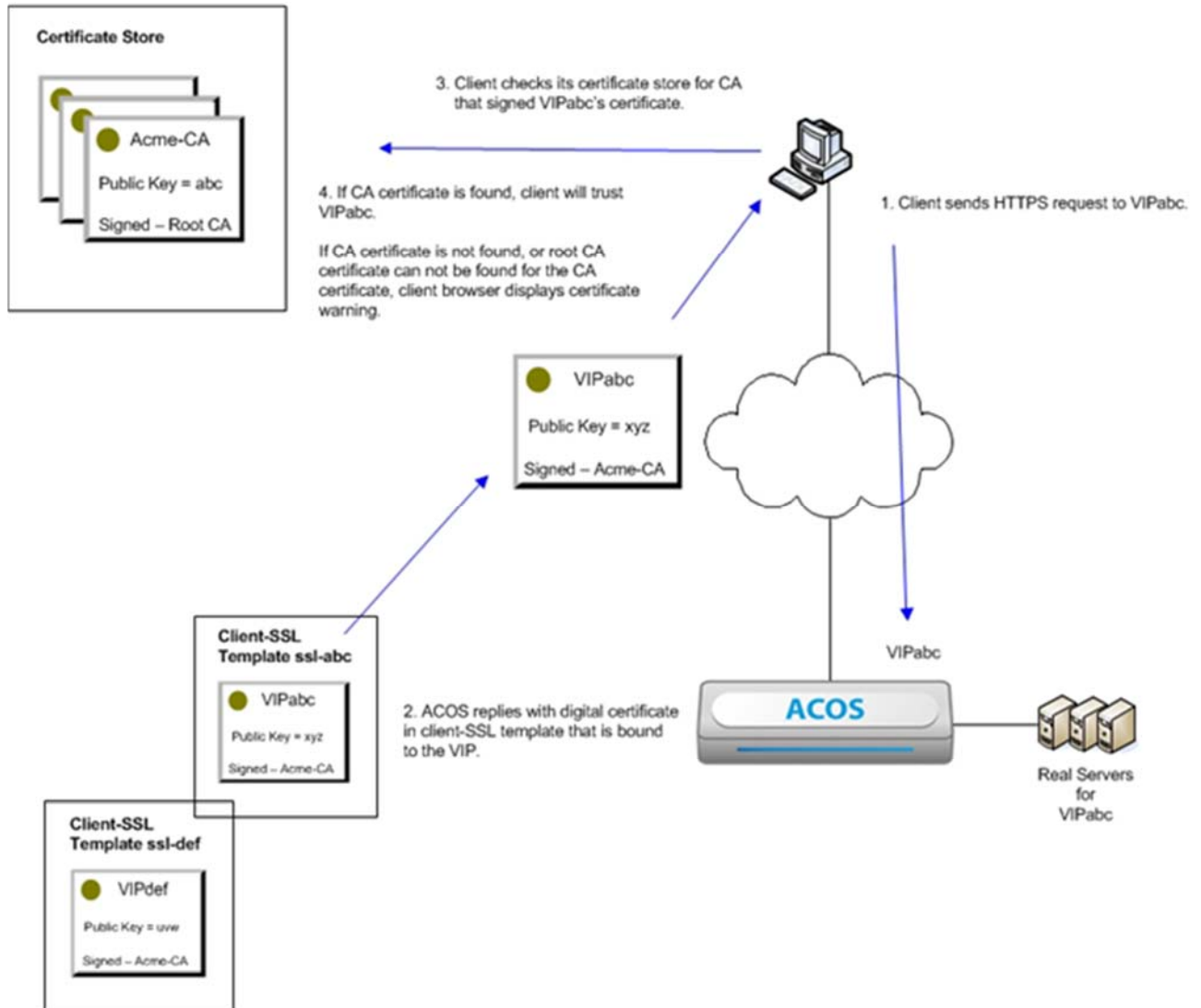
- [a] Security Target for A10 Networks Thunder 4430S, 5630S and 6630S Application Delivery Controllers, Version 1.2
- [b] FIPS 140-2 Level 2 Security Policy For AX Series Advanced Traffic Manager, A-A10-SP-AX_Series_ATM, Version 0.9
- [c] System Configuration and Administration Guide, A10 Thunder™ Series and AX Series, D-030-02-00-0020, ACOS 2.7.2-P2 6/11/2014
- [d] aFlex Scripting Language Reference A10 Thunder Series and AX Series, Document No.: D-030-02-00-0015, aFlex 2.0, ACOS 2.7.2-P1 5/23/2014
- [e] aXAPI Reference, AX Series Advanced Traffic Manager, Document No.: D-030-01-00-0010, Ver. 2.7 8/5/2013
- [f] Command Line Interface Reference A10 Thunder Series and AX Series, Document No.: D-030-01-00-0065, ACOS 2.7.2 5/15/2014
- [g] Graphical User Interface Reference A10 Thunder™ Series and AX Series, Document No.: D-030-01-00-0067, ACOS 2.7.2 6/16/2014
- [h] Management Information Base Reference, A10 Thunder Series™ and AX Series™, Document No.: D-030-02-00-0025, ACOS 2.7.2-P2 6/11/2014
- [i] Application Delivery and Server Load Balancing Guide, A10 Thunder Series Application Delivery Controllers, Document No.: D-030-01-00-0026, Ver. 2.7.2 5/15/2014
- [j] Global Server Load Balancing Guide, AX Series Advanced Traffic Manager, Document No.: D-030-01-00-0029, Ver. 2.7.2 5/15/2014
- [k] Release Notes, A10 Thunder™ Series and AX Series, Document No.: D-030-02-00-0002, ACOS 2.7.2 4/8/2014
- [l] Installation Guide for Thunder 6630/6630S/5630/5630S A10 Thunder™ Series, Document No.: D-030-01-00-0061, ACOS 2.7.2 5/2/2014
- [m] Management Access and Security Guide A10 Thunder™ Series and AX Series, D-030-02-00-0010, ACOS 2.7.2-P1 5/14/2014

Further discussion of the supporting guidance material is given in Section 5.3 “Installation and Guidance Documentation”.

TOE Configuration

The following configuration was used for testing:

Secure client-server traffic:



Server load balancing:

