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CANADIAN CENTRE FOR **CYBER SECURITY**

COMMON CRITERIA CERTIFICATION REPORT

Dell EMC™ Avamar® v18.1

Dell EMC™

9 October 2019

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V1.0

FOREWORD

This certification report is an UNCLASSIFIED publication, issued under the authority of the Chief, Communications Security Establishment (CSE).

The Information Technology (IT) product identified in this certification report, and its associated certificate, has been evaluated at an approved evaluation facility established under the Canadian Centre for Cyber Security (CCCS). This certification report, and its associated certificate, applies only to the identified version and release of the product in its evaluated configuration. The evaluation has been conducted in accordance with the provisions of the Canadian CC Scheme, and the conclusions of the evaluation facility in the evaluation report are consistent with the evidence adduced. This report, and its associated certificate, are not an endorsement of the IT product by Canadian Centre for Cyber Security, or any other organization that recognizes or gives effect to this report, and its associated certificate, and no warranty for the IT product by the Canadian Centre for Cyber Security, or any other organization that recognizes or gives effect to this report, and its associated certificate, is either expressed or implied.

If your department has identified a requirement for this certification report based on business needs and would like more detailed information, please contact:

Contact Centre and Information Services

Edward Drake Building

contact@cyber.gc.ca | 1-833-CYBER-88 (1-833-292-3788)



OVERVIEW

The Canadian Common Criteria Scheme provides a third-party evaluation service for determining the trustworthiness of Information Technology (IT) security products. Evaluations are performed by a commercial Common Criteria Evaluation Facility (CCEF) under the oversight of the Certification Body, which is managed by the Canadian Centre for Cyber Security.

A CCEF is a commercial facility that has been approved by the Certification Body to perform Common Criteria evaluations; a significant requirement for such approval is accreditation to the requirements of ISO/IEC 17025, the General Requirements for the Competence of Testing and Calibration Laboratories.

By awarding a Common Criteria certificate, the Certification Body asserts that the product complies with the security requirements specified in the associated security target. A security target is a requirements specification document that defines the scope of the evaluation activities. The consumer of certified IT products should review the security target, in addition to this certification report, in order to gain an understanding of any assumptions made during the evaluation, the IT product's intended environment, the evaluated security functionality, and the testing and analysis conducted by the CCEF.

The certification report, certificate of product evaluation and security target are listed on the Certified Products list (CPL) for the Canadian CC Scheme and posted on the Common Criteria portal (the official website of the International Common Criteria Project).



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EXECUTIVE SUMMARY

The Dell EMC™ Avamar® v18.1 (hereafter referred to as the Target of Evaluation, or TOE), from Dell EMC™, was the subject of this Common Criteria evaluation. A description of the TOE can be found in Section 1.2. The results of this evaluation demonstrate that TOE meets the requirements of the conformance claim listed in Table 1 for the evaluated security functionality.

EWA-Canada is the CCEF that conducted the evaluation. This evaluation was completed 9 October 2019 and was carried out in accordance with the rules of the Canadian Common Criteria Scheme.

The scope of the evaluation is defined by the security target, which identifies assumptions made during the evaluation, the intended environment for TOE, and the security functional/assurance requirements. Consumers are advised to verify that their operating environment is consistent with that specified in the security target, and to give due consideration to the comments, observations and recommendations in this certification report.

The Canadian Centre for Cyber Security, as the Certification Body, declares that the TOE evaluation meets all the conditions of the Arrangement on the Recognition of Common Criteria Certificates and that the product is listed on the Certified Products list (CPL) for the Canadian CC Scheme and the Common Criteria portal (the official website of the International Common Criteria Project).

1 IDENTIFICATION OF TARGET OF EVALUATION

The Target of Evaluation (TOE) is identified as follows:

Table 1: TOE Identification

TOE Name and Version	Dell EMC™ Avamar® v18.1
Developer	Dell EMC™

1.1 COMMON CRITERIA CONFORMANCE

The evaluation was conducted using the Common Methodology for Information Technology Security Evaluation, Version 3.1 Revision 5, for conformance to the Common Criteria for Information Technology Security Evaluation, Version 3.1 Revision 5.

The TOE is claiming the following conformance;

EAL 2+ (ALC_FLR.2)

1.2 TOE DESCRIPTION

The TOE performs backups and restores for remote offices, data center local area networks (LAN), and VMware environments. Using data deduplication technology, redundancies are identified at the source, saving network and data storage resources. Backups are based on changes to data and occur at administrator-scheduled intervals, making each backup a full backup, while significantly reducing backup time.

1.3 TOE ARCHITECTURE

A diagram of the TOE architecture is as follows:

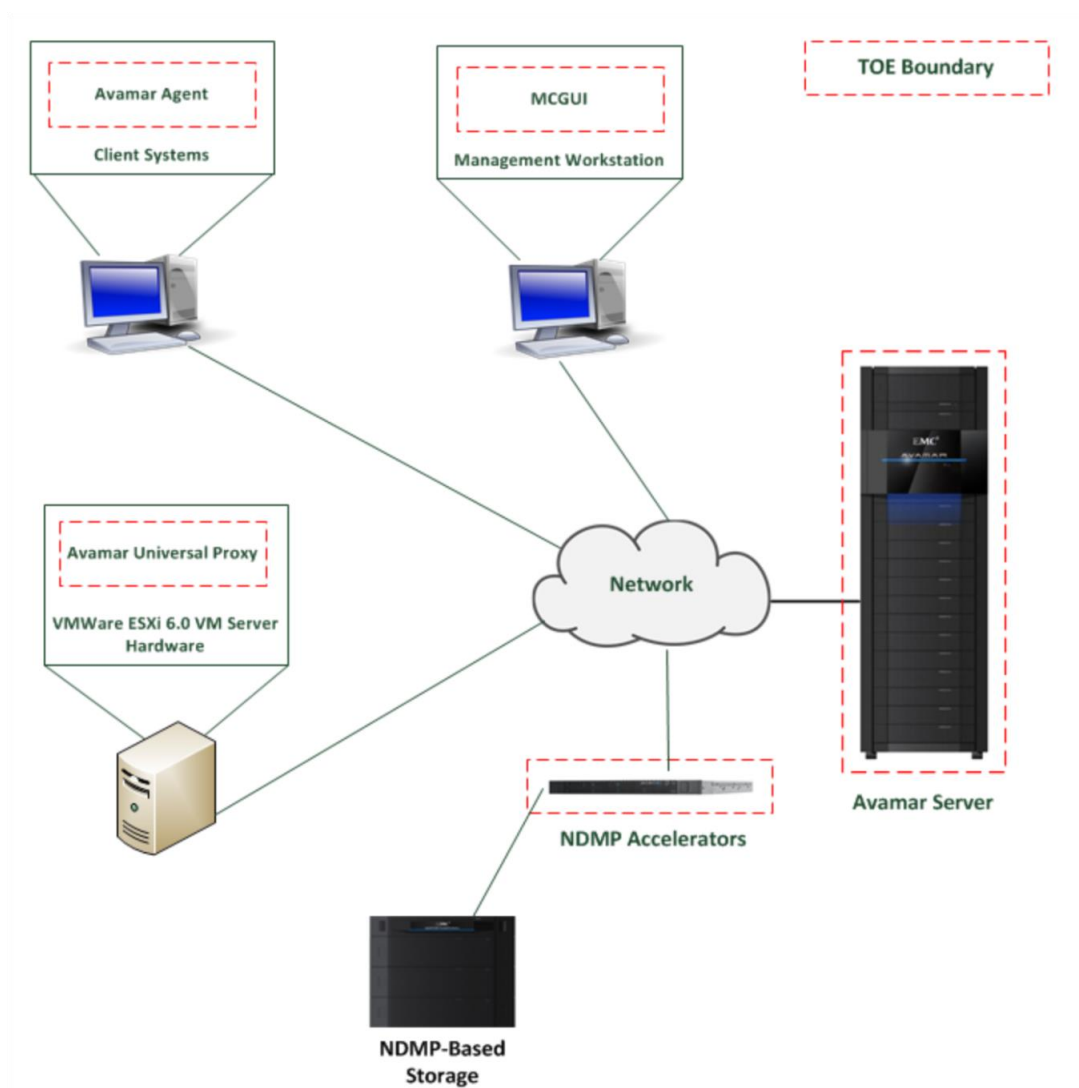


Figure 1: TOE Architecture

2 SECURITY POLICY

The TOE implements policies pertaining to the following security functional classes:

- Security Audit
- User Data Protection
- Identification and Authentication
- Security Management
- Protection of the TSF

Complete details of the security functional requirements (SFRs) can be found in the Security Target (ST) referenced in section 8.2.

2.1 CRYPTOGRAPHIC FUNCTIONALITY

The TOE makes no claims regarding cryptographic functionality. The environment is responsible for protection of communication between parts of the TOE and with administrators.



3 ASSUMPTIONS AND CLARIFICATION OF SCOPE

Consumers of the TOE should consider assumptions about usage and environmental settings as requirements for the product's installation and its operating environment. This will ensure the proper and secure operation of the TOE.

3.1 USAGE AND ENVIRONMENTAL ASSUMPTIONS

The following assumptions are made regarding the use and deployment of the TOE:

- The TOE components, front-end hosts, back-end storage and management workstations will be interconnected by a segregated network that protects the traffic from disclosure to or modification by untrusted systems or users.
- The hardware and software critical to TOE security policy enforcement will be protected from unauthorized physical modification.
- The authorized administrators are not careless, wilfully negligent, or hostile, are appropriately trained and will follow the instructions provided by the TOE documentation.

3.2 CLARIFICATION OF SCOPE

The following features are disabled/not configured in the evaluated configuration;

- REST API - Disabled (requires installation)
- EMC Secure Remote Services (ESRS) – Not used (requires configuration)
- Enterprise authentication – Disabled (requires configuration)
- Local user access from clients (pass-through authentication) – Not used (requires configuration)
- LDAP support

4 EVALUATED CONFIGURATION

The evaluated configuration for the TOE comprises:

- The TOE software (V18.1.0.33 with Hotfixes 301590, 300449, 300443, 305019, 309443, and AvPlatformOsRollup Security Patch) running on the Avamar Server Appliance (Multi-node system with Gen4T Hardware and supporting the MCCLI)
- NDMP Accelerator Appliance (Gen4T NDMP Accelerator Node)
- Avamar NDMP Accelerator Software V18.1.0.33
- Avamar Agent for Windows V18.1.100.33
- Avamar Agent for Linux V18.1.100.33
- Avamar VMware Universal Proxy V18.1.100.33
- Avamar MCGUI for Windows V18.1.0.33
- Avamar MCGUI for Linux V18.1.0

With support from the environment for;

- NDMP-Based storage running Unity 4.4.0
- VMWare vSphere ESXi 6.0 VMWare server

4.1 DOCUMENTATION

The following documents are provided to the consumer to assist in the configuration and installation of the TOE:

- a) Dell EMC Avamar, Administration Guide, Version 18.1, July 2018
- b) Dell EMC Avamar Backup Clients, User Guide, Version 18.1, July 2018
- c) Dell EMC Avamar for VMware, User Guide, Version 18.1, July 2018
- d) Dell EMC Avamar for Windows Servers, User Guide, Version 18.1, July 2018
- e) Dell EMC Avamar, Management Console Command Line Interface (MCCLI) Guide, Version 18.1, July 2018
- f) Dell EMC Avamar, NDMP Accelerator for Dell EMC NAS Systems, User Guide, Version 18.1, July 2018
- g) Dell EMC Avamar, Product Security Guide, Version 18.1, July 2018
- h) Dell EMC Avamar, Virtual Edition for VMware, Version 18.1, July 2018

5 EVALUATION ANALYSIS ACTIVITIES

The evaluation analysis activities involved a structured evaluation of the TOE. Documentation and process dealing with Development, Guidance Documents, and Life-Cycle Support were evaluated.

5.1 DEVELOPMENT

The evaluators analyzed the documentation provided by the vendor; they determined that the design completely and accurately describes the TOE security functionality (TSF) interfaces and how the TSF implements the security functional requirements (SFRs). The evaluators determined that the initialization process is secure, that the security functions are protected against tamper and bypass, and that security domains are maintained.

5.2 GUIDANCE DOCUMENTS

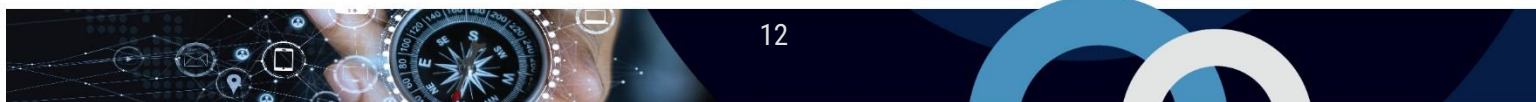
The evaluators examined the TOE preparative user guidance and operational user guidance and determined that it sufficiently and unambiguously describes how to securely transform the TOE into its evaluated configuration and how to use and administer the product. The evaluators examined and tested the preparative and operational guidance and determined that they are complete and sufficiently detailed to result in a secure configuration.

Section 4.1 provides details on the guidance documents.

5.3 LIFE-CYCLE SUPPORT

An analysis of the TOE configuration management system and associated documentation was performed. The evaluators found that the TOE configuration items were clearly marked.

The evaluators examined the delivery documentation and determined that it described all the procedures required to maintain the integrity of the TOE during distribution to the consumer.



6 TESTING ACTIVITIES

Testing consists of the following three steps: assessing developer tests, performing independent functional tests, and performing penetration tests.

6.1 ASSESSMENT OF DEVELOPER TESTS

The evaluators verified that the developer has met their testing responsibilities by examining their test evidence, and reviewing their test results, as documented in the ETR. The correspondence between the tests identified in the developer's test documentation and the functional specification was complete.

6.2 CONDUCT OF TESTING

The TOE was subjected to a comprehensive suite of formally documented, independent functional and penetration tests. The detailed testing activities, including configurations, procedures, test cases, expected results and observed results are documented in a separate Test Results document.

6.3 INDEPENDENT FUNCTIONAL TESTING

During this evaluation, the evaluator developed independent functional tests by examining design and guidance documentation.

All testing was planned and documented to a sufficient level of detail to allow repeatability of the testing procedures and results. The following testing activities were performed:

- a. Repeat of Developer's Tests: The evaluator repeated a subset of the developers tests; and
- b. RBAC and Audit: The evaluator confirmed that RBAC is enforced as specified in the ST and that appropriate audit records are generated.

6.3.1 FUNCTIONAL TEST RESULTS

The developer's tests and the independent functional tests yielded the expected results, providing assurance that the TOE behaves as specified in its ST and functional specification.

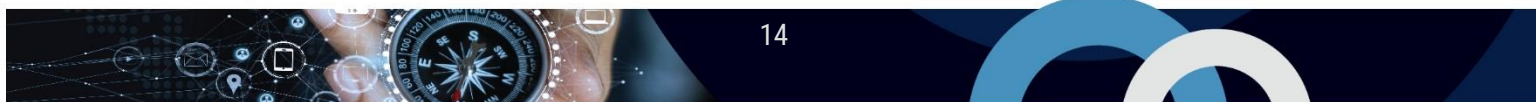
6.4 INDEPENDENT PENETRATION TESTING

Subsequent to the independent review of public domain vulnerability databases and all evaluation deliverables, limited independent evaluator penetration testing was conducted. The penetration tests focused on:

- a) Use of automated vulnerability scanning tools to discover potential network, platform and application layer vulnerabilities such as Heartbleed, Shellshock, FREAK, POODLE, and GHOST; and
- b) Hotfix verification: The evaluated verified that Hotfix 309443 was in place to prevent exploitation of CVE-2018-16395.

6.4.1 PENETRATION TEST RESULTS

The independent penetration testing did not uncover any exploitable vulnerabilities in the intended operating environment.



7 RESULTS OF THE EVALUATION

This evaluation has provided the basis for the conformance claim documented in Table 1. The overall verdict for this evaluation is **PASS**. These results are supported by evidence in the ETR.

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7.1 RECOMMENDATIONS/COMMENTS

It is recommended that all guidance outlined in Section 4.1 be followed to configure the TOE in the evaluated configuration.



8 SUPPORTING CONTENT

8.1 LIST OF ABBREVIATIONS

Term	Definition
CAVP	Cryptographic Algorithm Validation Program
CCEF	Common Criteria Evaluation Facility
CM	Configuration Management
CMVP	Cryptographic Module Validation Program
CSE	Communications Security Establishment
CCCS	Canadian Centre for Cyber Security
EAL	Evaluation Assurance Level
ETR	Evaluation Technical Report
GC	Government of Canada
IT	Information Technology
ITS	Information Technology Security
PP	Protection Profile
RBAC	Role Based Access Control
SFR	Security Functional Requirement
ST	Security Target
TOE	Target of Evaluation
TSF	TOE Security Function

8.2 REFERENCES

Reference
Common Criteria for Information Technology Security Evaluation, Version 3.1 Revision 5, April 2017.
Common Methodology for Information Technology Security Evaluation, CEM, Version 3.1 Revision 5, April 2017.
Security Target for Dell EMC™ Avamar® v18.1.0.33 v1.8, 19 September 2019
Evaluation Technical Report for Dell EMC™ Avamar® v18.1.0.33 v1.1, 9 October 2019