

Secure Installation and Operation of your

Xerox® Altalink® B8045 / B8055 / B8065 / B8075 / B8090

Multifunction Printer

Xerox® Altalink® C8030 / C8035 / C8045 / C8055 / C8070 Color

Multifunction Printer

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Secure Installation and Operation of Your Xerox® AltaLink® B8045 / B8055 / B8065 / B8075 / B8090 Multifunction Printer and Xerox® AltaLink® C8030 / C8035 / C8045 / C8055 / C8070 Color Multifunction Printer

Purpose and Audience

This document provides information on the secure installation, setup and operation. All customers, but particularly those concerned with secure installation and operation of these devices, should follow these guidelines.

Overview

This document lists some important customer information and guidelines¹ that will ensure that your device is operated and maintained in a secure manner.

Background

These products are evaluated as part of Common Criteria certification in a particular configuration, referred to in the rest of this document as the “evaluated configuration”. Section I describes how to install and configure the machine so that it is in the same configuration as it is for evaluation.

Customers are advised that changes to the evaluated configuration may be required to support business goals and for compliance with policies applicable to their environment². After careful review of this document, customers should document settings to be applied to devices in their environment establishing a unique benchmark configuration to support processes such as installation, change management and audit. Xerox Professional Services, which can be contacted via <http://www.xerox.com/about-xerox/customer-training/tab1-ab-enus.html>, can assist in evaluating and configuring these devices.

The information provided here is consistent with the security functional claims made in the applicable Security Targets³. When Common Criteria certification of these products is completed, the Security Targets will be available from the Common Criteria Certified Product website (<http://www.commoncriteriaportal.org/products.html>) list of evaluated products, from the Xerox security website (<http://www.xerox.com/information-security/common-criteria-certified/enus.html>), or from your Xerox representative.

It should be noted that throughout the rest of this document the terms “system administrator” or “administrator” are used to refer to the U.ADMIN role specified in the applicable Security Targets and in the Hardcopy Device Protection Profile⁴ while the terms “user” or “users” are used to refer to the U.NORMAL role in the Hardcopy Device Protection Profile.

I. Secure Installation and Set-up in the Evaluated Configuration

To set up the machines in the evaluated configuration, follow the guidelines below:

- A. Set up and configure the following security protocols and functions in the evaluated configuration:
 - Immediate Image Overwrite
 - On Demand Image Overwrite

¹ All guidelines in this document apply to the System Administrator unless explicitly stated otherwise.

² For example, if the customer security policy requires that passwords are reset on a quarterly basis, the Reset Policy for the Admin Password will need to be enabled. Also, many customers choose to manage user credentials centrally, rather than on individual devices through local authorization.

³Xerox Multi-Function Device Security Target Xerox® AltaLink™ B8045 / B8055 / B8065 / B8075 / B8090, Version 1.0, Nov 2017; Xerox Multi-Function Device Security Target Xerox® AltaLink™ C8030 / C8035 / C8045 / C8055 / C8070, Version 1.0, Nov 2017

⁴ **Protection Profile for Hardcopy Devices** IPA, NIAP, and the MFP Technical Community, Version 1.0, September 10, 2015

- Data Encryption
- FIPS 140-2 Mode
- IP Filtering
- Audit Log
- Security Certificates, Transport Layer Security (TLS)/Secure Sockets Layer (SSL) and HTTPS
- IPsec
- Local, Remote or Smart Card Authentication
- Local or Remote Authorization
- User Permissions
- Personalization
- 802.1x Device Authentication
- Session Inactivity Timeout
- USB Port Security
- SFTP Filing (only for transfer of the audit log to an audit log server)
- Embedded Fax Secure Receive
- Secure Print
- Hold All Jobs
- McAfee® Embedded Control
- Erase Customer Data

System Administrator authentication is required when accessing the security features and administrative functions of the device or when implementing the guidelines and recommendations specified in this document. To log in as an authenticated System Administrator via the Web User Interface (WebUI), follow the instructions under “Accessing CentreWare Information Services as a System Administrator” under “Accessing Administration and Configuration Settings” in Section 2 of the applicable System Administration Guide (SAG)⁵.

To log in as an authenticated System Administrator via the Local User Interface (denoted hereafter in this document as the Control Panel), follow “Accessing the Control Panel as a System Administrator” under “Accessing Administration and Configuration Settings” in Section 2 of the SAG.

To log in as an authenticated user who is not the System Administrator ‘admin’ user, follow the instructions for “Accessing CentreWare Information Services as a System Administrator” under “Accessing Administration and Configuration Settings” in Section 2 of the applicable System Administration Guide (SAG), except that instead of entering ‘admin’ for the User ID and the system administrator password the user should enter his/her User ID and his/her authentication password.

- B. Follow the instructions located in Chapter 4, Security, in the SAG to set up the security functions listed in Item a above. Note that whenever the SAG requires that the System Administrator provide an IPv4 address, IPv6 address or port number the values should be those that pertain to the particular device being configured.

In setting up the device to be in the evaluated configuration, perform the following⁶:

1. **Authentication Passwords:**

Authentication passwords for unique user accounts established for all users and System Administrators should be set by the System Administrator to a minimum length of 8 alphanumeric characters unless applicable internal procedures the System Administrator must comply with require a minimum password of a greater length (the minimum length can be set to any value between 1 and 63 alphanumeric characters). Authentication passwords

⁵Xerox® AltaLink® Series Multifunction Printers System Administrator Guide, Version 1.0, May 2017

⁶ The instructions for setting up the device in the Evaluated Configuration assume that the System Administrator has been successfully authenticated as a System Administrator at either the Control Panel or Web UI following the instructions in section I.a of this document.

should always be strong passwords by using a combination of upper case and lower case letters, digits, and allowable special characters (“!”, “@”, “#”, “\$”, “%”, “^”, “&”, “*”, “(”, “)”, and other printable ISO 8859-15 set and Unicode/UTF-8 set characters except “>”), not use common names or phrases, etc.

The ‘maximum length’ can be set to any value between 8 and 63 (alphanumeric) characters consistent with the same internal procedures. Follow the instructions for “Specifying Password Requirements” under “User Database” under “Configuring Authentication Settings” in Section 4 of the SAG to set both the minimum and maximum user authentication password lengths.

2. **Administrator Password:**

- I. Change the Administrator password upon installation. Reset the Administrator password periodically. Change the Administrator password once a month. To change the Administrator password from the Web UI, follow the instructions under “Changing the System Administrator Password” in Section 2 of the SAG. To change the Administrator password from the Control Panel, follow the instructions under “Changing the System Administrator Password at the Control Panel” in Section 2 of the SAG.
- II. Disable the Admin Password Reset security feature so it is not used. To disable this feature, follow the instructions under “Disabling the Security Administrator Password Reset” in Section 4 of the SAG.

3. **Authentication:**

- i. Establish local authentication at the device via either the Control Panel or Web UI by following the “Configuring Local Authentication Settings” instructions in Section 4 of the SAG.

Set up unique user accounts with appropriate credentials (user names and passwords) on the device for all users who require access to the device via the Control Panel or Web UI by following the “User Database” instructions in Section 4 of the SAG.

- ii. Establish network (remote) authentication access to network accounts from either the Control Panel or Web UI by following the “Configuring Network Authentication Settings” instructions in Section 4 of the SAG to set up an Authentication Server.

In the evaluated configuration, the only allowable Authentication Types are **Kerberos** or **LDAP**.

When configuring network authentication using LDAP/LDAPS enable SSL by following the instructions in Step 6 for “Configuring a Secure LDAP Connection” under “LDAP” in Section 3 of the SAG, making sure that **Enable Secure Connection (LDAPS)** is selected.

- iii. Establish user authentication via a Smart Card and smart card reader by following the “Configuring Smart Card Authentication Settings” instructions in Section 4 of the SAG.

Note that there are two other authentication methods available on the device – Xerox Secure Access and Convenience Authentication. Neither of these two authentication methods is allowable as part of the evaluated configuration. Note also that proximity cards are only supported by Xerox Secure Access and Convenience Authentication, so proximity cards are also not part of the evaluated configuration.

4. **Authorization:**

Either local authorization or network authorization using LDAP is allowed in the evaluated configuration.

Local Authorization

- i. Establish local authorization at the device by following the “Configuring Local Authorization Settings” instructions in Section 4 of the SAG. Note that local user accounts on the device should be set up first before user permissions are set up.

When adding new users, set up user roles and user permissions to access device apps and pathways based on the roles users are assigned to by following the instructions for “User Permissions” under “Configuring Authentication Settings” in Section 4 of the SAG. Follow these same instructions to add/delete user role, to change the roles users are assigned to or to change what access permissions each role has.

- ii. Set the permission for all Non-Logged In Users Roles (see “User Roles” in Section 4 of the SAG) to be **Not Allowed** for the following: (1) all print permission categories (by following the “Editing Print Permissions for the Non-Logged In Users Role” under “Configuring Authorization Settings” in Section 4 of the SAG) and (2) all apps/services and tools (by following the “Editing Apps and Tools Permissions for the Non-Logged In Users Role” under “Configuring Authorization Settings” in Section 4 of the SAG).

Network Authorization

- i. Establish remote authorization using LDAP by following the “Configuring Network Authorization Settings” and “Configuring Network Authorization Server Settings” instructions in Section 4 of the SAG. Make sure to only follow the instructions pertaining to setting up an LDAP Server.

Network Authorization using an SMB server is not part of the evaluated configuration and should not be used.

Ensure that Logged-In Users have access (i.e., permission is **Allowed**) to the following apps (see “Editing Apps and Tools Permissions for the Non-Logged In Users Role” under “Configuring Authorization Settings” in Section 4 of the SAG):

- Print From
- Fax
- Workflow Scanning
- Email

5. **Personalization:**

Enable personalization by following the instructions for “Specifying the Method the Printer Uses to Acquire Email Address of Users” under “Configuring Smart Card Authentication Settings” under “Configuring Authentication Settings” in Section 4 of the SAG. Configure personalization by following the instructions for “Configuring LDAP User Mappings” under “LDAP” in Section 3 of the SAG.

6. **Immediate Image Overwrite:**

Follow the instructions under ‘Enabling Immediate Image Overwrite at the Control Panel’ or ‘Enabling Immediate Image Overwrite’ in Section 4 of the SAG to enable Immediate Image Overwrite from the Control Panel or the Web UI, respectively.

Both Immediate Image Overwrite and On Demand Image Overwrite are enabled by default at the factory when the device is first delivered.

7. **Security Certificates:**

Install a digital certificate on the device before enabling SSL by following the appropriate instructions under “Security Certificates” in Section 4 of the SAG for installing any one of the digital certificates (Device Certificate, CA Certificate or Trusted Certificate) the device supports.

Note that a Xerox self-signed certificate is installed by default on the device. If a CA certificate is desired a Certificate Signing Request (CSR) will have to be sent to a Certificate Authority to obtain the CA Certificate before it can be installed on the device; follow the instructions for

“Creating a Certificate Signing Request” under “Security Certificates” in in Section 4 of the SAG to create the CSR.

Note that in FIPS Mode (see I.b.9) SHA256 hashing/ 2048 bit key length / AES256 encryption will automatically be the default signing method used for the creation of the auto-generated Default Xerox Device Certificate, all re-created Default Xerox Device Certificates and any device generated CSRs.

Note that if a New Xerox Device Certificate is installed on the device, the friendly name automatically assigned by the device for that certificate may not be correct.

8. **Transport Layer Security (TLS)/Secure Sockets Layer (SSL):**

- i. Follow the instructions under ‘Enabling DNS Settings the Control Panel’ or “ Configuring DNS” (under “Configuring IP Settings in the Embedded Web Server”) in Section 3 of the SAG for entering the host and domain names, to assign the machine a valid, fully qualified machine name and domain from the Control Panel or the Web UI, respectively (required for SSL to work properly).
- ii. If a self-signed certificate is to be used download the generic Xerox root CA certificate from the device by following the instructions for saving the certificate file under “Viewing, Saving or Deleting a Certificate” in Section 4 of the SAG and then installing the saved certificate in the certificate store of the System Administrator’s browser.
- iii. Enable HTTPS by following the instructions for “Using SSL for all HTTPS” under “Secure HTTP (SSL)” in Section 4 of the SAG. Set the ‘Force Traffic over SSL’ option to be **Yes**.
- iv. Disable SSLv3.0 in favor of TLS v1.x to avoid vulnerabilities associated with downgrading from TLS to SSLv3.0. The device has the ability to only use TLS 1.1 and above and disable TLS 1.0 by performing the following:
 - Access the WebUI by typing https://{IP Address of the device}.
 - Authenticate as a System Administrator (see I.a).
 - Select the **Properties** tab.
 - Select **Security > Encryption > TLS Encryption**.
 - To disable TLS 1.0 select the “TLS 1.1 and above [recommended]” option; otherwise select the “TLS 1.0 and above [for support of older network protocols]” option.

9. **Apply. FIPS 140-2 Mode:**

Encryption of transmitted and stored data by the device must meet the FIPS 140-2 Standard. Enable the use of encryption in “FIPS 140 mode” and check for compliance of certificates stored on the device to the FIPS 140-2 Standard by follow the instructions for “Enabling FIPS 140 Mode and Checking for Compliance” in Section 4 of the SAG.

Since Kerberos and SFTP are not FIPS compliant secure protocols, make sure when enabling FIPS mode that you set up the proper exceptions for both Kerberos and SFTP.

10. **Data Encryption:**

Enable data encryption by following the instructions under “Enabling Encryption of Stored Data” in Section 4 of the SAG; data encryption is enabled by default at the factory when the device is first delivered. Before enabling disk encryption, ensure that the device is not in diagnostics mode and that there are no active or pending scan jobs. Note that the device will automatically set the key size; no setup is required.

11. **IP Filtering:**

Enable and configure IP Filtering to create IP Filter rules by following the instructions under “IP Filtering” in Section 4 of the SAG.

Note that IP Filtering will not work if IPv6 is used instead of IPv4, but IPv6 is not part of the evaluated configuration.

Note also that a zero ('0') should be used and not an asterisk (*) if a wildcard is needed for an IP address in an IP Filter rule.

12. **Audit Log:**

The Audit Log consists of two components – the main audit log and a set of protocol log files (one for each of the four secure protocols – TLS, HTTPS, SSH which SFTP uses and IPsec). The main audit log contains the audit log elements that one would typically find in an audit log; the contents of the main audit log are contained in the Information Assurance Document (IAD) for each product covered in these guidelines; the IAD can be located by searching for the specific device on the Xerox Security Web Site www.xerox.com/security. Attachment 1 to this document provides selected audit log entries that pertain to the security functions/features discussed in this document. Attachment 2 lists what specific audit log entries are associated with each required audit log element in Table 9 of the applicable Security Targets.

For each audit log entry in the main audit log a time stamp is included.

The set of multiple protocol log files contain log information pertaining to secure sessions. Specifically, the protocol log files each contain:

- A date/time stamp for each entry
- The remote IP address of the endpoint of the communication session.
- The protocol used for the secure session.
- A status indicating that the secure session was successful or a failure.
- An error indicator (error code or message) indicating the reason for the error - this is the reason for session failure. Note: The specific message or code is an outcome of the various logging technologies used in the system.

The protocol log files are enabled separately from the main audit log by performing the following:

- Access the WebUI by typing `https://{IP Address of the device}`.
- Authenticate as a System Administrator (see I.a).
- Select the **Properties** tab.
- Select **Security > Audit Log**.
- Select the **Enabled** checkbox under 'Protocol Log'
- Click **Apply**.

Enable the audit log, download the audit log .csv file and then store it in a compressed file on an external IT product using the Web UI by following the appropriate instructions for "Enabling Audit Log" and "Saving an Audit Log", respectively, under "Audit Log" in Section 4 of the SAG. Note that the downloaded file will contain in separate files both the main audit log and the four protocol log files.

Save audit log entries (both in the main audit log and protocol log files) on a USB drive attached to the device via one of the Host USB ports on the Control Panel by following the appropriate instructions for "Saving an Audit Log to a USB Drive" under "Audit Log" in Section 4 of the SAG.

In downloading or transferring the main Audit Log and log files to a USB drive or other external trusted IT product, the System Administrator should ensure that Audit Log records are protected after they have been exported to an external trusted IT product and that the exported records are only accessible by authorized individuals.

The actual format of the Audit Log, including time stamps, is indicated in "Interpreting the Audit Log" under "Audit Log" in Section 4 of the SAG.

The System Administrator should download and review the main Audit Log and protocol log files on a daily basis.

The main Audit Log can contain up to 15,000 entries. Once the Audit Log is full it will overwrite the oldest event with the new event information, and it will keep logging events this way until the main Audit Log is cleared. The machine will send a warning email when the audit log is filled to 90% (i.e., 13,500) of the 15,000 maximum allowable number of entries, and repeated thereafter at 15,000 entries until the Audit Log is downloaded.

The protocol log files can hold up to 10MB worth of data. Just as was the case for the main Audit Log, once a Protocol Log File is full it will overwrite the oldest entries with the new information, and it will keep logging entries this way until the Audit Log is cleared. The machine will send a warning email when a protocol log file is filled to 90% of maximum capacity, and repeated each time it reaches 90% capacity until the Audit Log is downloaded.

The System Administrator should be aware that there is the possibility that on an intermittent basis multiple entries may be included in the audit log for the same event.

The Audit Log can be transferred to an audit log server outside the device by following the directions for “Enabling Automatic Log Transfer” under “Audit Log” in Section 4 of the SAG. The only special requirement on the audit log server the Audit Log is to be transferred to is that it must support the SFTP protocol. As was the case for downloading the audit log, when you transfer the audit log you will get both the main audit log and the four protocol log files.

13. **IPsec:**

Enable and configure IPsec by following the instructions under “IPsec” in Section 4 of the SAG. Note that IPsec should be used to secure printing jobs; HTTPS (SSL) should be used to secure scanning jobs. Use the default values for IPsec parameters whenever possible for secure IPsec setup.

To encrypt (PROTECT) a protocol via IPsec, create a security policy as follows:

- Follow the instructions under “Managing Host Groups” to create a new host group or use a predefined Host Group.
- Follow the instructions under “Managing Protocol Groups” to create a Protocol Group that includes the protocol(s) that you want to encrypt using IPsec.
- Follow the instructions under “Managing Actions” to create an IPsec action with the desired parameters.
- Create a security policy by selecting the **Security Policies** tab and following the instructions for “Managing Security Policies”. Make sure to select the Host Group and Protocol Group just created and select the action of ‘Block’. Click **Add Policy** to add this new security policy.
- Now create a second security policy with the default values for Host Group (‘All’) and Protocol Group (‘All’) and an action of ‘Pass’ – that will cause all protocols created to not be encrypted (BYPASS), except for in this case the protocols covered by the first rule created that are to be protected..
- Make sure that the security policy that blocks the protocols for which encryption is desired is the top priority policy (if it is not already) by following the instructions for “Prioritizing a Security Policy” to select that policy and use the **Promote** button to move the policy to the top position.

By default, any packet that does not fit any user defined security policy will be dropped (DISCARD). Therefore, if the second security policy was not created in the above case, for example, any packet that was not for one of the protocols that was to be encrypted would automatically be discarded.

The instructions for “Creating a New Action” describe how to set up an IPsec action to use either tunnel or transport mode.

The instructions for “Configuring Internet Key Exchange Settings” describe how to set the key lifetimes for IKE Phase 1 and Phase 2, the DH Group, the hash algorithm and the encryption algorithm. Note that the maximum key lifetime for both Phase 1 and Phase 2 is 86,400 seconds

(24 hours), which is the default value, and the minimum key lifetime is 60 seconds for Phase 1 and 300 seconds for Phase 2.

The device only supports the following for IPsec – IKEv1 protocol with main mode and DH Groups 2 (1024-bit MODP) and 14 (2048-bit MODP).

Pre-shared keys for IPsec are set by following the instructions for “Creating a New Action”. Pre-shared keys can be between 1 and 32 alphanumeric characters in length. Pre-shared keys should follow the same general rules as stated for creating strong passwords - use a combination of upper case and lower case letters and digits.

Note that IPsec can be disabled at the Control Panel by following the instructions for “Disabling IPsec at the Control Panel” under “IPsec” in Section 4 of the SAG. However, if IPsec is disabled the device will no longer be in the evaluated configuration.

Ensure that an IP Address of 0.0.0.0 is not used to create a new Host Group.

If either ESP or BOTH are selected for the IPsec Security type, you can then select one or more of the following Encryption types:

- **AES**
- **3DES**
- **Null**

Given the current concerns about 3DES it is recommended that AES be selected as the encryption option here.

14. ***Session Inactivity Timeout.***

Enable the session inactivity timers (termination of an inactive session) from the Web UI by following the instructions for “Setting System Timeout Values” or from the Control Panel by following the instructions for “Setting the System Timeout Values at the Control Panel” in Section 4 of the SAG.

The default session timeout limits are 60 seconds for the Control Panel and 60 minutes for the Web UI. To avoid unexpected false error messages make sure the WebUI session inactivity timer is less than 25 days.

15. ***Secure Print.***

Set the Secure Print security function to require the User ID for identification purposes to release a secure print job. Access and configure the Secure Print security function by following the instructions under “Configuring Secure Print Settings” in Section 5 of the SAG.

Ensure that the ‘Release Policies for Secure Print Jobs Requiring Passcode When the User is Already Logged In’ option is set to **Prompt for Passcode Before Releasing Jobs**.

For best security, print jobs (other than LANFax jobs) submitted to the device from a client or from the Web UI should be submitted as a secure print job. To ensure that print jobs can only be submitted as secure print jobs, for logged in users (since non-logged in users are denied permission to print any job in the evaluated configuration) follow the instructions for “Setting Job Type Print Permissions under “Editing Print Permissions for the Non-Logged In Users Role” under “Configuring Authorization Settings” in Section 4 of the SAG, select **Custom** and then set the permission to be **Allowed** for Secure Print and **Not Allowed** for all other print types.

Once a secure print job has been submitted the authenticated user can either release the job for printing at the Control Panel by following the instructions under “Secure Print” under “Printing Features” in Section 6 (Print) of the applicable User Guide⁷ or delete the job at the

⁷Xerox® AltaLink™ B80XX Series Multifunction Printer Multifunction Printer User Guide, Version 1.0, May 2017; Xerox® C80XX Series Multifunction Printer Multifunction Printer User Guide Version 1.0, May 2017.

Control Panel by following the directions under “Viewing, Printing or Deleting Jobs” under “Managing Secure and Held Print Jobs” under “Jobs” in Section 5 of the applicable User Guide.

Note that only the submitter of a secure print job can release the job, and in the evaluated configuration only the System Administrator can delete any job, except for a secure print job where the job submitter can delete the job by entering the secure print PIN. To ensure that only the System Administrator can delete jobs, perform the following based on the instructions for “Editing a Logged-In User Role” and under “Editing Apps and Tools Permissions for the Non-Logged-In Users Role” under “Configuring Authorization Settings” in Section 4 of the SAG:

- Create a new permission role for Logged-In Users and give it any desired descriptive name.
- For this newly created role, set the method to be **All Logged-In Users**.
- Under the **Apps & Tools** tab, choose **Custom**. When the page is refreshed, go to the selection under ‘Jobs’ for ‘Job Deletion (Active Queue Only)’ and set it to **Not Allowed**.
- Click **Apply** to save the changes.

16. **Hold All Jobs:**

The **Hold All Jobs** function is used in the evaluated configuration. Set the Enablement option to **Hold All Jobs in a Private Queue** and the Unidentified Jobs Policies option to **Hold Jobs; Only Administrators can Manage Jobs** by following the instructions for “Configuring the Hold All Jobs Feature” under “Hold All Jobs” in Section 5 of the SAG.

Once a held print job has been submitted the authenticated user can either release the job for printing at the Control Panel by following the instructions under “Releasing Held Print Jobs” under “Held Print Jobs” under “Printing Features” in Section 5 of the applicable User Guide. To delete a held job at the Control Panel follow the applicable instructions under “Managing Jobs at the Control Panel” under “Managing Jobs” in Section 5 of the applicable User Guide.

As is the case for a secure print job only the submitter of a held print job can release the job, and only the System Administrator can delete any print job.

17. **802.1x Device Authentication:**

Enable and configure 802.1x device authentication from the Control Panel by following the instructions for “Enabling and Configuring 802.1x at the Control Panel” or from the Web UI by following the instructions for “Enabling and Configuring 802.1x in the Embedded Web Server” in Section 4 of the SAG. Ensure that the 802.1x username and password are not blank when configuring 802.1x device authentication from the Control Panel.

Note: To be in the evaluated configuration **EAP-TLS** should be selected as the 802.1x authentication method.

18. **USB Port Security:**

Enable or disable the USB Ports using the Web UI by following the instructions for “Enabling and Disabling USB Ports” under “USB Port Security” in Section 4 of the SAG. To enable or disable the USB Ports using the Control Panel follow the instructions for “Enabling or Disabling All USB Ports at the Control Panel” under “USB Port Security” in Section 4 of the SAG

19. **SFTP Filing:**

SFTP Filing is used in the evaluated configuration only for transfer of the Audit Log to an external audit log server. Specify the use of Secure FTP for transferring the Audit Log to an external audit log server by following the instructions for “Configuring FTP and SFTP Filing Settings” under “FTP/SFTP Filing” in Section 3 of the SAG.

Note that for SFTP the underlying SSH encryption algorithms, which SFTP uses, cannot be configured.

20. **McAfee® Embedded Control:**

If use of the Embedded Device Security is desired, from the Web UI check that Embedded Device Security is enabled by following the instructions under “McAfee Embedded Control” in Section 4 of the SAG. If Enhanced Security is desired, select the **Enhanced Security** for the ‘Security Level’; if the ‘Integrity Control’ option is desired, select **Integrity Control** for the ‘Security Level’. Do not select the **Disable McAfee Secure Device** ‘Security Level’ option. Note that Enhanced Security is the default option.

Since Integrity Control is a purchasable option, before the Security Level can be set to **Integrity Control** this option must first be installed on the device; enter the installation key for the Integrity Control option provided by Xerox when the option is purchased in the appropriate step in the instructions under “McAfee Embedded Control” in Section 4 of the SAG.

To install Integrity Control from the Control Panel perform the following:

- Press the **Machine Status** button and then the **Tools** tab.
- Touch **Device Settings > General**.
- Touch **Feature Installation**.
- Enter the installation key for the Integrity Control option provided by Xerox when the option is purchased in the ‘Enter Feature Installation Key’ text box.
- Touch **OK**.

21. **Erase Customer Data:**

Initiate the feature to erase all customer data from the device at the Control Panel by following the instructions for “Erase Customer Data” in Section 10 of the SAG.

C. The following protocols, services and functions are considered part of the evaluated configuration and should be enabled when needed:

- TCP/IP
- Date and Time
- Copy
- Embedded Fax
- Fax Forwarding on Receive (for received Embedded Faxes)
- Scan to E-mail, including email encryption and signing
- Workflow Scanning
- Scan to Mailbox
- Scan to USB
- Print from USB
- Print from Mailbox
- NTP
- SMB Filing

When setting up the device to be in the evaluated configuration, perform the following special setup for the above services (otherwise follow the appropriate instructions in the appropriate section of the SAG to set up and/or configure the protocol/service/function):

1. **TCP/IP:**

- Enable IPv4 and IPv6 from the Control Panel by following the instructions for “Enabling TCP/IP” under “IP” in Section 3 of the SAG. Configure IPv4 or IPv6 by following the instructions for “Configuring TCP/IP Settings at the Control Panel” under “IP” in Section 3 of the SAG.

- Set up and configure IPv4 and IPv6 from the Web UI by following the instructions for “Configuring IPv4” and “Configuring IPv6”, respectively, under “Configuring IP Settings in the Embedded Web Server” under “IP” in Section 3 of the SAG.

2. **Date and Time:**

- Ensure that the date and time on the device is correct and is set for the correct time zone where the device is located. Set the date and time from the Control Panel by following the instructions in “Setting the Date and Time at the Control Panel” in Section 1 of the SAG.

Set the date and time from the Web UI by following the instructions in “Setting the Date and Time in CenterWare Internet Services” in Section 1 of the SAG.

The ‘Date and Time Setup’ option can be set to either **Manual (NTP Disabled)** or **Automatic Using NTP** (see 1.c.7).

3. **Embedded Fax:**

- Ensure that Embedded Fax is properly installed. The procedure for sending an Embedded Fax and the features and settings available to a user for configuring/sending an Embedded Fax are described under “Fax Workflows” under Fax in Section 5 (Xerox Apps) of the User Guide.
- Set Embedded Fax parameters and options on the device by following the instructions for “Configuring Required Fax Settings at the Control Panel” under “Fax” in Section 8 of the SAG.
- Set the minimum length of the (Embedded Fax) secure receive passcode from either the Control Panel or Web UI by following the instructions in “Configuring Fax Passcode Length” under “Fax Security” in Section 8 of the SAG.
- Enable and set (Embedded Fax) Secure Receive passcode from the Control Panel by performing the instructions for “Enabling or Disabling the Secure Fax Feature” under “Setting Incoming Fax Defaults” under “Embedded Fax” in Section 8 of the SAG. Set ‘Guest Access’ to **Disabled** to prevent unauthenticated users from being able to enable or disable Secure Receive.
- Enable Fax Forwarding on Receive and establish up to five fax forward rules from the Web UI by following the instructions for “Fax Forwarding” under “Fax” in Section 8 of the SAG. Only add E-mail addresses to the fax forward rules established by following the instructions for “Adding an Email Address to the Rule”.
- Printing of Embedded Fax confirmation reports is not included in the evaluation. The Embedded Fax cover sheets should not be printed with an Embedded Fax job.
- Be aware that if the Embedded Fax secure receive passcode length is changed via the Local User Interface, the changed secure receive passcode length may not be reflected on the Local User Interface after the system has saved the change. After the system has saved the change the changed secure receive passcode length will be reflected on the Web UI and will be in effect when attempting to enter a new Embedded Fax secure receive passcode.

4. **Scan To Mailbox:**

- Enable and configure the Scan to Mailbox feature from the Web UI by following the instructions under ‘Enabling or Disabling Scan to Mailbox’ in Section 7 of the SAG.
- Establish a unique Scan-to-Mailbox mailbox for each authenticated user.
- Establish unique names for each Scan-to-Mailbox mailbox.

- Be aware that if Scan-to-Mailbox folders are cloned any existing mailboxes on the target device that have the same name as a mailbox in the clone file will have their passwords reset to the password in the clone file.
- Sometimes an existing Scan-to-Mailbox mailbox passcode may have to be entered twice to access the applicable mailbox.
- In configuring the Scan to Mailbox feature, set the feature so that scanned documents are only stored in private folders and that public folders are not allowed by setting the proper scan policies. To set the scan policies for the Scan to Mailbox feature follow the instructions under “Setting Scan Policies” in Section 7 of the SAG. in the evaluated configuration. Set the scan policies as follows:
 - ✓ Deselect **Allow Scanning to Default Public Folder**
 - ✓ Deselect **Require per Job password to public folders**
 - ✓ Select **Allow additional folders to be created**
 - ✓ Select **Require password when creating additional folders**
 - ✓ Select **Prompt for password when scanning to private folder**
 - ✓ Deselect **Allow access to job log data**

5. **Scan to Email:**

- Set the domain filtering to limit the domains to which Scan to E-mail jobs can be sent. Enable the domain filtering option by following the instructions under “Editing Domain and Email Filter Settings” under “Configuring Email Security Settings” under “Scanning to an Email Address” in Section 7 of the SAG.
- Configure encryption and signing of Scan to Email jobs by following the instructions for “Configuring Email Encryption Settings” and “Configuring Email Signing Settings”, respectively, under “Configuring Email Security Settings” under “Scanning to an Email Address” in Section 7 of the SAG. Set the ‘Email Encryption Enablement’ option to **Always On; Not Editable by user**.
- Configure encryption of Scan to Email jobs sent from the device over SMTP by following the instructions for “Configuring SMTP Connection Encryption Settings” under “SMTP Server” in Section 3 of the SAG. Set the SMTP encryption method option to **SMTPS**.
- Configure authentication of SMTP to send Scan to Email jobs or to forward received Embedded Faxes via email by following the instructions for “Configuring SMTP Authentication Settings” under “SMTP Server” in Section 3 of the SAG.

6. **Workflow Scanning:**

- When configuring workflow scanning file repositories (see “Configuring File Repository Settings” under “Workflow Scanning” in Section 7 of the SAG) or template pool repositories (see “Configuring Template Pool Repository Settings” under “Workflow Scanning” in Section 7 of the SAG) set the transfer protocol in the evaluated configuration to be HTTPS only; SFTP should be used only for audit log transfer.

7. **NTP:**

- If it is desired to use an NTP server to synchronize and set the internal system time used by the device, follow the instructions under “NTP” in Section 3 of the SAG.

8. **SMB Filing:**

- If SMB Filing is desired to specify Kerberos authentication options when filing images to SMB-shared network locations, follow the instructions for “SMB Filing” in Section 3 of the SAG.

D. The following features and protocols are not included in the evaluated configuration:

- Reprint from Saved Job

- SMart eSolutions
 - Custom Services (Extensible Interface Platform or EIP)
 - Network Accounting and Auxiliary Access
 - Internet Fax
 - Use of Embedded Fax mailboxes
 - USB Direct Printing
 - AppleTalk and Novell IPX protocols
 - Web Services
 - InBox Apps
 - Remote Control Panel
 - SFTP when used for scanning
 - SNMPv3
- E. Customer software upgrades via the network are not allowed as part of the evaluated configuration. System software upgrades are disabled by default to prevent unauthorized replacement of the system software. Administrators should only enable software upgrades when performing an upgrade, and software upgrades disable when complete. Software upgrades can be enabled/disabled by following the instructions for 'Enabling Upgrades' under 'Updating the Device Software' in Section 10 of the SAG.

II. Secure Acceptance:

Secure acceptance, once device delivery and installation is completed, should be done by:

- Printing out a Configuration Report from the Web UI by following the "Printing the Configuration Report" instructions under "Initial Setup in the Embedded Web Server" in Section 2 of the applicable SAG, or from the Control Panel by following the "Configuration Report" instructions under "Configuration Page" in Section 3 of the applicable SAG.
- Comparing the software/firmware versions listed on the Configuration Report with the Evaluated Software/Firmware versions listed in Table 1 of the applicable Security Target, latest version issued and ensure that they are the same in all cases.
- Following internal customer policies and procedures required to evaluate and install devices in your environment.

III. Secure Operation of Device Services/Functions Part of the Evaluated Configuration

- A. Change the following passcodes on a regular basis, choose passcodes to be as random as possible and set them to the indicated minimum lengths:
- Smart Card or CAC passcode – 8 characters (alphanumeric)
 - Secure Print passcode – 6 digits
 - (Embedded Fax) Secure Receive passcode – 6 digits
 - Scan to Mailbox password – 8 characters (alphanumeric).
 - IPsec IKE Pre-Shared Key Passphrase – 22 characters (alphanumeric)
- Passcodes for Scan-to-Mailbox mailboxes should be selected to be as random as possible, should be changed on a regular basis consistent with applicable internal policies and procedures and should not contain any blank spaces.
- B. Ensure that local usernames established on the device match domain names and that both map to the same individual.
- C. Operation of IIO and ODIO:
1. If a manual ODIO is to be run set up and initiate a manual ODIO as follows:
 - From the Web UI follow the "Manually Deleting Image Data" instructions under "Overwriting Image Data" in Section 4 of the SAG.
 - From the Control Panel follow the "Manually Deleting Image Data at the Control Panel" instructions under "Overwriting Image Data" in Section 4 of the SAG.

2. If a scheduled ODIO is to be run set up and initiate a scheduled ODIO as follows:
 - From the Web UI follow the “Scheduling Routine Deletion of Image Data” instructions under “Overwriting Image Data” in Section 4 of the SAG.
 - From the Control Panel follow the “Scheduling Routine Deletion of Image Data at the Control Panel” instructions under “Overwriting Image Data” in Section 4 of the SAG.
3. Set the ‘Confirmation Report’ setting to “On” when setting up a manual or scheduled ODIO from the Control Panel or Web UI so that a Confirmation Report will always be printed upon completion of an ODIO.
4. A Standard ODIO that will overwrite all image data except data stored by the Reprint Save Job feature and data stored in Embedded Fax dial directories and mailboxes; a Full ODIO that will overwrite all image data including data stored by the Reprint Save Job feature and data stored in Embedded Fax dial directories and mailboxes.
5. IIO of a delayed or secure print job will not occur until after the machine has printed the job.
6. If an IIO fails, an error message will appear at the top of the screen indicating that there is an Immediate Image Overwrite error and that an On Demand Image Overwrite should be run. This error message will persist until an On Demand Image overwrite is initiated by the System Administrator. In the case that the copy controller is reset at the same time a copy job is being processed by the device, this same error message may also appear when the copy controller has completed its reset.
7. If there is a power failure or system crash while a network scan job is being processed, an IIO of the residual data will occur upon job recovery. However, the network scan job may not appear in the Completed Job Log.
8. If there is a power failure or system crash of the network controller while processing a print job, residual data might still reside on the hard disk drive(s). Immediately initiate a full ODIO once the machine has been restored.
9. Once a manual or scheduled ODIO has been initiated it cannot be aborted.
10. Before invoking an ODIO verify that:
 - There are no active or pending print or scan jobs.
 - There are no new or unaccounted for Dynamic Loadable Modules (DLMs) or other software running on the machine.
 - There are no active processes that access the hard disk drive(s).
 - No user is logged into a session via network accounting, Xerox Standard Accounting, or the internal auditor, or into a session accessing a directory on the hard disk drive(s).
 - After a power on of the machine all subsystems must be properly synced and, if printing of Configuration Reports is enabled on the device, the Configuration Report must have printed.
 - For any previously initiated ODIO request the confirmation sheet must have printed.
11. When invoked from the Web UI the status of the completed ODIO may not appear on the Web UI but can be ascertained from the Confirmation Report that is printed after the Network Controller reboots.
12. If an ODIO fails to complete because of an error or system crash, a system reboot or software reset should be initiated from either the Control Panel or the Web UI and be allowed to complete; otherwise, the Control Panel may become unavailable. If the Control Panel does become unavailable the machine will have to be powered off and then powered on again to allow the system to properly resynchronize. Once the system reboots or software reset has completed immediately perform another ODIO.
13. If Embedded Fax is enabled and then subsequently disabled before there is a power failure or system crash and Embedded Fax is then re-enabled after the device is restored to operational mode, the first ODIO that is subsequently initiated may fail. If that situation occurs reinitiate the ODIO.

Note: When an ODIO fails under this scenario no Fax ODIO report may be printed, the Web UI may indicate that the ODIO was successful, the Confirmation Report may indicate that the ODIO was 'Not Completed' because the device lost power and the Audit Log may indicate that the ODIO was 'Cancelled'.

14. If there is a failure in the hard disk drive(s) a message recommending that an On Demand Image Overwrite be run will appear on the Control Panel screen. An Immediate Image Overwrite Error Sheet will also be printed or may contain incomplete status information. Immediately perform the requested On Demand Image Overwrite.
 15. The time shown on the On Demand Overwrite progress screen displayed on the Control Panel may not reflect Daylight Savings Time. The message shown on the On Demand Overwrite progress screen displayed on the Control Panel may be slightly different for different products, reflecting the expected time the ODIO will take to complete for that product.
 16. If an ODIO is successfully completed, the completion (finish) time shown on the printed On Demand Overwrite Confirmation Report will be the time that the system shuts down.
 17. Perform a Full ODIO immediately before the device is decommissioned, returned, sold or disposed of.
- F. The device supports the use of TLS 1.0, SSLv2.0, SSLv3.0, RC4 and MD5. However, customers are advised to set the crypto policy of their clients to request either TLS 1.1 and TLS 1.2 (SSLv3 should be disabled) and to disallow the use of RC4, MD5 and TLS 1.0. The cryptographic module supports additional ciphers that may be called by other unevaluated functions.

Using the device in FIPS mode will automatically restrict the device to using TLS 1.x only.

The following TLS cipher suites are supported by these devices:

- TLS_RSA_WITH_AES_128_CBC_SHA
 - TLS_RSA_WITH_AES_256_CBC_SHA
 - TLS_DHE_RSA_WITH_AES_128_CBC_SHA
 - TLS_DHE_RSA_WITH_AES_256_CBC_SHA
 - TLS_RSA_WITH_AES_128_CBC_SHA256
 - TLS_RSA_WITH_AES_256_CBC_SHA256
 - TLS_DHE_RSA_WITH_AES_128_CBC_SHA256
 - TLS_DHE_RSA_WITH_AES_256_CBC_SHA256
 - TLS_ECDHE_ECDSA_WITH_AES_128_GCM_SHA256
 - TLS_ECDHE_ECDSA_WITH_AES_256_GCM_SHA384
 - TLS_ECDHE_ECDSA_WITH_AES_128_CBC_SHA256
 - TLS_ECDHE_ECDSA_WITH_AES_256_CBC_SHA384
 - TLS_ECDHE_RSA_WITH_AES_128_GCM_SHA256
 - TLS_ECDHE_RSA_WITH_AES_256_GCM_SHA384
 - TLS_ECDHE_RSA_WITH_AES_128_CBC_SHA256
 - TLS_ECDHE_RSA_WITH_AES_256_CBC_SHA384
- G. When utilizing SSL for secure scanning:
- ✓ SSL should be enabled and used for secure transmission of scan jobs.
 - ✓ When storing scanned images to a remote repository using an https: connection, a Trusted Certificate Authority certificate should be uploaded to the device so the device can verify the certificate provided by the remote repository.
 - ✓ When an SSL certificate for a remote SSL repository fails its validation checks the associated scan job will be deleted and not transferred to the remote SSL repository. In this case the job status reported in the Completed Job Log for this job will read: "Job could not be sent as a connection to the server could not be established".
 - ✓ The HTTPS protocol should be used to send scan jobs to a remote IT product.
- H. Audit Log Notes:
- Some text in the main Audit Log may contain strings that are not written in US-ASCII.

- In viewing the main Audit Log the System Administrator should note the following:
 - ✓ User names in Audit Log entries can sometimes include extraneous characters.
 - ✓ Deletion of a file from Reprint Saved Job folders or deletion of a Reprint Saved Job folder itself is recorded in the Audit Log (Event 21, Delete File/Dir).
 - ✓ Deletion of a print or scan job or deletion of a scan-to-mailbox job from its scan-to-mailbox folder may not be recorded in the Audit Log.
 - ✓ Deletion of a held job may display an incorrect status in the corresponding entry in the Audit Log (Event 21, Delete File/Dir).
 - ✓ Extraneous process termination events (Event 50, Process Terminated) may be recorded in the Audit Log when the device is rebooted or upon a Power Down / Power Up. Extraneous security certificate completion status (Created/Uploaded/Downloaded) events (Event 38, X509 certificate) may also be recorded.
 - ✓ Extraneous events may be recorded in the Audit Log when McAfee® Embedded Control is enabled or disabled, when FIPS 140-2 mode is enabled, when a user permission role is defined or when configuring Network Settings on the Control Panel.
 - ✓ Duplicate audit log entries may appear in the Audit Log for some events such as when the system timeout values are changed or when adding/deleting a Domain Controller for smart card authentication.
 - ✓ Download and review the Audit Log on a daily basis. In downloading the Audit Log the System Administrator should ensure that Audit Log records are protected after they have been exported to an external trusted IT product and that the exported records are only accessible by authorized individuals.
- If a system interruption such as power loss occurs a job in process may not be fully written to the hard disk drive(s). In that case any temporary data created will be overwritten during job recovery but a corresponding record for the job may not be recorded in the completed job log or audit log.
- Once Embedded Device Security is enabled on the device, any attempts to read from read-protected files and directories or to change write protected files and directories will result in a Security Alert being recorded in the Audit Log. If configured, an email alert will also be sent.
- The device will provide an email alert to the System Administrator when the main Audit Log reaches 13,500 entries (90% “full”), when the main Audit Log reaches 28,500 events, (15K +13.5K), and every 15,000 event intervals thereafter (e.g., 43,500 events, 61,500 events, etc.). As indicated in I.b.12 a similar situation occurs for the protocol log files. To enable the System Administrator to get any email alert, follow the instructions for “Email Alerts” under “Configuring Alerts” in Section 10 of the SAG.
- Set the e-mail address to notify when the audit log reaches 13,500 audit events or when it is full. To set the alert follow the instructions for “Configuring Alerts” in Section 10 of the SAG.
- I. Be careful not to create an IP Filtering rule that rejects incoming TCP traffic from all addresses with source port set to 80; this will disable the Web UI. Also, configure IP filtering so that traffic to open ports from external users (specified by subnet mask) is dropped and so that the following ports for web services are closed: tcp ports 53202, 53303, 53404 and tcp/udp port 3702. Also ensure that entire access to the device is not blocked by defining, for example, a rule for IP Address 0.0.0.0 with a reject/drop action kept in Position 1 in the list of IP Filters.
- J. Ensure the user permission roles names do not contain single quotes (') or double quotes (").
- K. Ensure there are no jobs being held by the device when data encryption is enabled/disabled.
- L. If the hash algorithm is selected to be SHA-256 (for those cases (e.g., IPsec IKE Settings) where a hash algorithm can be selected) the Administrator may not be able to change the hash selection to be SHA-1. See Section 4 of the SAG for the place where the hash size can be set – IPsec “Creating a New Action”; otherwise the device will automatically set the hash size without intervention required.

- M. Users should be aware that correct remote repository document pathnames for the receipt of workflow scanning jobs should start with one '\ ' as opposed to the two '\ 's shown in the SAG (e.g., page 140).
- N. Users should be provided with appropriate training on how to use the device in a secure manner before being assigned user accounts to access the device.
- O. Before upgrading software on the device via the Manual/Automatic Customer Software Upgrade, please check for the latest certified software versions. Otherwise, the machine may not remain in its evaluated configuration.
- P. Users experiencing problems logging in to the device using the Web UI only on a particular web browser are advised to switch to a different web browser.
- Q. The device should be installed in a standard office environment. Office personnel should be made aware of authorized service calls (for example through appropriate signage) in order to discourage unauthorized physical attacks such as attempts to remove the internal hard disk drive(s). Ensure that office personnel are made aware to pick up the outputs of print and copy jobs in a timely manner.
- R. Caution: The device allows an authenticated System Administrator to disable functions like Image Overwrite Security that are necessary for secure operation. Periodically review the configuration of all installed machines in your environment to verify that the proper evaluated configuration is maintained.
- S. System Administrators should avoid opening emails and attachments from unknown sources unless the emails and attachments have been properly scanned for viruses, malware, etc.
- T. The device has an automatic lockout that will disable the ability of anyone who enters three successive incorrect authentication credentials via either the Control Panel or the Web UI from logging into the device for 5 minutes. After the 5-minute lockout period, login attempts will automatically be allowed again. The lockout period is fixed and cannot be changed.
- U. System Administrators and users should:
 - Whenever possible use a browser to access the Web UI whose only purpose is to access the Web UI.
 - Always logoff the browser immediately after completing any tasks associated with accessing the Web UI.
 - Not allow the browser to either save their username/password or “remember” their login.
 - Follow secure measures, only use browsers with TLS 1.0 and above and not open any malicious links or documents with their browser.
- V. If software upgrades are required, restrict upgrades to System Administrators only by following the instructions for “Updating the Device Software” in Section 10 of the SAG. The best way to determine the current software version is to print out a Configuration Report by following the instructions given in II.

The latest general software release available from www.xerox.com can be found by accessing the following in the order stated:

- Select the **Support > Support and Drivers** links
- In the text box enter the model number of your device. A menu list of all Xerox devices with that model number will appear; select the one that corresponds to the product you have.
- Select the **Drivers & Downloads** link
- Scroll down the resultant page; under ‘Firmware’ will be the latest general release. Click on the release link and a page will be displayed that allows you to download the release onto a desired location.

W. Additional items:

1. All passwords entered on the Control Panel for authentication purposes will be obfuscated by '*'s. All passwords entered on the WebUI for authentication purposes will also be obfuscated, but the character that does the obfuscation will depend on the web browser used. This applies to all the models covered by these guidelines.
2. The System Administrator does not have to configure or perform any actions to utilize the random number generation needed for key generation and for the encryption algorithms the products covered by these guidelines use for the security features described in I. and III.
3. The following errors could result from power-on self-tests:
 - In the case of a health failure check for entropy sources, the letter 'J' is displayed on POST code display on the back of the MFD and the device is rebooted. The POST code remains for several seconds until the controller resets. After three (3) sequential reboots as a result of continuous entropy health check failures, the device will be halted with 'J' being displayed. At this point the System Administrator should initiate a service call to fix the device.

At any point in the first three (3) reboots the entropy health check passes, it resets the reboot count to 0 and clears the 'J' display.
 - Any errors associated with failure of any of the encryption modules are indicated on the console connected to the backchannel; there will be no error messages displayed on the Control Panel. This console is only be accessible from a Xerox service technician. The only action required by the System Administrator is to contact Xerox Technical Support to have a Xerox service technician check this console when the device is being serviced.
 - Any security alerts⁸ found by the McAfee subsystem during Power On will result in an email alert being sent to the System Administrator. If a security alert is received, the System Administrator should immediately review the alert, download the Audit Log and look at the applicable audit log entries. Based on the alert the System Administrator should take the appropriate action to either change the device configuration, reinstall the current software release on the device or contact Xerox Technical Support to have a Xerox Service Technician service the device.
4. Unauthenticated User should not be able to delete another user's print job if the admin set the Job Deletion for Non-Logged in Users (Unauthenticated) to Not Allowed.
5. Unauthenticated user permission for scan to not allowed.
6. All specific characteristics for these devices are configured by default. Note, however, that the devices do not provide options for authorized administrators to further configure SSH and SFTP other than to select username vs. certificate.
7. Should a connection between the device and another IT product using one of the security protocols in the evaluated configuration be unintentionally broken or terminated, in general the user does not have to take any action; the connection will automatically be reestablished. The only exception is that if the user is in the middle of a WebUI session and the HTTPS connection is broken, HTTPS itself will automatically reconnect but the user will have to reestablish the WebUI session between the browser being used and the WebUI to access the device again.
8. The default values for the following device characteristics are:
 - Public key algorithm: SSH_RSA only

⁸ McAfee Security Alerts result from the following error conditions:

- Attempt of unauthorized agents to write to write protected files and directories
- Attempt of unauthorized agents to read from read protected files and directories
- In the case of Integrity Control, an attempt to execute an unauthorized file.
- Whenever McAfee Embedded Security is enabled, disabled, or changed.

- Encryption algorithms: AES 128 and AES 256 when AES is selected as the encryption algorithm and included in the negotiation with the IPsec peer device
 - Data integrity algorithms allowed in SSH transport connection: HMAC-SHA1, HMAC-SHA1-96 and HMAC-SHA2-512
 - Key exchange method used for the SSH protocol: diffie-hellman-group14-sha1
 - SSH transport supported algorithms: AES-CBC-128 and AES-CBC-256 only
 - DH groups supported: 14(2048-bit MODP)only
 - Which connection uses SFTP: Audit log transmission from the TOE
9. When three successive authentication attempts are made using either the Control Panel or WebUI, the device will lockout the user or system administrator for 5 minutes. After the 5 minute lockout period the user or system administrator will be able to attempt another authentication attempt.

IV. Secure Operation of Device Services/Functions Not Part of the Evaluated Configuration

- A. Change the SNMPv1/v2c public/private community strings from their default string names to random un-guessable string names of at least 8 characters in length.

B. SNMPv3:

- SNMPv3 cannot be enabled until SSL and HTTPS (SSL) are enabled on the machine. To enable SNMPv3 follow the instructions for “Configuring SNMPv3” under “SNMP” in Section 3 of the SAG.

Be aware that in configuring SNMPv3 there is the option of resetting both the Privacy and Authentication passwords back to their default values. This option should only be used if necessary since if the default passwords are not known no one will be able to access the SNMP administrator account⁹.

Make sure that the “Authentication/Encryption” selection in the evaluated configuration is ‘SHA-1/AES-128’.

- C. Customers should sign up for the RSS¹⁰ subscription service available via the Xerox Security Web Site (Security@Xerox) at www.xerox.com/security that permits customers to view the latest Xerox Product Security Information and receive timely reporting of security information about Xerox products, including the latest security patches.
- D. Customers who encounter or suspect software problems should immediately contact the Xerox Customer Support Center to report the suspected problem and initiate the SPAR (Software Problem Action Request)¹¹ process for addressing problems found by Xerox customers.
- E. Depending upon the configuration of the device, two IPv4 addresses, a primary IPv4 address and a secondary IPv4 address, may be utilized. Select whether the primary IPv4 address will be obtained statically or dynamically via DHCP from the **IP (Internet Protocol)** page on the Web UI¹². The second IPv4 address is assigned via APIPA when the System Administrator enables the ‘Self Assigned Address’ option from the **IP (Internet Protocol)** page on the Web UI. If the ‘Self Assigned Address’ option is enabled (which is the default case), this secondary IPv4 address will

⁹The SNMP administrator account is strictly for the purposes of accessing and modifying the MIB objects via SNMP; it is separate from the System Administrator “admin” user account or user accounts given SA privileges by the System Administrator “admin” user. The administrator account cannot perform any System Administrator functions.

¹⁰ Really Simple Syndication – A lightweight XML format for distributing news headlines and other content on the Web. Details for signing up for this RSS Service are provided in the **Security@Xerox RSS Subscription Service guide** posted on the Security@Xerox site at http://www.xerox.com/go/xrx/template/009.jsp?view=Feature&ed_name=RSS_Security_at_Xerox&Xcntry=USA&Xlang=en_US.

¹¹ A SPAR is the software problem report form used internally within Xerox to document customer-reported software problems found in products in the field.

¹² The primary IPv4 address can also be assigned dynamically via DHCP from the Dynamic Addressing screen on the Control Panel.

not be visible to the SA¹³. The 'Self Assigned Address' option from the Web UI **IP (Internet Protocol)** page should be disabled unless either APIPA is used or Apple Rendezvous/Bonjour support is required.

- F. If IPv6 is disabled and then a software upgrade is performed by a Xerox Service Technician using an AltBoot, IPv6 will be disabled even though both the Control Panel and Web UI show that IPv6 is enabled. IPv6 can be enabled again via the Web UI by first disabling and then re-enabling it.
- G. **Software Verification Test:** Initiate the software verification test feature by following the instructions for "Verifying the Software" in Section 4 of the SAG.
- H. The device does provide a Remote Control Panel that allows a user to access the control panel of the printer from a Web browser. Although this feature is not part of the evaluated configuration, if this capability is desired follow the instructions for "Remote Control Panel" in Section 10 of the SAG. Make sure that the **Block device control panel option** is selected to restrict other users from accessing the control panel when someone is connected via the Remote Control Panel.
- V. **The following windows are available to any authenticated and authorized user from the Local User Interface. These windows provide standard machine services or job management capability:**
- **Embedded Fax Batch Send Confirmation** – Allows a user to either send an Embedded Fax job to a remote destination immediately or include the job as part of a "batch" of Embedded Fax jobs sent to the same destination. Is accessible by selecting the following screens/buttons in order: **[Services Home]** hard button → **[Fax]** feature button → **[Start]** hard button when a user is submitting an Embedded Fax Send job to the same destination as a previously submitted "delayed send" Embedded Fax job.
 - **Pausing an active job being processed by the device** – Allows the user to pause an active copy, print, workflow scanning, scan to email, Internet Fax or Embedded Fax job while it is being processed. Is accessible by selecting the **[Stop]** machine hard button while a job is being processed by the device. Depending on the type of jobs being processed by the device when the **[Stop]** button is selected, one of the following **Pause** windows will be displayed as appropriate to allow the user to determine whether to delete or continue processing of the job: **Scanning Pause** window, **Printing Pause** window, **Copy Only (Scanning and Printing) Pause** window, **Scanning/Printing (Simultaneous Jobs) Pause** window, **Scanning Build Job Segment (No Printing) Pause** window, **Printing Build Job Segment (No Scanning) Pause** window or **Scanning Build Job Segment/Printing Another Job Pause** window.
 - **Overwrite Security Failure** – Automatically provides an error message to the user in case an Immediate Image Overwrite of a copy, print, workflow scanning, scan to email, LAN Fax or Embedded Fax job fails. The error message informs the user to notify the System Administrator that an On Demand Overwrite should be run and persists on the Control Panel screen until either a manual or a scheduled On Demand Overwrite is initiated.
- VI. **The Web UI provides a set of on-line help pages that provide guidance on most of the Web UI pages. These on-line help pages can be accessed from the Web UI by selecting the [Help] button on the upper right hand corner of every Web UI page; the on-line help page corresponding to the Web UI page being viewed will be displayed. There is also a 'TOC' contents list of all Web UI help pages to the left of each help page; scrolling through the content list and selecting the desired page will also cause the applicable on-line help page to be displayed.**

The following pages are available from the Web UI with System Administrator login and authentication but are not documented in the SAG, User's Guides or the on-line help:

- **Application Domain/Content Query** - Allows the configuration of the system to perform an LDAP query for the logged-in user's authentication domain prior to authenticating the server. Is

¹³ The primary IPv4 address will always be displayed on the Configuration Report that can be printed for the device.

accessible by typing <http://{IP Address}^14/diagnostics/index.dhtml> and then selecting 'Authentication Domain/Context Query' from the **Diagnostics** Content Menu or by typing <http://{IP Address}/diagnostics/authenticationQuery.php>.

- **Scanning Lock Files** - Allows bypassing the filename locking feature. Is accessible by typing <http://{IP Address}/diagnostics/index.dhtml> and then selecting 'Scanning Lock Files' from the **Diagnostics** Content Menu or by typing <http://{IP Address}/diagnostics/lockFiles.php>.
- **Gray Other Queues Button** - Allows the System Administrator to grey out the 'Other Queue' button on the Control Panel. Is accessible by typing <http://{IP Address}/diagnostics/index.dhtml> and then selecting 'Grey Other Queues Button' from the **Diagnostics** Content Menu or by typing <http://{IP Address}/diagnostics/hideotherqueuesbutton.php>.
- **Clone Install** - Allows the System Administrator to view status on the various subsystems invoked during clone file installation and clone file creation. Is accessible by typing <http://{IP Address}/diagnostics/index.dhtml> and then selecting 'Cloning Results' from the **Diagnostics** Content Menu or by typing <http://{IP Address}/diagnostics/cloneResults.php>.
- **Job Log File Format** - Allows the System Administrator to set the XML job log file format. Is accessible by typing <http://{IP Address}/diagnostics/jobLog.dhtml>.
- **Binary Printing Support** - Allows the device to accept printing jobs that are identified as binary files. Is accessible by typing <http://{IP Address}/diagnostics/binaryAllow.php>.
- **Postscript Filter PDL Guessing Policy** - Allows the System Administrator to select whether the Postscript Filter guess algorithm will use a strict or loose interpretation. Is accessible by typing <http://{IP Address}/diagnostics/postScriptTokens.php>.
- **Web Services IP Lockout Reset** - Allows the System Administrator to clear the Web Services IP Address Lockout cache. Is accessible by typing <http://{IP Address}/diagnostics/ipLockout.php>.
- **Service Registry Reset** - Allows the System Administrator to reset the device's Service Registry to its default values. Is accessible by typing <http://{IP Address}/diagnostics/registryReset.php>.
- **Job Queue Limit** - Allows the System Administrator to set the maximum number of jobs that can be listed in the device's job queues. Is accessible by typing <http://{IP Address}/diagnostics/jobLimit.php>.
- **Barcode Space Character Interpretation** - Allows the System Administrator to choose how the device renders space characters within barcode fonts. Is accessible by typing <http://{IP Address}/diagnostics/barcodeSpaceToggle.php>.
- **DHCP v6** - Allows the System Administrator to choose which compliance option will be followed when DHCP v6 is used. Is accessible by typing <http://{IP Address}/diagnostics/dhcpv6Options.php>.
- **View Service Registry Contents** - Allows the System Administrator to view the contents of the device's Service Registry. Is accessible by typing <http://{IP Address}/diagnostics/viewRegistry.php>.
- **Diagnostics Tree** - Allows the System Administrator to view the selectable list of diagnostics Special Purpose Pages. Is accessible by typing <http://{IP Address}/diagnostics/tree.php>.
- **PCL Advanced Configuration** - Allows the System Administrator to enter the desired PCL advanced configuration paper size code. Is accessible by typing <http://{IP Address}/diagnostics/pclSetup.php>.
- **Control Kerberos Authentication Settings** – Allows the System Administrator to control how the device performs Kerberos authentication with a domain controller, LDAP server and other kerberized services as they are developed. Is accessible by typing <http://{IP Address}/diagnostics/kerberosSettings.php>.
- **Download DLM PCL Forms** - Allows the System Administrator to download the DLM PCL forms into the device. Is accessible by typing http://{IP Address}/diagnostics/dl_pcl.php.

¹⁴ {IP Address} is the IPv4 address of the machine

- **Multiple Pages per JBIG2 Dictionary** - Allows the System Administrator to enable the multiple pages per JBIG2 dictionary feature (for PDF and PDF/A only). Is accessible by typing **http://{IP Address}/diagnostics/disableMultiplePages.php**.
- **Show Web UI Configuration Page** - Allows the System Administrator to enable users who are not authenticated administrators to view the Web UI Configuration Page. Is accessible by typing **http://{IP Address}/diagnostics/ShowConfigSheet.php**.
- **NTLM v2 Response** - Allows the System Administrator to enable the device to send only the NT Lan Manager (NTLM) Version 2 protocol (and refuse the LM & NTLM versions). Is accessible by typing **http://{IP Address}/diagnostics/NTLMSecurity.php**.
- **Custom Size Allowed** - Allows the System Administrator to allow custom size paper to be used for print jobs. Is accessible by typing **http://{IP Address}/diagnostics/customSizeAllowed.php**.
- **Copies Per Page Print Setting** - Allows the System Administrator to permit the use of the copies per page setting for print jobs. Is accessible by typing **http://{IP Address}/diagnostics/copiesPerPage.php**.
- **Port 9100 Print Stream Filtering** - Allows the System Administrator to enable/disable the filtering of the RAW IP print stream for the occurrence of the PostScript control-T character. Is accessible by typing **http://{IP Address}/diagnostics/Port9100PrintStreamFiltering.php**.
- **Install Software (View Scan Templates Created by WIA Driver)** - Allows the System Administrator to install the #00022121 Network Controller version to view templates created by the Microsoft Windows Image Acquisition (WIA) driver. Is accessible by typing **http://{IP Address}/diagnostics/00022121.dhtml**. The System Administrator should be aware that installing this Network Controller version will result in the device no longer being in the evaluated configuration.
- **Scan Image Compression** - Allows the System Administrator to manage the asymmetric sub sampling options of scan image processing. Is accessible by typing **http://{IP Address}/diagnostics/asymmetricSubSample.php**.
- **Enable Scanning Multithread Processing** - Allows the System Administrator to manage the enablement for multithread scan image processing. Is accessible by typing **http://{IP Address}/diagnostics/multiThreadingEnableDisable.php**.
- **TIFF Rotation for Scan to Email** - Allows the System Administrator to enable a special TIFF rotation when processing Scan to Email jobs that saves time and processing power. Is accessible by typing **http://{IP Address}/diagnostics/enableTIFFRotation.php**.
- **Port 9100 Parse PDF Format** - Allows the System Administrator to enable the printing of PDF files over Port 9100 that have added data to the beginning or the end of the file. Is accessible by typing **http://{IP Address}/diagnostics/Port9100ParsePDF.php**.
- **Enable/Disable Selective Spooling** - Allows the System Administrator to enable or disable Selective Spooling that sends incoming print jobs directly to the PDL interpreter and bypassing the spooling to disk step. Is accessible by typing **http://{IP Address}/diagnostics/SelectiveSpooling.php**.
- **Certificate Signing Request** - Allows the System Administrator to configure the Certificate Signing Request (CSR) feature on the device to not include the device's IPv4 address as the Common Name (CN) entry in the 'Subject' field so the CSR has only a single CN entry. Is accessible by typing **http://{IP Address}/diagnostics/singleCN.php**.
- **Duplicate Mailbox Cloning Policy** - Allows the System Administrator to set the policy for cloning duplicate mailboxes. Is accessible by typing **http://{IP Address}/diagnostics/enableDuplicateMailbox.php**.
- **Send PJL Job Name** - Allows the device to process jobs submitted without the PJL JOB NAME = command in the PJL JOB END. Is accessible by typing **http://{IP Address}/diagnostics/sendPJLJobName.php**.
- **Allow Null LDAP Password** - Allows a user with NULL password to successfully log into the device. Is accessible by typing **http://{IP Address}/diagnostics/LDAPAllowNullPassword.php**.

- **On Box Authentication** - Allows the System Administrator to provide a mechanism for a user to be authenticated and log into a device and perform Copy functionality when the network is down or the Secure Access server is not available. Is accessible by typing **http://{IP Address}/diagnostics/secureAccessOffline.php**.
- **NTLM Switch** – Allows the System Administrator to enable/disable SMTP authentication using NTLM as the method. Is accessible by typing **http://{IP Address}/diagnostics/ntlm.php**.
- **Eject PCL5 Trailing Blank Duplex Pages** – Allows the System Administrator to enable/disable the option to print blank duplex pages as part of the PCL5 print jobs. Is accessible by typing **http://{IP Address}/diagnostics/pcl5trailingblankpages.php**.
- **DHCP Option 12 and 15 Support** – Allows the System Administrator to configure the DHCP to either support DHCP option 12 (host name) and 15 (domain name), or to not support these two options. Is accessible by typing **http://{IP Address}/diagnostics/DHCPSendHostname.php**

VII. **The following pages are available from the Web User Interface with no user login and authentication required:**

- **Site Map** - Provides the user with hyperlink pointers to each Web User Interface screen organized by Web UI tab. Is accessible by selecting the [**Site Map**] button in the upper right hand corner of every Web User Interface page.
- **Exit from Sleep Mode** – Automatically informs the user, when the Network Controller is in ‘Sleep Mode’ at the time the user attempts to make a change to current settings on a Web User Interface web page, that the Network Controller needs to be taken out of ‘Sleep Mode’ before the requested changes can be made.

VIII. **Customers who required specialized changes to support unique workflows in their environment may request specific changes to normal behavior. Xerox will supply these SPAR releases to the specific customers requesting the change. Please note that in general enabling a specialized customer-specific feature will take the system out of the evaluated configuration.**

**Attachment 1
Selected Audit Log Entries**

The following table lists the events that are recorded in the log:

Event ID	Event description	Entry Data
1	System startup	Device name Device serial number
2	System shutdown	Device name Device serial number
3	Manual ODIO Standard started	Device name Device serial number
4	Manual ODIO Standard complete	Device name Device serial number Overwrite Status
5	Print job	Job name User Name Completion Status IIO status Accounting User ID Accounting Account ID
6	Network scan job	Job name User Name Completion Status IIO status Accounting User ID Accounting Account ID total-number-net-destination net-destination.
7	Server fax job	Job name User Name Completion Status IIO status Accounting User ID Accounting Account ID Total-fax-recipient-phone-numbers fax-recipient-phone-numbers net-destination.
8	IFAX	Job name User Name Completion Status IIO status Accounting User ID Accounting Account ID total-number-of-smtp-recipients smtp-recipients
9	Email job	Job name User Name Completion Status IIO status Accounting User ID Accounting Account ID total-number-of-smtp-recipients smtp-recipients

Event ID	Event description	Entry Data
10	Audit Log Disabled	Device name Device serial number
11	Audit Log Enabled	Device name Device serial number
12	Copy	Job name User Name Completion Status IIO status Accounting User ID Accounting Account ID Total-fax-recipient-phone-numbers fax-recipient-phone-numbers
13	Efax	Job name User Name Completion Status IIO status Accounting User ID Accounting Account ID Total-fax-recipient-phone-numbers fax-recipient-phone-numbers
14	Lan Fax Job	Job name User Name Completion Status IIO status Accounting User ID Accounting Account ID Total-fax-recipient-phone-numbers fax-recipient-phone-numbers
15	Data Encryption enabled	Device name Device serial number
16	Manual ODIO Full started	Device name Device serial number
17	Manual ODIO Full complete	Device name Device serial number Overwrite Status
18	Data Encryption disabled	Device name Device serial number
20	Scan to Mailbox job	Job name or Dir name User Name Completion Status IIO status
21	Delete File/Dir	Job name or Dir name User Name Completion Status IIO status
29	Network User Login	UserName Device name Device serial number Completion Status (Success, Failed)

Event ID	Event description	Entry Data
30	SA login	UserName Device name Device serial number Completion Status (Success or Failed)
31	User Login	UserName Device name Device serial number Completion Status (Success or Failed)
33	Audit log download	UserName Device name Device Serial Number Completion status (Success or Failed).
34	IIO feature status	UserName Device name Device serial number IIO Status (enabled or disabled)
35	SA pin changed	UserName Device name Device serial number Completion status
36	Audit log Saved	UserName Device name Device serial number Completion status
37	SSL	UserName Device name Device serial number Completion Status (Enabled/Disabled/Terminated)
38	X509 certificate	UserName Device name Device serial number Completion Status (Created/uploaded/Downloaded).
39	IP sec Enable/Disable/Configure	UserName Device name Device serial number Completion Status (Configured/enabled/disabled/Terminated)
40	SNMPv3	UserName Device name Device serial number Completion Status (Configured/enabled/disabled).
41	IP Filtering Rules	UserName Device name Device serial number Completion Status (Configured/enabled/disabled).
42	Network Authentication Enable/Disable/Configure	UserName Device name Device serial number Completion Status (Enabled/Disabled)
43	Device clock	UserName Device name Device serial number Completion Status (time changed/date changed)

Event ID	Event description	Entry Data
44	SW upgrade	Device name Device serial number Completion Status (Success, Failed)
49	Smartcard (CAC/PIV) access	UserName (if valid Card and Password are entered) Device name Device serial number Process Name
50	Process terminated	Device name Device serial number Process name
51	ODIO scheduled	Device name Device serial number ODIO type (Full or Standard) Scheduled time ODIO status (Started/Completed/canceled) Completion Status (Success/Failed/Canceled)
55	SA Tools Access Admin	Device serial number Completion Status (Locked/Unlocked)
57	Session Timer Logout	Device Name Device Serial Number Interface (Web, LUI) User Name (who was logged out) Session IP (if available)
58	Session Timer Interval Change	Device Name Device Serial Number Interface (Web, LUI)(Timer affected by change) User Name (who made this change) Session IP (if available) Completion Status
59	Feature Access Control Enable/Disable/Configure	User Name Device Name Device Serial Number Completion Status (Enabled/Disabled/Configured) Interface (Web, Local, CAC, SNMP) Session IP address (if available)
60	Device Clock NTP Enable/Disable	Device Name Device serial number Enable/Disable NTP NTP Server IP Address Completion Status (Success/Failed)
61	Grant / Revoke Admin	Device Name Device Serial Number User Name (of target user) Grant or Revoke (the admin right) Completion Status (Success/Failed)
62	Smartcard (CAC/PIV) Enable/Disable/Configure	UserName Device Name Device Serial Number Completion Status (Success/Failed)

Event ID	Event description	Entry Data
64	802.1x Enable/Disable/Configure	UserName Device Name Device Serial Number Completion Status (Success/Failed)
65	Abnormal System Termination	Device Name Device Serial Number
66	Local Authentication	UserName Device Name Device Serial Number Completion Status (Enabled/Disabled)
67	Web User Interface Authentication (Enable Network or Local)	UserName Device Name Device Serial Number Authentication Method Enabled (Network/Local)
68	FIPS Mode Enable/Disable/Configure	UserName Device name Device Serial Number Enable/Disable/Configure
70	Print from USB Enable/Disable	User Name Device Name Device Serial Number Completion Status (Enabled/Disabled)
71	USB Port Enable/Disable	User Name Device Name Device Serial Number USB Port (Front/Rear) Completion Status (Enabled/Disabled)
72	Scan to USB Enable/Disable	User Name Device Name Device Serial Number Completion Status (Enabled/Disabled)
73	System Log Download	Username IP of requesting device (if available) File names downloaded Destination (IP address or USB device) Completion status (Success/failed)
74	Scan to USB Job	Job Name User Name Completion Status IIO Status Accounting User ID-Name Accounting Account ID-Name
80	SMTP Connection Encryption	UserName Device name Device serial number Completion Status (Enabled for STARTLS / Enabled for STARTLS if Avail / Enabled for SSL/TLS / Disabled)

Event ID	Event description	Entry Data
81	Email Domain Filtering Rule	User name Device Name Device Serial Number Completion Status (Feature Enabled/Feature Disabled, Rule Added / Rule Deleted)
82	Software Self Test Started	Device Name Device Serial Number
83	Software Self Test Complete	Device Name Device Serial Number Completion Status(Success/Failed/Cancelled)
84	McAfee Security State	UserName Device name Device serial number Security Mode (Enhanced Security / Integrity Control) Completion Status (Enabled / Disabled / Pending)
85	McAfee Security Event	Device name Device serial number Type (Read / Modify / Execute / Deluge) McAfee message text
87	McAfee Agent	User name Device name Device serial number Completion Status (Enabled / Disabled)
88	Digital Certificate Import Failure	Device name
89	User Name Add/Delete	Device serial number
90	User Name Password Change	Security Mode
91	EFax Job Secure Print Passcode	UserName (managing passcodes) Device name Device serial number Completion Status (Passcode Created/Changed)
92	Scan2Mailbox Folder Password Change	UserName (managing passwords) Device name Device serial number Folder Name Completion Status (Password was Changed)
93	EFax Mailbox Passcode	UserName (managing passcodes) Device name Device serial number Completion Status (Passcode Created/Changed)
94	FTP/SFTP Filing Passive Mode	User Name Device Name Device Serial Number Completion Status (Enabled / Disabled)

Event ID	Event description	Entry Data
95	EFax Forwarding Rule	User Name Device Name Device Serial Number Fax Line 1 or 2 (if applicable) Completion Status (Rule Edit / Rule Enabled / Rule Disabled)
99	Network Connectivity Enable / Disable	UserName Device name Device serial number Completion Status (Enable Wireless / Disable Wireless) (Enable Wired /Disable Wired)
102	SW upgrade enable / disable	UserName Device name Device serial number Completion Status (Enable Installation / Disable Installation)
105	IPv4 Enable/Disable/Configure	UserName Device name Device serial number Completion Status (Enabled Wireless/Disabled Wireless/ Configured Wireless) (Enabled Wired/Disabled Wired/ Configured Wired)
106	SA PIN Reset	Device serial number Completion Status (Success/Failed)
109	Efax Passcode Length	UserName (managing passcodes) Device name Device serial number Completion Status (Passcode Length Changed)
116	Web UI Access/Configure	UserName Device name Device serial number Completion Status (Standard Access, Open Access, Restricted)
117	System log push to Xerox	Username if authenticated Server destination URL Log identifier string (filename) Completion Status (Success / Failed)
124	Invalid Login Attempt Lockout	Device name Device serial number Interface (Web UI, Local UI) Session IP Address if available
125	Protocol audit Log enable/Disable	UserName Device Name Device serial number Completion Status Enable / Disable

Event ID	Event description	Entry Data
127	Invalid Login Lockout Expires	Device name Device serial number Interface (Web UI) Session IP Address if available Count of invalid attempts: "attempts xx" where xx = the number of attempts.
128	Erase Customer Data	Erase Customer Data Device serial number Success / Failed
129	Audit log SFTP scheduled Configure	UserName Device Name Device serial number Completion status (Enable/Disable/Configured)
130	Audit Log SFTP Transfer	UserName Device Name Device serial number Destination server Completion Status (File Transmitted)
131	Remote Software Download Enable Disable	UserName Device name Device serial number Completion Status (Enable/Disable)
144	User or Group Role Assignment	User name Device name Device serial number User or group name (assigned) Role name Action (added/removed)
145	User Permission Role	User name Device name Device serial number Role name Completion status (Created / Deleted / Configured)
146	Admin Password Policy Configure	User name Device name Device serial number
147	Local user account password policy	User name Device name Device serial number
148	Restricted admin login	User name Device name Device serial number Completion status: "Success" or "Failed"
149	Grant / revoke restricted admin rights	User name (of user making the change) Device name Device serial number User name (of target user) Action: "Grant" or "Revoke"

Event ID	Event description	Entry Data
150	Manual session logout	Device Name Device Serial Number Interface (Web, LUI, CAC) User Name (who was logged out) Session IP (if available)
151	IPP Enable/Disable/Configure	User name Device name Device serial number Completion status: ("Enabled" / "Disabled" / "Configured")
152	HTTP Proxy Server Enable/Disable/Configure	User name Device name Device serial number Completion status: ("Enabled" / "Disabled" / "Configured")
154	Restricted Admin Permission Role	User name Device name Device serial number Restricted admin role name Completion status (Created / Deleted / Configured)
159	Send Engineering Logs on Data Push	User name (if available) Device name Device serial number Current setting ("Enabled" / "Disabled")

Attachment 2

Audit Log Events for Each Required **Auditable Events**¹⁵

Auditable Events	Relevant SFR	Additional Information	Applicable Audit Log Events
Job completion	FDP_ACF.1	Type of job	5 – Print Job 6 – Network Scan Job 9 – Email Job 12 – Copy 13 – Efax 14 – Lan Fax Job 20 – Scan to Mailbox Job
Unsuccessful User authentication	FIA_UAU.1	None	29 – Network User Login 30 – SA Login 31 – User Login
Unsuccessful User identification	FIA_UID.1	None	29 – Network User Login 30 – SA Login 31 – User Login

¹⁵ From Table 9 in the applicable Security Targets (See Footnote 3)

Use of management functions	FMT_SMF.1	None	5 – Manual ODIO Standard started 10 – Audit Log Disabled 11 – Audit Log Enabled 15 – Data Encryption enabled 16 – Manual ODIO Full started 18 – Data Encryption disabled 33 – Audit Log download 34 – IIO Feature Status 36 – Audit log Saved 37 - SSL 38 – X509 certificate 39 – IP sec 41 – IP Filtering Rules 42 – Network Authentication 51 – ODIO scheduled 58 – Session Timer Interval Change 60 – Device Clock NTP 61 – Grant/Revoke Admin 62 – Smartcard (CAC/PIV) 64 – 802.1x 71 – USB Port 80 – SMTP Connection Encryption 84 – McAfee Security State 89 – User Name Add/Delete 90 – User Name Password Change 94 – FTP/SFTP Filing Passive Mode 95 – EFax Forwarding Rule 109 – EFax Passcode Length 128 – Erase Customer Data 129 – Audit log SFTP scheduled 130 – Audit Log SFTP Transfer 144 – User or Group Role Assignment 145 – User Permission Role 146 – Admin Password Policy Configure 147 – Local user account password policy
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Modification to the group of Users that are part of a role	FMT_SMR.1	None	144 – User or Group Role Assignment 145 – User Permission Role
Changes to the time	FPT_STM.1	None	43 – Device Clock 60 – Device Clock NTP
Failure to establish session	FTP_ITC.1, FTP_TRP.1(a), FTP_TRP.1(b)	Reason for failure	Protocol Log (see I.b.12)