



Symantec Management Center Virtual Appliance

Software Version: 3.3.1.1

FIPS 140-2 Non-Proprietary Security Policy

FIPS 140-2 Security Level: 1
Document Version: 1.2

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1 Introduction

1.1 Purpose

This is a Non-Proprietary Cryptographic Module Security Policy for the Symantec Management Center Virtual Appliance (Version 3.3.1.1) from Symantec, a Division of Broadcom. This Non-Proprietary Security Policy describes how MC meets the security requirements of Federal Information Processing Standards (FIPS) Publication 140-2, which details the U.S. and Canadian Government requirements for cryptographic modules. More information about the FIPS 140-2 standard and validation program is available on the National Institute of Standards and Technology (NIST) and the Canadian Centre for Cyber Security (CCCS) Cryptographic Module Validation Program (CMVP) website at <https://csrc.nist.gov/projects/cryptographic-module-validation-program>.

This document also describes how to run the appliance in the Approved mode of operation. This policy was prepared as part of the Level 1 validation of the module. Management Center Virtual Appliance is referred to in this document as MC VA or the module.

1.2 References

This document deals only with operations and capabilities of the module in the technical terms of a FIPS 140-2 cryptographic module security policy. More information is available on the module from the following sources:

- The Symantec website (www.broadcom.com) contains information on the full line of products from Symantec.
- The CMVP website (<http://csrc.nist.gov/projects/cryptographic-module-validation-program/validated-modules/search/>) contains contact information for individuals to answer technical or sales-related questions for the module.

1.3 Document Organization

The *Non-Proprietary Security Policy* document is one document in a FIPS 140-2 Submission Package. In addition to this document, the Submission Package contains:

- *Vendor Evidence* document
- *Finite State Model* document
- *Entropy Assessment Report* document
- Other supporting documentation as additional references

With the exception of this *Non-Proprietary Security Policy*, the FIPS 140-2 Submission Package is proprietary to Symantec and is releasable only under appropriate non-disclosure agreements. For access to these documents, please contact Symantec.

2 Symantec Management Center

2.1 Overview

The Symantec Management Center (MC) centrally manages and monitors the Symantec devices in your organization. You can organize devices into hierarchical groups, monitor device health, install policies to ProxySG devices, back up device configurations, and produce consolidated reports.

Management Center can manage up to 1000 individual devices on an enterprise network. Devices can be organized into hierarchies based on location, department, purpose, or other attributes you specify.

Role-based permissions allow greater flexibility, enabling user groups with the same permissions to access and manage policies and devices within their specific organization. User Groups with the same permissions access, manage, and can report on devices within their management area without overlapping job duties and wasting time and resources. Roles can be applied to user groups that you need to have homogenous results (for example user groups that are in specific locations or have a specific job function).

MC facilitates creating and deploying policy to multiple devices simultaneously. It includes Visual Policy Manager and consistency checking between policies and devices to help ensure consistency amongst devices that have the same purpose or require standardized policy. Administrators can manage policy using the Visual Policy Manager on managed devices from within the Management Center Web Interface.

Administrators can create and edit scripts as well as execute scripts on man-aged devices. Variable replacement is supported, as well as the ability to check versions of a saved script and to import a script from a device.

Management Center can be used to create universal policy enforcement (UPE) rules in order to centralize policy creation, maintenance, and installation to multiple appliances and the cloud service. Universal Policy comprises various rules required to enforce enterprise's acceptable web use policies for employees who connect through an on-premises ProxySG appliance and/or the Web Security Service (cloud security).

Management Center provides centralized reporting for managed devices. Statistics monitoring reports are included by default and include:

- Devices
- WAN Optimization Reports

For advanced reporting features, you can add a Reporter Enterprise Server as a managed device. After adding Reporter, four groups of reports are available for viewing data:

- Security reports
- Web Application reports
- User Behavior reports
- Bandwidth Usage reports

See Figure 1 below for a typical deployment scenario for the Management Center Virtual Appliance (MC VA).

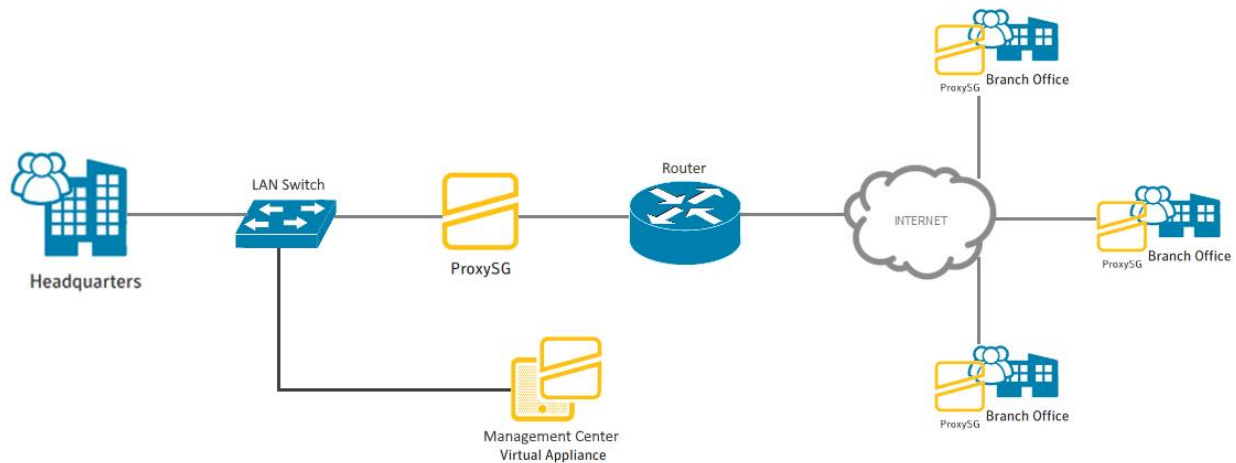


Figure 1 Typical Deployment of the MC VA

The MC VA is validated at the following FIPS 140-2 Section levels in Table 1 S.

Table 1 Security Level per FIPS 140-2 Section

| Section | Section Title | Level |
|---------|--|-------|
| 1 | Cryptographic Module Specification | 1 |
| 2 | Cryptographic Module Ports and Interfaces | 1 |
| 3 | Roles, Services, and Authentication | 2 |
| 4 | Finite State Model | 1 |
| 5 | Physical Security | N/A |
| 6 | Operational Environment | 1 |
| 7 | Cryptographic Key Management | 1 |
| 8 | Electromagnetic Interference/Electromagnetic Compatibility | 1 |
| 9 | Self-tests | 1 |
| 10 | Design Assurance | 3 |
| 11 | Mitigation of Other Attacks | N/A |

2.2 Module Specification

For the FIPS 140-2 validation, the crypto module was tested on the following appliance configurations listed in Table 2.

Table 2 Tested MC VA Configurations

| Product Name | SKU |
|---------------------|------------|
| Symantec MC VA | ISG-MC-SUB |

The Symantec MC VA is a module with a Multi-chip Standalone embodiment. The overall security level of the module is 1. The cryptographic boundary is defined by the virtual appliance, which surrounds all software. The module software, version 3.3.1.1, contains the following cryptographic libraries:

- MC VA Cryptographic Library v1.0
- VA Blue Coat Boot Loader Library v5.28
- MC VA LRNG Library v1.0

2.2.1 Physical Cryptographic Boundary

As a software module, the virtual appliance has no physical characteristics; however, the physical boundary of the cryptographic module is defined by the hard enclosure around the Symantec Security Platform (SSP) S410-20 on which it runs. Figure 2 shows the block diagram of the SSP-S410 (the dashed line surrounding the hardware components represents the module's physical cryptographic boundary, which is the outer case of the hardware platform), and identifies the hardware with which SSP-S410-20 processor interfaces.

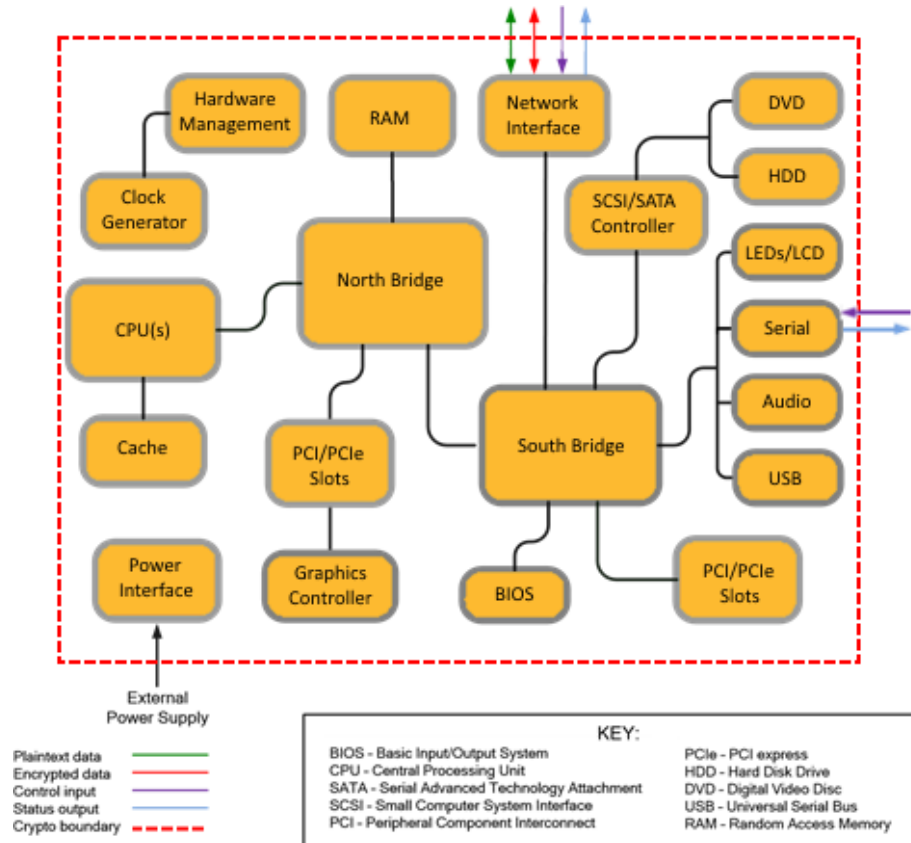


Figure 2 Block Diagram of the SSP-S410-20 hardware

The module's physical cryptographic boundary is further illustrated by the black dotted line in Figure 3 below.

The module makes use of the physical interfaces of the tested platform hosting the virtual environment upon which the module is installed. The hypervisor controls and directs all interactions between the MC VA and the operator and is responsible for mapping the module's virtual interfaces to the GPC's physical interfaces. These interfaces include the integrated circuits of the system board, processor, network adapters, RAM¹, hard disk, device case, power supply, and fans. Figure 2 shows the block diagram of the SSP-S410-20 (the solid black line surrounding the hardware components represents the module's physical cryptographic boundary, which is the outer case of the hardware platform), and identifies the hardware with which the SSP-S410-20's processor interfaces.

2.2.2 Logical Cryptographic Boundary

The logical cryptographic boundary of the module (shown by the solid yellow line in Figure 3) consists of the OS (CentOS 7), which contains the VA Blue Coat Boot Loader Library v5.28, the MC VA OS Cryptographic Library v1.0, and the MC VA LRNG Library v1.0.

¹ RAM – Random Access Memory

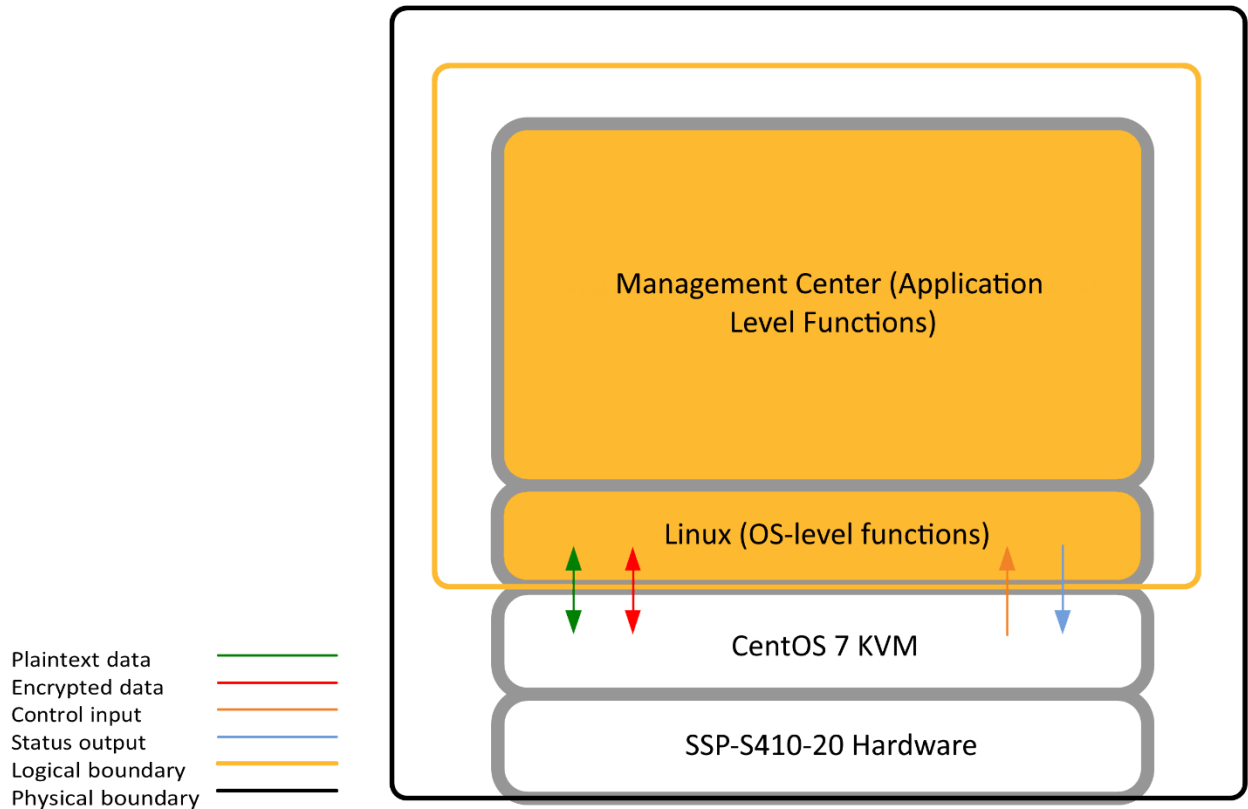


Figure 3 MC VA Cryptographic Boundary

2.3 Module Interfaces

The module's physical ports can be categorized into the following logical interfaces defined by FIPS 140-2:

- Data input
- Data output
- Control input
- Status output

As a software module, the virtual appliance has no physical characteristics. The module's physical and electrical characteristics, manual controls, and physical indicators are those of the host system (SSP-S410-20). The Linux KVM hypervisor provides virtualized ports and interfaces for the module. Interaction with the virtual ports created by the hypervisor occurs through the host system's Ethernet port. Management, data, and status traffic must all flow through the Ethernet port. Direct interaction with the module via the host system is possible over the serial port; however, the Crypto Officer (CO) must first map the physical serial port to the MC VA using vSphere Client. The mapping of the module's logical interfaces in the software to FIPS 140-2 logical interfaces is described in Table 3 below.

Table 3 FIPS 140-2 Logical Interface Mappings for the MC VA

| Physical Port / Interface | Logical Port/Interface | FIPS 140-2 Interface |
|---|--|---|
| Host System Ethernet (10/100/1000) Ports | Virtual Ethernet Ports Virtual Serial Ports | Data Input Data Output Control Input Status Output |
| Host System Serial Port | Virtual Serial Port | Control Input Status Output |

Data input and output are the packets utilizing the services provided by the module. These packets enter and exit the module through the Virtual Ethernet ports. Control input consists of Configuration or Administrative data entered into the modules. Control input enters the module via the Virtual Ethernet and Virtual Serial Port interfaces (Web Interface, Web API, SSH CLI, and Serial CLI). Status output consists of the status provided or displayed via these same interfaces, or available log information. Status output exits the module via the same set of interfaces over the Virtual Ethernet or Virtual Serial Ports.

2.4 Roles and Services

Before accessing the modules for any administrative services, COs and Users must authenticate to the module according to the methods specified in Table 7. The modules offer the following management interfaces:

- CLI² – This interface is used for management of the modules. This interface must be accessed locally via the serial port to perform the initial module configurations (IP address, DNS server, gateway, and subnet mask) and placing the modules into the Approved mode. When the module has been properly configured, this interface can also be accessed via SSH³. Management of the module may take place via SSH or locally via the serial port. Authentication is required before any functionality will be available through the CLI.
- Web Interface – This interface is used for management of the module. Note the initial module configuration must be complete before this interface will be active. It is accessible remotely with a web browser that supports TLS⁴. Authentication is required before any functionality will be available through the Web Interface.
- Web API – This interface is identical to the Web Interface but can be accessed using command line HTTP tools such as cURL or wget.

When managing the module over the CLI, COs and Users both log into the module with accounts entering the “standard”, or “unprivileged” mode on the CLI. COs are differentiated from Users by possessing an additional credential (password) that allows access to the “enabled” or “privileged” mode. Additionally, once in the “enabled” mode, COs can only enter the “configuration” mode, which grants privileges to make configuration level changes. Going from the “enabled” mode to the “configuration” mode does not require additional credentials. The details of these modes of operation, in addition to the CO and User details are found below in Table 4.

² CLI – Command Line Interface

³ SSH – Secure Shell protocol

⁴ TLS – Transport Layer Security

Table 4 FIPS and MC Roles

| FIPS Roles | Module Roles and Privileges |
|------------|---|
| CO | <p>The CO is an administrator of the module that has been granted “enabled” mode access while using the CLI. When the CO is using the CLI, and while in the “enabled” mode of operation, COs may put the module in its Approved mode, reset to the factory state, and query if the module is in the Approved mode. In addition, COs may do all the services available to Users while not in the “enabled” mode. Once the CO has entered the “enabled” mode, the CO may then enter the “configuration” mode via the CLI. The “configuration” mode provides the CO management capabilities to perform tasks such as account management and key management.</p> <p>When the CO is administering the module over the Web Interface or Web API, they can perform all the same services available in CLI (equivalent to being in the “configuration” mode in the CLI) except the module may not be put into or out of the Approved mode via the Web Interface or Web API.</p> |
| User | <p>The User is an administrator of the module that operates only in the “standard” or “unprivileged” mode and has not been granted access to the “enabled” mode in the CLI.</p> <p>The User may access the CLI, Web Interface, and Web API for read-only management of the module. When the User is administering the module over the Web Interface or Web API, they perform all the same services available in CLI (“standard” mode only services).</p> |

Descriptions of the services available to a Crypto Officer (CO) and User are described below in Table 5 and Table 6 respectively. For each service listed below, COs and Users are assumed to already have authenticated prior to attempting to execute the service. There are no additional services that are unauthenticated. Please note that the keys and CSPs listed in the table indicate the type of access required using the following notation:

- **R:** The CSP is read
- **W:** The CSP is established, generated, modified, or zeroized
- **X:** Execute: The CSP is used within an Approved or Allowed security function or authentication mechanism.

2.4.1 Crypto-Officer Role

Descriptions of the FIPS 140-2 relevant services available to the Crypto-Officer role are provided in Table 5 below. Additional services that do not access CSPs can be found in the *Symantec Management Center Command Line Reference*, v3.3.1.1 located here:

<https://techdocs.broadcom.com/us/en/symantec-security-software/web-and-network-security/management-center/3-3/index.html>

Table 5 Crypto Officer Role Services and CSP Access

| Service | Description | CSP and Access Required |
|--------------------------------------|--|--|
| Set up the module (serial port only) | Set up the first-time network configuration, CO username and password, and enable the module in the Approved mode of operation. For more information, see section 3 in this <i>Security Policy</i> . | CO Password: W “Enabled” mode password: W |

| Service | Description | CSP and Access Required |
|--|--|---|
| Enter the “enabled” mode | Manage the module in the “enabled” mode of operation, granting access to higher privileged commands | “Enabled” mode password: RX |
| * Enter the “configure” mode | Manage the module in the “configuration” mode of operation, allowing permanent system modifications to be made | None |
| * Disable FIPS mode | Take the module out of the approved mode of operation and restore it to a factory state | SSH Session Key: W SSH Integrity Key: W TLS Session Key: W TLS Integrity Key: W TLS Pre-Master Secret: W TLS Master Secret: W KAS-FFC private key: W KAS-ECC private key: W DRBG CSPs: W DPK: W DPK: private key: W MDEK: W |
| Syslog over TLS | Configure the module to use syslog via TLS | RSA public key: RX RSA private key: RX KAS-FFC public key: WRX KAS-FFC private key: WRX KAS-ECC public key: WRX KAS-ECC private key: WRX TLS Session Key: W TLS Integrity Key: W TLS Pre-Master Secret: W TLS Master Secret: W DRBG CSPs: WRX |
| Create remote management session (CLI) | Manage the module through the CLI (SSH) remotely via Ethernet port. | RSA public key: RX RSA private key: RX KAS-FFC public key: WRX KAS-FFC private key: WRX KAS-ECC public key: WRX KAS-ECC private key: WRX SSH Session Key: WRX SSH Integrity Key: WRX DRBG CSPs: WRX CO Password: R |
| Create remote management session (Web) | Manage the module through the Management Center Web Interface or Web API (TLS) remotely via Ethernet port, with optional CAC authentication enabled. | RSA public key: RX RSA private key: RX KAS-FFC public key: WRX KAS-FFC private key: WRX KAS-ECC public key: WRX KAS-ECC private key: WRX TLS Session Key: WRX TLS Integrity Key: WRX TLS Pre-Master Secret: WRX |

| Service | Description | CSP and Access Required |
|---|--|--|
| | | TLS Master Secret: WRX DRBG CSPs: WRX CO Password: R |
| ** Create, edit, and delete User Groups | Create, edit and delete operator groups; define common sets of operator permissions. | None |
| **Create, edit, and delete operators | Create, edit and delete operators (these may be COs or Users); define operator's accounts, change password, and assign permissions. | Crypto-Officer Password: W User Password: W DPK: RX |
| Show FIPS-mode status (CLI) | The CO logs in to the module using the CLI. Entering the command "show version" will display if the module is configured in Approved mode. | None |
| Show FIPS-mode status (Web) | The CO logs in to the module using the Management Center Web Interface or Web API and navigates to the About menu that will display if the module is configured in Approved mode. | None |
| * Zeroize keys | Zeroize keys by taking the module out of the Approved mode and restoring it to a factory state. This will zeroize all CSPs. The zeroization occurs while the module is still in Approved-mode. | SSH Session Key: W SSH Integrity Key: W TLS Session Key: W TLS Integrity Key: W TLS Pre-Master Secret: W TLS Master Secret: W KAS-FFC private key: W KAS-ECC private key: W DPK: W |
| Configure and query password policy | Configure and view the current password policy employed by the module. | None |
| Device Policy and Configuration (Web) | Create new policies or import existing policy objects from managed devices. Policy objects can be deployed across data centers containing hundreds of hierarchies, device groups, and devices. | None |
| Create and Manage Job and Job Schedules (Web) | Create jobs to facilitate device backups, health status monitoring, device configuration compliance, policy import/installation, and system image upgrades. | None |
| Generate Managed Device Encryption Key | Create the key used to encrypt the managed device credentials. | Managed Device Encryption Key: W |

| Service | Description | CSP and Access Required |
|---------------------------------|---|--|
| Add device for management (Web) | Add a device to be managed from Management Center. An HTTPS session with the device will be established to verify connectivity. | RSA public key: RX KAS-ECC public key: WRX KAS-ECC private key: WRX TLS Session Key: WRX TLS Integrity Key: WRX TLS Pre-Master Secret: WRX TLS Master Secret: WRX DRBG CSPs: WRX MDEK: RX |
| Change password (Web) | Change Crypto-Officer password | Crypto-Officer Password: RW |
| * Perform self-test | Perform self-test on demand by rebooting the machine | KAS-FFC public key: W KAS-FFC private key: W KAS-ECC public key: W KAS-ECC private key: W SSH Session Key: W SSH Integrity Key: W TLS Session Key: W TLS Integrity Key: W TLS Pre-Master Secret: W TLS Master Secret: W DRBG CSPs: W |

* - Indicates services that are only available once the CO has entered the “enabled” mode of operation.

** - Indicates services that are only available once the CO has entered the “enabled” mode followed by the “configuration” mode of operation.

2.4.2 User Role

Descriptions of the FIPS 140-2 relevant services available to the User role are provided in Table 6 below.

Additional services that do not access CSPs can be found in the *Symantec Management Center Command Line Reference, Version 3.3.1.1*:

<https://techdocs.broadcom.com/us/en/symantec-security-software/web-and-network-security/management-center/3-3/index.html>

Table 6 User Service and CSP Access

| Service | Description | CSP and Access Required |
|--|---|---|
| Create remote management session (CLI) | Manage the module through the CLI (SSH) remotely via Ethernet port. | RSA public key: RX RSA private key: RX KAS-FFC public key: WRX KAS-FFC private key: WRX KAS-ECC public key: WRX KAS-ECC private key: WRX SSH Session Key: WRX SSH Integrity Key: WRX DRBG CSPs: WRX CO Password: R |
| Create remote management session (Web) | Manage the module through the Management Center Web Interface or Web API (TLS) remotely via | RSA public key: RX RSA private key: RX KAS-FFC public key: WRX KAS-FFC private key: WRX |

| Service | Description | CSP and Access Required |
|-----------------------------|--|---|
| | Ethernet port, with optional CAC authentication enabled. | KAS-ECC public key: WRX KAS-ECC private key: WRX TLS Session Key: WRX TLS Integrity Key: WRX TLS Pre-Master Secret: WRX TLS Master Secret: WRX DRBG CSPs: WRX CO Password: R |
| Show FIPS-mode status (CLI) | The CO logs in to the module using the CLI. Entering the command "show version" will display if the module is configured in Approved mode. | None |
| Show FIPS-mode status (Web) | The CO logs in to the module using the Management Center Web Interface and navigates to the About menu that will display if the module is configured in Approved mode. This can also be queried via the Web API. | None |
| Change password (Web) | Change User password | User Password: RW |
| Show password policy | View the current password policy employed by the module using the "show password-policy-configuration" command. | None |

2.4.3 Authentication Mechanism

The module supports role-based authentication. COs and Users must authenticate using a private key (user ID and password), or can alternatively use public key authentication for SSH to set up the secure session. Secure sessions that authenticate Users have no interface available to access other services (such as Crypto Officer services). Each CO or User SSH or TLS session remains active (logged in) and secured until the operator logs out or inactivity for a configurable amount of time has elapsed.

The authentication mechanisms used in the module are listed in Table 7.

Table 7 Authentication Mechanisms Used by Module

| Role | Authentication Type | Authentication Strength |
|----------------|---------------------|---|
| Crypto-Officer | Password | The modules support password authentication internally. For password authentication done by the modules, passwords are required to be at minimum 8 characters in length, and at maximum 64 bytes (number of characters is dependent on the character set used by system). An 8-character password allowing all printable American Standard Code for Information Interchange (ASCII) characters (95) with repetition equates to a 1:(95 ⁸), or 1:6,634,204,312,890,625 chance of false acceptance. The Crypto-Officer may connect locally using the serial port or remotely after establishing a TLS or SSH session. |

| Role | Authentication Type | Authentication Strength |
|------|---------------------------|--|
| | | <p>The fastest network connection supported by the module is 1000 Mbps. Hence at most $(1000 \times 10^6 \times 60 = 6 \times 10^{10} =)$ 60,000,000,000 bits of data can be transmitted in one minute. Therefore, the probability that a random attempt will succeed or a false acceptance will occur in one minute is: 1 : $[95^8 \text{ possible passwords} / ((6 \times 10^{10} \text{ bits per minute}) / 64 \text{ bits per password})]$ 1: $(95^8 \text{ possible passwords} / 937,500,000 \text{ passwords per minute})$ This equals 1: 7,076,484 or approximately 1 in 7.0 million; this is less than 1:100,000 as required by FIPS 140-2.</p> |
| | Password (“Enabled” Mode) | <p>The modules support password authentication internally. For password authentication done by the modules, passwords are required to be at least 8 characters in length and maximum of 64 bytes (number of characters is dependent on the character set used by system). An 8-character password allowing all printable American Standard Code for Information Interchange (ASCII) characters (95) with repetition equates to a 1: (95^8), or 1:6,634,204,312,890,625 chance of false acceptance. This password is entered by the Crypto-Officer to enter the “enabled” mode; this is entered locally through the serial port or remotely after establishing an SSH session.</p> <p>The fastest network connection supported by the module is 1000 Mbps. Hence at most $(1000 \times 10^6 \times 60 = 6 \times 10^{10} =)$ 60,000,000,000 bits of data can be transmitted in one minute. Therefore, the probability that a random attempt will succeed or a false acceptance will occur in one minute is: 1 : $[95^8 \text{ possible passwords} / ((6 \times 10^{10} \text{ bits per minute}) / 64 \text{ bits per password})]$ 1: $(95^8 \text{ possible passwords} / 937,500,000 \text{ passwords per minute})$ This equals 1: 7,076,484 or approximately 1 in 7.0 million; this is less than 1:100,000 as required by FIPS 140-2.</p> |
| | RSA Public key | <p>The module supports using RSA public keys for authentication of COs during SSH or TLS. Using conservative estimates and equating a 2048-bit RSA key to a 112-bit symmetric key, the probability for a random attempt to succeed is $1:2^{112}$ or $1: 5.19 \times 10^{33}$.</p> <p>The fastest network connection supported by the module is 1000 Mbps. Hence at most $(1000 \times 10^6 \times 60 = 6 \times 10^{10} =)$ 60,000,000,000 bits of data can be transmitted in one minute. Therefore, the probability that a random attempt will succeed or a false acceptance will occur in one minute is less than 1: $(2^{112} / 6 \times 10^{10})$, or 1: 86,538,280,975,580,460,475,508, which is less than 1:100,000 as required by FIPS 140-2.</p> |
| User | Password | <p>The modules support password authentication internally. For password authentication done by the modules, passwords are required to be at least 8 characters in length and maximum of 64 bytes (number of characters is dependent on the character set used by system). An 8-character password allowing all printable American Standard Code for Information Interchange (ASCII) characters (95) with repetition equates to a 1: (95^8), or 1: 6,634,204,312,890,625 chance of false acceptance. The User may connect remotely after establishing a TLS or SSH session.</p> <p>The fastest network connection supported by the module is 1000 Mbps.</p> |

| Role | Authentication Type | Authentication Strength |
|------|---------------------|---|
| | | <p>Hence at most $(1000 \times 10^6 \times 60 = 6 \times 10^{10} =)$ 60,000,000,000 bits of data can be transmitted in one minute. Therefore, the probability that a random attempt will succeed or a false acceptance will occur in one minute is: 1 : $[95^8 \text{ possible passwords} / ((6 \times 10^{10} \text{ bits per minute}) / 64 \text{ bits per password})]$ 1: $(95^8 \text{ possible passwords} / 937,500,000 \text{ passwords per minute})$ This equals 1: 7,076,484 or approximately 1 in 7.0 million; this is less than 1:100,000 as required by FIPS 140-2.</p> |
| | RSA Public key | <p>The module supports using RSA public keys for authentication of Users during SSH or TLS. Using conservative estimates and equating a 2048-bit RSA key to a 112-bit symmetric key, the probability for a random attempt to succeed is $1:2^{112}$ or $1: 5.19 \times 10^{33}$.</p> <p>The fastest network connection supported by the module is 1000 Mbps. Hence at most $(1000 \times 10^6 \times 60 = 6 \times 10^{10} =)$ 60,000,000,000 bits of data can be transmitted in one minute. Therefore, the probability that a random attempt will succeed or a false acceptance will occur in one minute is less than 1: $(2^{112} / 6 \times 10^{10})$, or 1: 86,538,280,975,580,460,475,508, which is less than 1:100,000 as required by FIPS 140-2.</p> |

2.5 Physical Security

The MC VA is a software module, which FIPS defines as a Multi-Chip Standalone cryptographic module. As such, it does not include physical security mechanisms. Thus, the FIPS 140-2 requirements for physical security are not applicable.

2.6 Non-Modifiable Operational Environment

The module was tested and found to be compliant with FIPS 140-2 requirements on the following operational environment and hardware:

- Symantec Security Platform (SSP) S410-20 appliance
- Intel Xeon Silver 4210 (Cascade Lake)
- KVM on CentOS 7

All cryptographic keys and CSPs are under the control of the guest operating system, which protects the CSPs against unauthorized disclosure, modification, and substitution. The module does not provide a general-purpose operating system. The operating system is not modifiable by the operator, and only the modules' signed image can be executed. All software upgrades are digitally-signed, and a conditional self-test (RSA signature verification) is performed during each upgrade.

2.7 Cryptographic Key Management

The module implements the FIPS-Approved algorithms listed below in Table 8.

Table 8 FIPS-Approved Algorithm Implementations for the MC Cryptographic Library v1.0

| CAVP Cert | Algorithm | Standard | Mode/Method | Key Lengths, Curves, or Moduli | Use |
|-----------|----------------------|----------------------|--|---|------------------------------|
| A1964 | AES | SP 800-38A, FIPS 197 | CBC, CTR | AES 128, 256 CBC AES 128, 192, 256 CTR | Data Encryption / Decryption |
| A1964 | KTS-RSA ⁵ | SP800-56b rev 2 | KTS-OAEP | 2048 | Key Transport |
| N/A | KTS ⁶ | SP 800-38F | AES (CBC, CTR) and HMAC | AES 128, 256 CBC AES 128, 192, 256 CTR | Key Transport |
| A1964 | AES | SP 800-38E | XTS ⁷ | 128 (256), 256 (512) | Data Encryption / Decryption |
| A1964 | SHS | FIPS 180-4 | SHA-1, SHA-256, SHA-384, SHA-512 | | Message Digest |
| A1964 | HMAC | FIPS 198-1 | HMAC-SHA-1, HMAC-SHA-256, HMAC-SHA-384, HMAC-SHA-512 | 128, 256, 384, 512 | Message Authentication |

⁵ KTS-RSA - Key establishment methodology provides 112 bits of encryption strength.

⁶ KTS – Key establishment methodology provides between 128 and 256 bits of encryption strength

⁷ XTS - XTS mode is only approved for storage device applications

| CAVP Cert | Algorithm | Standard | Mode/Method | Key Lengths, Curves, or Moduli | Use |
|--------------------|------------------|------------------|--------------------------------|----------------------------------|--|
| A1964 | RSA | FIPS 186-4 | SHA-256, SHA-384 PKCS1 v1.5 | 2048, 3072, 4096 | Digital Signature Generation, Digital Signature Verification |
| A1964 | RSA | FIPS 186-4 | PKCS1 v1.5 | 2048, 3072, 4096 | Keypair Generation |
| A1964 | CTR-DRBG | SP 800-90A | CTR-based | AES-256 | Deterministic Random Bit Generation |
| Vendor Affirmed | CKG ⁸ | SP 800-133 | | | Key Generation |
| A1964 | KAS-SSC | SP 800-56A rev 3 | FFC | (2048, 256) | Key Agreement Scheme – Key Agreement Scheme Shared Secret Computation (KAS-SSC) per SP 800-56Arev3, Key Derivation per SP 800-135rev1 (TLS KDF CVL Cert. A1964 and SSH KDF CVL Cert. A1964). |
| A1964 | KAS-SSC | SP 800-56A rev 3 | ECC | P-256, P-384, P-521 ⁹ | Key Agreement Scheme – Key Agreement Scheme Shared Secret Computation (KAS-SSC) per SP 800-56Arev3, Key Derivation per SP 800-135rev1 (TLS KDF CVL Cert. A1964 and SSH KDF CVL Cert. A1964). |

⁸ CKG – Symmetric cryptographic key generation uses the direct output of an approved DRBG with no post-processing per section 4 of NIST SP 800-133rev2. Symmetric keys are generated for CBC, CTR, GCM, and XTS modes.

⁹ While the P-256, P-384, and P-521 curves were tested, only P-256 can be called by the module in the Approved mode.

| CAVP Cert | Algorithm | Standard | Mode/Method | Key Lengths, Curves, or Moduli | Use |
|-----------|--------------------------------|----------------|--|--------------------------------|----------------|
| A1964 | KDF TLS 1.0/1.1, TLS 1.2 | SP 800-135rev1 | TLS 1.2 SHA Sizes = SHA-256, SHA384 | | Key Derivation |
| A1964 | KDF SSH | SP 800-135rev1 | AES-128 CBC, AES-256 CBC | SHA-1, SHA-256, SHA-512 | Key Derivation |

FIPS-Approved Algorithm Implementations for the two remaining libraries are in Table 9 and Table 10 below.

Table 9 FIPS-Approved Algorithm Implementations for VA Blue Coat Boot Loader Library v5.28

| CAVP Cert | Algorithm | Standard | Mode/Method | Key Lengths, Curves, or Moduli | Use |
|-----------|-----------|------------|------------------------|--------------------------------|---|
| A1762 | SHS | FIPS 180-4 | SHA-1, SHA-256 | | Message Digest as part of Integrity Check |
| A1762 | RSA | FIPS 186-4 | SHA-256; PKCS1 v1.5 | 2048 | Digital Signature Verification as part of Integrity Check |
| A1762 | HMAC | FIPS 198-1 | HMAC-SHA-1 | 128 | Integrity Check |

Table 10 FIPS-Approved Algorithm Implementations for MC LRNG Library v1.0

| CAVP Cert | Algorithm | Standard | Mode/Method | Key Lengths, Curves, or Moduli | Use |
|-----------|------------------------|------------|-------------|--------------------------------|---|
| A1965 | SHS | FIPS 180-4 | SHA-512 | | Vetted conditioning component |
| A1965 | CTR-DRBG | SP 800-90A | CTR-based | AES-256 | Vetted conditioning component |
| A1965 | AES | SP 800 38A | ECB | 256 | Vetted Conditioning component |
| | ENT (NP) ¹⁰ | SP800-90B | | | Seeding for the FIPS-Approved DRBG (SP 800-90A CTR DRBG) |

Table 11 FIPS-Allowed Algorithms

| Algorithm | Caveat | Use |
|----------------------------|--|-------------------------|
| RSA Signature Verification | 1536, 2048 | Signature Verification |
| MD5 | No security is provided by this algorithm. | In TLS 1.0/1.1 Protocol |

NOTE: No parts of the TLS or SSH protocols, other than the KDF, have been reviewed or tested by the CAVP and CMVP. FIPS-Allowed algorithms are listed above in Table 11.

The module supports the CSPs listed below in Table 12 below.

¹⁰ ENT (NP) - For seeding the DRBG, the module uses an ENT (NP). The ENT (NP) is implemented by the cryptographic module compliant with SP800-90B and marked as ENT on the certificate. The ENT (NP) provides a 2,048-bit seed with at least 1,139 bits of entropy to the DRBG. The DRBG is thus capable of supporting a minimum of 256 bits of encryption strength in its output

Table 12 List of Cryptographic Key Components, and CSPs

| Key | Key Type | Generation / Input | Output | Storage | Zeroization | Use |
|---------------------------|-----------------------------|--|---|---|--|---|
| Data Protection Key (DPK) | AES XTS 256-bit key | Internally generated via FIPS-Approved DRBG (per IG A.9) | Never exits the module | Stored in plaintext on non-volatile memory | By disabling the FIPS-Approved mode of operation | Encrypting Crypto-Officer password, User password, "Enabled" mode password, and RSA private key |
| RSA Public Keys | 2048-, 3072-, and 4096-bits | Modules' public key is internally generated via FIPS-Approved DRBG | Output during TLS/SSH ¹² negotiation in plaintext. | Stored in encrypted form on non-volatile memory | Module's public key is deleted by command | Negotiating TLS or SSH sessions |
| RSA Public key | 2048, 3072, and 4096-bits | Other entities' public keys are sent to the module in plaintext | Never exits the module | Other entities' public keys reside on non-volatile memory | Other entities' public keys are cleared by power cycle | Authentication for SSH sessions. |
| RSA Private Keys | 2048-, 3072-, and 4096-bits | Internally generated via FIPS-Approved DRBG Imported in encrypted form via a secure TLS or SSH session | Never exits the module | Stored in encrypted form on non-volatile memory | Inaccessible by zeroizing encrypting DPK | Negotiating TLS or SSH sessions |

¹² SSH session negotiation can only use RSA key pairs of 2048-bits. TLS session negotiation can use RSA key pairs of 2048-bits, 3072-bits and 4096-bits.

| Key | Key Type | Generation / Input | Output | Storage | Zeroization | Use |
|-----------------------|-------------------------|---|---|--|---|------------------------------------|
| | | Imported in plaintext via a directly attached cable to the serial port | | | | |
| KAS-FFC public key | 2048-bits | Module's public key is internally generated via FIPS-Approved DRBG Public key of a peer enters the module in plaintext | The module's Public key exits the module in plaintext | Stored in plaintext on volatile memory | Rebooting the modules Removing power | Negotiating TLS or SSH sessions |
| KAS-FFC private key | 224-bits | Internally generated via FIPS-Approved DRBG | Never exits the module | Stored in plaintext on volatile memory | Rebooting the modules Removing power | Negotiating TLS or SSH sessions |
| KAS-ECC private key | P-256 key ¹³ | Internally generated via FIPS-Approved DRBG | Never exits the module | Stored in plaintext on volatile memory | Rebooting the modules Removing power | Negotiating TLS or SSH sessions |
| KAS-ECC public key | P-256 key ¹⁴ | Module's public key is internally generated via FIPS-Approved DRBG Public key of a peer enters the module in plaintext | The module's Public key exits the module in plaintext | Stored in plaintext on volatile memory | Rebooting the modules Removing power | Negotiating TLS or SSH sessions |
| TLS Pre-Master Secret | 384-bit key | Input in encrypted form from TLS client | Never | Stored in plaintext on | Rebooting the modules | Establishing the TLS Master Secret |

¹³ While the P-256, P-384, and P-521 curves were tested, only P-256 can be called by the module in the Approved mode.

¹⁴ While the P-256, P-384, and P-521 curves were tested, only P-256 can be called by the module in the Approved mode.

| Key | Key Type | Generation / Input | Output | Storage | Zeroization | Use |
|--|--|---|--|---|---|--|
| | | | | volatile memory | Removing power | |
| TLS Master Secret | 384-bit key | Generated internally during session negotiation | Never exits the module | Stored in plaintext on volatile memory | Rebooting the modules Removing power | Establishing the TLS Session Key |
| TLS Session key | AES CBC128-, or 256-bit key | Internally generated via FIPS-Approved DRBG | Output in encrypted form during TLS protocol handshake | Stored in plaintext on volatile memory | Rebooting the modules Removing power | Encrypting TLS data |
| SSH Session Key | AES CBC 128 or 256-bit key, AES CTR 128, 192, or 256-bit key | Internally generated via FIPS-Approved DRBG | Output in encrypted form during SSH protocol handshake | Stored in plaintext on volatile memory | Rebooting the modules Removing power | Encrypting SSH data |
| TLS Integrity key | HMAC SHA-1-, 256-bit, 384-bit key | Internally generated | Never exits the module | Resides in volatile memory in plaintext | Rebooting the modules Removing power | Data authentication for TLS sessions |
| SSH Integrity key | HMAC SHA-1-, 256-, 512-bit key | Internally generated | Never exits the module | Resides in volatile memory in plaintext | Rebooting the modules Removing power | Data authentication for SSH sessions |
| Crypto Officer Password User Password | Minimum of eight (8) and maximum of 64 bytes long printable character string | Externally generated. Enters the module in encrypted form via a secure TLS or SSH session. Enters the module in plaintext via a directly | Exits in encrypted form via a secure TLS session for external authentication | Stored in encrypted form on non-volatile memory | Inaccessible by zeroizing the encrypted DPK | Locally authenticating a CO or User for Web Interface, Web API, or CLI |

| Key | Key Type | Generation / Input | Output | Storage | Zeroization | Use |
|---|--|---|--|---|--|---|
| | | attached cable to the serial port | | | | |
| “Enabled” mode password | Minimum of eight (8) and maximum of 64 bytes long printable character string | Enters the module in encrypted form via a secure SSH session Enters the module in plaintext via a directly attached cable to the serial port | Exits in encrypted form via a secure TLS session for external authentication | Stored in encrypted form on non-volatile memory | Inaccessible by zeroizing the encrypting DPK | Used by the CO to enter the “privileged” or “enabled” mode when using the CLI |
| SP 800-90A CTR_DRBG Seed ¹⁵ | 384-bit random number | Internally generated | Never exits the module | Plaintext in volatile memory | Rebooting the modules Removing Power | Seeding material for the SP800-90A CTR_DRBG |
| SP 800-90A CTR_DRBG Entropy ¹⁶ | 256-bit random number with derivation function | Internally generated | Never exits the module | Plaintext in volatile memory | Rebooting the modules Removing Power | Entropy material for the SP800-90A CTR_DRBG |
| SP 800-90A CTR_DRBG key value | Internal state value | Internally generated | Never | Plaintext in volatile memory | Rebooting the modules Removing Power | Used for the SP 800-90A CTR_DRBG |
| SP 800-90A CTR_DRBG V value | Internal state value | Internally generated | Never exits the module | Plaintext in volatile memory | Rebooting the modules Removing power | Used for the SP 800-90A CTR_DRBG |

¹⁵ The CTR DRBG Seed requires a 384-bit number and uses 256 bits of entropy with the derivation function to create the 384-bit value. The 256-bits of CTR DRBG Entropy is obtained from an entropy-generating ENT (NP) inside the module’s cryptographic boundary

¹⁶ The CTR DRBG Entropy required by the FIPS-Approved SP 800-90A CTR_DRBG (with AES-256) is supplied by the ENT (NP). The ENT (NP) provides a full 256 bits of entropy per IG 7.14 Scenario 1A.

NOTE: The Approved DRBG is seeded with a minimum of 384-bits from an entropy-generating ENT (NP) inside the module's cryptographic boundary.

2.8 Self-Tests

If the module fails the POST Integrity Test, the following error is printed to the CLI (when being accessed via the serial port):

```
Boot system failed signature verification
```

If a self-test fails in the MC Cryptographic Library or the MC LRNG Library, the following error is printed to the CLI (when being accessed via the serial port):

```
Open ssl FIPS POST Test failed. Rebooting...
```

When these errors occur, the modules halt operation and provide no functionality. The only way to clear the error and resume normal operation is for the Crypto-Officer to reboot the modules. The status output provided below is shown only over the CLI (when being accessed via the serial port).

The sections below describe the self-tests performed by the module.

2.8.1 Power-Up Self-Tests

The module performs the following self-tests using the VA Blue Coat Boot Loader Library:

- Known Answer Tests
 - HMAC KAT using SHA-1; and
 - RSA Sign/Verify KAT with SHA-256
- Software integrity check using HMAC-SHA-1

The module performs the following self-tests using the MC LRNG ¹⁷Library:

- Known Answer Tests
 - SHA-512
 - AES ECB KAT for encryption and decryption
 - SP800-90A DRBG KAT

The module then performs the following self-tests using the MC Cryptographic Library at power-up:

- Known Answer Tests
 - AES KAT for encryption and decryption
 - AES XTS KAT for encryption and decryption
 - HMAC KAT using SHA-1, SHA-256, SHA-384, SHA-512
 - RSA Sign/Verify KAT with SHA-256
 - SP800-90A DRBG KAT
 - KAS-FFC-SSC "Primitive Z" KAT
 - KAS-ECC-SSC "Primitive Z" KAT

No data output occurs via the data output interface until all power-up self-tests have completed.

¹⁷ The conditional RCT and APT are run at startup on 1024 samples from the ENT (NP) entropy source.

2.8.2 Conditional Self-Tests

The module performs the conditional self-tests for its MC Cryptographic Library.

- RSA pairwise consistency check upon generation of an RSA keypair
- Continuous RNG test (CRNGT) for the SP800-90A DRBG
- CRNGT for the software entropy source (ENT (NP))

The module performs the conditional self-tests for its MC LRNG Cryptographic Library.

- Entropy Health Tests:
 - Repetition Count Test (RCT¹⁸) specified in SP800-90 section 4.4.1
 - Adaptive Proportion Test (APT) as specified in SP800-90B section 4.4.2

2.8.3 Critical Function Tests

The module performs the following critical function tests in the BIOS OS Loader:

- RSA Signature Verification

The modules performs the following critical function tests on both the MC OS and MC LRNG:

- CTR DRBG Instantiate Critical Function Test
- CTR DRBG Reseed Critical Function Test
- CTR DRBG Generate Critical Function Test
- CTR DRBG Uninstantiate Critical Function Test

MC runs a health check on the CTR DRBGs every 2^{24} requests, which is less than the CTR DRBG reseed interval of 2^{48} per NIST SP800-90A.

Additionally, per the IG A.9 requirements, the MC Cryptographic Library performs the following critical functions test for AES XTS to ensure that the two keys used in this operation are not identical ($Key_1 \neq Key_2$):

- AES XTS Duplicate Key Test

2.9 Mitigation of Other Attacks

This section is not applicable. The module does not claim to mitigate any attacks beyond the Level 1 requirements for this validation.

¹⁸ The implemented APT and RCT entropy health tests run on the first 1024 entropy samples at startup

3 Secure Operation

The module can be configured into an explicit FIPS mode of operation as per the instructions provided below in Section 3.1. However, the module supports a non-compliant state, the initialization of which requires an explicit separate configuration. When the module is operating in non-compliant state, the services have access to non-Approved and non-Allowed algorithms. The logical boundary of the module is defined such that all functionality available in non-compliant state is scoped out from the module boundary. Thus, when the module is operating in FIPS Approved mode of operation, it can access only FIPS Approved or Allowed algorithms as access to non-Approved and non-Allowed algorithms are explicitly inhibited by design of the module.


The module meets FIPS-140-2 Level 1 requirements. The sections below describe how to place and keep the module in FIPS-Approved mode of operation.

Caveat: This guide assumes that a virtual environment is already setup and ready for accepting a new virtual appliance installation

3.1 Initialization

Physical access to the module's host hardware shall be limited to the Crypto-Officer, and the CO shall be responsible for putting the module into the Approved mode.

Once the VM has been deployed, the CO must place the module in the Approved mode using the Console Tab which provides access to the virtual serial connection.

1. Download the Virtual Appliance Package (VAP), which consists of the deployment .OVF file, 2 virtual machine disk images (VMDKs), and a .PDF guide.
2. Using the VMware client, deploy the OVF template included in the VAP.
 - a. Provide a name for the VA, click **Next**
 - b. The location (host or cluster), click **Next**,
 - c. The location for the virtual machine file storage, Click **Next**
 - d. Specify thin or thick provision based on the resources available, click **Next**.
 - e. Select a network to map to and click **Next**.
 - f. Click **Finish**
3. Power on the virtual appliance so that this icon is seen: 
4. In the VMware client, right click the VA and select **Open Console**.
5. Enter the serial number of the appliance. The console will prompt you to hit Enter three times.
6. Press **Enter** three times.

```
Welcome to the Symantec Management Center Virtual Appliance Serial
Console
```

```
Version: Management Center 3.3. Release id: ##### 64-bit
```

```
----- MENU -----
```

```
1) Command Line Interface
```

```
2) Setup Console
```

```
-----
```

Enter option:

7. Enter **1** to access the Command Line Interface.
8. Type **enable** and press **Enter**.
9. Enter the following command: **fips-mode enable**.

When prompted for confirmation, select **Y** to confirm.

- **NOTE 1:** The fips-mode enable command causes the device to power cycle, zeroing the appliance and returning the configuration values set in steps 1 and 2 to their factory state.

10. After the system has finished rebooting, press **Enter** three times.

11. Enter the properties for the following:

- a. IP address
- b. IP subnet mask
- c. IP gateway
- d. DNS server parameters

12. The module will prompt for the console account credentials:

DIRECTIONS:

The console username, password and enable password are special administrative credentials which can be used to log into the command line interface or web management interface.

Enter console password:
Verify console password:

Enter enable password:
Verify enable password:

Upon completion of these initialization steps, the module is considered to be operating in its Approved mode of operation. There are no additional non-Approved services while operating in the Approved mode.

3.1.1 Management

The Crypto-Officer is able to monitor and configure the module via the Web Interface or Web API (HTTPS over TLS) and the CLI (serial port or SSH).

The Crypto-Officer should monitor the module's status regularly. If any irregular activity is noticed or the module is consistently reporting errors, customers should consult Symantec's Product Documentation portal and the administrative guidance documents to resolve the issues. If the problems cannot be resolved through these resources, Symantec customer support should be contacted.

The CO password and "enabled" mode password must be at least 8 characters in length.

3.1.2 Zeroization

The CO can return the module to its factory state by entering the “enabled” mode on the CLI, followed by the “fips-mode disable” command. This command will automatically reboot the module and zeroize the DPK. The RSA private key, Crypto-Officer password, User password, “Enabled” mode password, “Setup” password are stored encrypted by the DPK. Once the DPK is zeroized, decryption involving the DPK becomes impossible, making these CSPs unobtainable by an attacker.

In addition, rebooting the module causes all temporary keys stored in volatile memory (SSH Session key, TLS session key, DRBG entropy values, and ENT (NP) entropy values) to be zeroized. The Crypto-Officer must wait until the module has successfully rebooted in order to verify that zeroization has completed.

3.2 User Guidance

The User is only able to access the module remotely via SSH (CLI) or HTTPS (Web Interface or Web API). The User must change his or her password at the initial login. The User must be diligent to pick strong passwords (alphanumeric with minimum 8 characters) that will not be easily guessed and must not reveal their password to anyone. Additionally, the User should be careful to protect any secret/private keys in their possession, such as TLS or SSH session keys. The User should report to the Crypto-Officer if any irregular activity is noticed.

4 Acronyms

This section describes the acronyms used throughout this document. See Table 13 below.

Table 13 Acronyms

| Acronym | Definition |
|----------------|--|
| AES | Advanced Encryption Standard |
| CBC | Cipher Block Chaining |
| CLI | Command Line Interface |
| CMVP | Cryptographic Module Validation Program |
| CO | Crypto-Officer |
| CRNGT | Continuous Random Number Generator Test |
| CCCS | Canadian Centre for Cyber Security |
| CSP | Critical Security Parameter |
| DNS | Domain Name System |
| DRBG | Deterministic Random Bit Generator |
| ECC | Elliptic Curve Cryptography |
| FFC | Finite Field Cryptography |
| FIPS | Federal Information Processing Standard |
| HMAC | Hash-Based Message Authentication Code |
| HTTP | Hypertext Transfer Protocol |
| HTTPS | Secure Hypertext Transfer Protocol |
| KAT | Known Answer Test |
| NIST | National Institute of Standards and Technology |
| RSA | Rivest Shamir Adleman |
| SHA | Secure Hash Algorithm |
| SSH | Secure Shell |
| TLS | Transport Layer Security |