

# FIPS 140-2 Non-Proprietary Security Policy

Symantec Java Cryptographic Module

Software Version 1.3

**Document Version 1.0** 

December 13, 2017

### Prepared For:



**Symantec Corporation** 

303 2<sup>nd</sup> Street 1000N

San Francisco, CA 94107

www.symantec.com

Latest Update By:

Symantec DLP Security Engineering

303 2<sup>nd</sup> Street 1000N

San Francisco, CA 94107

# Prepared By:



Apex Assurance Group, LLC

530 Lytton Avenue, Ste. 200

Palo Alto, CA 94301

www.apexassurance.com

### **Abstract**

This document provides a non-proprietary FIPS 140-2 Security Policy for the Symantec Java Cryptographic Module.

# **Table of Contents**

1	Intro	oduc	tion	5
	1.1	Abo	ut FIPS 140	5
	1.2	Abo	ut this Document	5
	1.3	Exte	ernal Resources	5
	1.4	Not	ices	5
	1.5	Acro	onyms	5
2	Svm	ante	ec Java Cryptographic Module	Q
_	2.1		otographic Module Specification	
	2.1		Validation Level Detail	
	2.1		Approved Cryptographic Algorithms	
	2.1	3	Non-Approved Cryptographic Algorithms	
	2.2	Мос	dule Interfaces	
			es, Services, and Authentication	
	2.3	3.1	Operator Services and Descriptions	11
	2.3	3.2	Operator Authentication	13
	2.4	Phy.	sical Security	13
	2.5	Ope	rational Environment	13
	2.6	Cryp	otographic Key Management	15
	2.6	5.1	Key Generation	16
	2.6	5.2	Key Entry, Output, and Protection	16
	2.6	5.3	Key/CSP Storage and Zeroization	16
	2.7	Self	-Tests	17
	2.7	<b>'</b> .1	Power-On Self-Tests	17
	2.7	'.2	Conditional Self-Tests	17
	2.7	'.3	Critical Functions Tests	18
	2.8	Mit	igation of Other Attacks	18
3	Guid	danc	e and Secure Operation	19
•			al Setup	
			oto Officer Guidance	
	3.2		Software Packaging and OS Requirements	
	3.2	2.2	Enabling FIPS Mode	
	3.2		Management Procedures	
	3.2		Additional Rules of Operation	
	3.3	Use	r Guidance	
		3.1	General Guidance	
	3 4	Role	P Changes	

# **List of Tables**

Table 1 – Acronyms and Terms	7
Table 2 – Validation Level by DTR Section	8
Table 3 – FIPS-Approved Algorithm Certificates	9
Table 4 – Logical Interface / Physical Interface Mapping	11
Table 5 – Module Services and Descriptions	13
Table 6 – Module Keys/CSPs	16
Table 7 – Power-On Self-Tests	17
Table 8 – Conditional Self-Tests	18
Table 9 – Critical Functions Tests	18
List of Figures	
Figure 1 – Module Boundary and Interfaces Diagram	10

### 1 Introduction

#### **1.1 About FIPS 140**

Federal Information Processing Standards Publication 140-2 — Security Requirements for Cryptographic Modules specifies requirements for cryptographic modules to be deployed in a Sensitive but Unclassified environment. The current version of the standard is FIPS 140-2. The National Institute of Standards and Technology (NIST) and Communications Security Establishment (CSE) Cryptographic Module Validation Program (CMVP) run the FIPS 140 program. The National Voluntary Laboratory Accreditation Program (NVLAP) accredits independent testing labs to perform FIPS 140 testing; the CMVP also validates test reports for products meeting FIPS 140 validation. *Validated* is the term given to a module that is documented and tested against the FIPS 140 criteria.

More information is available on the CMVP website at <a href="http://csrc.nist.gov/groups/STM/cmvp/index.html">http://csrc.nist.gov/groups/STM/cmvp/index.html</a>.

### 1.2 About this Document

This non-proprietary Cryptographic Module Security Policy for the Java Cryptographic Module from Symantec provides an overview of the product and a high-level description of how it meets the security requirements of FIPS 140-2. This document contains details on the module's cryptographic keys and critical security parameters. This Security Policy concludes with instructions and guidance on running the module in a FIPS 140-2 mode of operation.

The Symantec Java Cryptographic Module may also be referred to as the "module" in this document.

### 1.3 External Resources

The Symantec website (<a href="http://www.symantec.com">http://www.symantec.com</a>) contains information on Symantec products. The Cryptographic Module Validation Program website contains links to the FIPS 140-2 certificate and Symantec contact information.

#### 1.4 Notices

This document may be freely reproduced and distributed in its entirety without modification.

## 1.5 Acronyms

The following table defines acronyms found in this document:

Acronym	Term
AES	Advanced Encryption Standard
ANSI	American National Standards Institute
API	Application Programming Interface
CBC	Cipher Block Chaining
ССМ	Counter with CBC-MAC
CFB	Cipher Feedback
CAVP	Cryptographic Algorithm Validation Program
CMVP	Cryptographic Module Validation Program
СО	Crypto Officer
CSE	Communications Security Establishment
CSP	Critical Security Parameter
CTR	Counter
DES	Data Encryption Standard
DESX	Data Encryption Standard XOR'ed
DH	Diffie-Hellman
DMZ	Demilitarized Zone
DRBG	Deterministic Random Bit Generator
DSA	Digital Signature Algorithm
DTR	Derived Test Requirement
EC	Elliptic Curve
ECB	Electronic Code Book
ECC	Elliptic Curve Cryptography
EC Diffie-Hellman	Elliptic Curve Diffie-Hellman
ECDSA	Elliptic Curve Digital Signature Algorithm
ECIES	Elliptic Curve Integrated Encryption System
EMC	Electromagnetic Compatibility
EMI	Electromagnetic Interference
FCC	Federal Communications Commission
FIPS	Federal Information Processing Standard
GCM	Galois/Counter Mode
GPC	General Purpose Computer
HMAC	(Keyed-) Hash Message Authentication Code
HTTP	Hypertext Transfer Protocol
JAR	Java Archive
JRE	Java Runtime Environment
JVM	Java Virtual Machine
KAT	Known Answer Test
MAC	Message Authentication Code
MD	Message Digest

NIST	National Institute of Standards and Technology
NVLAP	National Voluntary Laboratory Accreditation Program
OEAP	Optimal Asymmetric Encryption Padding
OFB	Output Feedback
OS	Operating System
PKCS	Public-Key Cryptography Standards
PRNG	Pseudo Random Number Generator
PSS	Probabilistic Signature Scheme
RC	Rivest Cipher
RACE	Research and Development in Advanced
	Communications Technologies in Europe
RIPEMD	RACE Integrity Primitives Evaluation Message Digest
RNG	Random Number Generator
RSA	Rivest, Shamir, and Adleman
SEP	Symantec Endpoint Protection
SHA	Secure Hash Algorithm
SP	Special Publication
SSL	Secure Sockets Layer
TDEA	Triple Data Encryption Algorithm
Triple-DES	Triple Data Encryption Algorithm
TLS	Transport Layer Security
USB	Universal Serial Bus

Table 1 – Acronyms and Terms

# 2 Symantec Java Cryptographic Module

# 2.1 Cryptographic Module Specification

The module, Symantec Java Cryptographic Module, is a software shared library that provides cryptographic services required by Symantec's line of software products. The module is a software only module installed on a General Purpose Computer running Microsoft Windows 7 (64-bit). The module is comprised of two components:

- 1. The Symantec cryptographic module wrapper fully initializes and manages FIPS 140-2 mode. This includes performing an integrity check, verifying the provider is configured, performing the provider self tests, and reporting status.
- 2. An embedded validated module (see Certificate #2057) provides cryptographic functions.

All operations of the module occur via calls from the Symantec applications and their respective internal daemons/processes. There are no untrusted processes calling the services of the module, as APIs' are not exposed.

#### 2.1.1 Validation Level Detail

The following table lists the level of validation for each area in FIPS 140-2:

FIPS 140-2 Section Title	Validation Level
Cryptographic Module Specification	1
Cryptographic Module Ports and Interfaces	1
Roles, Services, and Authentication	1
Finite State Model	1
Physical Security	N/A
Operational Environment	1
Cryptographic Key Management	1
Electromagnetic Interference / Electromagnetic Compatibility	1
Self-Tests	1
Design Assurance	1
Mitigation of Other Attacks	1

Table 2 - Validation Level by DTR Section

## 2.1.2 Approved Cryptographic Algorithms

The module's cryptographic algorithm implementations have received the following certificate numbers from the Cryptographic Algorithm Validation Program:

Algorithm	<b>CAVP Certificate</b>
AES (ECB, CBC, CFB (128), OFB (128), CTR - [128, 192, 256 bit key sizes] CCM, GCM)	2249
DSA	701
ECDSA	357
HMAC DRBG (SP800-90A)	273
HMAC-SHA-1 <sup>1</sup> , HMAC-SHA-224, HMAC-SHA-256, HMAC- SHA-384, HMAC-SHA-512	1378
RSA X9.31, PKCS#1 v1.5, PKCS#1 v2.1 (SHA256 – PSS)	1154
SHA-1, SHA-224, SHA-256, SHA-384, SHA-512	1938
PBKDF (vendor affirmed)	Vendor Affirmed
Triple-DES (ECB, CBC, CFB-, OFB)	1408

Table 3 – FIPS-Approved Algorithm Certificates<sup>1</sup>

## 2.1.3 Non-Approved Cryptographic Algorithms

The module does not implement any non-approved algorithms in FIPS mode; however, Diffie-Hellman, EC Diffie-Hellman, and RSA Key Wrap (RSA key-pair with a modulus length of 2048 to 4096 bits) are allowed in the FIPS mode of operation. The module utilizes the following non-FIPS-approved algorithm implementations:

- DES
- DESX
- Diffie-Hellman (primitives only, public key size less than 2048 bits, and private key size less than 160 bits)
- EC Diffie-Hellman (primitives only, key size less than 224 bits)
- ECIES
- MD2
- MD4
- MD5
- ECDSA, DSA and RSA signature generation with SHA-1
- FIPS 186-2 PRNG
- Dual\_EC\_DRBG

- RC2 block cipher
- RC4 stream cipher
- RC5 block cipher
- RSA Keypair Generation MultiPrime (two or three primes)
- RIPEMD160
- HMAC-MD5
- 1024-bit DSA PQG, key, and signature generation
- 1024 RSA key and signature generation
- ECDSA Public Key and Signature
   Generation using curves P-192, B-163, and
   K-163

<sup>&</sup>lt;sup>1</sup> Note this implementation has received FIPS 140-2 Level 1 validation 2057: http://csrc.nist.gov/groups/STM/cmvp/documents/140-1/140val-all.htm#2057

Any protocol or associated cryptographic functions have not undergone any testing by the CAVP and are disallowed in an Approved mode.

### 2.2 Module Interfaces

The figure below shows the module's physical and logical block diagram:

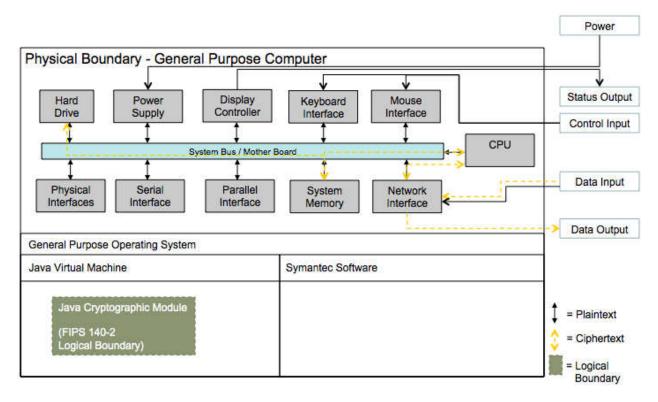


Figure 1 - Module Boundary and Interfaces Diagram

The interfaces (ports) for the physical boundary include the computer keyboard port, CDROM drive, floppy disk, mouse, network port, parallel port, USB ports, monitor port and power plug. When operational, the module does not transmit any information across these physical ports because it is a software cryptographic module. Therefore, the module's interfaces are purely logical and are provided through the Application Programming Interface (API) that a calling daemon can operate. The logical interfaces expose services that applications directly call, and the API provides functions that may be called by a referencing application (see Section 2.3 – Roles, Services, and Authentication for the list of available functions). The module distinguishes between logical interfaces by logically separating the information according to the defined API.

The API provided by the module is mapped onto the FIPS 140- 2 logical interfaces: data input, data output, control input, and status output. Each of the FIPS 140- 2 logical interfaces relates to the module's callable interface, as follows:

FIPS 140-2 Interface	Logical Interface	Module Physical Interface
Data Input	Input parameters of API function	USB ports, network ports, serial
	calls	ports, SCSI/SATA ports, DVD, audio
		Ports
Data Output	Output parameters of API function	Display (e.g. VGA, HDMI, DVI, etc.),
	calls	USB ports, network ports, serial
		ports, SCSI/SATA ports, audio ports,
		DVD
Control Input	API function calls	USB ports, network ports, serial
		ports, power switch
Status Output	For FIPS 140-2 mode, function calls	Display, serial ports, network ports
	returning status information and	
	return codes provided by API	
	function calls.	
Power	None	Power supply/connector

Table 4 - Logical Interface / Physical Interface Mapping

As shown in Figure 1 – Module Boundary and Interfaces Diagram and Table 5 – Module Services and Descriptions, the output data path is provided by the data interfaces and is logically disconnected from processes performing key generation or zeroization. No key information will be output through the data output interface when the module zeroizes keys. The module does not output key/CSP information while in an error state.

# 2.3 Roles, Services, and Authentication

The module supports a Crypto Officer and a User role. The module does not support a Maintenance role.

# 2.3.1 Operator Services and Descriptions

The services available to the User and Crypto Officer roles in the module are as follows:

Service	Roles	Input	Output	Key/CSP Access
On Demand Self-	Crypto	None	Status	None
test	Officer			
Get FIPS140	User	None	Status	None
Context				
Get seeder	User	None	Seed	None
			generator	
Get Default	User	None	Random	None
Random Number			Number	
Generator			Generator	
Check FIPS 140-2	User	None	Status	None
Compliance				
Get State	User	None	Status	None
Get Mode	User	None	Status	None
Set Mode	User	API call parameter	Status	None
Get Role	User	None	Status	None
Set Role	User	API call parameter	Status	None
Check Latest Self-	User	None	Status	None
Test Results				
Check Mode	User	None	Status	None
Disable library	User	API call parameter	None	None
Verify DSA	User	API call parameter	Status	None
Parameters				
Encryption	User	API call parameters,	Status,	AES Key
		key, plaintext	ciphertext	Triple-DES Key
Decryption	User	API call parameters,	Status,	AES Key
		key, ciphertext	plaintext	Triple-DES Key
Digital Signature	User	API call parameters,	Status,	RSA Private Key
Generation		key, message	signature	RSA Public Key
				DSA Private Key
				DSA Public Key
Digital Signature	User	API call parameters,	Status	RSA Private Key
Verification		key, signature,		RSA Public Key
		message		DSA Private Key
				DSA Public Key
Key Establishment	User	API call parameters,	Status,	RSA Private Key
Primitives		key	key	RSA Public Key
				DH Public Key
				DH Private Key
				EC Diffie-Hellman Public Key
				EC Diffie-Hellman Private Key

Service	Roles	Input	Output	Key/CSP Access
Key Generation	User	API call parameters	Status,	AES Key
			key/key	Triple-DES Key
			pair	DSA Private Key
				DSA Public Key
				RSA Private Key
				RSA Public Key
				DH Public Key
				DH Private Key
				HMAC DRBG Key
				HMAC with SHA-1 and SHA-2 Keys
MAC	User	API call parameters	Status,	HMAC DRBG Key
		key, message	hash	HMAC with SHA-1 and SHA-2 Keys
Hashing	User	API call parameters,	Status,	None
		message	hash	
Random Number	User	API call parameters	Status,	HMAC DRBG Entropy
Generation			random	HMAC DRBG V Value (Seed
			bits	Length)
				HMAC DRBG Key
				HMAC DRBG init_seed
Zeroization	User	API call parameters	Status	All

Table 5 - Module Services and Descriptions

## 2.3.2 Operator Authentication

As required by FIPS 140-2, there are two roles (a Crypto Officer role and User role) in the module that operators may assume. As allowed by Level 1, the module does not support authentication to access services.

# 2.4 Physical Security

This section of requirements does not apply to this module. The module is a software-only module and does not implement any physical security mechanisms.

# 2.5 Operational Environment

The module operates on a general-purpose computer (GPC) running on a modern version of Microsoft Windows and CentOS 6, as a general-purpose operating system (GPOS). For FIPS purposes, the module is running on Microsoft Windows in single user mode and does not require any additional configuration to meet the FIPS requirements.

The module was tested on the following platforms:

 Microsoft Windows 7 (64-Bit) with Sun JRE 8.0 on VmWare ESXi 6.0.0 running on a Dell PowerEdge R430. The GPC(s) used during testing met Federal Communications Commission (FCC) FCC Electromagnetic Interference (EMI) and Electromagnetic Compatibility (EMC) requirements for business use as defined by 47 Code of Federal Regulations, Part15, Subpart B. FIPS 140-2 validation compliance is maintained when the module is operated on other versions of the Microsoft Windows GPOS running in single user mode, assuming that the requirements outlined in NIST IG G.5 are met.

Symantec is affirming its compliance as outlined in section G.5 of the Implementation Guidance for FIPS 140-2. Compliance is maintained on platforms for which the binary executable remains unchanged. This includes (but is not limited to):

- Windows XP Professional SP3, x86 (32-bit) with Sun JRE 6.0/7.0/8.0,
- Windows XP Professional SP3, x86\_64 (64-bit) with Sun JRE 6.0/7.0/8.0
- Windows 7, x86 (32-bit) with Sun JRE 6.0/7.0/8.0
- Windows 7, x86\_64 (64-bit) with Sun JRE 6.0/7.0/8.0
- Windows Server 2003 x86 (32-bit) with Sun JRE 6.0/7.0/8.0
- Windows Server 2003 x86 64 (64-bit) with Sun JRE 6.0/7.0/8.0
- Windows Server 2008 x86 (32-bit) with Sun JRE 6.0/7.0/8.0
- Windows Server 2008 x86\_64 (64-bit), Sun JRE 6.0/7.0/8.0
- Windows Server 2008 R2 x86 64 (64-bit), Sun JRE 6.0/7.0/8.0
- Windows Server 2012 x86\_64 (64-bit), Sun JRE 6.0/7.0/8.0
- Windows Server 2012 x86\_64 (64-bit), Sun JRE 6.0/7.0/8.0
- CentOS 6.7 x86\_64, Sun JRE 6.0/7.0/8.0
- CentOS 6.8 x86 64, Sun JRE 6.0/7.0/8.0
- CentOS 7.0 x86\_64, Sun JRE 6.0/7.0/8.0

# 2.6 Cryptographic Key Management

The table below provides a complete list of Critical Security Parameters used within the module:

Keys and CSPs	Storage Locations	Storage Method	Input Method	Output Method	Zeroization	Access
AES Key	RAM	Plaintext	Internally generated	API call parameter	SensitiveData.clear() power cycle	CO: RWD
						U: RWD
Triple-DES Key	RAM	Plaintext	Internally generated	API call parameter	SensitiveData.clear() power cycle	CO: RWD
						U: RWD
HMAC with SHA- 1 and SHA-2 Keys	RAM	Plaintext	API call parameter	None	SensitiveData.clear() power cycle	CO: RWD
						U: RWD
EC Private Keys	RAM	Plaintext	Internally generated	API call parameter	SensitiveData.clear() power cycle	CO: RWD
						U: RWD
EC Public Keys	RAM	Plaintext	Internally generated	API call parameter	SensitiveData.clear() power cycle	CO: RWD
						U: RWD
DH Private Key	RAM	Plaintext	Internally generated	API call parameter	SensitiveData.clear() power cycle	CO: RWD
						U: RWD
DH Public Key	RAM	Plaintext	Internally generated	API call parameter	SensitiveData.clear() power cycle	CO: RWD
				·		U: RWD
RSA Private Key	RAM	Plaintext	Internally generated	API call parameter	SensitiveData.clear() power cycle	CO: RWD
			0	, , , , , , , , , , , , , , , , , , , ,		U: RWD
RSA Public Key	RAM	Plaintext	Internally generated	API call parameter	SensitiveData.clear() power cycle	CO: RWD
			generated.	parameter		U: RWD
DSA Private Key	RAM	Plaintext	Internally generated	API call	SensitiveData.clear() power cycle	CO: RWD
						U: RWD
DSA Public Key	RAM	Plaintext	Internally generated	API call parameter	SensitiveData.clear() power cycle	CO: RWD
			63			U: RWD
HMAC DRBG Entropy	RAM	Plaintext	Internally generated	None	SensitiveData.clear() power cycle	CO: RWD
. ,						U: RWD

Keys and CSPs	Storage Locations	Storage Method	Input Method	Output Method	Zeroization	Access
HMAC DRBG V	RAM	Plaintext	Internally	None	SensitiveData.clear()	CO: RWD
Value (Seed			generated		power cycle	
Length)						U: RWD
HMAC DRBG Key	RAM	Plaintext	Internally	None	SensitiveData.clear()	CO: RWD
			generated		power cycle	
						U: RWD
HMAC DRBG	RAM	Plaintext	Internally	None	SensitiveData.clear()	CO: RWD
init_seed			generated		power cycle	
						U: RWD
Integrity test key	Hard-coded,	Plaintext	Hard-coded	None	SensitiveData.clear()	CO: RWD
	RAM				power cycle	U: RWD
Known Answer	Hard-coded,	Plaintext	Hard-coded	None	SensitiveData.clear()	CO: RWD
Test (KAT) keys	RAM				power cycle	U: RWD

R = Read W = Write D = Delete

Table 6 - Module Keys/CSPs

### 2.6.1 Key Generation

The module supports the generation of the DSA, RSA, and Diffie-Hellman (DH) and ECC public and Private Keys. In the FIPS-approved mode, RSA keys can only be generated using the approved 186-4 RSA key generation method.

The module employs a FIPS-approved SP 800-90A HMAC DRBG for generating asymmetric and symmetric keys. Entropy for use in key generation is gathered by the embedded validated module; various system parameters are collected to suitably account for the strength of the generated key.

### 2.6.2 Key Entry, Output, and Protection

All keys and CSPs reside on memory internally allocated by the module and can only be output using the exposed APIs. The module does not support key entry or output from the physical boundary. The operating system and the JRE protect the memory and process space from unauthorized access.

# 2.6.3 Key/CSP Storage and Zeroization

The module does not provide long-term cryptographic key storage. Storage of keys is the responsibility of the user of the module. All keys and CSPs are automatically zeroized by the module at the end of their lifetime. The user can ensure destruction of sensitive data by calling SensitiveData.clear(). Power cycling the module will also zeroize keys.

### 2.7 Self-Tests

The module performs power-up and conditional self-tests to ensure proper operation. If a power-up self- test fails, the module is disabled and throws a SecurityException. The module can only leave the disabled state by restarting the Java Virtual Machine. If a conditional self-test fails, the module throws a SecurityException and aborts the operation. A conditional self-test failure does not disable the module.

In event of a self-test failure, the module provides the following message: Could not initialize class com.rsa.jsafe.provider.JsafeJCE.

The following sections discuss the module's self-tests in more detail.

### 2.7.1 Power-On Self-Tests

The module implements the following power-on self-tests:

ТҮРЕ	DETAIL			
Software Integrity Check	RSA Digital Signature Verification			
Known Answer Tests	AES (separate encrypt and decrypt) (CBC, CFB, ECB, OFB)			
	DSA (separate sign and verify)			
	ECDSA (separate sign and verify)			
	SP 800-90A HMAC DRBG health tests			
	HMAC SHA-1			
	HMAC SHA-224			
	HMAC SHA-256			
	HMAC SHA-384			
	HMAC SHA-512			
	RSA (separate sign and verify)			
	• SHA-1			
	• SHA-224			
	• SHA-256			
	• SHA-384			
	• SHA-512			
	Triple-DES (separate encrypt and decrypt)			
Pair-wise Consistency Tests	• DSA			
	ECDSA			
	RSA			

Table 7 - Power-On Self-Tests

Power-on self-tests are executed automatically when the module is loaded into memory.

### 2.7.2 Conditional Self-Tests

The module implements the following conditional self-tests:

ТҮРЕ		DETAIL
Pair-wise Consistency Tests	•	DSA
	•	ECDSA
	•	RSA
Continuous RNG Tests	•	HMAC_DRBG;
	•	DUAL_EC_DRBG (non-approved); and
	•	FIPS 186-2 RNG (non-approved)

Table 8 - Conditional Self-Tests

### 2.7.3 Critical Functions Tests

The module implements the following critical functions tests:

TYPE	DETAIL
Known Answer Tests	ECIES when operating in FIPS140_ECC_MODE

Table 9 – Critical Functions Tests

# 2.8 Mitigation of Other Attacks

As a defense against timing attacks, RSA key operations implement blinding by default. By using the blinding method, it is ensured that the decryption time is not correlated to the input ciphertext; as a consequence, attempts of timing attacks are thwarted. Blinding is implemented through blinding modes with the following available options:

- Blinding mode off
- Blinding mode with no update (the blinding value is squared for each operation)
- Blinding mode with full update (a new blinding value is used for each operation).

# 3 Guidance and Secure Operation

This section describes how to configure the module for FIPS-approved mode of operation. Operating the module without maintaining the following settings will remove the module from the FIPS-approved mode of operation.

# 3.1 Initial Setup

The Symantec cryptographic module wrapper fully initializes and manages FIPS mode. This includes performing an integrity check, verifying the provider is configured, performing the provider self tests, and reporting status.

When the module is loaded by the host application, the FIPSModeManager.startFIPSMode() function is called to initialize the module in a FIPS-approved mode of operation. This function checks the integrity of the module, runs all power-up self-tests, and, if successful, sets the module in the FIPS140\_SSL\_MODE by default. The initialization function records the following message to a log file:

System running in FIPS 140 mode.

The module uses JAR-signing to check the integrity of the module (the consuming application provides the signing certificate for the JARs of the module). Upon failure of either the software integrity test or any of the self-tests, the function throws an exception as status output and disables the library. Additionally, the module logs the following message:

FIPS initialization failed, FIPS cryptographic services disabled

# 3.2 Crypto Officer Guidance

# 3.2.1 Software Packaging and OS Requirements

The module must be installed on a General Purpose Operating System running in single user mode. To configure single-user mode, the following must be disabled:

- Remote registry and remote desktop services
- Remote assistance
- Guest accounts
- Server and terminal services

Contact Microsoft support for configuration details; specific configuration steps are beyond the scope of this document.

### 3.2.2 Enabling FIPS Mode

No specific configuration is required to enforce FIPS mode beyond the FIPSModeManager.startFIPSMode() function. Status can be verified by calling the FIPSModeManager.isInFIPS140Mode() function, which returns true if the module is in a FIPS-Approved mode and false if in a non-Approved mode.

## 3.2.3 Management Procedures

The Crypto Officer can run the self-tests at any time by calling the runSelfTests() function.

# 3.2.4 Additional Rules of Operation

- 1. All host system components that can contain sensitive cryptographic data (main memory, system bus, disk storage) must be located in a secure environment.
- The writable memory areas of the Module (data and stack segments) are accessible only by the calling application so that the Module is in "single user" mode, i.e. only the calling application has access to that instance of the Module.
- 3. Imported keys should be generated via FIPS-approved manner.
- 4. The operating system is responsible for multitasking operations so that other processes cannot access the address space of the process containing the Module.
- 5. The operator must invoke the SensitiveData.clear() method before changing the module mode in order to ensure all keys and CSPs are zeroized.

### 3.3 User Guidance

#### 3.3.1 General Guidance

In order to use the module in FIPS 140-2 mode of operation, the User must only use the approved algorithms as listed in Table 3 – FIPS-Approved Algorithm Certificates. The requirements for using the approved algorithms in a FIPS 140-2 mode of operation are as follows:

- The bit-length for a RSA and DSA key pair must be at least 2048 bits.
- SP 800-90A HMAC-DRBG random data requests must be less than or equal to 2^19 bits in length.
- Bit lengths for an HMAC key must be one half of the block size.
- RSA keys used for signing shall not be used for any other purpose other than digital signatures.

- For RSA digital signature generation the HMAC DRBG must be used
- EC key pairs must have domain parameters from the set of NIST-recommended named curves (P224, P256, P384, P521, B233, B283, B409, B571, K233, K283, K409, and K571). The domain parameters can be specified by name or can be explicitly defined.
- The module implements both Diffie-Hellman and EC Diffie-Hellman key agreement schemes.
- EC Diffie-Hellman primitives must use curve domain parameters from the set of NIST-recommended named curves listed above. The domain parameters can be specified by name, or can be explicitly defined. When using the NIST-recommended curves, the computed Diffie-Hellman shared secret provides between 112 bits and 256 bits of encryption strength.
- When using the Approved SP 800-90A DRBG to generate keys, the DRBGs requested security strength must be at least as great as the security strength of the key being generated.
- Only FIPS 140 approved random number generators may be used for generation of keys (asymmetric and symmetric)
- If the module power is lost and restored, the calling application can reset the AES GCM IV to the last value used.

Additionally, operators should take care to zeroize CSPs' when they are no longer needed.

# 3.4 Role Changes

If the operator needs to operate the module in different roles, then the operator must ensure that all instantiated cryptographic objects are destroyed before changing from the Crypto User role to the Crypto Officer role, or unexpected results could occur.